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Sida Decentralised Evaluation

Annika Nilsson
Annica Holmberg
Pontus Mod  r

Mari Brekke Mogen
Ian Christoplos
Jessica Rothman

Review of Civil Society Support Modalities at Sida HQ and Swedish Embassies

Final Report

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May 2013**

**Annika Nilsson
Annica Holmberg
Pontus Modéer
Mari Brekke Mogen
with Ian Christoplos and Jessica Rothman**

Authors: Annika Nilsson, Annica Holmberg, Pontus Modéer,
Mari Brekke Mogen, with Ian Christoplos and Jessica Rothman

The views and interpretations expressed in this report are the authors' and do not necessarily reflect those of the Swedish International Development Cooperation Agency, Sida.

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SWEDISH INTERNATIONAL DEVELOPMENT COOPERATION AGENCY

Address: S-105 25 Stockholm, Sweden. Office: Valhallavägen 199, Stockholm

Telephone: +46 (0)8-698 50 00. Telefax: +46 (0)8-20 88 64

Postgiro: 1 56 34-9. VAT. No. SE 202100-478901

E-mail: info@sida.se. Homepage: <http://www.sida.se>

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Abbreviations and Acronyms

ACF	Action Against Hunger
AGIR	Programa de Acções para uma Governação Inclusiva e Responsável
CIVSAM	Sida's Unit for Support to Civil Society
CBO	Community-Based Organisation
CIVICUS	World Alliance for Citizen Participation
CS	Civil Society
CSO	Civil Society Organisation
DAC	OECD's Development Assistance Committee
DFID	The UK Department for Development Cooperation
DP	Development Partners
DRC	Danish Refugee Council
DRR	Disaster Risk Reduction
ECHO	European Commission - Humanitarian Aid & Civil Protection
EU	European Union
FAO	Food and Agriculture Organisation of the UN
FO	Frame Organisations
FOS	The Fund for the Colombian Civil Society for Peace, HR and Democracy
HLF-4	The Fourth High Level Forum on Aid Effectiveness
HQ	Headquarters of Sida in Stockholm
HR	Human Rights
HUM	Humanitarian Unit at Sida
ICRC	International Committee of the Red Cross
INTRAC	International Training and Research Centre
IMS	International Media Support
INGO	International Non-Governmental Organisation
IFRC	International Federation of Red Cross and Red Crescent Societies
KtK	Kvinna till Kvinna
LGBT	Lesbian, Gay, Bisexual and Transgender
LOU	Lagen om Offentlig Upphandling
MDG	Millennium Development Goals
MFA	Ministry of Foreign Affairs
MILLION SEK	Million Swedish Krona

MTR	Mid-Term Review
NGO	Non-Governmental Organisation
NRC	Norwegian Refugee Council
OCHA	The UN Office for the Coordination of Humanitarian Affairs
ODA	Overseas Development Assistance
OECD	The Organisation for Economic Cooperation and Development
OFDA	The Office of U.S. Foreign Disaster Assistance
OPIC	Olof Palme International Centre
PAO	Party-affiliated Organisations
PLUS	Sida's system for financial planning and control
PME	Planning Monitoring Evaluation
PMU	Swedish Pentecostal churches
RRM	Rapid Response Mechanism
SAK	Swedish Committee for Afghanistan
SaW	Sida at Work
SCS	Save the Children Sweden
SEK	Swedish Krona
SG	Sub-grantees
SKL	The Swedish Association of Local Authorities and Regions
SMC	Swedish Mission Council
SRC	Swedish Red Cross
SRHR	Sexual and Reproductive Health and Rights
SSNC	The Swedish Society for Nature Conservation
SUO	Special Umbrella Organisations
ToR	Terms of Reference
UN	United Nations
UNDP	United Nations Development Programme
UNDEF	United Nations Democracy Fund
UNFPA	United Nations Population Fund
UNICEF	United Nations Children's Fund
WANEP	The West Africa Network for Peace building
WB	World Bank
WFP	World Food Programme
WP-EFF	The Working Party on Aid Effectiveness
ZGF	Zambia Governance Foundation

Preface

This **Review of Civil Society Support Modalities at Sida Headquarters and Swedish Embassies** was commissioned in 2012 by Sida's Unit for Support to Civil Society (CIVSAM) at the Department for Global Cooperation. Indevelop was commissioned to undertake the review through Sida's framework agreement for reviews and evaluations.

The independent review team included three members from Indevelop's Core Team of professional evaluators: Ms. Annika Nilsson as Team Leader, Ms. Annica Holmberg and Mr. Pontus Modéer, all whom have extensive experience from Swedish civil society development cooperation, both from the perspective of Sida and civil society globally. Ms. Mari Brekke Mogen, a Junior Consultant, supported the team with quantitative data analysis.

At Indevelop, Jessica Rothman had overall responsibility for coordinating and managing the implementation of the review, while quality assurance of the methodology and reports was provided by Ian Christoplos.

Very special thanks are due to Claire Smellie and Karin Fallman, who managed this review within Sida with remarkable engagement and provided guidance throughout the process.

We would also like to thank all of Sida's staff at the embassies and Head Office who acted as Key Informants by providing valuable insights through interviews. All respondents have been given the opportunity to comment on the draft report and the annexes. These comments have been taken into consideration in this final version of the report.

Executive Summary

“CSOs can be defined to include all non-market and non-state organisations outside of the family in which people organise themselves to pursue shared interests in the public domain. They cover a wide range of organisations that include membership-based CSOs, cause-based CSOs, and service-oriented CSOs. Examples include community-based organisations and village associations, environmental groups, women’s rights groups, farmers’ associations, faith-based organisations, labour unions, co-operatives, professional associations, chambers of commerce, independent research institutes and the not-for-profit media.”

Introduction

This Review aims to provide Sida with knowledge of how Sida departments (outside Sida’s Unit for Support to Civil Society - CIVSAM) and embassies support or engage civil society organisations, of trends during the past five years and lessons learnt regarding the modalities used. The Review also comments on the fitness for purpose of selected modalities and how they relate to international commitments and recommendations regarding CSO (Civil Society Organisation) support. Finally, the Review provides recommendations to Sida and embassies on how to improve their support to, and through CSOs.

Civil society support and the modalities used have been analysed and classified based on statistics from Sida’s PLUS system and interviews with staff at embassies and Sida departments. Questions have also been asked regarding the reasons for choices made (which have informed our analysis of fit-for purpose), the observed trends and lessons learned. In total, 72 staff members were interviewed and more than 2000 initiatives were classified and coded. In addition, interviews with eight CSO-implementing organisations, having direct agreements with Sida, were held to capture the external experiences of Sida CSO modalities.

The statistical overview

The mapping shows that Sida has channelled around 30 billion SEK¹ via or to CSOs during a 5 ½ year period, from January 2007 to June 2012. It has been spent through three main channels as follows:

1. CIVSAM – 27%
2. HUM (Sida's Unit for Humanitarian Assistance) – 16%²
3. Other appropriations – 57%

The support to and through CSOs has increased its share of the Sida aid budget over the 5-year period from 19 % in 2007 to 32 % in 2011. The funding for CSOs has increased substantially within HUM and "Others", while CIVSAM funding has remained almost the same. In all three channels, there is an increase in the use of bigger, fewer and more professional organisations as direct agreement partners. Although international organisations are increasingly engaged by Sida, Swedish organisations are still the largest agreement partners of CIVSAM³ (94% of funding), HUM (60% of funding) and "Others" (26% of funding). In HUM and CIVSAM the "top ten" CSO agreement partners channel 75-80% of their respective CSO allocations.

When looking more closely at the funding provided through the "other" appropriations, the Review found that 46% is provided by units at Sida HQ (Headquarters) and 54% by embassies. Although a substantial part of the funding during the period has gone to global and regional initiatives (almost 40%), there is a trend of more funding being provided for country level initiatives. Funding for country-level CSO initiatives has doubled since 2007. This, however, has not been matched with an increase in the use of partner country organisations as direct agreement partners. Instead, international and multilateral organisations, often with well-equipped field offices in these countries, are used to channel this increased funding to CSOs in partner countries.

International CSOs continue to grow as the preferred agreement partners of the "other" appropriations. They are used as direct agreement partners to develop research capacity or to promote a global agenda for change in various sectors - and increasingly, also as intermediaries for support to partner country CSOs. Partner country CSOs are however increasingly used as direct agreement partners to counterbalance and monitor donor support to governments – in particularly in the sector democracy, human rights and gender equality – and to provide embassies with contextual information, local contacts and allies in the development dialog. Swedish CSOs are used

¹ Swedish Krona

² UN (United Nations) mixed funds and ICRC (International Committee of the Red Cross) not included

³ This figure includes both the CSO frameworks and the Special contribution for democracy allocations. The latter uses few Swedish agreement partners, only 8 out of 70 agreement partners are Swedish.

as direct agreement partners because they are trusted and well-known and are assumed to share the values and principles of Swedish global development policy.

Sida HQ units and embassies are mainly using CSOs as a means to achieve objectives of thematic and geographic results strategies, although there is increased recognition of the value of CSOs in their own right in a few strategies. Only 11 % of the CSO support has been directed to strengthening CSOs in their own right during the period of review.

When looking at the end recipients of CSO funding provided by “*other*” appropriations, the review found that 5% of global CSO funding, 19% of regional CSO funding and 51 % of country-level CSO funding goes to partner country organisations with community or district based groups as end recipients. The funding for national and local organisations has increased substantially in the last two years. However, most of the funding still has international or regional organisations as end recipients (large contributions to global or regional actors). Even country-level CSO funding has international CSOs as end recipients for 15% of the funding. 15% of the country level CSO funding has government or private sector actors as end recipients.⁴

Bilateral funding is by far the most common modality (80%), although joint funding modalities are increasing. Core funding and programme funding are increasing, but mainly for large, professional CSOs. There are substantial variations between the different country categories (as defined by the Swedish government), so there should be caution in making generalisations.

When looking more closely at the funding provided through the *humanitarian appropriation*, almost all of it is provided by the Humanitarian Unit at Sida HQ. The unit estimates that around 30% of its budget goes to/through CSOs (UN multi funds and ICRC [International Committee of the Red Cross] initiatives not included). Of the HUM CSO funding, 23% goes to global and regional initiatives, 34% to conflict/post conflict countries and 43% to other country categories where emergencies occur. The main channels for this support are international and Swedish CSOs who fulfil certain quality and capacity criteria.⁵ The support is mainly given as project support and CSOs are used as means to deliver services and save lives. There is an emerging awareness among HUM partners of the importance of building the capacity of partner

⁴ E.g. training of police or judges in human rights, training of teachers in special needs education, local government capacity development to enable dialogue with CSOs and meet their obligations towards rights holders, support to organisations of private sector actors, promotion of trade between Sweden and partner countries through CSOs (the Swedish Trade Council is coded as a CSO) etc.

⁵ Kriterier för civilsamhällesorganisationers behörighet som ramorganisation inom anslagsposten Stöd genom Svenska organisationer i det civila samhället och som strategisk partnerorganisation inom anslagsposten för Humanitära insatser och konfliktrelaterad verksamhet. Sida, 31 augusti 2011.

country CSOs to achieve more sustainable results and to establish better systems for disaster risk reduction. However, there is no systematic approach for how to implement, guide and monitor these efforts. Despite policy declarations to emphasise the role of partner country CSOs in emergencies, humanitarian assistance continues to be dominated by actors from the north.

Conclusions and lessons

The Sida CSO policy, the OECD-DAC's lessons learned and the Busan commitments, which all define good practices and guidelines for CSO support, are reflected in CSO funding practices at embassies and Sida HQ units only to a limited extent. Previous evaluations of Sida's CSO support modalities have not been used for internal learning and development of practices. As found in other Sida studies⁶, guidance from the central level is not always perceived as useful in the field context. Central policies, guidelines and tools have difficulty in influencing practices unless they are:

- part of the thematic or geographic strategy
- a compulsory part of the planning and assessment tool (Sida@Work)
- accompanied by personal dialogue and practical hands on support

Sida's work at HQ and embassies is guided by thematic and geographic results strategies. CSOs are mainly used as means/tools to reach objectives in these strategies. Therefore professionalism, expertise and good networks are highly rated. With few exceptions, the strongest and most well-known organisations are selected as agreement partners at all levels. To reduce risks and ensure the delivery of desired results, "reputation", "personal relationships" and "previous good record" are the most common selection criteria for CSO agreement partners. Some of these agreement partners (that serve as intermediaries) use calls for proposals to find the best implementing partner, but this method is rarely practiced by Sida units and embassies (Special Contribution for democracy is an exception).

The lack of administrative resources at Sida's field offices is one of the main reasons for selecting large, well-reputed CSOs that can handle large amounts of resources. Contributions below 10 million SEK seem to be too small to handle by Sida HQ units and embassies. Increasing demands on control, professional systems and delivery of results in combination with expectations on donor coordination and local ownership and capacity development is a difficult equation. Embassies try to manage by working through reputed international organisations or national platforms that can manage the risk and hopefully reach grassroots organisations. However, small and new CSOs without the required systems in place are often excluded from the support. Instead, already strong organisations that proactively approach Sida and have a long history of cooperation with Sida (as the Swedish CSOs) have an advantage. For some of the

⁶ "Sida och Fältet – en fråga om samspel". Slutrapport från projektet Fältvision 2.0. October 2012.

global and regional support, there is sometimes only one CSO actor on the arena. In these cases selection is not an issue.

The investment needed to review the CSO portfolio, undertake stakeholder analyses and develop more strategic approaches to capacity development of CSOs in partner countries is often not prioritised within the limited human resources of embassies and units. When such a strategic approach occurs, it has often been initiated by a committed individual at the embassy. In total, we found that so far nine embassies had invested in and completed such processes, while in other embassies some initial strategic steps had been taken. In these nine countries there are examples of funding modalities⁷ that are based on a comprehensive situation and stakeholder analysis and are especially designed to be fit for the purpose of a) monitoring government and private sector initiatives on the local/district levels b) supporting participation and local organisation for improved conditions for poor and marginalised groups.

The experience of embassies that have developed these new strategic approaches to CSO support have not yet been systemised and shared. In East Africa staff were unaware that colleagues in neighbouring countries struggle with the same issues. The available reviews and evaluations of CSO modalities provide limited information on how fit for purpose different modalities are in various contexts. However, lessons on the benefits and risks of various mechanisms have been summarised in a table on page 79-81. These have to be carefully discussed and balanced when making choices in each context.

Joint donor arrangements and core funding to partner country CSOs are still rare, although in a few countries new arrangements for CSO support are being developed. Sector-related platforms are established to reach out to community and district level organisations and to reduce the administrative burden of Sida staff. These platforms are in a development phase and the results are still to be evaluated. While they reach out to many more local CSOs with support, they also create new monitoring and reporting challenges. The chain of intermediaries is often long. Four levels are common, raising questions about the analysis of added value and transaction costs.

The Review did identify a few selection procedures which may be in conflict with rules and regulations (e.g. consultancy-like procurements, direct influence from the Ministry). There are also examples of CSOs receiving complementary funds from Sida for the same programme through various channels without coordination (espe-

⁷ Ethiopia, Kenya, Uganda, Tanzania, Zambia, Ukraine, Mozambique, Colombia and Special Contribution for democracy

cially mentioned for HUM initiatives working through UNDP [United Nations Development Programme] modalities and for some CIVSAM framework organisations).

Sida staff at embassies would like to be more informed and consulted in the planning phase regarding CSO support funded via CIVSAM, HUM and other units at HQ which affect their specific country. The CIVSAM CSO database is not known and it does not include all CSO initiatives, such as those of HUM and the Special Contribution for Democracy.

The CSOs themselves think that Sida should have a more transparent framework for their selection procedures and common guidelines for contractual relationships with CSOs (minimum requirements, formats of proposals and reports, common funding conditions). Non-Swedish CSOs are of the opinion that Sida favours Swedish organisations.

Recommendations

Sida needs to more seriously consider the commitments made by Sweden in Busan regarding CSO support, the CSO policy and the OECD recommendations on CSO support, in the design of their strategies and their choice of CSO funding modalities. An independent and strong local civil society movement is an essential part of a democratic society that can balance and monitor the powers of the public and private sectors and give voice to women and men who are poor and marginalised. Having a strong local civil society movement also contributes to sustainable solutions in conflict/post-conflict settings and to better preparedness for rapid responses to emergencies. Using CSOs only as ‘implementing organisations’ does not achieve these long-term results, but rather creates a plethora of consultancy-oriented CSOs bidding for projects with agendas set by donors. Such donor-CSO relations undermine the credibility of CSOs, weaken their accountability to their own stakeholders and shift this towards the donors, make it difficult for CSO to engage in longer term planning such as for their own policy and capacity development, and make the claims by adversaries that certain CSOs are donor agents more believable among the public.

Sida units and embassies therefore could consider the following:

- Giving more priority to strengthening CSOs in their own right and to supporting women and men in partner countries to organise, address their situation and claim their rights,
- When providing grants to expert CSOs to carry out programmes or projects, sufficient stakeholder analyses and transparent application and selection procedures must be in place. When using CSOs as consultants for studies, the management of funds, such as proper tender procedures must be in place,
- In connection with development of the new results proposals, investing in a review of the CSO support with an aim to ensure an effective mix of partners and funding modalities, and adherence to the global and Swedish CSO policy commitments.
- To develop CSO support and modalities according to the above recommendations, sufficient time must be invested to the development of systems, learning and experience exchange, keeping in touch with partner country organisations and monitoring the effectiveness of selected modalities.

Sida/CIVSAM could in particular consider:

- Increasing its involvement in thematic and geographic strategy processes to ensure that the recent commitments (Busan and OECD) regarding CSO support modalities are considered and prioritised,
- Developing its consultative and advisory role and providing proactive services to embassies and HQ units in CSO mappings, simple check-lists for selection procedures and tendering, transaction cost limitation, CSO capacity development tools, risk analysis, formats for applications/proposals, agreements, financial and results reporting, etc.,
- Providing support in terms of a framework agreements with a competent consultancy pool for CSO assessments, CSO support and strategic CSO work,
- Improving dialogue with embassies and other HQ units in order to ensure synergies and the contextual relevance of its own programmes as well as facilitating experience exchange, information sharing and dialogue on CSO support and support modalities, e.g., by strengthening and by making Sida's system of CSO focal points known but also by establishing a civil society support network that includes relevant and interested persons at embassies and HQ units,
- Evaluating the effectiveness and lessons learnt of the various new CSO funding modalities and facilitating joint learning experience sharing, especially at the regional level.

Sida's Humanitarian Unit could in particular consider:

- Highlighting the importance and relevance of the Sida CSO policy, the Busan Commitments and the OECD recommendations also in humanitarian and conflict contexts. Discussing/agreeing on how these can be accommodated in the humanitarian strategy context,
- Ensuring that the agreements signed with strategic partners take the Busan commitments and the OECD recommendations into consideration,
- Improving systems for the monitoring and guidance of support channelled through strategic partners to ensure that the capacity development of local actors is effectively carried out.

Sida's policy and decision-makers could in particular consider:

- Adhering to the Busan commitments and especially the OECD recommendations on CSO support when developing the new strategic results platforms,
- Giving CIVSAM a formal mandate as a focal point for CSO cooperation and sufficient resources to support embassies and HQ units in the development of their CSO support portfolio and the selection of funding modalities,
- Developing a common framework for Sida's relationships with, and provision of, support to CSOs (minimum requirements, formats of proposals and reports, common funding conditions), in particular in order to increase transparency and accountability,

- Allowing (and expecting) staff at units and embassies to invest time in the strategic development of the CSO portfolio and participation in learning and experience exchange networks,
- Developing the PLUS system so that it uses English throughout the system and captures information on, e.g., type of agreement partner, type of modality, number of levels of intermediaries, transaction costs at each level and type of end recipient,
- Developing the CSO database so that it includes HUM initiatives and the Special Contribution for Democracy; linking it to the Open Aid web-site,
- Demanding clarity from Sida's legal department regarding the outstanding issues on grants to CSOs,
- When the Ministry of Foreign Affairs wishes to support CSOs as part of a political or other agenda, this should be in full consultation and cooperation with the responsible staff at embassies and/or Sida units.

1 Background, Aim and Scope

1.1 BACKGROUND

Sida's work is presently governed by the Swedish Policy for Global Development, by thematic and geographic strategies and by thematic policies. Sida is also bound by international agreements on aid effectiveness and humanitarian aid and by human rights instruments signed and ratified by the government. In the area of civil society support, the following international agreements and guiding principles are of specific importance:

- The *Busan Declaration* (2011)⁸ where governments reiterated and emphasised the important role that CSOs play in development processes and committed themselves to enable CSOs to exercise their roles as independent development actors in their own right and to adhere to the *Istanbul Principles* and the *International Framework for CSO Development Effectiveness*
- The OECD DAC⁹ studies and lessons learnt that summarise good practices for civil society support, "*How DAC members work with CSOs*" (2011) and "*Partnering with CSOs - 12 lessons from DAC peer reviews*" (2012)

These international processes and principles have also influenced the *Policy for Support to Civil Society in Developing Countries* adopted by the Swedish Government in 2009.¹⁰ The policy clearly states that civil society actors have a key role in reducing poverty and possess particular importance and special potential to contribute to democratic development and increased respect for human rights in developing countries. The policy aims to establish a coherent approach to civil society in developing countries within the framework of development cooperation and procedures for the implementation of the policy. The objective is: *a vibrant and pluralistic civil society in developing countries that, using a rights-based approach, contributes effectively to reducing poverty in all its dimensions*. The policy recognises civil society as much more than an implementing channel

⁸ Busan Partnership for Effective Development Co-operation, Fourth High Level Forum on Aid Effectiveness, Busan, Republic of Korea, 29 November - 1 December 2011

⁹ The Organisation for Economic Co-operation and Development/ Development Assistance Committee

¹⁰ The mapping covers the period 2007-2012, which means that there are actually two civil society policies to refer to. The policy, "Sida's support to civil society" (2004) stated that support to a civil society actor was relevant when the purpose was: (1) to an organisation that has been chosen because of its competence to carry out an assignment of importance to Sida, (2) to an organisation with the aim of strengthening its capacity as a democratic actor in civil society, (3) to organisations and networks in order to strengthen civil society as an arena for citizens' engagement and organisation, and (4) support for the development of an enabling social environment to strengthen the structures that create conditions for civil society to take action.

for projects; it recognises its role as collective voices and/or organisers of services. Simultaneously, it recognises that capacity development is to form an integrated part of Swedish support to civil society in developing countries, which again underlines the approach to not view civil society as an implementing channel but rather as an independent development actor.

Within the humanitarian sphere, the above-mentioned guiding documents as well as the Swedish Policy for Humanitarian Assistance¹¹ (the Humanitarian Policy) recognise the important role international and national civil society organisations have to play in implementing humanitarian assistance already today, but also in the future as global humanitarian needs are expected both to increase and to become more complex in character, due to such factors as a greater number of protracted armed conflicts, population growth, urbanisation, the impact of climate change, the struggle for access to natural resources, and higher food prices. Their close association with local communities means that they are in a unique position to reach people in need both rapidly and effectively. The Humanitarian Policy's overall objective is: *to save lives, to alleviate suffering and to maintain human dignity for the benefit of people in need who are, or are at risk of becoming, affected by armed conflicts, natural disasters or other disaster situations*. CSOs therefore are often the most effective means of providing immediate services and relief. At the same time, humanitarian initiatives are increasingly looking at strategies that include the development of local capacity to deal with future disasters and manage conflict situations, as well as contributing to solutions for sustainable service delivery and governance.

Against the background of the above-described global developments (including important and ambitious CSO-led aid effectiveness processes) and Swedish policies, CIVSAM¹² contracted Indevlop to map and analyse how funding channelled to and via civil society is presently carried out by embassies and Sida HQ, and also to describe the trends observed during the past five years.

1.2 AIM AND SCOPE

This Review aims to provide Sida with knowledge of how Sida departments (outside CIVSAM)¹³ and embassies support or engage civil society organisations, of trends during the past five years and lessons learnt regarding the modalities used. The Review also comments on the fitness for purpose of the selected modalities and how they relate to international commitments and recommendations regarding CSO support (Busan, OECD) and to the Swedish CSO policy. It has not been within the scope

¹¹ Saving lives and alleviating suffering, Policy for Sweden's Humanitarian Assistance 2010-2016, August 2010

¹² Sida's Unit for Support to Civil Society

¹³ The CIVSAM framework agreements are excluded from the analysis as the modalities and choice of CSO partners are pre-determined by the strategy.

of this review to evaluate the effectiveness of various modalities. This review focuses on the mapping.

The review provides overall system-related recommendations as well as recommendations directed to Sida HQ units and to embassies regarding their CSO support and funding modalities, and to CIVSAM as a basis for further developing and systematising its advisory role to other Sida units and to embassies.

According to the ToR (Terms of Reference), the review focuses on civil society support provided by Sida during the period 2007-2011. The assignment includes three assessment areas: *Overview Part*, *“Fitness for Purpose”* and *Trends Part* and *Result and Lessons Learned Part*. The *Overview Part* constitutes the core of the assignment¹⁴.

1.3 STRUCTURE OF THE REPORT

The report is structured as follows:

- First we describe our methods, explaining how we have collected information and data to answer Sida’s questions.
- Second, we summarise international commitments, lessons and recommendations on CSO support and findings of other studies and evaluations of CSO funding modalities to set the scene for the mapping.
- Third we present the overview, which is based both on a statistical analysis and interviews. We also comment on the trends.
- We summarise the conclusions, answering the questions put forward in the ToRs on fitness for purpose, trends, results and lessons learnt.
- Finally, we make some recommendations based on the findings.

¹⁴ See Terms of Reference in the annex 1.

2 Method

2.1 OVERVIEW OF METHOD

This chapter explains the steps taken to answer the questions posed by CIVSAM in the ToR for this Review. These steps have been as follows:

- Define terms that we have used to describe and delimit civil society initiatives and modalities,
- Search, classify and analyse the initiatives in the Sida database (PLUS),
- Interview staff responsible for the various appropriations and units channelling funds to and via CSOs to inform classification/coding as well as answer other questions related to the CSO support,
- Search for additional information in project memorandums in the e-doc system, information in OpenAid and sometimes the Internet to be able to classify and code initiatives which are no longer familiar to staff,
- Study previous and on-going evaluations and reports,
- Interview a selection of the largest CSOs receiving Sida funding,
- Undertake consultations with CIVSAM to discuss and address methodological challenges.

2.2 DEFINITIONS

2.2.1 Definition of a Civil Society Organisation (CSO)

The definition of civil society, according the Swedish Policy for support to civil society, is: “An arena, distinct from the state, the market and the individual household, created by individuals, groups and organisations acting together to promote common interests.”

According to the *Advisory Group on Civil Society and Aid Effectiveness, Accra and Busan*: “CSOs can be defined to include all non-market and non-state organisations outside of the family in which people organise themselves to pursue shared interests in the public domain. They cover a wide range of organisations that include membership-based CSOs, cause-based CSOs, and service-oriented CSOs. Examples include community-based organisations and village associations, environmental groups, women’s rights groups, farmers’ associations, faith-based organisations, labour unions, co-operatives, professional associations, chambers of commerce, independent research institutes and the not-for-profit media.”

In this review we have used the definition from the Advisory Group to delimit our mapping. We have not considered the International Committee of the Red Cross (ICRC) to be a CSO – despite its appearance under the International CSO code in the

Sida statistics. However, we have included the various national Red Cross societies and the International Federation of Red Cross and Red Crescent Societies (IFRC) as they are registered as CSOs. ICRC considers itself to be a multilateral agency under the Geneva Conventions. This means that the various ICRC calls have not been included in the review.

Only Sida-supported CSO initiatives are included in this review. Support to CSOs channelled through EU/ECHO (European Union/European Commission - Humanitarian Aid & Civil Protection), through the Swedish Ministry of Foreign Affairs or through the Swedish Parliament are not included. This means, for example, that support through and to political parties is not part of the review. However, we have included the few Sida funded CSO initiatives that are targeting parties that work to include youth or women or to develop local democracy e.g. in Sri Lanka, Russia, Burkina Faso, Belarus.

In line with the Advisory Group definition of a CSO, we have included independent research institutes, non-profit media, farmers and business associations as well as associations of local governments. These may not be seen as CSOs by many, but are formally part of civil society as they are neither government nor private entities. They also receive grants without procurement procedures in the same manner as CSOs.

2.2.2 Other relevant definitions

Some concepts tend to be understood slightly differently in development discussions. To avoid misperceptions we agreed with CIVSAM during the inception period of this review to use the below definitions/interpretations of key concepts. These concepts were not always commonly understood by embassy staff. The PLUS database uses other concepts, which are all in Swedish. The following definitions are mainly based on international understanding (Advisory Group on civil society and aid effectiveness), but also on definitions developed to explain concepts that occurred during this review.

Concept	Definition
<i>Implementing organisation</i>	An organisation that directly implements development cooperation or humanitarian assistance with (or without - presumably only in humanitarian assistance) local cooperation partners in developing countries.
<i>Intermediary organisation</i>	An organisation, agency or company that receives and passes on funds to CSOs which implement development cooperation or humanitarian assistance together with local cooperation partners in developing countries. An intermediary organisation can be an active partner in development or an administrative conduit. An active partner engages in an exchange of ideas, mutual capacity development and joint advocacy. An administrative conduit limits the relationship to planning and monitoring of the funding arrangement. Intermediaries can be international CSOs, Swedish CSOs or um-

	brellas, partner country CSOs or umbrellas, UN agencies (such as UNDP or UNICEF (United Nations Children's Fund), a consortium of CSOs, a private company/consortium of companies, or a board (common for pooled funds with several donors).
Agreement partner	An organisation that has a direct contractual relationship with Sida. It can be an implementing organisation or an intermediary.
Swedish domestic organisation	An organisation which has its main operations in Sweden and does not have development cooperation as its core function.
Swedish international or Swedish global organisation	An organisation which has its base in Sweden, but its main operations outside Sweden in a range of countries and regions. It often has development cooperation or humanitarian aid as a core function.
Swedish organisation	A combination of the above two.
International or Global organisation	An organisation that has its base outside Sweden and its main operations (or sphere of interest) spread out in a range of countries and regions in the world. It often has development cooperation or humanitarian aid as a core function, but can also be an umbrella organisation or a research institute.
National organisation or partner country organisation	An organisation which is registered as an independent CSO in a partner country (not being a member or branch of an international organisation) and operates mainly in the national arena in the partner country.
Local organisation	An organisation or group which operates as an independent CSO in a partner country (not being a member or branch of a national organisation) and operates mainly at district or community levels.
Regional organisation	An organisation that has its base outside Sweden and its main operations (or sphere of interest) in a particular geographic region in the world. It often has development cooperation or humanitarian aid as a core function, but can also be an umbrella organisation or a research institute.
Umbrella organisation	An organisation that unites and represents several organisations as well as coordinates the activities of a number of member organisations and promotes a common purpose.
Interest or membership organisation	An organisation that promotes/advocates for a specific issue on behalf of its members. It includes, for example, national and international professional and branch of trade organisations, private sector organisations, trade unions, disability, LGBT (Lesbian, Gay, Bi and Trans Sexual) and women's organisations.
Initiative	An agreement number in the PLUS system (<i>insats</i>)
Note: an organisation can belong to more than one of the above categories. The PLUS system categorises implementing and agreement partner, but not intermediaries or end recipients. In almost all cases the agreement partner and the implementing partner is the same according to the PLUS system.	

Interpretations of other concepts:

Concept	Definition
<i>Core support</i>	Here understood as general budget support i.e. support to the overall strategic plan and operations of a CSO, including administrative costs. Can be part of programme support but is not the same as “programme support”. According to OECD/DAC, core funding has the following characteristics: • An un-earmarked grant to the organisation against its strategy and overall work plan. • The funding of the individual donor goes to the main account and cannot be separated from other funding sources. • Auditing, procurement and reporting are using the organisations systems and procedures, not the donors.
<i>Programme support</i>	Programme support is understood as long-term support or partnership arrangements where partners cooperate on a multitude of issues to achieve results on an outcome level.
<i>Project support</i>	Project support is understood as support to specific time bound initiatives to deliver specific outputs.
<i>Direct support</i>	When an embassy or department at Sida HQ supports a CSO through a bilateral agreement without intermediaries.
<i>Indirect support</i>	When an embassy or department at Sida HQ supports one or several CSOs through an intermediary partner (CSO, Civil Society Fund, network/umbrella, government department).
<i>Bilateral support</i>	Swedish support is given through a bilateral agreement between Sida and the CSO partner or intermediary without cooperation with other donors.
<i>Joint support</i>	Sida support is coordinated with other donors either through a basket fund, a special civil society support mechanism, sector or specific programme.
<i>Support modalities and funding mechanisms</i>	These are the various methods, channels and purposes underpinning the support to, and engagement of, civil society organisations in development cooperation. In this review, the concept “support modality” is understood to include funding mechanisms, but also other dimensions of support. “Funding mechanism” is understood to only express how financial support is channelled and decided upon. In this review we will use the term “support modality” to cover the broader definition. The following aspects of the modalities will be specifically looked at: Purpose of support (e.g. sector/strategy related or civil society strengthening and/or diversity as the end), Focus of support (e.g. service provision or voice), Type of support (core, project, and programme), Type of organisations supported i.e. direct or indirect support, bilateral or joint/pool funding, selection methods.
<i>Country category</i>	The Swedish government organises partner countries into ten categories1) Long-term cooperation countries, 2) Conflict & Post-Conflict countries, 3) Reform Cooperation in Eastern Europe, 4) Alternative forms of democracy and human rights support in countries with un-

democratic regimes, 5) Selective Cooperation with countries with emerging economies, 6) Phase out countries from long-term cooperation 7) Regional 8) Other countries 9) Global and 10) Russia. Please refer to Annex 1 for details.
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2.3 SOURCES

2.3.1 The Sida database PLUS

We ordered a search of all Sida initiatives categorised as having an implementing partner that was coded as a civil society organisation i.e. Swedish, International, Partner country or Other country. This file contained 15 790 initiatives.

We removed all initiatives which did not have a financial contribution above 0 SEK registered for the period 2007-2012. We were then left with 11523 initiatives and a total value of 32 802 million SEK. This limitation also meant that new initiatives, agreed to in late 2011 and early 2012 were not included in the statistical analysis. These were later covered during the interviews.

We then deleted the C (Party-affiliated Organisation) initiatives and the ICRC initiatives, as these did not fulfil the definition of a civil society organisation. The PAOs amounted to 31 initiatives with a value of 71 million SEK. The ICRC amounted to 551 initiatives and a value of 1 901 million SEK. We also deleted 36 initiatives coded as “resursbasutveckling” (development of Swedish organisations capacity) with a value of 167 million SEK. These were mainly International Training Programmes or courses arranged by the Sida Partnership Forum in Härnösand which targeted both CSOs and government participants from various countries.

The remaining initiatives were divided into four files

- Appropriation item Humanitarian Assistance (HUM) (green file), mostly handled by the Humanitarian Unit at Sida HQ,
- Appropriation item Support via Swedish Civil Society Organisations, handled by CIVSAM (yellow file),
- Appropriation Special Initiatives for Democratisation and Freedom of Expression, handled by CIVSAM (purple file),
- Other appropriations (red file) handled by all other units and embassies.

After discussions with CIVSAM and HUM, it also became clear that support to civil society is sometimes provided via UN agency modalities and via private sector modalities. We then ordered statistics from the PLUS system of all UN and private sector initiatives for further analysis. The huge amount of such initiatives made it very difficult to find the relevant programmes, despite efforts to delimit the lists (as explained in the Inception report).

We managed to find 259 HUM initiatives where a UN agency was channelling support to civil society organisations to some extent (but not only). These initiatives had

a total value of 3 938 million SEK for the period Jan 2007-June 2012. The major channels were UNICEF, FAO (Food and Agriculture Organisation) and WFP (World Food Programme). As it was not possible to establish how much or on what grounds civil society was supported, we decided that these UN initiatives could not be included in the statistical analysis. There were no private companies used as channels for support to CSOs in the HUM appropriation.

Regarding the CIVSAM appropriations, we kept all the 110 private and the 4 UN initiatives for the overall comparative analysis as we deemed that CIVSAM's work is 100% directed to CSO support and modalities for CSO support.

For the "other appropriations" we decided to add only UN and private sector initiatives that were deliberate modalities for support to CSOs and not to include various UN programmes with a mixed nature (to make it comparable with the HUM statistics). The relevant initiatives were identified via interviews, project memos, OpenAid and the team's own experiences. All in all we added 69 UN and 25 private initiatives to the analysis. Still this list included many initiatives that were not relevant for our analysis, for example appropriations controlled by the Ministry of Foreign Affairs (153 million SEK), evaluations, studies, Swedish training courses, etc. This scrutiny resulted in the removal of a number of initiatives, representing a total value of 1 013 million SEK or around 6% of the total value of the CSO support (through other units than HUM and CIVSAM) during the period of review. When revisiting these deleted initiatives we see that most of them represent Global and Regional initiatives (71%).

Finally, we ordered statistics from the PLUS list of initiatives having private universities as implementing partners. The list had 68 initiatives, but many of them referred to various trainings in Sweden, studies or evaluations. After an analysis of relevance we added 20 of them to the analysis.

After this exercise we remained with the following database for statistical analysis:

Implementing partner	CIVSAM framework*		CIVSAM Special contribution for democracy*		Humanitarian Assistance*		All other CSO Initiatives	
	No	000'SEK	No	000'SEK	No	000'SEK	No	000'SEK
CSOs	7 104	7 868 963	64	261 657	721	4 586 572	2 114	15 269 617
UN	0	0	4	75 300	8	56 472	54	1 102 560
Private comp	105	151 166	5	6 644	0	0	27	95 252
Private univ.	0	0	0	0	7	26 239	17	90 813
Total	7 209	8 020 129	73	343 601	736	4 669 280	2 212	16 558 242

* CIVSAM framework (allocation accounts 15561, 15591, 15688, 156911, 15692); CIVSAM Special contribution for democracy (allocation account 15582); Humanitarian assistance (allocation account 15571); All other CSO initiatives (all other appropriations)

The focus of our analysis has been on the 2212 initiatives found under "All other CSO initiatives" as these were the least known and not guided by any specific CSO strategy. As the PLUS database did not include some aspects that we needed to explore, we coded them with additional information on purpose, focus, type of support

(core, project, programme), type of funding mechanism, type of intermediary, type of end recipient, reason for selecting a particular modality and partner. The coding was done during interviews with Sida staff (mostly), with the help of information from OpenAid and e-doc and from the consultants' own knowledge of the initiatives.

In the end we managed to code around 92% of the 2 212 initiatives, which represents 96% of the total amount spent. The un-coded projects do not constitute a significant part of the support except for category four countries (13%) and category five countries (29%). The confidential nature¹⁵ of some initiatives contributed to coding difficulties. There is also a bias of older projects not being coded. We believe that despite not including these initiatives, overall strategic conclusions can still be drawn.

2.3.2 Interviews

To supplement the statistical information, we also interviewed staff members responsible for the CSO support at embassies and at Sida HQ. A total of 71 persons were interviewed (see attachment). Apart from help with the coding of various initiatives in the PLUS list, the questions posed to respondents were:

- What are the main purposes of your support to/cooperation with CSOs within your country strategy/appropriation?
- How are CSOs selected for support or cooperation (humanitarian and developmental)? Selection criteria? Procedures?
- What trends do you see in terms of support modalities?
- What main channels/intermediaries are used in providing support to CSOs (humanitarian and developmental)? Why did you choose these channels? What has worked well/not well? Lessons?
- Do you interact with CIVSAM to provide or get support? Explain. What kind of support would be helpful?

Notes were recorded from each interview and were used to inform our conclusions on fit for purpose, trends, lessons learnt and recommendations. Staff were often unfamiliar with the history of initiatives or had limited time to help us with the classification of initiatives. The classification and coding exercise therefore proved cumbersome.

2.3.3 Internet and e-doc research

To complete the coding we relied on the following sources, in addition to the interviews:

- Text explanations in the PLUS system,
- Searches in OpenAid,
- Requests for project memorandums from e-doc,

¹⁵ CSO support in some countries needs to be confidential for security reasons for the involved.

- Internet searches on organisations and projects,
- Personal knowledge of the initiatives.

These could often provide the needed information. However, the question related to the reasons for selection of a particular partner or modality could not be captured unless we could find a respondent with institutional memory. This happened mainly with older initiatives that were completed before 2009. Since most respondents had very similar answers to this particular question (regarding the reasons behind the choice of partner and modality), the incompleteness of answers from all respondents is assumed not to significantly affect the analysis.

2.3.4 Interviews with CSOs

To solicit the views of CSOs that are agreement partners to Sida, we selected four of the largest recipients of Sida support and one regional CSO for deeper interviews:

- Diakonia – is one of the top ten recipients of Swedish CSO funding in all three channels studied (HUM, CIVSAM and others). In total, Diakonia has channelled approx. 1 700 million SEK over five years.
- Oxfam UK/Oxfam Novib is one of the top ten recipients if HUM support and is a key agreement partner, but also implements a large CSO programme in Mozambique. In total Oxfam UK/Oxfam Novib has channelled approx. 390 million SEK over five years.
- Olof Palme International Centre (OPIC) is one of largest Swedish FOs (Frame organisations) and an agreement partner to Sida in several countries. In total OPIC has channelled approx. 600 million SEK during the 5-year period.
- Kvinna till Kvinna (KtK) is one of the top ten recipients of Swedish CSO support, despite not being a CIVSAM framework organisation. In total KtK has channelled approx. 300 million SEK during the 5-year period.
- Forum Syd is the biggest CIVSAM intermediary, but it also channels CSO support on behalf of other Sida units. In total, Forum Syd has channelled 1 500 million SEK during the 5-year period.
- East Europe Foundation, Moldova, is a regional intermediary with offices in Moldova. It has channelled approx. 20 million SEK during the 5-year period.

We also solicited opinions on Sida modalities from a handful of Swedish CSOs that we met during other assignments or informally during the period of review. Due to limited time, views from national partner country CSOs, were only gathered through desk studies of Sida evaluations and of general studies of donor CSO partnership practices (e.g. INTRAC, CIVICUS, Ingelstam/Carlstedt).

2.3.5 Desk study of evaluations and studies

To compare our findings with the most recent international CSO policy developments and other relevant studies and, we also made a comprehensive desk review. In the ToR Sida refers especially to the study of civil society support modalities¹⁶, “*Civil Society Support Model*” by Maria Gunnarsson (2006), the “*Nordic+ ” review of six countries of different support modalities*” carried out by Scanteam (2007)¹⁷, the “*Pre-Study for the Evaluation of the Strategy for Danish support to Civil Society*” and the OECD study on “*How DAC members work with civil society organisations*”¹⁸ as useful to review during the desk study. We have made a wider analysis of the most relevant evaluations and reviews to establish a broad knowledge base for future action. Among others, we refer to a new OECD study, published in December 2012, “*Partnering with civil society – 12 lessons from DAC peer reviews*”¹⁹ which will form the basis for future peer reviews of Swedish CSO support.

2.4 CONSULTATIONS WITH CIVSAM

Throughout the process we have held consultations with CIVSAM to ensure that we meet their needs and expectations. At the start of the assignment, discussions were held regarding the huge amount of initiatives to be classified and the time available to the consultants. CIVSAM agreed to increase the budget for the review and also to accept that certain country categories were to be analysed with less rigour. Later, the limited interest and/or availability of Sida staff in other HQ units and embassies to contribute to the review became a challenge to the team and to CIVSAM. There was sometimes no understanding of the purpose of the review and a fear that it would only lead to more bureaucracy and less flexibility. CIVSAM has been very helpful and has assisted the evaluators by sending explanatory e-mails to encourage participation in the review. During the final phase of the review, CIVSAM provided substantial input on the draft report, which has contributed to its usefulness.

2.5 LIMITATIONS

Due to the difficulty to get the correct sample from the PLUS database, the scope of the assignment was not clear to the team until three months into the work. The initial method had to be adjusted when we found that the sample was much larger than anticipated in the initial meeting with Sida after submitting the inception report. A revised inception report with an expanded timetable and a detailed proposal for priori-

¹⁶ Civil Society Support Models, Maria Gunnarsson (2007)

¹⁷ Support Models for CSOs at Country Level, Scanteam, Oslo September 2007

¹⁸ How DAC members work with civil society organisations, An overview 2011, OECD

¹⁹ Partnering with civil society – 12 lessons from DAC peer reviews, OECD 2012

ties and delimitations regarding the coding of initiatives was presented by the team. The proposed approach, described above in the method section, was approved by Sida.

Still, the major limitation to this Review relate to the coding of the initiatives in the database. Firstly, the coding made by Sida staff in the PLUS system is not always accurate. Secondly, our own coding has sometimes not been based on first-hand information, but rather on desk studies or the team's own experiences of initiatives. This makes the coding inconsistent in some cases. However, the overall picture that emerges is very clear. There is overwhelming evidence for our conclusions, which are also based on interviews with a large group of respondents. Due to the uncertainty of the coding of some initiatives, the statistical analysis of CSO trends at country level should be interpreted with care, especially in countries with limited CSO initiatives. For this reason it was agreed with Sida/CIVSAM to submit the analysis of CSO support for the various strategies as a separate working document that will be shared with units and embassies as part of a dialogue with CIVSAM.

Other limitations in regard to the interviews were that much of the information (the PLUS system text, memos and other materials are produced in Swedish which are not accessible to non-Swedish-speaking Sida staff.) For some country categories it was also difficult, and in some cases impossible, to find Sida staff with enough knowledge (e.g. phasing out countries, "other countries"). Also initiatives that had been completed before 2009 were often not known to the present staff. Therefore, the conclusions are more firmly based on experiences from 2009 and onwards, and on information from country categories where Sida is presently more active (e.g. categories 1, 2 and 3). This was acknowledged and also approved by CIVSAM during the review.

The statistics have not been adjusted for changes to the value of SEK over the past five years. The amounts used in the statistical analysis are the funds paid out from various allocation accounts (*anslag*). It does not represent the funding which reaches end recipients. There are no records of financial transaction costs in each step of the chain.

3 The road to more effective CSO support

This mapping of Swedish CSO support modalities covers a period when new features emerged regarding the role of civil society within development cooperation. Although much of the major donors' partnering with civil society still focuses on the role of CSO as implementer and/or channel, the Accra Agenda for Action in 2008 recognised CSOs as independent development **actors in their own right**, and that civil society plays an important complementary role to government and the private sector. Since then, a number of important studies and processes have taken place to reach a common understanding among donors and CSOs on good practices for cooperation, roles and responsibilities, effective support and funding modalities.

3.1 THE AID EFFECTIVENESS AGENDA AND BUSAN COMMITMENTS

The outcome document²⁰ from the Busan High Level Meeting reaffirms the vital role of CSOs in enabling people to claim their rights, in promoting rights-based approaches, in shaping development policies and partnerships, in overseeing their implementation and in providing services in areas that are complementary to those provided by states. The signatory states (including Sweden) commit to *“Implement fully our respective commitments to enable CSOs to exercise their roles as independent development actors, with a particular focus on an enabling environment, consistent with agreed international rights, that maximises the contributions of CSOs to development”* and to *“Encourage and support CSOs to strengthen their accountability and their contribution to development effectiveness, guided by the Istanbul Principles and the International Framework for CSO Development Effectiveness.”*²¹

It is clear that the aid effectiveness agenda of the last seven years has impacted how donors relate to and support civil society. There is increased focus on capacity building and human rights-based approaches as well as ownership, alignment, coordination

²⁰ Busan Partnership for Effective Development Cooperation, Fourth High level Forum on Aid Effectiveness, Busan, Republic of Korea, 29 November – 1 December 2011

²¹ See www.cso-effectiveness.org/istanbul-principles,067?lang=en

and harmonization. The perspective on civil society actors as agents for change in their own right is becoming more accepted. By recognising this important role of CSOs, the attention to the need of an enabling environment has grown.

3.2 OECD STUDIES AND LESSONS

The OECD DAC has paid particular attention to the development of CSO policies and the CSO funding practices of its member states. The study on “*How DAC members work with civil society organisations*”²² shows that the new agenda for support to CSOs has not yet influenced actual practices. Core support is not common and service delivery is the main objective for cooperation with CSOs for over half of the DAC members. The study also reports on the CSO funding mechanisms that different donors apply and confirms that “A diversity of funding mechanisms is good practice. No one size fits all.” The report points out several challenges, including:

- Finding ways to work with CSOs that recognise their status as actors in their own right, even when they receive official development assistance and act as channels for aid. Most funding is linked to specific assignments and core funding is hard to justify in many donor agency systems.
- Limited capacity in CSOs, not least because of high staff turnover, poses challenges for DAC members in their dealings with CSOs. Interestingly, CSO survey respondents also identify high staff turnover in donor agency CSO/CSO units as a challenge for their relationships with donors.
- Donors have yet to find a balance between respecting CSO autonomy and steering CSOs in a direction that helps meet donors’ development cooperation objectives.
- CSOs themselves identified several challenges related to funding mechanisms that impact on their effectiveness. These include unpredictable finance, lack of funds for management and programme oversight, and one-off project competitive funding. DAC peer reviews also highlight these issues.

In a recent report,²³ OECD further develops examples of lessons learnt and good practices of its members in partnering with CSOs in 12 points:

²² How DAC members work with civil society organisations, An overview 2011, OECD

²³ Partnering with Civil Society, 12 Lessons from DAC Peer Reviews, OECD 2012

The strategic framework		Delivering effective support		Learning and accountability	
Lessons learnt					
1	Have an evidence-based, overarching civil society policy	6	Respect independence while giving direction	10	Focus reporting on results and learning
2	Strengthen civil society in developing countries	7	Match funding mechanisms with the purpose	11	Increase transparency and accountability
3	Promote and support public awareness-raising	8	Minimise transaction costs	12	Commission evaluations for learning and accountability
4	Choose partners to meet objectives	9	Build strong partnerships with humanitarian CSOs		
5	Make policy dialogue meaningful				

The OECD DAC report provides many recommendations linked to these lessons that are highly relevant to Sweden's implementation of effective support to and through the civil society, for example:

1. Support for strengthening civil society should be included in the DAC members' overarching strategic vision for development cooperation to ensure political attention and support, to point to linkages with geographic and thematic priorities such as fragile states, democratisation and governance, and promoting gender equality and women's empowerment.
2. Donors should continuously test their assumptions about the work of CSOs in developing countries, especially when defining the purpose of the partnership with CSOs. This will help to ensure that policies and priorities reflect reality.
3. Donors need to invest sufficiently (e.g. human resources, time, research) in finding the most relevant partners and in maintaining information and relationships to ensure that the right partnerships are supported as conditions change over time.
4. Donors should have a mix of funding modalities that take into account the diversity of CSO roles, capacities, constituencies and approaches.
5. When funding a CSO, clarify the purpose and whether the organisation is expected to align with partner country government development priorities or fill gaps in these priorities beforehand.
6. Design incentives for CSOs to improve their effectiveness, transparency, value for money and accountability to their stakeholders.
7. Donor funding mechanisms should have simple and transparent rules, regulations and procedures and provide clear instructions to applicants as well as criteria for decision-making.

The recommendations in the OECD DAC report will be used as a basis for future monitoring and a comparison of how member states develop their CSO support modalities.

The report further points to the importance of selecting the most effective funding mechanisms in relation to the objectives donors want to achieve, as well as in relation to the capacity of CSOs. These can be:

- Multi-annual mechanisms,
- Core support when CSOs have the strategic, organisational and professional capacity to manage resources effectively,
- Earmarked funding: appropriate mechanism for supporting development objectives in specific geographical regions or sectors,
- Call for proposals can be made effective and efficient by targeting specific objectives and organisations that can deliver; having clear guidelines and publishing them; giving sufficient time to CSOs to prepare and submit proposals; and allowing for joint proposals by CSOs,
- Co-financing mechanisms: helps ensure CSO independence, indicates ownership, encourages CSOs to diversify their sources of finance and help avoid subsidy dependence while also leveraging ODA (Overseas Development Assistance),
- Pooled funding and supporting local civil society through umbrella organisations in developing countries allows donors to continue supporting grass-roots civil society in a more harmonised way.

Good practices for reducing transaction costs include:

- Provide funding with a programmatic perspective rather than for isolated small projects that have high transaction costs. Identify alternative mechanisms to direct funding for smaller CSOs which may not qualify for programme funding, for example, creating and outsourcing the management of a small-grants mechanism.
- Adapt reporting requirements to the size of grants and risk level associated with the particular CSO partner or project/programme.
- Harmonise contracting, funding and reporting requirements with other donors, especially for CSOs that partner with several DAC members and in pooled funding arrangements.
- Assess CSOs' accountability systems and capacity as a whole, taking into consideration the Istanbul Principles for CSO Development Effectiveness. Consider accepting funding applications prepared in CSOs' own format and accepting and using CSOs' systems for monitoring and reporting. Require CSOs to complete regular financial audits (internally or externally) and use these instead of requesting donor-specific ones.
- Urge national and international CSOs to follow this good practice with their CSO partners, especially in developing countries.

The OECD DAC report has specific recommendations on humanitarian partnerships, referred to below in the chapter below on CSO support in the Humanitarian Strategy.

3.3 THE SWEDISH CSO POLICY

As part of the shifting policy landscape, several donors have developed or revised their civil society policies. *Pluralism*, the Swedish Policy for Support to Civil Society in Developing Countries within Swedish International Development Cooperation (2009) confirms the above perspectives on the CSOs. It enhances the roles of the civil society as collective voices of rights-holders and organisers of service. Central to *Pluralism* is the potential of the CSOs to act “as proposers of ideas, watchdogs of those in power and a counterweight to and force for democratisation vis-à-vis the state.” The policy confirms many of the recommendations from the donor community expressed in the aid effectiveness agenda. Central parts of *Pluralism* have also been highlighted by OECD in its reviews of donor policies and practices.

The overall objective of the Swedish policy is to contribute to “a vibrant and pluralistic civil society in developing countries that, using a rights-based approach, contributes effectively to reducing poverty in all its dimensions”. The independence, legitimacy and representativeness of civil society actors are seen as central for the effective fulfilment of the different roles of CSOs. It is stressed that civil society actors can have an active role in different sectors and that they have the potential to enable sustainable results and contribute to the overall goals of the Swedish support to poverty reduction. It is also said that “[I]n certain situations and in a number of areas in different sectors, support to civil society can be the method that produces the best impact in terms of development”, and that “[...] Sweden will work in its dialogue with partner countries to ensure that civil society actors have the opportunity for participation, transparency and accountability with those in power at different political levels, and in overall national and local political processes and efforts to reduce poverty [...]”.

According to the policy, effective support to the civil society is achieved through the following structures:

- Modalities of support are designed so that they strengthen CSOs as well as support their added value as actors (such as their ability to act as an independent collective voice).
- Grant systems and procurements are to be shaped to encourage cooperation, not competition or conflict.
- Where possible, priority will be consistently given to programme-based funding and core budget support rather than project support.
- Within the framework of regional and country-specific cooperation strategies, Sweden, together with likeminded donors, should aim for increased effectiveness in cooperation with civil society organisations, for example by producing common guidelines for support within a given sector or region.
- Support is [...] preferably to be given via well-designed and flexible contribution systems. International agreements for increased aid effectiveness using harmonisation, adaptation to local systems and local ownership are to guide this process.

3.4 PREVIOUS STUDIES

The Swedish CSO-policy is also a response, in part, to earlier recommendations made in studies commissioned by Sida and other Nordic donors of various aspects of support modalities to civil society. Some of the lessons in these studies are still relevant. *Civil Society Support Models* (Gunnarsson, 2005) concluded among other things that:

- CSO support provided by Sida was guided by the notion of the most efficient way to implement country strategies. It could be by means of using commercial consultants, governmental agencies or civil society organisations.
- Embassies wanted to reduce the number of relationships (for administrative reasons) and would only start new partnerships with a few selected strategic organisations.
- In order not to avoid working directly with small organisations, some embassies created networks or used umbrella organisations with widespread contacts as intermediaries.
- There is a clear need to search for models that can strengthen the possibilities to support emerging and weak associations that organise poor and marginalised groups, through intermediate organisations and networks.

In 2003, another study was produced on the issue of direct and indirect support within bilateral Sida country strategies,²⁴ which had similar findings:

- Support to CSOs is given to them under the assumption that they are efficient implementers of projects (selecting the strongest)
- When supporting national organisations directly, these were primarily expert CSOs and seldom member- or community-based organisations.
- When using Swedish intermediaries there was a tendency that their national partners also were expert CSOs
- When the cooperation concerns the CSO as an actor in itself this is often related to a specific issue or the solution of a problem according to the priorities made of the donor community.

Many findings in these studies from 2003 and 2005 are still valid.

In an effort to coordinate its CSO support with other donors and complement Gunnarsson's study, Sida and five other donors in the so-called Nordic+ group commissioned a study of their CSO support modalities in six countries.²⁵ The study identified

²⁴ Direktstöd som instrument, Erfarenheter av stöd till det civila samhällets organisationer, Per-Ulf Nilsson, Jocke Nyberg /CONTEXT, May 2003, Sida

²⁵ Support Models for CSOs at Country Level, Scanteam, Oslo September 2007/NORAD Report 1/2008.

several current CSO support trends, but was able to draw few conclusions regarding the effectiveness of different modalities. Some of the recommendations were:

- As donors shift to managing resources through more strategic instruments, there is a need to strengthen accountability, results focus and transparency.
- The role of northern CSOs, particularly as intermediary organisations, needs to be critically reviewed, particularly with respect to local ownership and accountability;
- Selection of the Intermediary organisations is increasingly important, and needs to be assessed in light of the strengths, weaknesses and opportunities that different agents represent. Of particular concern is the legitimacy and credibility that the Intermediary will have with respect to the CSO community.
- Best practice management structures for shared and strategic funding mechanisms should be based on clarity of functions and separation of roles: policy dialogue and policy setting; resource allocation and performance monitoring; and independent appraisals of funding proposals.
- More strategic and shared instruments take time to develop, are costly to get in place, require new skills, are more demanding of institutional memory, and thus require stronger local ownership and leadership.

Again, there is very little trace of these lessons having influenced the Sida CSO support modalities. The shifts described, and the measures recommended, largely remain unknown beyond CIVSAM staff.

In preparation of an evaluation of Danida's CSO-strategy, the "Pre-Study for the Evaluation of the Strategy for Danish support to Civil Society",²⁶ includes a mapping exercise which highlights many findings similar to this Sida CSO mapping. Out of many other interesting and relevant aspects, the pre-study raises the issue of internationalisation of CSOs (through alliances, federal structures or new platforms) - an issue that also concerns the Sida CSO modalities. The pre-study concludes that *"Danish CSOs continue to be an important conduit between donors and national CSOs, but this is not quite as clear as it once was. Donors are increasingly looking at new and different aid modalities that allow for more direct support at a county level, and whilst some CSOs are repositioning themselves to access this funding, others are feeling the need to demonstrate their added value in a future where they may potentially be bypassed"*

The pre-study dwells on the implication of this development and argues that there is a need for *"more in-depth analysis of what the consequence of internationalisation to both the (Danish) CSOs, their funding sources, efficiencies and the results on the ground as well as the potential impact of different modalities on these organisations, and also what their added value in partnerships with CSOs in the South is"*.

²⁶ Pre-Study for the Evaluation of the Strategy for Danish support to Civil Society, 2012

A selection of evaluations and Mid-term reviews on Sida programmes with Swedish intermediaries has also been part of the desk review²⁷.

3.5 WHAT IS EFFECTIVE CSO SUPPORT?

It should be noted that the OECD studies and other literature do not provide guidance for understanding the advantages and disadvantages of different funding mechanisms in various contexts. This was already highlighted in a report from 2009 regarding civil society funding mechanisms commissioned by DFID (The UK Department for Development Cooperation).²⁸

There are no set criteria for what good CSO support should be. There is no size that fits all, but there are several guiding principles. The Busan commitments and OECD recommendations to DAC members are such guiding principles. They are also translated into the principles of the Swedish CSO policy. It is important that Sida units and embassies allow these guidelines to shape their partnering with civil society and that the different partner agreements are based on updated and good analysis.

In this mapping we have chosen to look at the following “markers” to identify trends towards more effective CSO support:

1. Having a deliberate CSO funding strategy based on up-to-date context analysis, transparent and clear guidelines and a diversity of modalities
2. Moving towards a bigger share of CSO support in development aid
3. Moving towards more support to CSOs as actors in their own right
4. Moving towards more core support and less project support.
5. Moving towards more empowerment of rights holders to address their situation and claim their rights) and less to consultancy like project implementing expert organisations
6. Moving more towards long-term capacity development of national and local CSO for (social, political, economic and environmental change, sustainable peace and disaster risk reduction) and less to service provision replacing the responsibilities of the state

²⁷ Mid-term Review of Sida's support to Civil Society in Cambodia through Forum Syd and Diakonia, 2007–2009, 2009;; Evaluation of Forum Syd and Diakonia's Democracy and Human Rights programmes in Cambodia, 2012 ; Evaluation of Support to the Civil Society in the Western Balkans, 2010; The Swedish Civil Society Organisation/Non-Governmental Organisation Cooperation Programme, Ethiopia, 2004–2007 2008

²⁸ Helpdesk Research Report: Civil Society Funding Mechanisms, Date: 20.11.09, (Governance and Social Development Research Centre), Enquirer: DFID Civil Society Department

7. Moving towards more joint funding mechanisms (Aid effectiveness)
8. Moving towards more support to national and local partner country CSOs and a greater local ownership and influence of the support

It should be noted that a balance between different modalities is desired. The desired situation is to move a bit towards a different balance - not to have 100% of any particular type of support.

4 Sida's CSO support 2007-2011

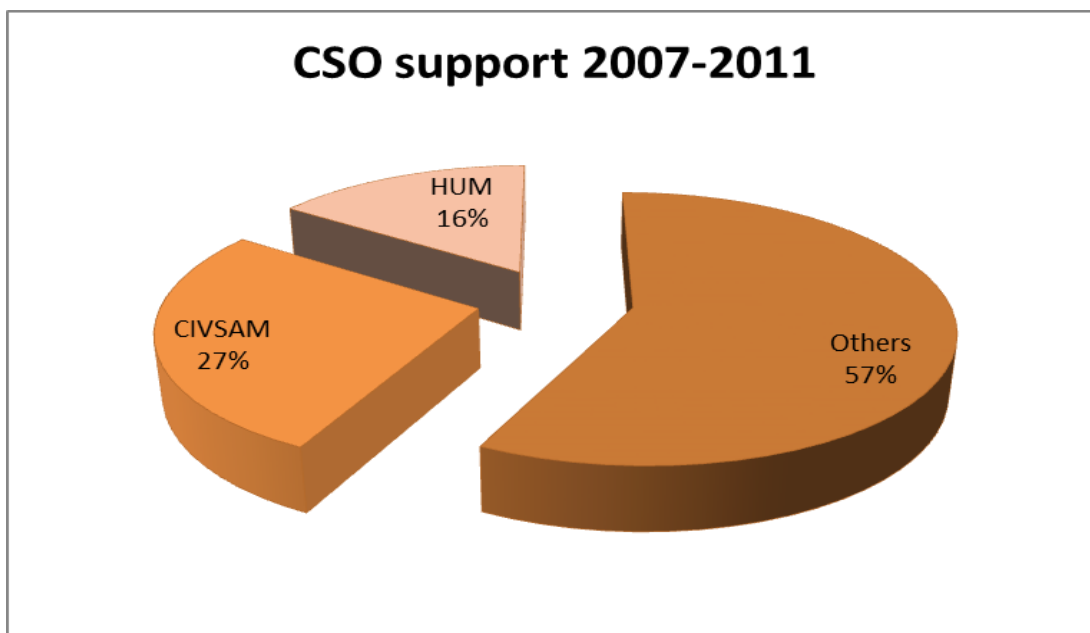
4.1 GENERAL OVERVIEW

Sida has channelled around 30 billion SEK via or to CSOs from January 2007 to June 2012. It has been spent through three main channels:

1. CIVSAM unit
2. HUM unit
3. Other units and embassies (called "Others")

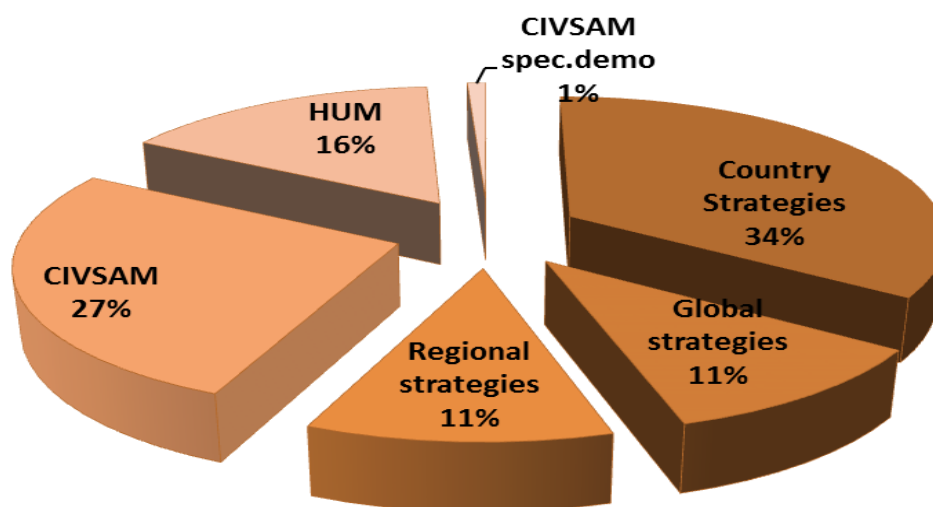
The CSO support through these three channels has been around $\frac{1}{4}$ of the total Sida aid budget. The support to and through CSOs has increased its share of the aid budget over the 5-year period from 19% in 2007 to 32% in 2011.

HUM and CIVSAM are the biggest providers of CSO support. However, the amount of funding spent through the "Other" appropriations is larger than the funding spent through CIVSAM and HUM jointly (ICRC and multi-funding through the UN agencies are not included in this HUM figure).



When looking more closely at the strategies that provide most CSO support, it can be seen that global and regional strategies make up 11% each, while the country-level strategies have the biggest share (34%). However, this share comprises of more than 60 country strategies.

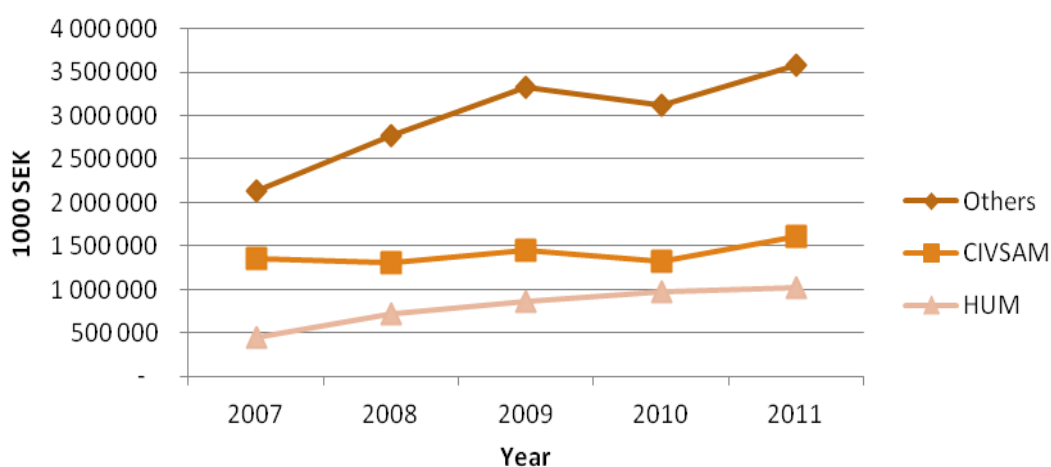
Who spends the CSO funds?



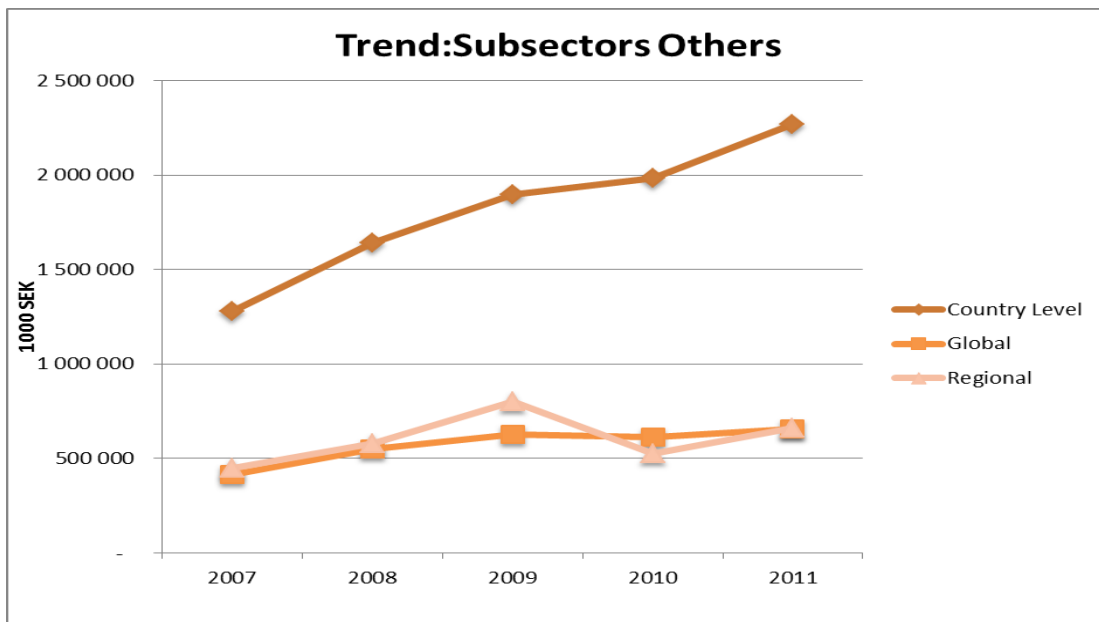
The single biggest units that provide CSO support apart from CIVSAM and HUM are: the Global Program Unit, the Research Unit, the Regional Africa unit and the Regional HIV/AIDS Team for Africa. Among country-level strategies, the largest are: Afghanistan, DRC, Kenya, Mozambique, Tanzania and Zimbabwe.

Funds disbursed to, and through, CSOs from CIVSAM, HUM and “Others” have all increased over the last five years where the most substantial increase occurred for “Others” (Figure below). That, together with the earlier mentioned fact that funding spent through the “Other” appropriations is larger than the funding spent through CIVSAM and HUM jointly, is the reason why this study focuses on these initiatives specifically.

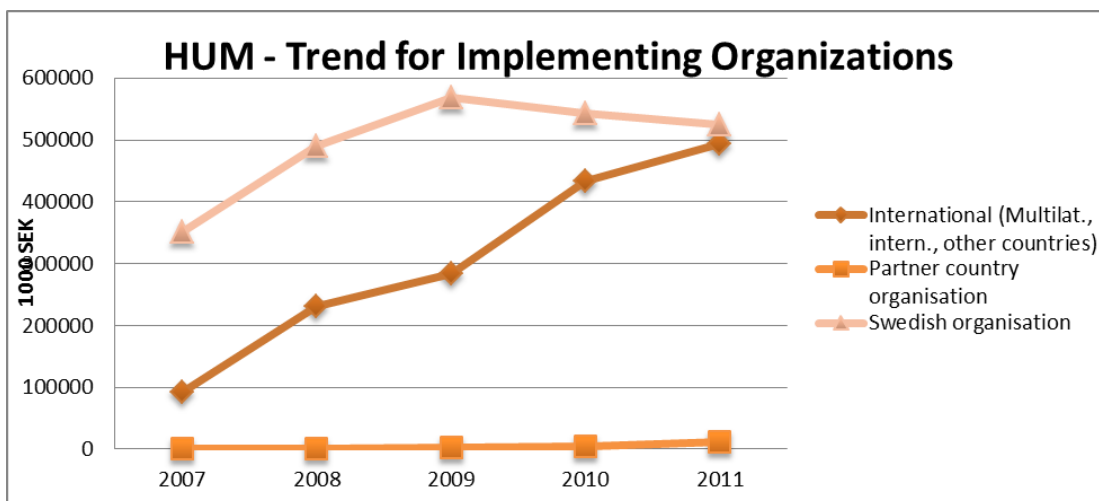
CSO support 2007-2011



The increase in “others” mainly refers to increases in country level CSO support as shown in the diagram below. This seems to be a general donor trend and is also confirmed by the DAC study.

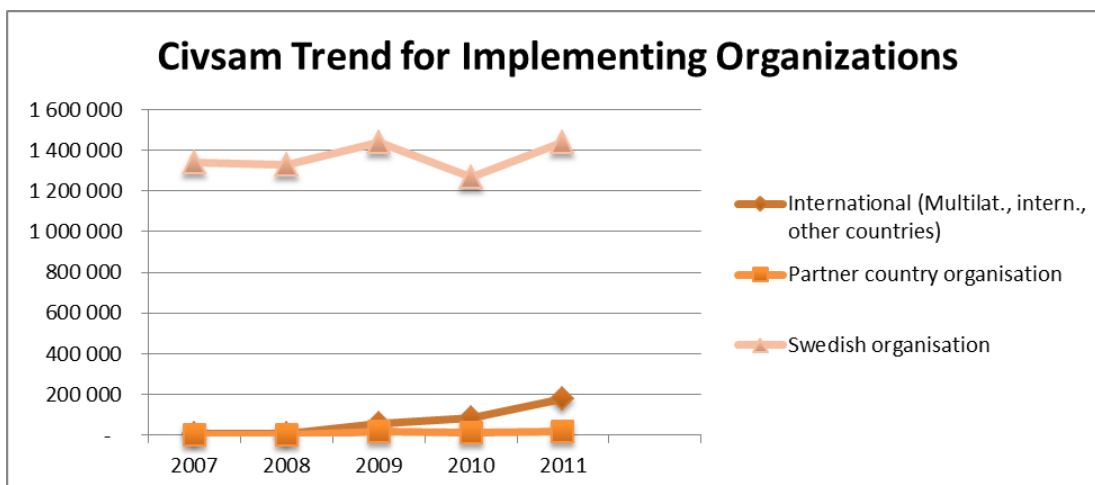


HUM mainly chooses to channel its funding through Swedish international organisations. There is however a trend of using more and more International channels, with disbursements to Swedish organisations declining slightly. Partner country organisation are rarely direct agreement partners to HUM.

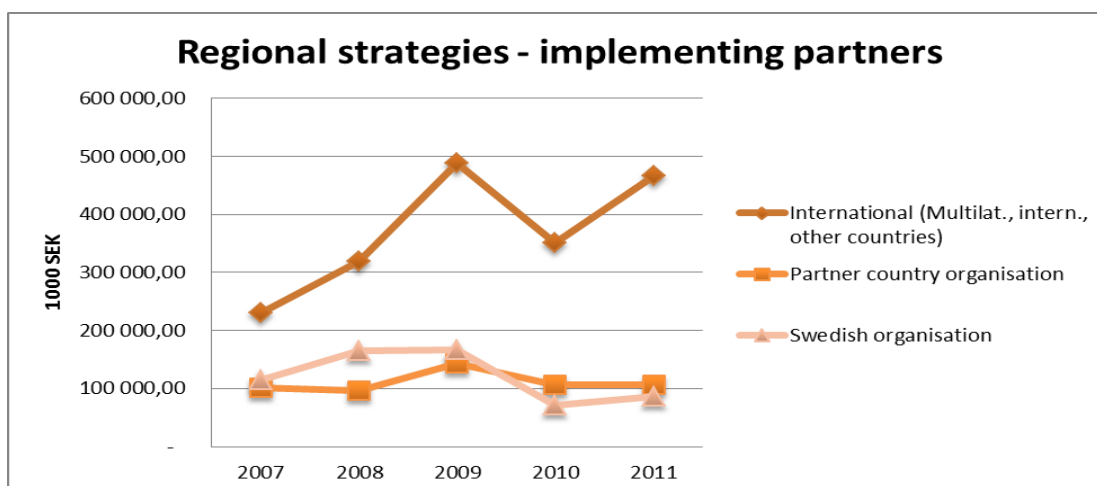
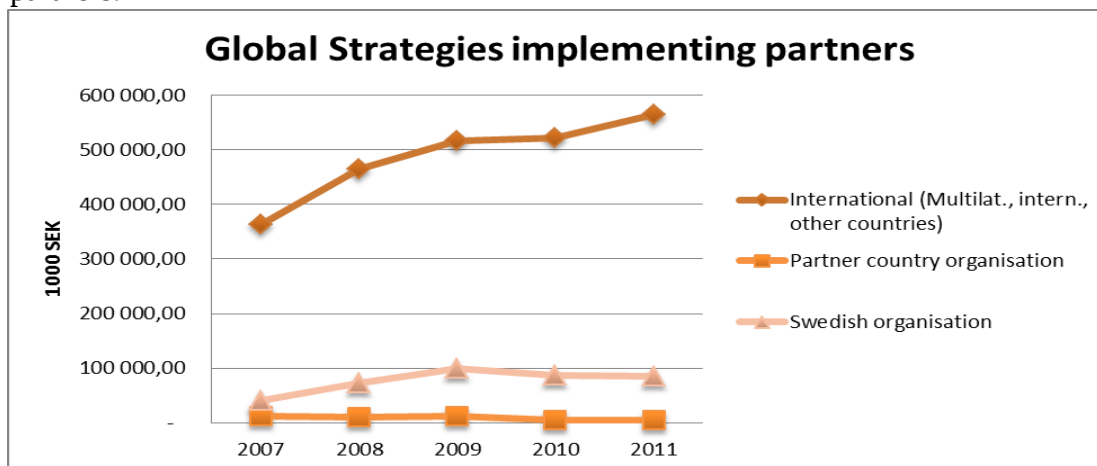


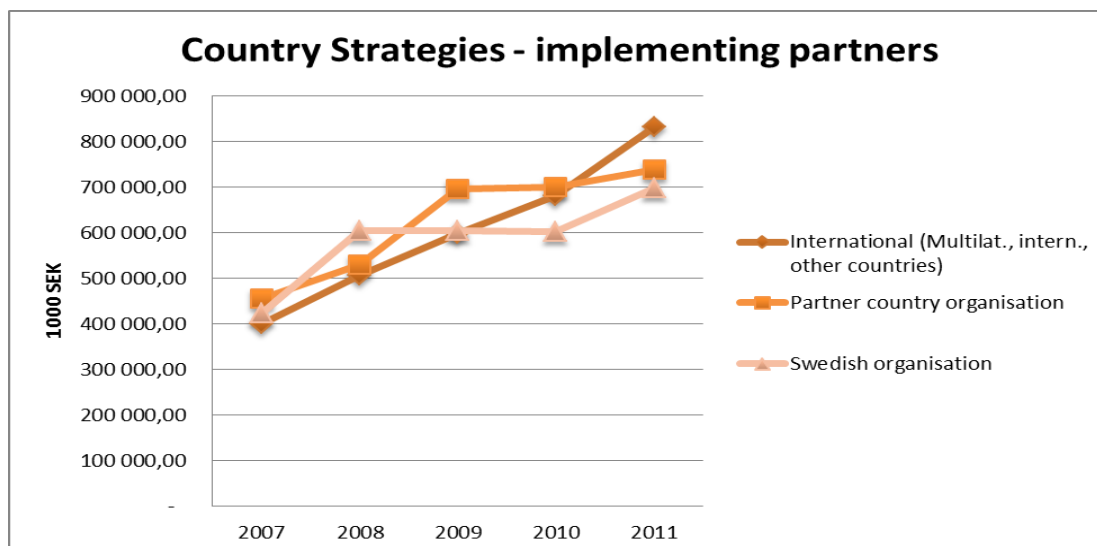
CIVSAM is mainly working through Swedish framework organisations as explicitly expressed in its strategy. It is therefore not surprising that 94% of the funding is channeled through these. The trend has shown a slight increase in use of international organisations, partly due to the Special Contribution for Democracy but also due to support to international actors such as CIVICUS, IMS (International Media Support), INTRAC and UNDEF (United Nations Democracy Fund). Within the strategy for the

Special Contribution for Democracy, only 8 out of 70 initiatives have Swedish agreement partners.



The statistics below show how the “Other” units channel their support. The graphs show the developments within the global strategies, the regional strategies and the country-level strategies separately. As expected the global strategies work with international agreement partners as this is part of their mandate. The Regional strategies also increasingly work with and through international organisations. The country-level strategies (embassies) are using all three types of channels, but international channels have increased most, also for country-level CSO support, where Swedish and international organisations are common as direct agreement partners.



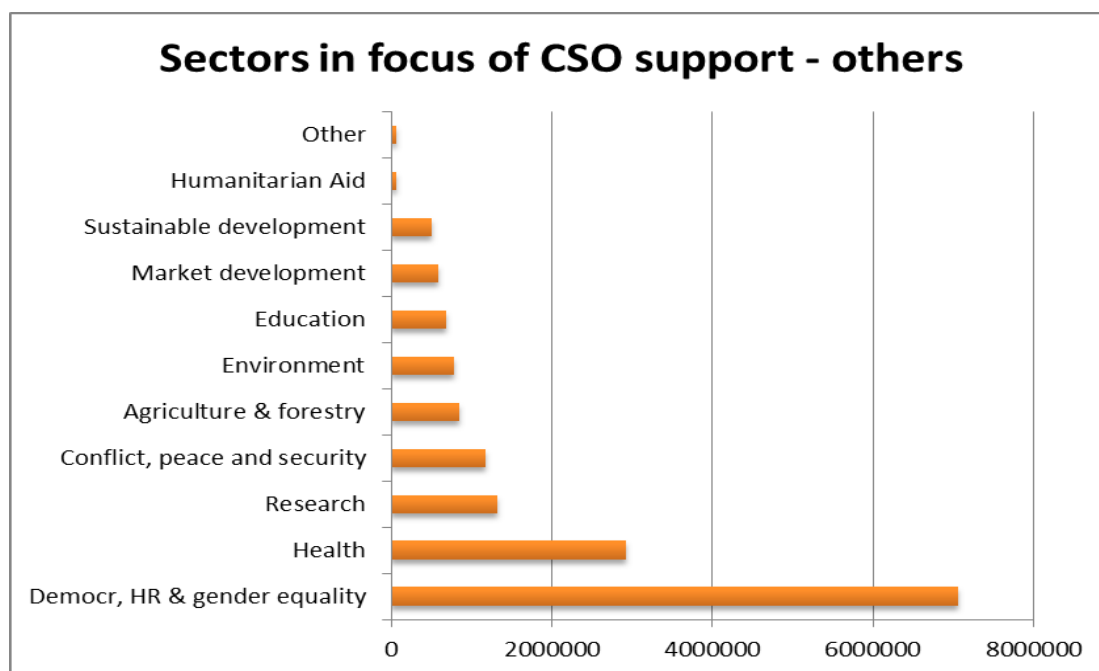


When looking at the number of agreements (*insatser*) rather than the funds channelled, the picture is slightly different. CIVSAM then appears to be the largest, while HUM appears very small. This of course indicates that the size of projects is very different. During our interviews, many respondents from “other” units stated that initiatives below 10 million SEK were not worth supporting via a direct funding agreement with Sida, due to the heavy administration. The trend within all strategies is the growing size of the initiatives. For CIVSAM, the number of agreements is decreasing while the budget is rather stable. For HUM and Others, the number remains unchanged or slowly decreases while budgets increase.

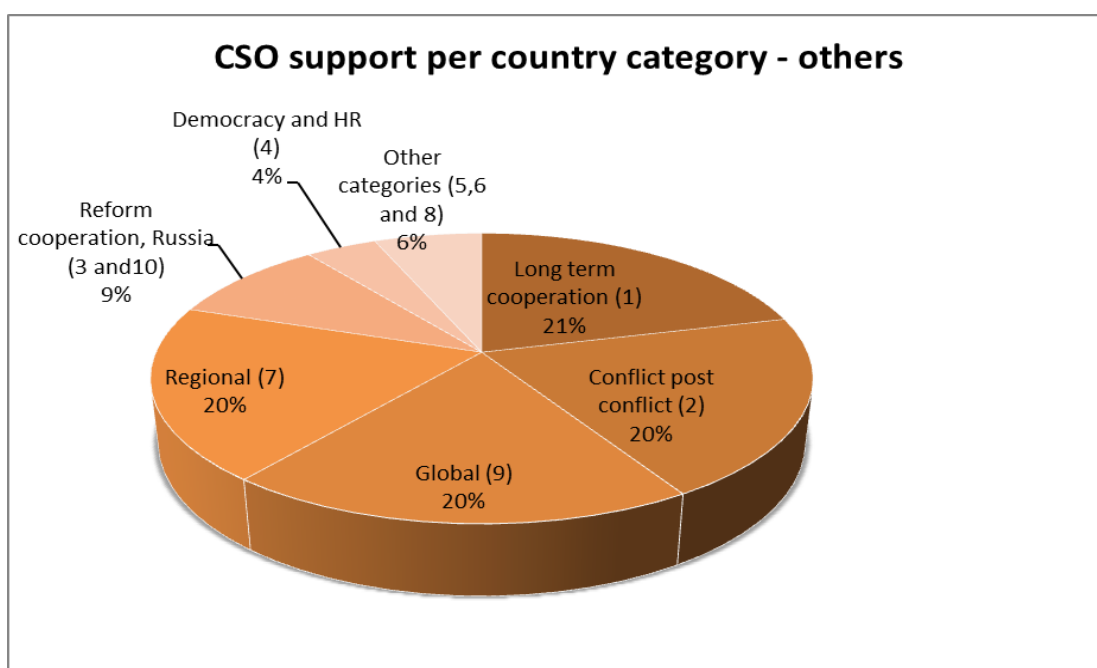
Finally, it can be concluded that a few large agreement partners make up a substantial part of the Sida CSO funding. For HUM, the 10 largest agreement partners represent 76% of the total funding channelled, CIVSAM channels 79% through its top ten agreement partners, while the other appropriations/units as expected have a more diverse portfolio. Still 37% is channelled through the 10 biggest agreement partners (mostly large global actors).

4.2 CSO SUPPORT BY “OTHER” UNITS

When analysing various CSO funding modalities used within the “other” units (not including CIVSAM and HUM), the evaluation team noted rather significant differences. General analyses, therefore, did not always provide sufficient information and guidance. In the following sections, the analysis is divided into Global Strategies, Regional Strategies and Country-level strategies. Within Country-level strategies, we also analyse differences between various country categories. In a separate working document (Analysis of CSO modalities in Swedish development strategies) a detailed analysis of each strategy is made. All the statistical data for the various strategies is also available in digital form for further scrutiny. All in all, there are some 500 graphs and tables illustrating various aspects of Sida CSO support. However the overall picture of “others” is also interesting for some variables, for example the distribution of CSO funding per sector and country category:



The sector democracy, human rights and gender equality is by far the dominate sector of the CSO support, and funding is mainly given for promotion of social, political or environmental change (60% of funding) or combinations of service provision and change (27%).

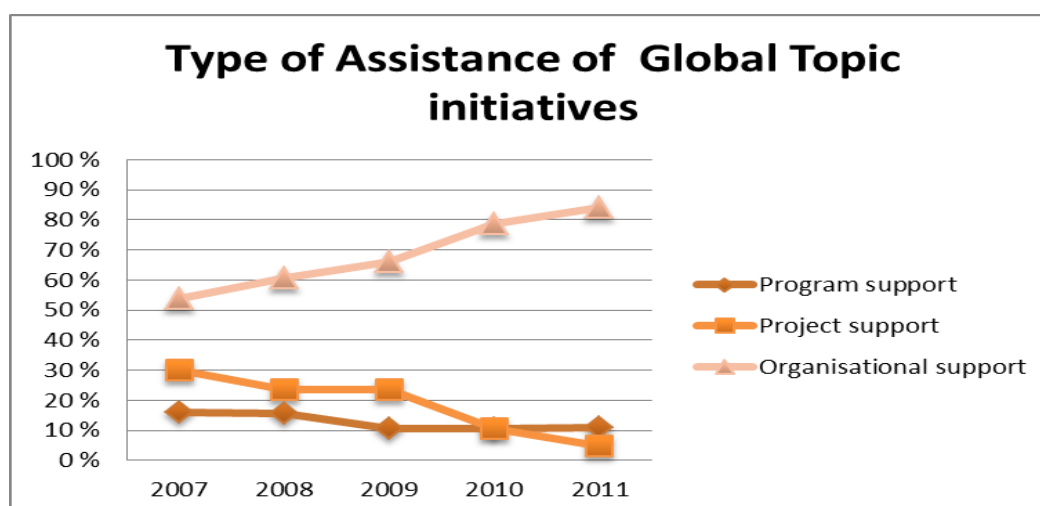
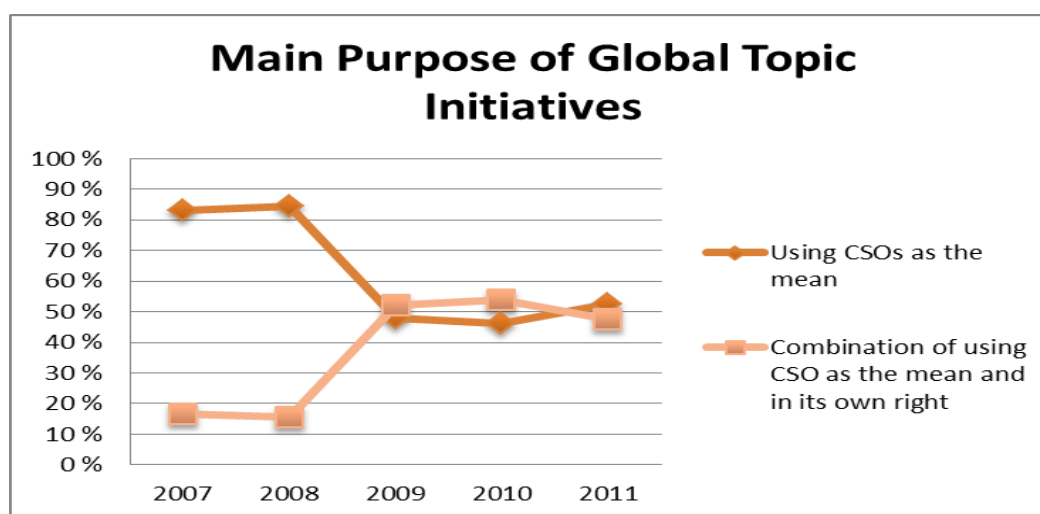


The country categories spending most on support to or through CSOs are categories 1 and 2, along with regional and global strategies. These four make up over 80% of the funding.

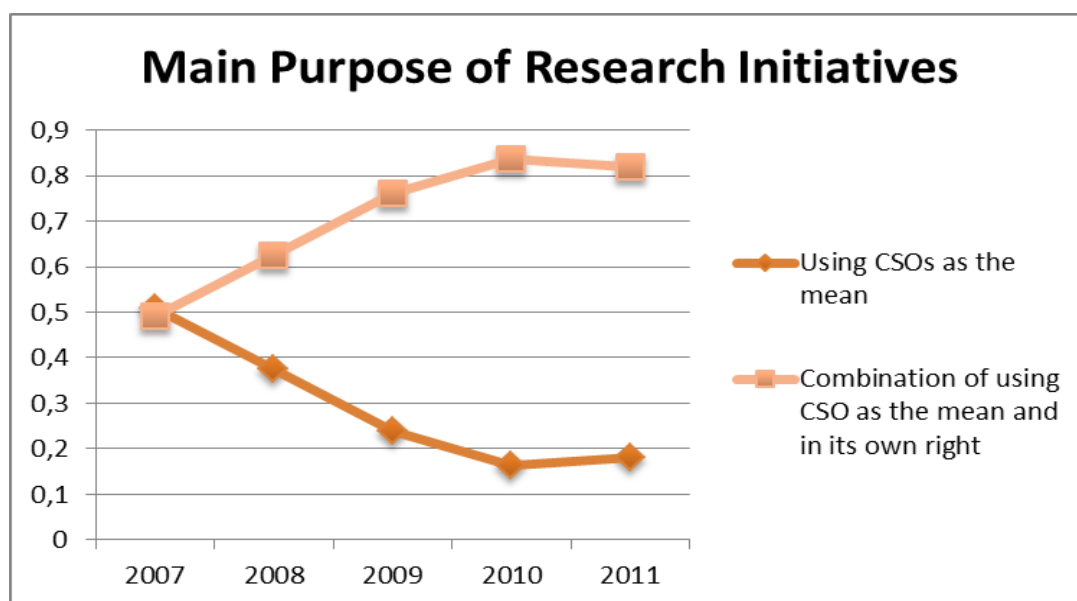
4.3 CSO SUPPORT IN GLOBAL STRATEGIES

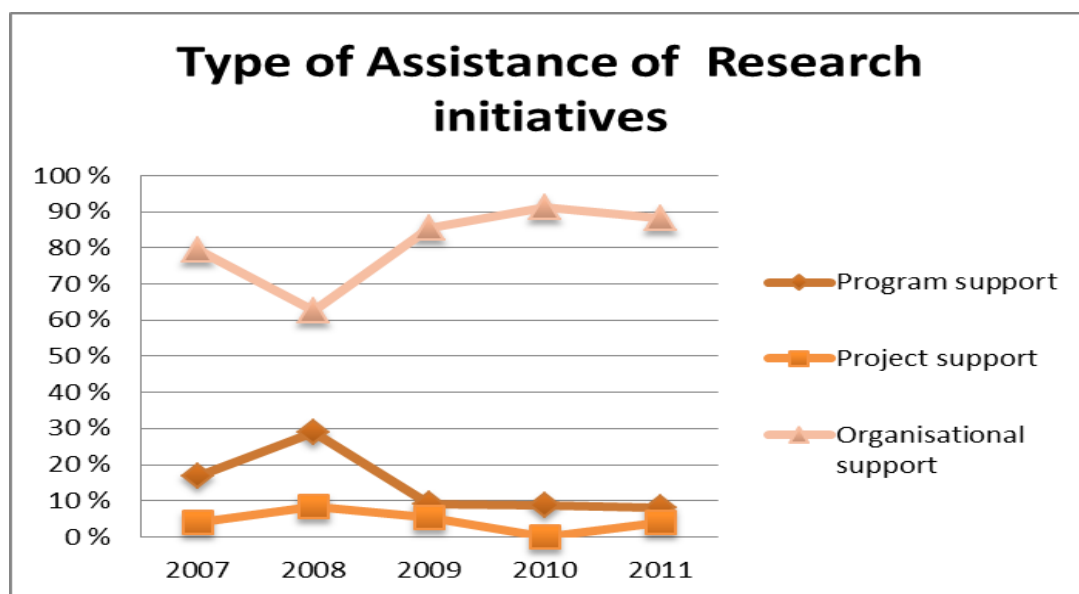
The main global strategies that provide support to and through CSOs are the **Global Programme** and the **Research cooperation**.

The Global programme channels around 400 million SEK per year to CSOs. The support to civil society actors is guided by the strategy for Global Topics (*Globala ämnesstrategiska insatser*), which indicates that support should be provided for global initiatives that contribute to Sida objectives in various sectors. No specific guidelines or criteria are in place for selection or conditions for cooperation with CSOs. Selection is primarily based on track-record, reputation of the CSO and if the actor is considered to be a strategic actor in a specific sector or area. In some areas appraisals and mapping for the most relevant CSO actors have been conducted. There is increasing support to strengthening civil society in its own right and supporting institutional capacity development of global actors. The Global programme is striving towards more core support including donor coordination and joint mechanisms. Global organisations are often both direct agreement partners and the end recipients of the support provided by the Global programme.



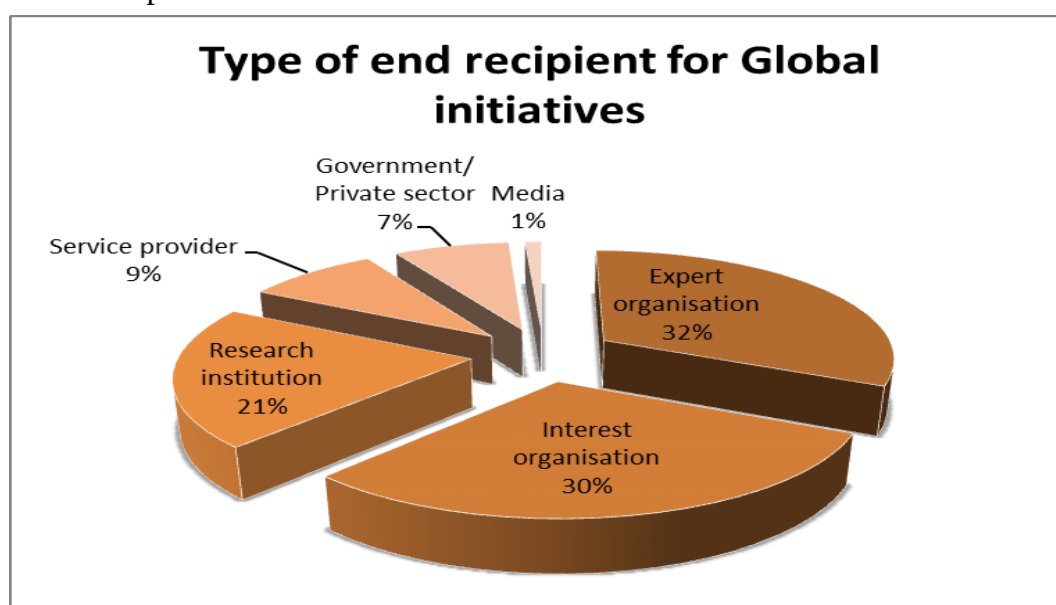
In 2011, the Research cooperation channelled around 240 million SEK to research institutes and organisations classified as CSOs. While the total budget for research cooperation has remained at around 500 million SEK per year, the share for CSO partners has increased from 13% in 2007 to 45% in 2011. This may be a consequence of a reduction of contributions to state institution partners. The present research cooperation partners are mostly global or regional research institutes, research networks or private universities. Joint donor arrangements are common. The aim of the support is to meet the research strategy objective: to strengthen partner countries' research capacity. Focus is on core support, but partners are also used as intermediaries for research grants to individuals and national research actors. There are no specific selection criteria or procedures. Some of the CSOs have been selected by the MFA (Ministry of Foreign Affairs) such as CGIAR, ICIPE och Population Council. Others are selected based on co-donor assessments and joint funding decisions e.g. Essence for Health Research. Rwanda and Bolivia serve as pilot cases for new cooperation patterns on a country level, where calls for proposals are introduced to replace the routine prolongations of agreements with traditional partners. The selection of core support receivers and scholarship redistributors is still based on long-standing and unchanged relations. The justification for selection is often unknown to the present staff. Due to long-term support, some partners have become key actors within their field of expertise, and therefore there are few competitors for the funding. There has been no support from CIVSAM so far, but there are opportunities for cooperation on selection and assessment methods as well as specific needs for administrative support to for the MFS och Lerenius/Palme programme.





When analysing initiatives that are coded as “global” (country category 9), these initiatives have received over 3 billion SEK during the period of review - mainly from the above mentioned global strategies, the following pattern is seen:

- Direct support without intermediaries is most common (83%). Joint donor modalities have been used for around 21% of the funding, but are increasing.
- When intermediaries are used, these are mostly international (74%) or Swedish (23%). The most common intermediaries are expert organisations, service providers and research institutes.
- The main focus is on social, political and environmental change (61%) while 30% have a mix of service provision and change as focus and 9% is pure service provision often in the health sector, such as vaccination or maternity health.
- The end recipients are mostly international organisations (75%), but 17% have national partner country organisations as end recipients. The type of end recipients are as follows:



4.4 CSO SUPPORT IN REGIONAL STRATEGIES

The review has covered the following regional strategies; Strategy for regional work on HIV/AIDS, SRHR (Sexual and Reproductive Health and Rights) and LGBT in Sub-Saharan Africa, Cooperation Strategy for Regional Development Cooperation with Sub-Saharan Africa, Strategy for development cooperation with Asia focusing on Southeast Asia and Strategy for development cooperation with Middle East and North Africa. We also looked at the Strategy for the Western Balkans and the strategy for the Baltic States although these have now expired. In total the Regional Strategies have channelled over 3 billion SEK during the period of review. Most of the Regional Strategies are in an early stage of developing more strategic approaches to CSO support.

Notably, the Western Balkan strategy has had a specific CSO modality that was established during the Balkan conflicts, entailing a setup with three Swedish framework organisations, Kvinna till Kvinna, Olof Palme Centre and Civil Rights Defenders. These were the organisations that answered an invitation from Sida at the time. Through long-term framework agreements, these three have remained as the key modalities for support to local CSOs in the Balkans. An evaluation of the modality was carried out in 2010, finding it effective in the post conflict context, but recommending opening up for supplementary modalities, including national and regional agreement partners. Revised guidelines were developed, which encouraged more flexibility. The Western Balkan programme has been increasingly decentralised and the various embassies are now strategizing to develop new modalities that suit national contexts.

The support to cooperation with the Baltic States has entailed over 500 small initiatives during the period of review. In numbers it is the biggest CSO programme during the period of review. The Baltic cooperation focused on the facilitation of private sector cooperation and trade, cooperation in the social and health spheres, environmental issues (Baltic Sea) and cooperation around culture and leisure. In this way, it is very similar to the CSO cooperation encouraged in "Selective Cooperation Countries". Swedish domestic organisations are often direct agreement partners in this type of CSO support, because the intention is to create cooperation that is outside the development aid arena. To stimulate an interest in such cooperation, the criteria for selection of CSOs and projects are sometimes very wide and flexible. Sometimes Swedish domestic CSOs are also the end recipients of support (travel costs, exhibitions, fees, etc.). Baltic CSO cooperation is now transferred to the Swedish institute.

The African and MENA regional offices have started to review their CSO support modalities, but the work is still at an early stage. The Cooperation Strategy for Re-

gional Development Cooperation with Sub-Saharan Africa guides the regional contributions handled in Nairobi and Addis Ababa²⁹. The Strategy for regional work on HIV and AIDS, SRHR and LGBT persons in sub-Saharan Africa³⁰ also guides regional development cooperation in other areas. Hence, there are many different modalities in place; in some sectors calls for proposals are used, in others, and most commonly, the CSO actors are selected based on reputation or a good track record. Direct and project support are the main modalities.

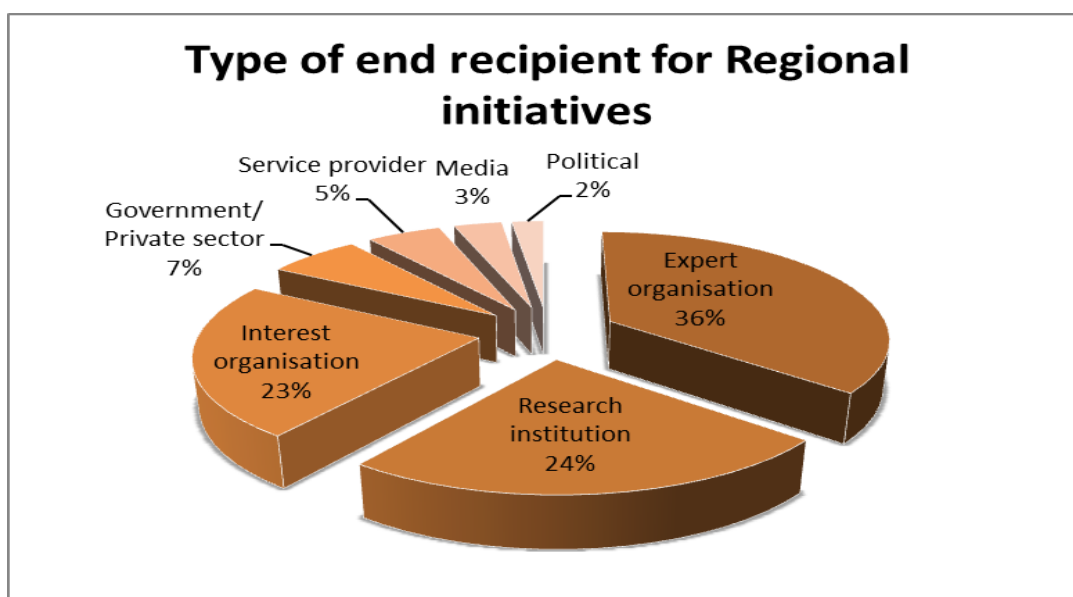
In MENA, CSO cooperation is contributing to regional strategy objectives, primarily within Democracy/Human Rights but also Environment/Water Resources. Partners are also selected according to priority issues or areas such as trade unions, election monitors, and minority organisations. The selection of CSOs is made from received proposals based on criteria including: relevancy to strategy, experience, outreach, good management, reputation, originality and an absence of corruption. There is an ambition to reduce the use of international intermediaries and to move towards direct partnerships with well-reputed national and regional organisations and networks.

When analysing the Regional initiatives at an overall level the following picture emerges:

- Direct support is most common (74%). Joint donor modalities have been used for around 21% of the funding, but are increasing slowly.
- When intermediaries are used, these are mostly Swedish (54%), Regional (24%) or International (23%). The most common intermediaries are expert organisations (61%), research institutions (19%) and interest organisations (12%), such as for example LGBT networks, women's networks or HIV/AIDS networks.
- The main focus is on social, political and environmental change (59%) while 36% have a mix of service provision and change as their focus and 5% undertake pure service provision, often in the health sector.
- The end recipients are mostly regional organisations (49%) and national partner country organisations (45%). International organisations are the end recipients of 6% of the funding. The type of end recipients are as follows:

²⁹ The Regional Unit for Environment and Economic Development (REED) and the Regional Unit for Empowerment, Peace and Security (REPS)

³⁰ Strategy for regional work on HIV and AIDS, sexual and reproductive health and rights (SRHR) and on the human rights of lesbian, gay, bisexual and transsexual (LGBT) persons in sub-Saharan Africa



4.5 CSO SUPPORT IN COUNTRY STRATEGIES

In this section we look at how embassies have channelled their funding to and via CSOs. We will discuss why various support modalities were used and the trends observed. Throughout the chapter, statistics drawn from the mapping exercise are presented, in combination with findings from interviews with staff at the embassies. Issues relating to the interaction between CIVSAM and the embassies are also discussed. The statistics are presented as a total for all country-level strategies, but we also comment on differences between various country categories. As agreed with CIVSAM, the focus is on country categories 1, 2, 3 and 4.

The support to, and via, CSOs from embassies during the period of review has been around 10 billion SEK. There has been an increase in support to CSOs both in absolute terms and in relation to the total development aid in most countries. This increase, along with the Aid effectiveness agenda and limited administrative resources, has required embassies to start working more strategically with CSOs. There are, however, great variations between embassies in terms of how and to what extent these strategy processes have developed. Our mapping of 42 country strategies (covered by the interviews) gives the following picture:

Category 1: Long-term	No of countries
Very little or no strategic efforts for the support to civil society	1
Some initial efforts have been made for a strategic support to civil society	6
Process is on its way for a strategic support to civil society.	1
A strategic support to civil society incl. tools and guidelines is in place (Ethiopia, Kenya, Tanzania, Zambia, Uganda, Mozambique)	6

Category 2: Conflict and Post-Conflict	No of countries
Very little or no strategic efforts for the support to civil society	1
Some initial efforts have been made for a strategic support to civil society	2
Process is on its way for a strategic support to civil society.	6
A strategic support to civil society incl. tools and guidelines is in place (Colombia)	1

Category 3: Reform cooperation in Eastern Europe	No of countries
Very little or no strategic efforts for the support to civil society	1
Some initial efforts have been made for a strategic support to civil society	4
Process is on its way for a strategic support to civil society.	4
A strategic support to civil society incl. tools and guidelines is in place (Ukraine)	1

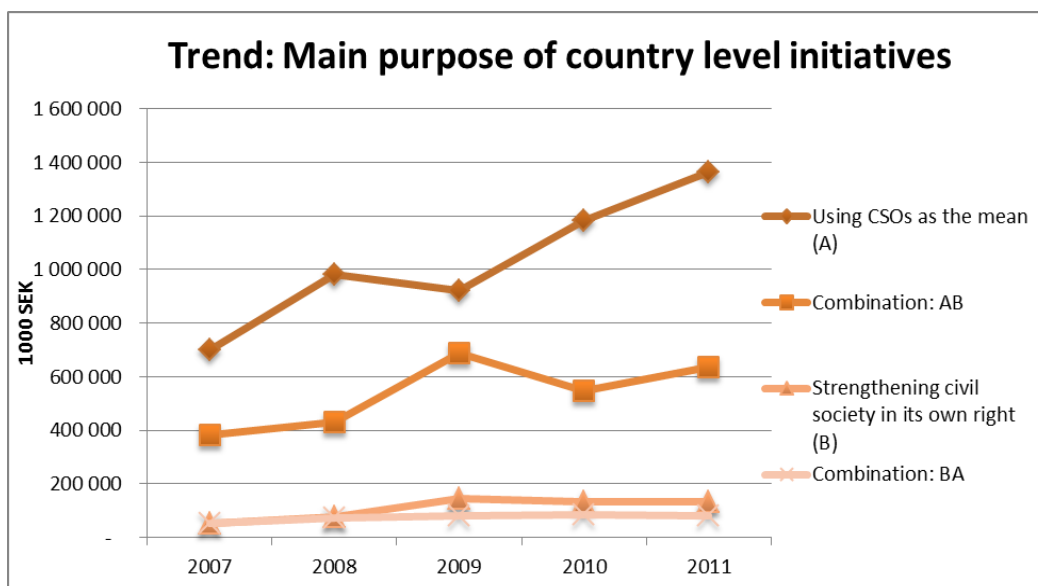
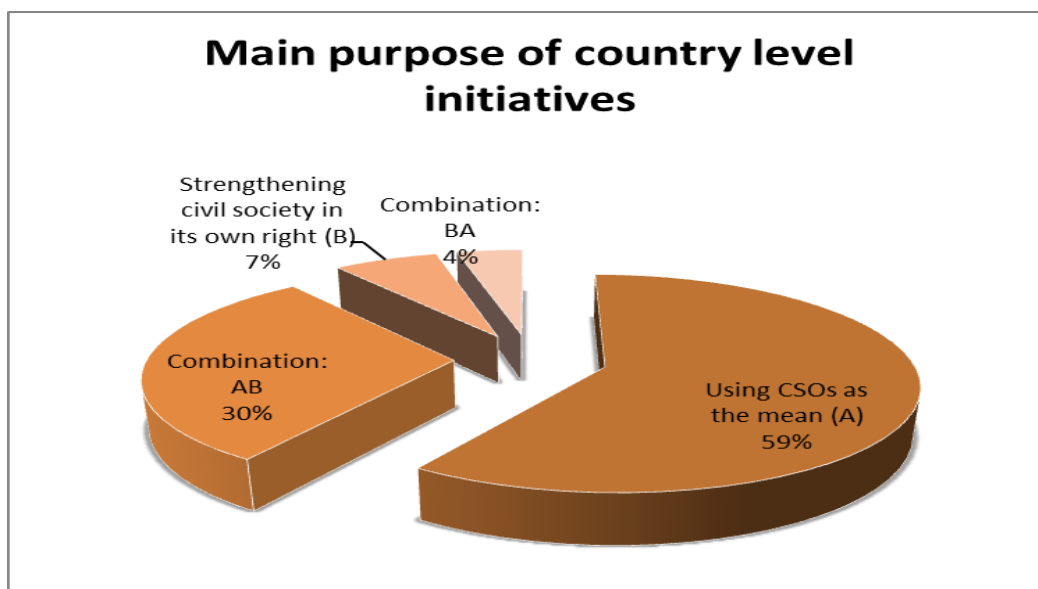
All other Strategies analysed	No of countries
Very little or no strategic efforts for the support to civil society	1
Some initial efforts have been made for a strategic support to civil society	6
Process is on its way for a strategic support to civil society.	3
A strategic support to civil society incl. tools and guidelines is in place (Special Contribution for Democracy)	1

4.5.1 Why do embassies support or work through CSOs?

The CSO policy states that Sweden should promote vibrant and democratic CSOs, based on their roles as the voice of poor and marginalised groups, and the provider of services such as health and education. Capacity building of civil society organisations and the strengthening of their role as advocates for change and partners in development are mentioned as the main objectives of the support. The CSO policy is underpinned by international commitments made in Accra and Busan, and by findings in OECD studies.

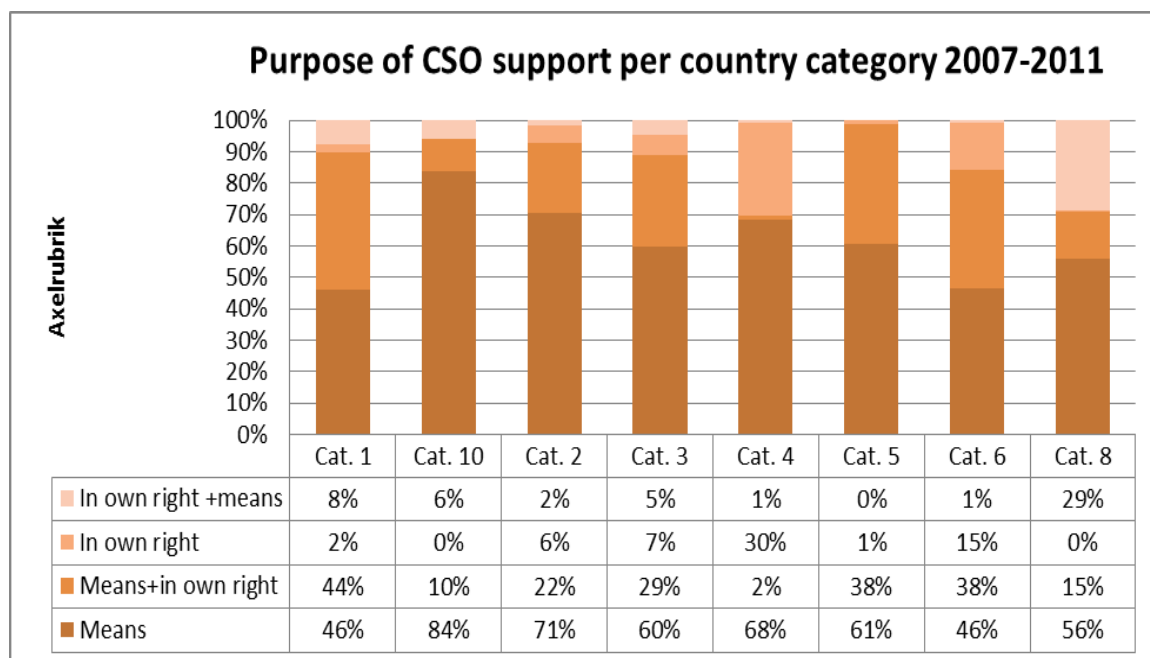
To assess the extent to which support to civil society is guided by international commitment and the CSO policy, we have categorised all initiatives according to the *main purpose* of the initiative, if the intervention and *support to the CSO was primarily used as a means* to contribute to geographic or thematic strategies or if promoting diversity and *strengthening civil society in its own right*, was the main purpose.

The most common purpose is to support CSOs as a means to reach various sector objectives. Some respondents also indicate the strengthening of civil society as a secondary purpose (AB). Only 11% of the funding (2007-2011) has gone to initiatives that have civil society strengthening as a main objective. Funding is increasingly going to initiatives that have CSOs as a means, while initiatives supporting CSOs in their own right remain at a low level.



When Sida staff were asked about *the main purpose of the support to civil society*, the pattern from the statistical mapping was reinforced. Overall, the interviews revealed that geographic and thematic strategies are the main steering documents for Sida. They are only considered when general policies have managed to influence these strategies. In case of the CSO policy, it was seldom referred to as a guiding document and its visibility in the geographic and thematic strategies remain limited. In some of the units and embassies there is however a trend towards recognising CSOs in their

own right – as an added benefit to using them as means. There are differences between the country categories, where category 1 and 6 have more focus on supporting CSOs in their own right, while category 10 has least.



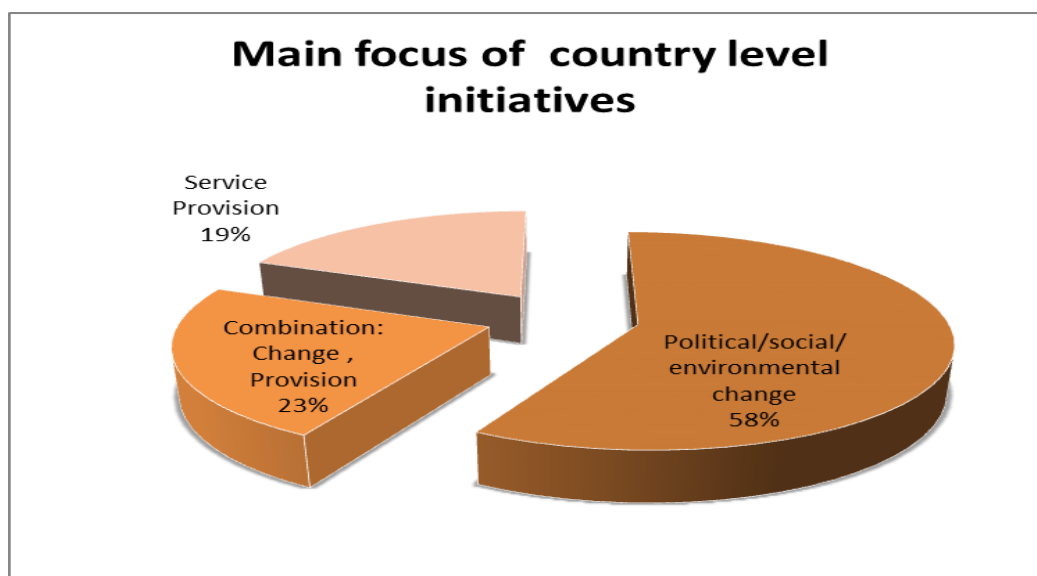
Some of the bilateral/regional cooperation strategies have general statements referring to the importance of civil society for democratic development. Many respondents stated that support to CSOs was given to counterbalance the support provided to the government, and primarily to support the role of civil society as a watchdog. In Uganda and Kenya the new CSO funding modalities are created as sector platforms where support is given to both rights holders (via CSOs) to claim rights, monitor government and to duty bearers (government) to fulfil obligations. Civil society is also highlighted as an actor for promoting “good governance” in a number of countries. CSO support is most common in the sector “Democracy, HR and Gender equality”.

In a few strategies, support to civil society is mentioned as a tool in other prioritised sectors (e.g. Cambodia, Kenya and Zambia and Uganda and in Category 3). The role of civil society in these strategies is primarily to promote dialogue and cooperation between actors in civil society and public administration; promote greater popular participation and awareness, spur demand for rights and services; and pursue the issue of the right to education or health. There are also examples where CSOs are chosen to deliver services in sector programmes. This is, for instance, seen in the programmes guided by the Regional HIV/AIDS strategy. In these programmes CSOs are often regarded as implementers of capacity building and advocacy initiatives (often of government actors).

4.5.2 What is the focus of the CSO support?

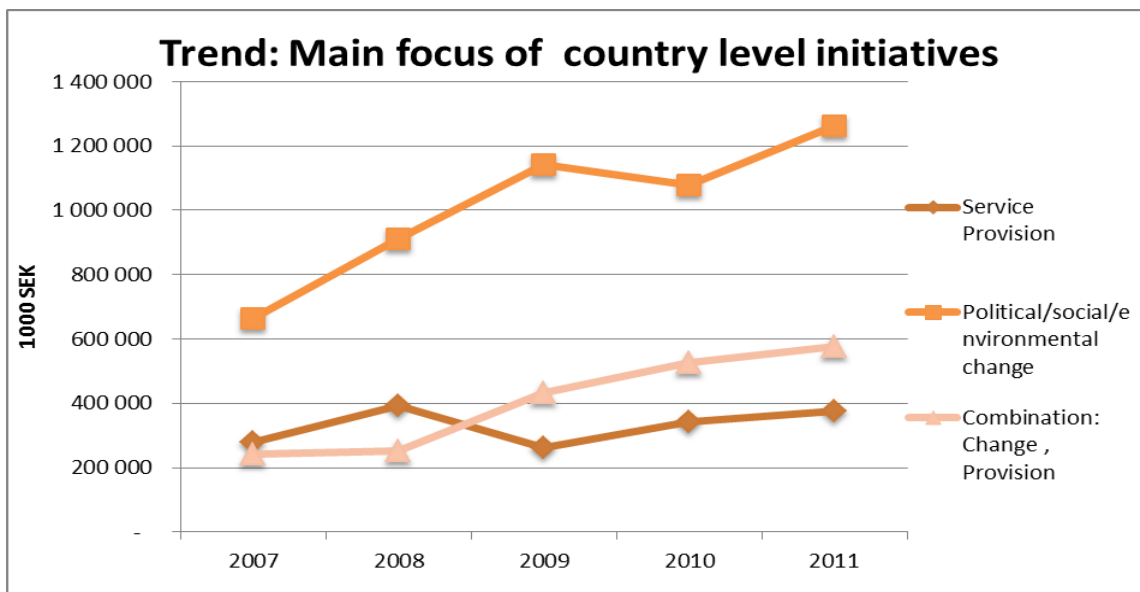
This review has divided the CSO-support into two main categories: (i) political, social and environmental change, (ii) service provision, material support and protection. The data shows that most of the support is directed to CSOs that primarily promote

political, social or environmental change and to CSOs that otherwise have a strong component of this work. The country-level strategies show:

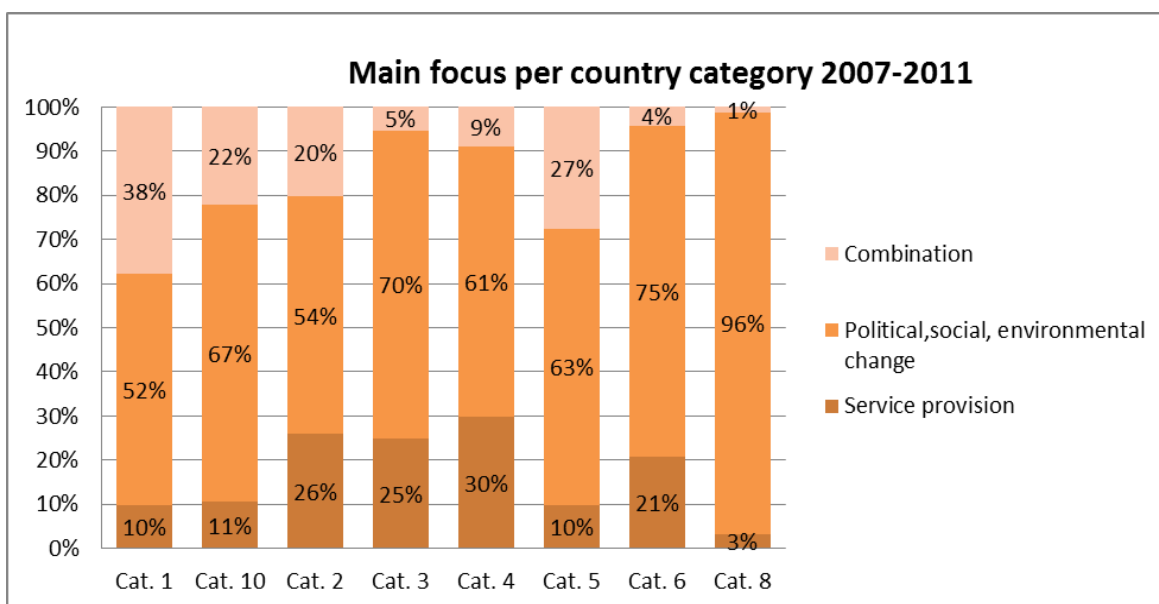


Only 19% of the support is directed at CSOs working with service provision as a main strategy. In all country categories, the pattern is the same and the vast majority of the funds available are for civil society as a promoter of political, social and environmental change. This is an important finding because it shows that Sida support is different than that of many other donors.³¹ It challenges the conclusions in other international studies that indicate that the demand for short-term results makes it difficult for CSOs to engage in advocacy and social/political/environmental change promotion. Our mapping shows that support to CSO service provision has remained the same over the years and that support categorised as political, social or environmental change has doubled from 2007 to 2011 (figure below).

³¹ Other international studies show that service provision is the most common type of CSO support, due to expectations on short-term results and difficulties to measure advocacy results.



The picture is, however, somewhat different in categories 2, 3 and 4, and countries where 25-30% of the non-humanitarian support is directed to civil society as service providers – either as the main strategy or main component. The large amounts spent on initiatives related to the provision of service in conflict regions/countries is partly a result of weak governmental structures to service citizens and the need for reconstruction and protection. In category 4 countries, service provision is often a door opener for working on more sensitive issues. It should be mentioned that some of the category 4 initiatives of a very sensitive nature were not possible to code and are therefore not part of the analysis.



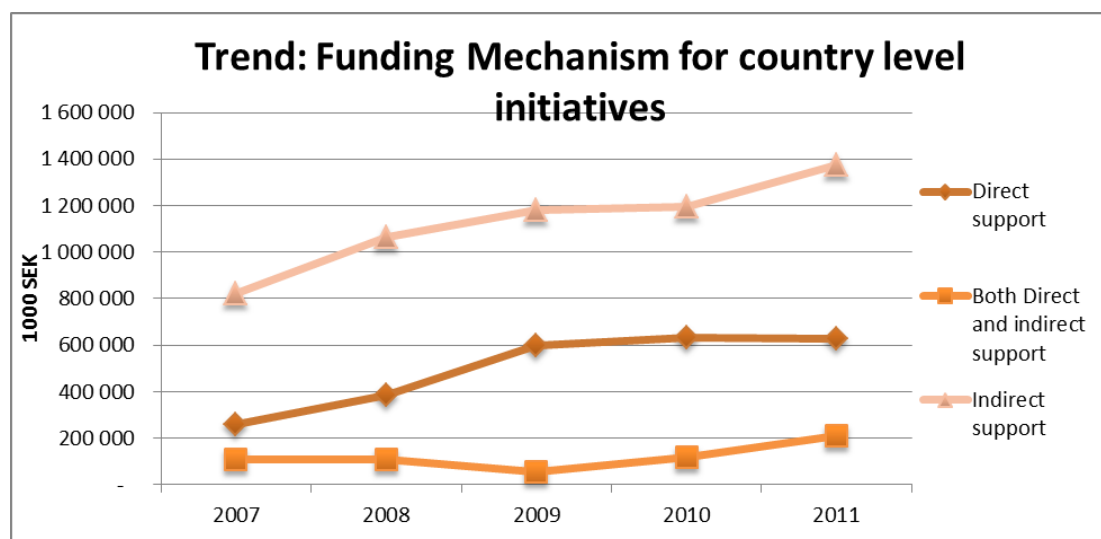
Interviews confirm that CSOs are primarily engaged to help Sida in their efforts to achieve political, environmental or social change and less often to provide services. It was also revealed that in category 1 countries, support to CSOs that combine service

provision and advocacy is common (38%) and seen as an effective strategy. By engaging in service provision CSOs can gain legitimacy for their advocacy work.

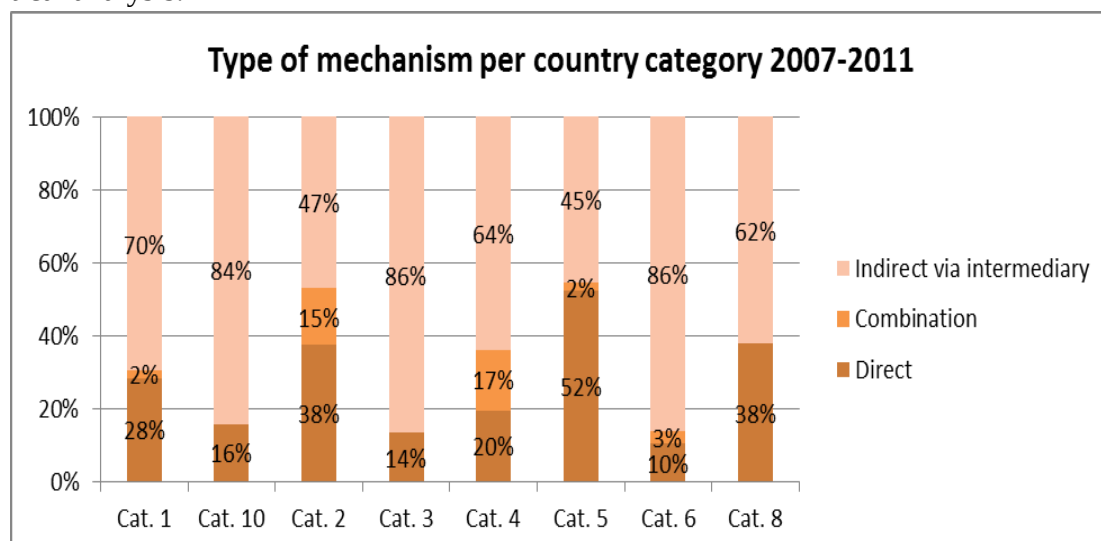
4.5.2 How is funding channelled?

Direct or Indirect support

Indirect support via intermediaries is the most common mechanism in country-level strategies (64%), while direct support makes up 29% and combinations 7%. The trend over time is that indirect support is slowly increasing, while direct support in terms of funding has remained at almost the same level since 2009, or has slightly decreased.

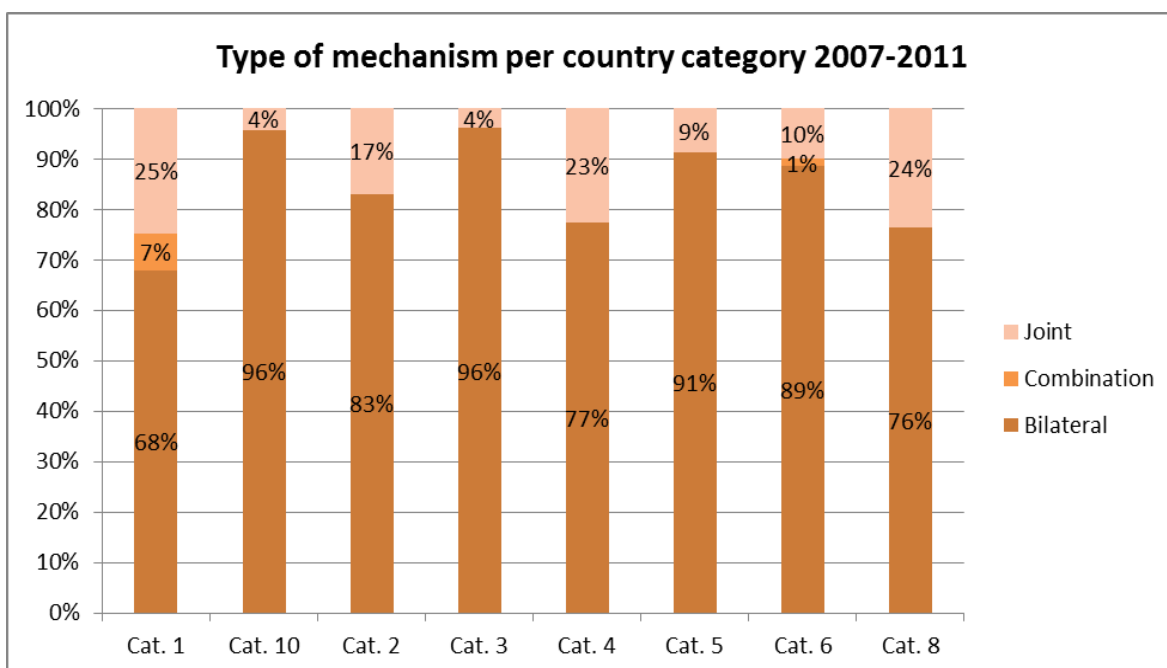


Indirect support is mostly used in long-term cooperation countries (category 1) and in reform cooperation (categories 3 and 10). Direct support is mostly used in conflict/post conflict countries (category 2). We also found that Sida is increasingly using UN agency mechanisms as intermediaries, especially in categories 1, 2 and 3. However, this support is often not specifically meant for CSOs. It is rather made up of mixed funds for sector wide initiatives. Unless these mixed funds are deliberate modalities for CSO funding as a main purpose, they have not been included in our statistical analysis.



Bilateral or joint funding

Bilateral funding is the most common method. The use of bilateral arrangements has increased over time (despite the Paris Declaration on Aid Effectiveness which urges donors to harmonise funding arrangements). Joint funding has also increased but has done so more slowly over the past five years. Joint funding is used mainly in Country Categories 1, 4 and 8. The main arguments for choosing bilateral funding are that it provides opportunity for mutual learning and dialogue, it offers influence on strategic direction of the support, and facilitates reporting of results attributed to the Sida support.



Our interviews show that there are two “schools” of developing new modalities. In some countries, direct bilateral arrangements are promoted (Ukraine and Tanzania – where the same consultants have supported the embassies)³² to encourage closer partnership with, and strategic use of, the CSOs. In other countries (for example Kenya, Afghanistan, Zambia, Colombia and Mozambique) platforms are created to enable the embassy (through joint donor platforms and intermediaries) to reach many grass root organisations and to empower local movements. These platforms have been created in different ways, with pros and cons regarding ownership, independence, transparency, effectiveness and risk. Many respondents wished to systemise and share lessons. The interviewed East African staff were unaware that colleagues in neighbouring countries were struggling with the same type of issues.

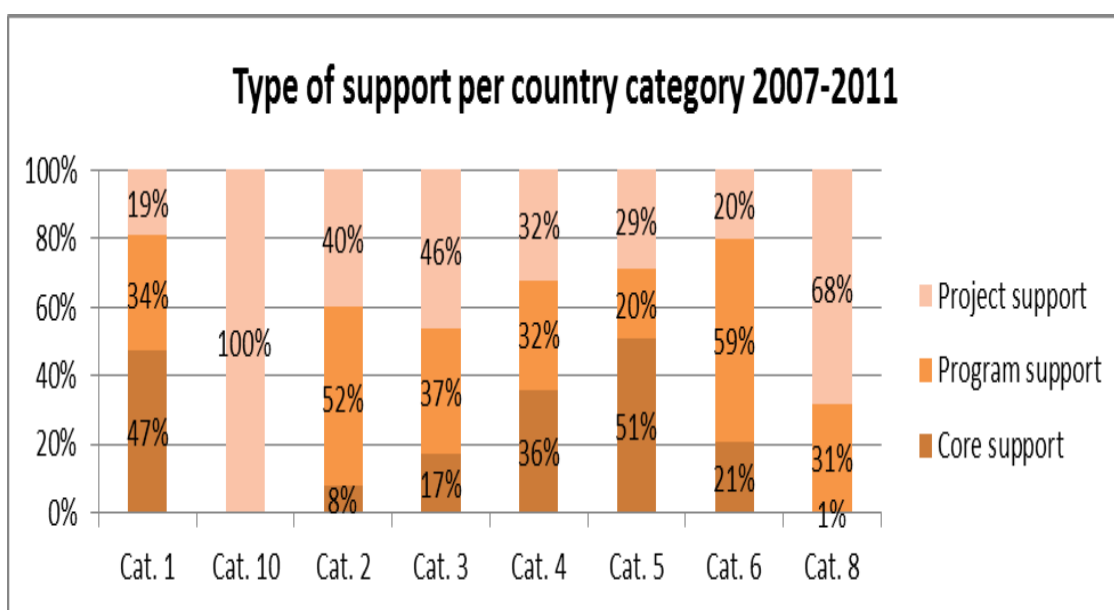
³² Ingelstam & Carlstedt

It should be noted that in all these countries supplementary modalities are being developed alongside the main approach. The office in Ukraine shared the following information about their CSO modalities:

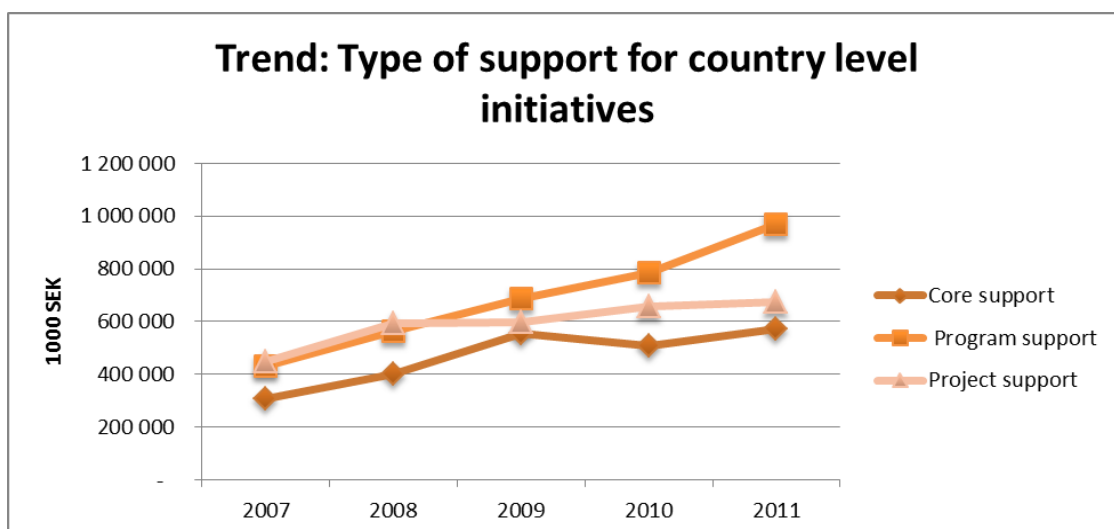
In Ukraine, Sida also works through the mechanism “Marketplace for Civil Society” (funded by USAID and implemented by PACT). Sida contributes to the virtual vouchers pool (an administratively complex arrangement) whereby the grassroots organizations for the cost of a voucher can choose a Ukrainian provider for upgrading their organizational systems to become more effective. This saves administrative costs at the embassy and still supports dozens of organisations on their way to good strategies, responsible boards, financial systems, transparent rules. In this way Ukraine manages to do both – core support to the most mature, strategic and influential CSO players, but also reaching to dozens of CSOs in need of development.

4.5.3 What type of support is most common?

In country-level strategies, core support makes up 25% of total funding, programme support 40% and project support 35%. The picture is however very different in various country categories. Core support is the most common mechanism in long-term cooperation countries (47% of funding) and in category 5 countries (51%). Long-term cooperation countries have little project support (19%). Core support is hardly ever used in category 2 countries (8%), in Russia (0%) and in category 8 countries (1%).



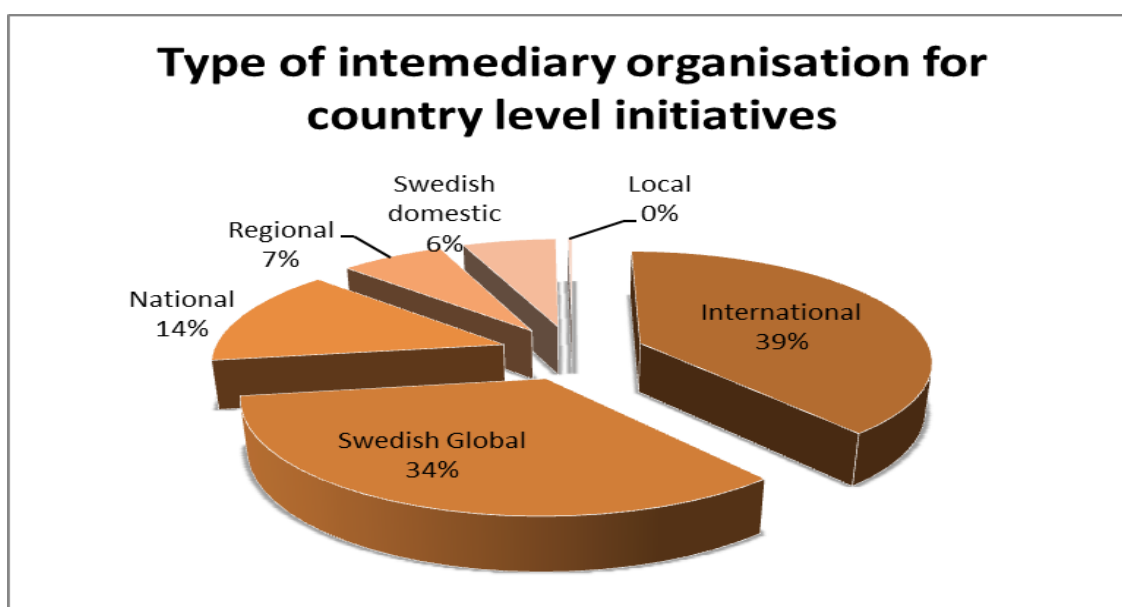
The overall trend for country-level initiatives shows a rather drastic increase in programme support between 2007 and 2011, while project support and core support have had slower development.



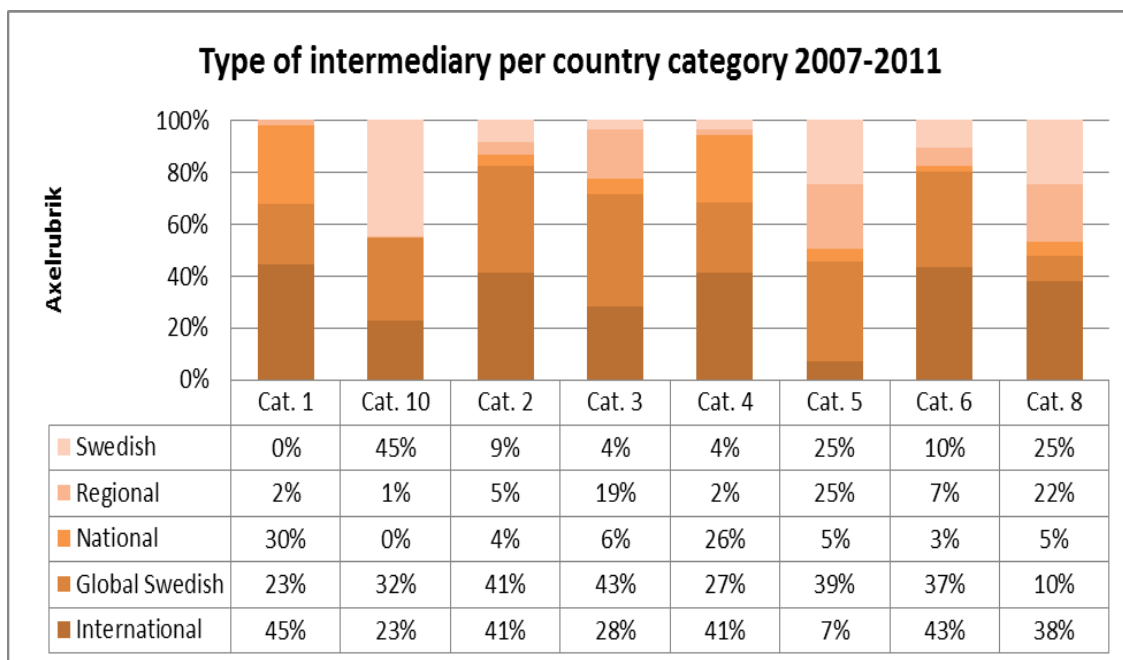
If we look at the number of initiatives rather than the amount of money spent, the situation looks different. From this perspective project support appears to be the most common type, making up 58% of the number of initiatives. According to these statistics, project support decreased drastically (in number of initiatives) in 2011. Most of the decrease in numbers relates to the phasing out (hand over to Swedish Institute) of Baltic cooperation. The average outcome sum for project support initiatives is 2.4 million SEK (for the 5-year period). The average outcome sum for core and programme support is around 5.8 million SEK.

4.5.4 What kinds of intermediaries are used?

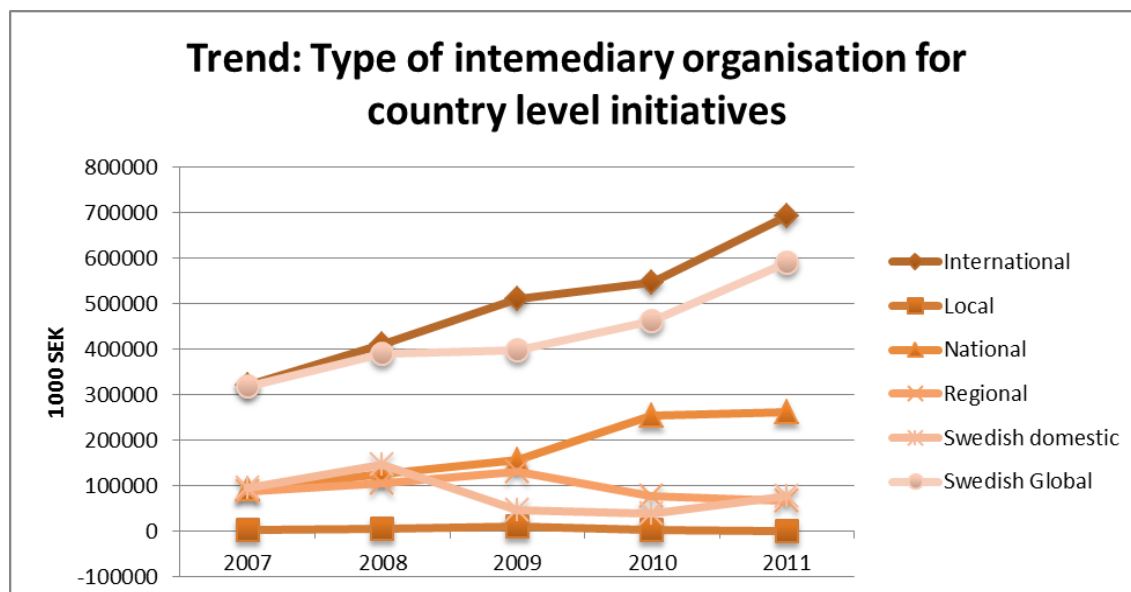
When intermediaries are used, these are mostly Swedish (40%), international (39%) or national partner country (23%). Swedish organisations can be divided into Swedish International (such as Diakonia and Swedish Red Cross) and Swedish domestic (such as local friendship associations, community groups and SKL - The Swedish Association of Local Authorities and Regions).



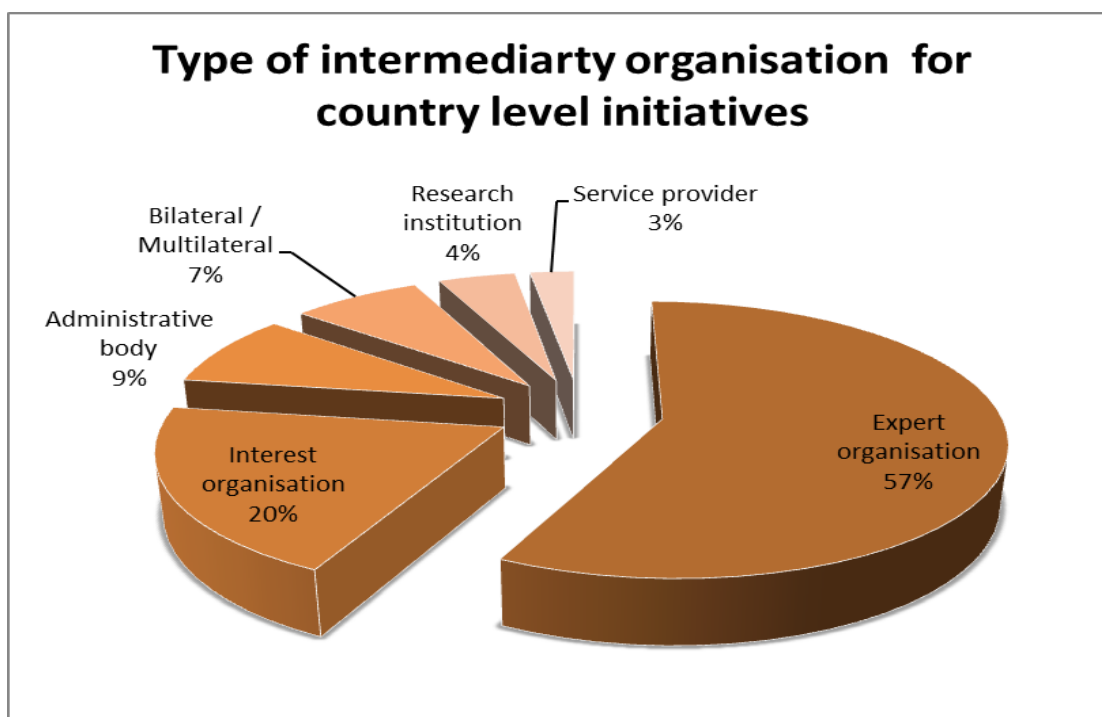
Also here there are great variations between country categories. A rather small share of the support is channelled through national intermediaries in partner countries, except in long-term cooperation countries where 30% of the funding is channelled through such national modalities – often platforms for various sectors. Swedish domestic intermediaries are especially used in Russia, where almost half of the support is channelled through these.



The general trend is that of a small increase to funding channelled through national intermediaries, most often national sector related umbrella organisations as in Ethiopia and Zambia (farmers) and a rather big increase in funding channelled via Swedish Global and Global intermediaries. The increase in International and Swedish Global intermediaries is mainly due to the increased use of donor platforms such as in Kenya (UNDP and UNICEF), Afghanistan (Swedish Committee for Afghanistan) and Palestine (Diakonia) which look for reliable channels for large amounts of funding.

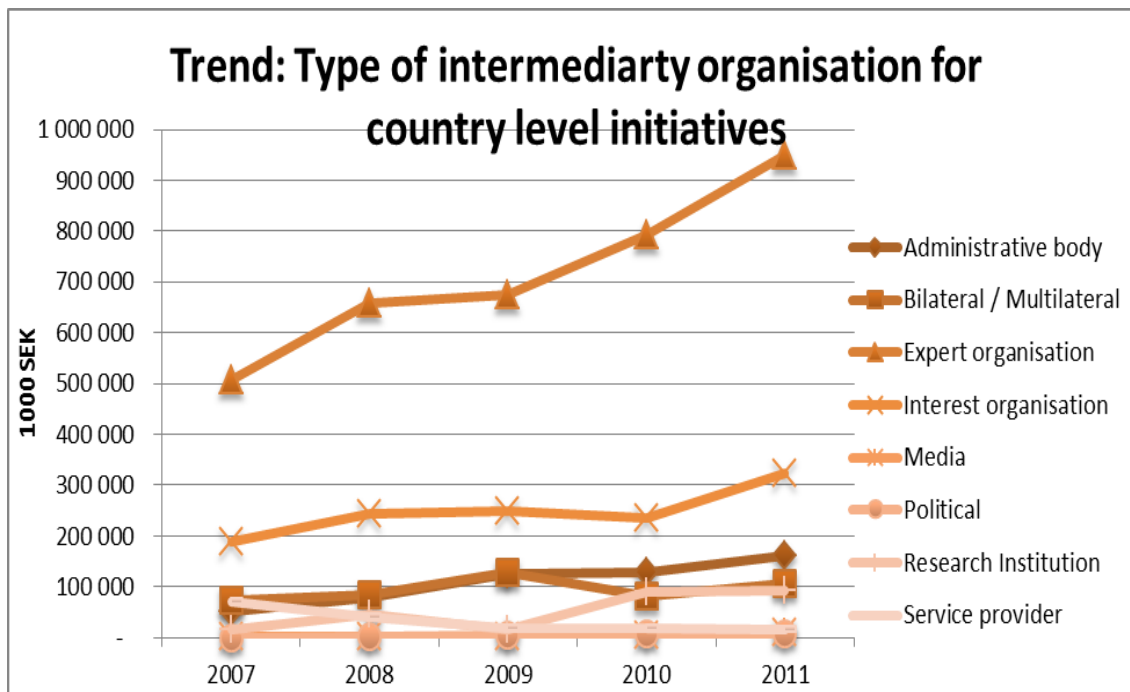


Interviews confirm that the most common selection criteria for CSO intermediaries are that they are trusted (Swedish or internationally known), have a track record of effective development work in the country, sufficient administrative capacity and a good knowledge of the relevant sector. This is consistent with findings in other studies, such as the OECD DAC study. In the assessments of proposals, Sida also takes into account judgements and rumours among other donors, which often inform their decisions. This means that most funding is channelled through international expert organisations that are also supported by other donors (UN agencies, Save the Children, Plan, Oxfam, etc.). More than half of the funding goes via this category of organisations (expert organisations). Interest organisations (often large umbrellas of organisations or market actors – such as disability or women networks or business associations) also channel a substantial amount, while research institutes, multilateral bodies, administrative bodies (platforms created for the purpose of being an intermediary – as in Zambia and Kenya) and service providers channel more or less equally large amounts (6-7%). Administrative bodies are mainly used in long-term cooperation countries, while research intermediaries³³ are more often channelling funds in Selective cooperation countries.



³³ Research intermediaries are for example a) prominent global and regional research networks that promote research in a particular area of relevance for the development agenda, and b) think tanks or institutes linked to universities that carry out research on pertinent topics or implement programs, e.g. Raoul Wallenberg Institute.

The trend is clearly towards channelling more funds through international development aid expert organisations as intermediaries. Increases are also noted for research institutions and administrative bodies (platforms).

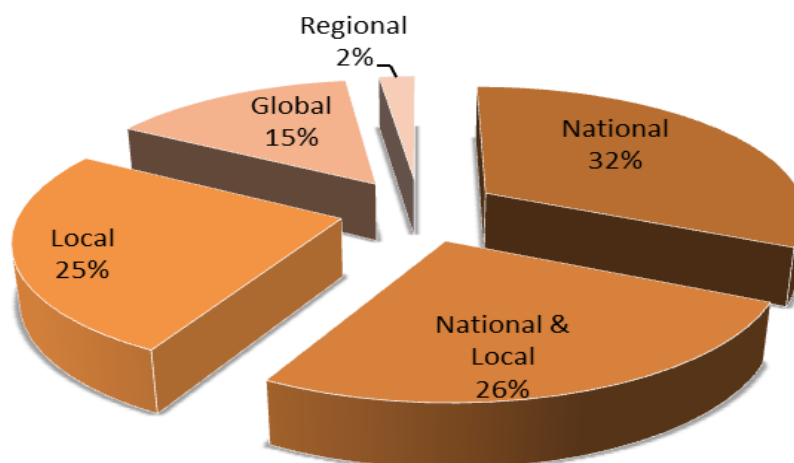


There are both benefits and risks with the increased use of international expert intermediaries. Professionalism, effectiveness and access to global networks are often an advantage, but at the same time country-level offices of international organisations compete for resources, space and influence with national organisations and they are sometimes seen as closer to the donors and donor agendas than to the need and agendas of their southern counterparts. If local ownership, participation and capacity development of local actors are not part of their agenda, they may block partner country initiatives.

4.5.5 Who is supported in the end?

Global and regional CSOs are the end recipients of 17% of the CSO support provided by embassies, such as Oxfam or Save the Children. Local organisations in partner countries are end recipients for 51% of the funding.

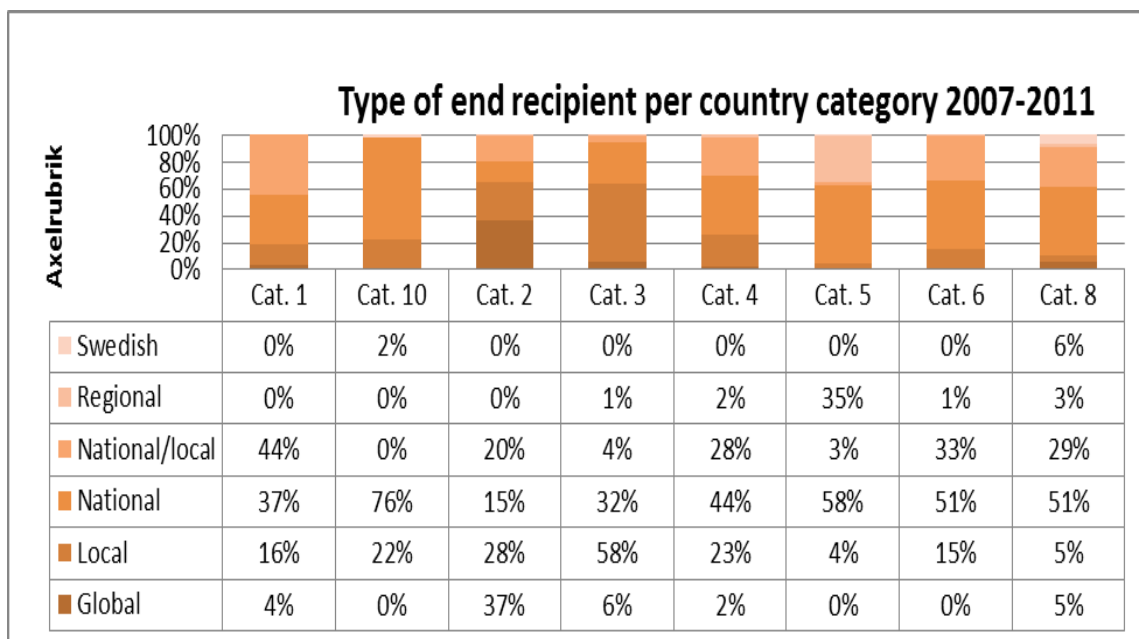
Type of end recipient for country level initiatives



There are often long chains of transactions before reaching the final recipient organisation. It is not unusual that funding passes through 4-6 intermediaries (donor platform – international organisation – national umbrella – national member organisation in umbrella – local district branch – village committee)³⁴. This review does not assess the transaction costs of such chains, nor does it assess the potential added value of the cooperation between the various partners within the chain. Our statistical analyses are based on what is paid from Sida to the immediate agreement partner (as mentioned under limitations).

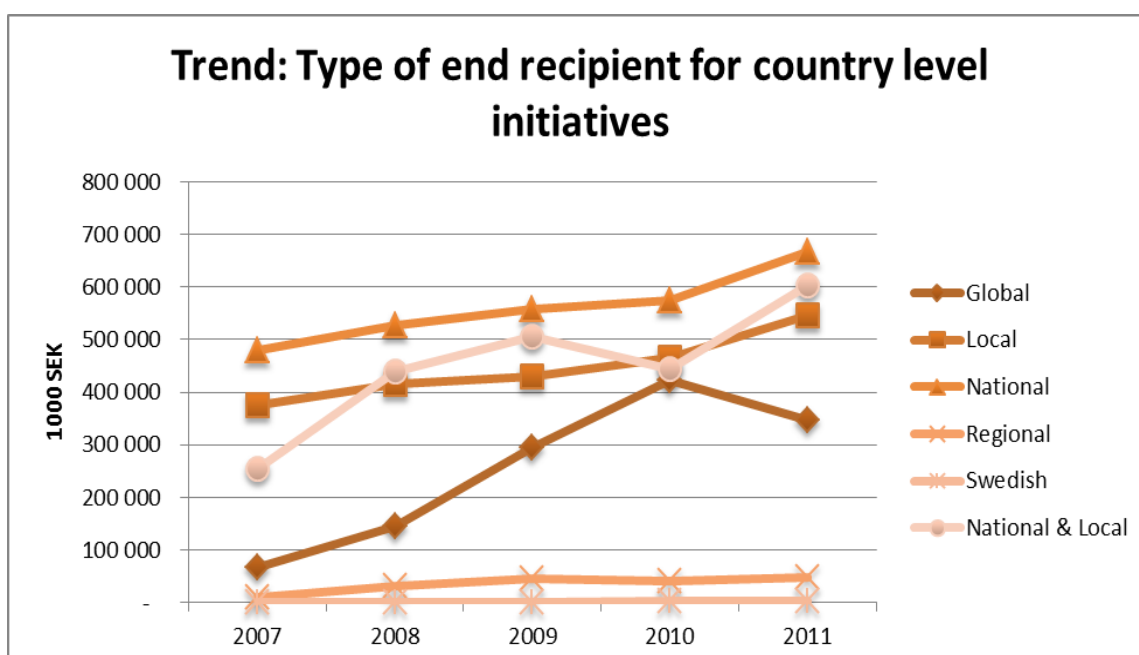
There are, however, significant differences between the country categories. In reform cooperation countries, local CSOs (operating in parts of a country or at district/village level) are often the end recipients of the funding (58%). In long term cooperation countries the end recipients are often national organisations with local branches or local cooperating partners (44%). In category 5 countries the CSO support seldom reaches local level organisations (7%), but often has regional organisations as end recipients (35%).

³⁴ An example is the UNICEF fund in Kenya which gives money to Save the Children, which gives money to a national child rights organisation, which gives money to a CBO, which gives money to community child rights clubs.



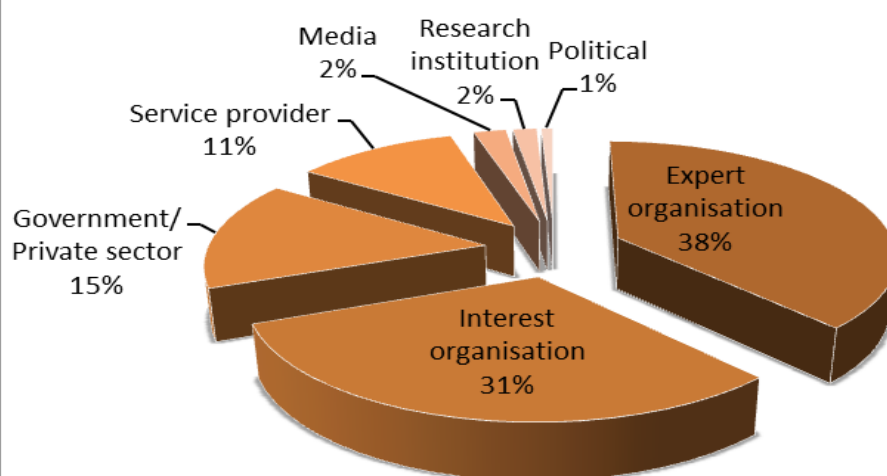
Although they make up less than 1% of the total, it is notable that Swedish domestic CSOs have been the end recipients of 65m SEK, mainly for building relationships with the Baltic countries. Funds have been provided for the capacity development of the Swedish organisations to establish and develop relationships and exchange programmes with partners. This practice can also be seen as a growing trend within Selective cooperation countries and in private sector related interest organisations for export promotion or trade.

One of the spectacular findings of the mapping is the huge increase in support to national and local organisations in partner countries as end recipients in the last year (2011). This trend is most notable in county categories 1 and 3, probably due to the ability of the new modalities to reach out to local organisations in these countries.

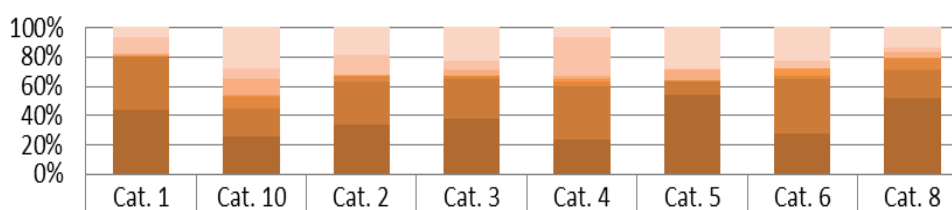


Among end recipients, the expert (38%) and interest organisations (31%) receive the largest share of the funding in the end. These interest organisations are often not grassroots organisations with individual members, but are rather umbrellas for various interest groups. Service providers receive only 11%. Initiatives targeting government or the private sector are increasingly channelled through CSOs. During the period of review this funding represented 15%.

Type of end recipient for country level initiatives

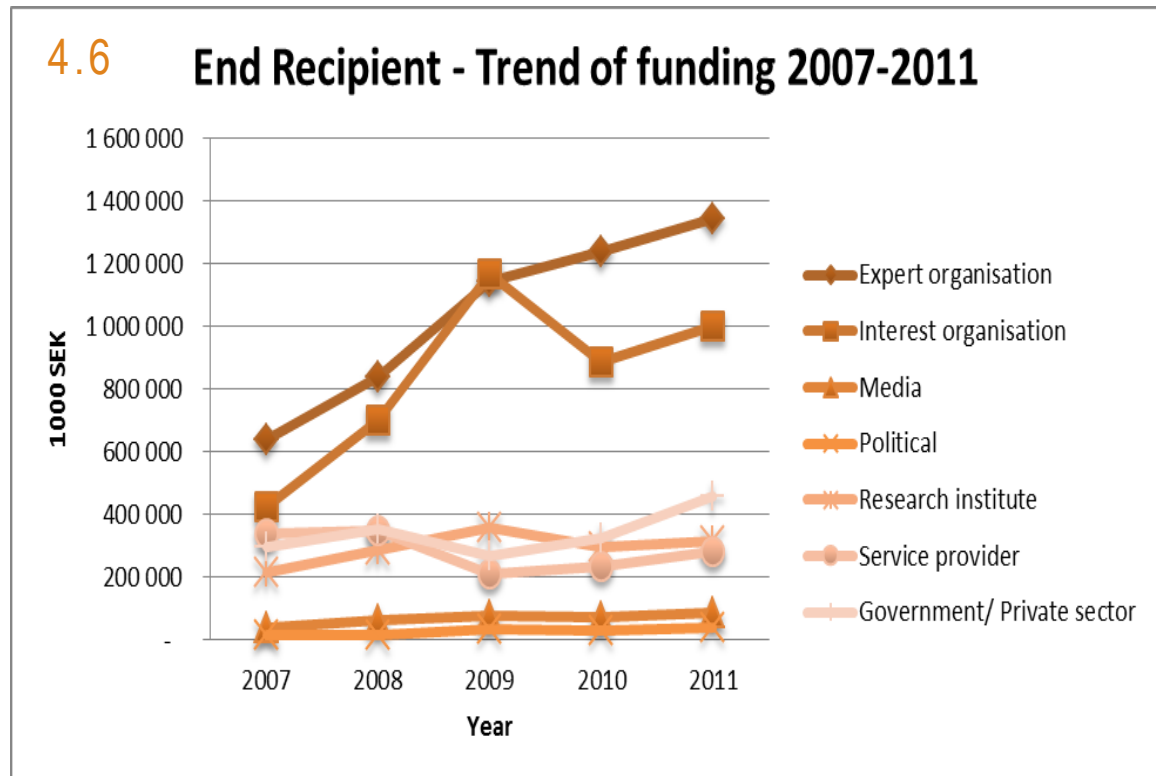


Type of end recipient per country category 2007-2011



	Cat. 1	Cat. 10	Cat. 2	Cat. 3	Cat. 4	Cat. 5	Cat. 6	Cat. 8
Other	7%	27%	19%	23%	7%	27%	23%	14%
Service provider	11%	8%	13%	6%	26%	1%	4%	2%
Research	0%	11%	1%	4%	2%	7%	0%	4%
Political	1%	1%	0%	0%	2%	0%	5%	0%
Media	0%	8%	4%	2%	3%	1%	2%	9%
Interest	36%	19%	29%	27%	37%	10%	38%	19%
Expert	44%	25%	34%	38%	23%	54%	27%	52%

The trend during the past five years is towards a significant increase in funding expert organisations, and to some extent interest organisations, although there is some stagnation since 2009. A new feature is the support to think tanks and research organisations that help embassies to follow trends and keep updated as well as delivering evidence and facts to organisations working on advocacy. CSO support to government and private sector has increased, while support to service providers has decreased.



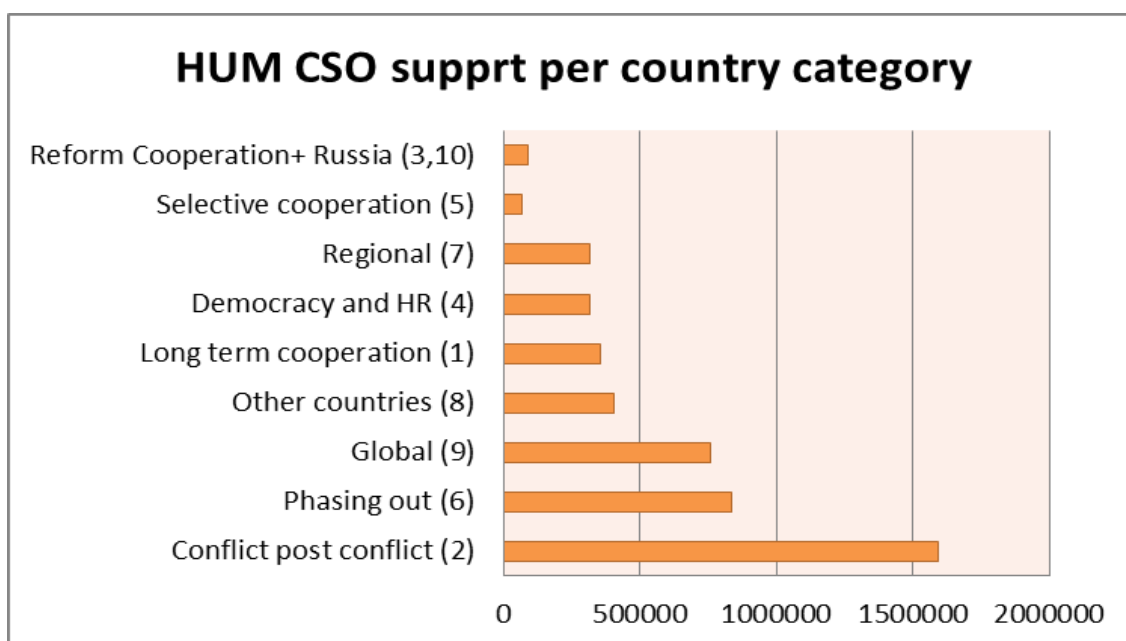
CSO SUPPORT IN THE HUMANITARIAN STRATEGY

4.6.1 Method

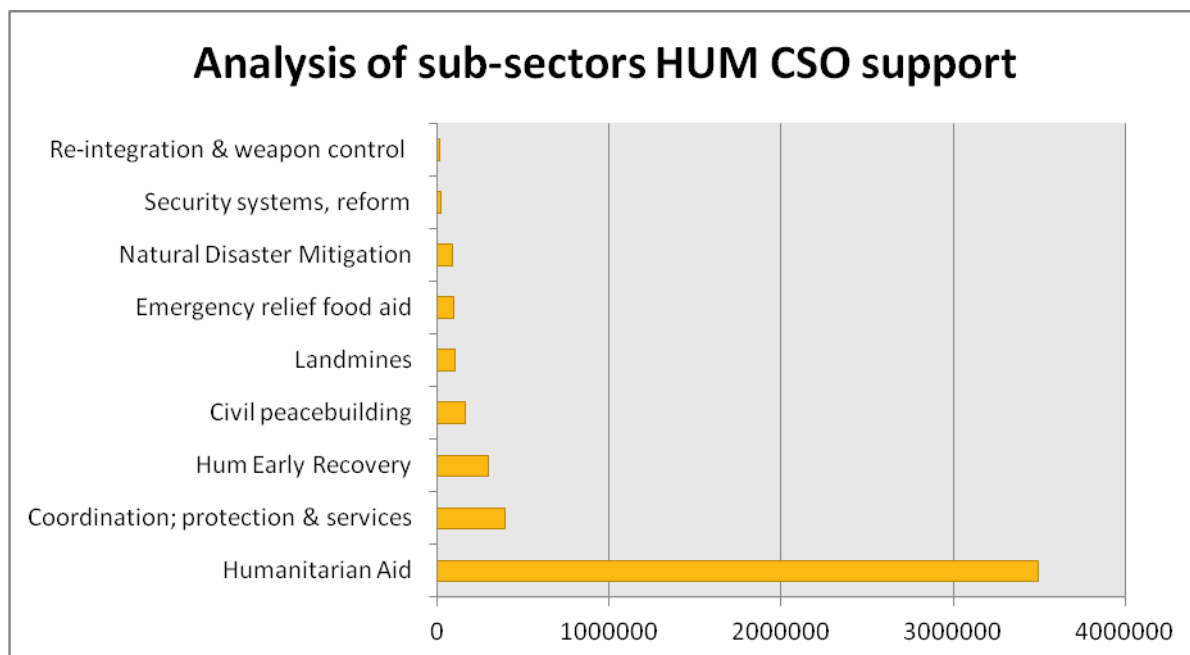
The mapping of the humanitarian support consisted of five interviews with humanitarian unit at the Sida Head Office and programme officers in four selected category 2 countries, namely Democratic Republic of Congo, The Occupied Palestine Territories, Sudan and South Sudan. In dialogue with Sida/HUM and CIVSAM it was decided that no general coding of all the humanitarian initiatives was to be done, as the questions were somewhat different for these initiatives. However, in the interviews with Swedish embassies in the four conflict/post-conflict countries, the coding of a few initiatives was however carried out as a method to give the team a better understanding of the humanitarian aid involving CSOs.

4.6.2 Overview of the humanitarian aid to and through civil society

All in all, the number of Sida's agreements for humanitarian contributions channelled through or targeting civil society (as defined in this mapping), reached a total of 736 initiatives corresponding to a total sum of 4 669 million SEK. Of the humanitarian support a total sum of 1 594 million SEK (34% of total) goes to conflict and post-conflict countries.



When analysing the subsectors in the PLUS list, 75% of the total sum is coded as humanitarian aid. This is also the subsector that has increased most during the period, with almost 50% in 2011 compared with 2007. The subsector Early Recovery also had a big increase, from 0 SEK in 2007 to around 165 million SEK in 2011. The remaining 25% is divided between the other eight sub-sectors where the area of coordination, protection and services is the biggest (8%), followed by humanitarian early recovery and civil peace-building. Just 2% is directed to mitigation concerning natural disasters.



The main purpose of the humanitarian aid is to fulfil the objectives of Sweden's Humanitarian strategy, i.e. to save lives and to mitigate suffering. Civil society organisations are used as a means to reach vulnerable and afflicted populations in emergencies as quickly and effectively as possible. Effective work entails cooperation with and strengthening of local civil society actors. Swedish humanitarian aid does not target any specific sectors or thematic areas and is highly flexible in its needs-based approach.

4.6.3 Selection of partners

Sida's humanitarian support goes through UN bodies, the ICRC or international civil society organisations as intermediaries or implementing partners. Sida HUM has no direct agreement with local organisations in the countries where support is given. This is mainly due to the limited capacity (i.e. insufficient human resources) at HUM and embassies to assess the capacity and performance of local actors. The proportion of support was according to HUM slightly over 50% to the UN system, 25% to ICRC, including IFRC, and around 30% to CSOs.

HUM has 14 frame agreements with the following international CSOs for the humanitarian assistance: Action Against Hunger/ACF International; Church of Sweden; Danish Refugee Council (DRC); Norwegian Refugee Council (NRC); Oxfam (UK); Plan Sweden; Swedish Red Cross; International Rescue Committee (IRC), Diakonia; Save the Children Sweden (SCS); Swedish Doctors Without Borders (MSF); Swedish Islamic Relief; Swedish Mission Council (SMC), PMU (Swedish Pentecostal church-

es). The criteria for the selection of strategic partners were updated in 2011 to ensure transparent and effective selection procedures.³⁵ The new procedures include an assessment of the partnering organisations capacity and competence to work with the capacity development of local organisations and/or authorities, as well as to be able to integrate prevention and recovery perspectives in their operations and partnerships.



As can be seen in the figure above, of the ten biggest international partners among the CSOs, all have frame agreements with Sida/HUM. Two of the bigger organisations also receive significant funding from CIVSAM, i.e. Diakonia and Save the Children Sweden. The largest recipient by far is the Swedish Red Cross, which to a large extent functions as a channel to IFRC. More than half of the total sum of the humanitarian aid through or to civil society goes through Swedish organisations, but the trend is that of an increased use of international channels.³⁶

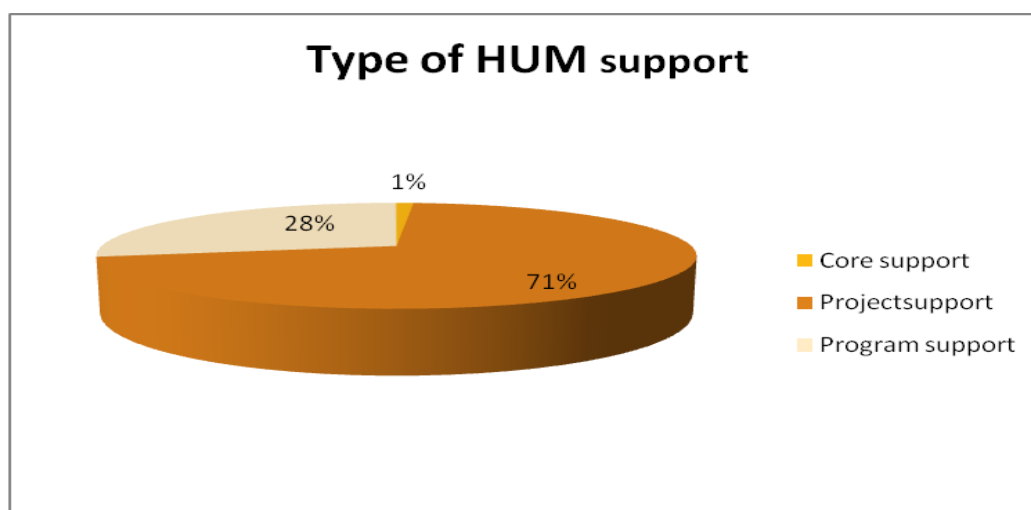
³⁵ The frame agreements are multi-annual strategic partnership with international CSO. The agreements include humanitarian and conflict related initiatives. New [criteria for the strategic partnerships](#) with civil society organisations were developed in 2011. The earlier period of this mapping was guided by another set of guidelines for so-called smaller humanitarian contributions, i.e. a Rapid Response Mechanism (RRM), through Swedish CSOs (Smärre Humanitära Insatser). The RRM constitute a pre-arranged draw-down funding mechanism to enable pre-selected partners to respond quickly to sudden-onset disasters. This system was coordinated with the administration and guidelines for framework agreements with Swedish CSOs in the development cooperation. New framework agreements within the RRM system were entered in 2010 after a formal application process that included new RRM guidelines. The aim is to enable all strategic partners to apply for funds both for ongoing and acute humanitarian crisis.

³⁶ A reference to the Pre-Study on the Danish CSO-support can be relevant here: The Danida Somalia Evaluation highlighted the donor's reliance (in this case Danida) on its relationships with a few tried and trusted Danish CSOs. While there were perceived and real benefits from such a close partnership (such as visibility, ability to act fast, competence and flexibility), the evaluation highlighted the fact that this was seen by some actors (a view shared by the evaluation), as less than fully transparent. The

In the interviews, it was raised that the rather significant dependency on a few known and competent actors entails high vulnerability in conflict affected settings. Protests against regimes or groups in conflict countries may quickly politicise relations and cases of CSOs working in the humanitarian field being accused of interfering or supporting “the enemy” were mentioned. The interviews with Sudan, South Sudan and Afghanistan all gave examples of when an intermediary international CSO partner had been expelled from the country and Sida was forced to find another partner.

4.6.4 Trends in humanitarian aid to civil society

Due to the nature of HUM initiatives, most of the funds are channelled as project support. When core support is provided it is mostly for larger organisations (only 1% of funding is used for core support). Our statistical analysis confirms a strong tendency to further increase project funding mechanism rather than programme and core support. The trend is that project support continues to grow, while programme and core support remain at a small level. A small increase in core support was however noted in 2011. The new form of multi-annual strategic partnership (see footnote above) may have an impact on the level of programme support.



The current trend, according to the Humanitarian Unit, is to use fewer channels by identifying capable core partners with a capacity for rapid response and the management of sizeable allocation. The earlier geographical focus is now being replaced by managing support through one agreement per partner organisation that works on a world-wide basis, which will result in fewer agreements.

evaluation contrasted this with the DFID approach in Somalia, which deliberately sought a wide range of INGOs, with no preference for UK agencies. The Danish CSOs were not however particularly reliant on Danish funding and were in receipt of funds from other donors such as the EC, Sweden and the UK. Sida has similarities with Danida but has opted for agreements with organisations not only based in Sweden.

The focus on fewer actors receiving larger financial support is also combined with a strong tendency to favour professionalised organisations. Some of the smaller Swedish frame agreement partners, as with some other international actors that primarily work on development issues, receive less support because they require too much monitoring, resources not available at HUM.

Humanitarian assistance follows the trend of making greater use of pooled funds, like UNDP programmes. This is particularly the case in regions where Sweden has no representation or where a lack of human resources makes it impossible for HUM to assess applications. Humanitarian assistance needs, of course to be directed to where there is a major disaster, regardless of where donors have offices; thus these pooled funds are helpful. Sida/Swedish MFA are some of the donors that advocate an opening up of these pooled funds to enable more national and international CSOs to have access to the funds. This includes lobbying for changes to those funds that are today exclusively for UN bodies and are not open to CSO applications. In many cases, the CSOs end up being contracted as implementing organisations for these UN agencies anyway. Sida also uses the cluster system, where selected CSOs are represented (for example WASH, Water, Sanitation and Hygiene). While the cluster systems strengthen the participation and voice of certain CSOs in the coordination of some funds, they have not yet been prepared to increase funding for the capacity development of local civil society organisations.³⁷

Another trend in humanitarian aid is the number of new standards for good humanitarian donorship highlighted in the Pre-Study for the Evaluation of the Strategy for Danish support to Civil Society.³⁸ Many recent evaluations also demonstrate how international actors tend to compete with national CSOs for influence and funding. A survey performed by Civicus (2011) highlights the shrinking space for civil society in many states as an additional factor that hinders national CSOs from taking on major roles in emergencies: "In terms of preparedness, state policy (e.g. mining and agriculture policy) is often at odds with CSO efforts towards disaster risk reduction. The

³⁷ Interview with Sida/HUM.

³⁸ In 2003, donors established the Good Humanitarian Donorship (GHD) Initiative to facilitate good practice in coordination and accountability, including development and endorsement of the 23 Principles and Good Practice of Good Humanitarian Donorship, which recognises the role of CSOs in implementing humanitarian action. The European Consensus on Humanitarian Aid was adopted in 2007 by the EU institutions and member states to promote adherence to humanitarian principles. The Humanitarian Accountability Partnership is the sector's first international self-regulatory body and many humanitarian CSOs now comply with standards developed in 2007 and have signed up to a voluntary certification scheme to help make humanitarian agencies more accountable to disaster-affected populations. For donors, there is the Humanitarian Response Index (HRI), also established in 2007 as an independent assessment tool to measure the individual performance and commitment of government donors to applying the principles of Good Humanitarian Donorship.

survey further finds that external agendas are prioritised over local needs as local CSOs find themselves competing with international actors.”³⁹

4.6.5 Building capacity of local civil society

The Swedish Humanitarian Strategy includes capacity building of local civil society in order to strengthen their ability to quickly respond to crisis and catastrophes, namely the sixth area of the strategy: “Strengthened national and local capacity to meet humanitarian needs”. This is related to disaster preparedness, one of the aspects of DRR (Disaster Risk Reduction).

Respondents at Sida/HUM point out that a rather large part of the funds channelled via UN and CSO intermediaries are meant for capacity building of local actors, but there is no systematic approach for how to implement, guide and monitor this part of the strategy. Support through the different bodies of the Red Cross Movement includes capacity building of the local Red Cross societies; the Federation has its own criteria for how to work with capacity building.⁴⁰ The larger international CSOs report back on how they cooperate with local partners, including capacity building, but no such information is provided by the UN bodies. Sida/HUM has very limited resources to follow-up on this aspect and has to rely on evaluations and studies.

Sida/HUM is only represented at a few Swedish embassies and most humanitarian assistance goes to countries where there are no Sida staff at all. To be able to engage more with local actors, this mapping concludes that alternative channels would be needed (e.g., going through other donors). In countries where there is Sida representation, dialogue should be strengthened. The model used in Kenya was appreciated, perhaps due to the decentralised HUM function. Other embassies reported that dialogue was very limited.

The above conclusions from the mapping are supported by the findings in the study “Strengthening Local Humanitarian Capacities, Exploring the relationship between practice and policy in Sida’s efforts to improve outcomes from strategic area six of its Humanitarian Strategy” (2011) looks particularly into the issue of capacity building and states that: *“Swedish humanitarian assistance only reaches local civil society actors through international intermediaries: “On principle Sida/HUM does not directly fund local CSOs. [...] this is essentially a product of a lack of assurance that local organizations will be able to provide the services and oversight required to meet Sida/HUM’s reporting standards, combined with a lack of capacity and re-*

³⁹ Pre-Study for the Evaluation of the Strategy for Danish support to Civil Society Sadie Watson, Kristin , Olsen, Cathy Gaynor, Julian Gayfer Final Report, IOD PARC, March 2012, Danida

⁴⁰ Evaluations of the strategies of the IFRC regarding capacity development of its national affiliates should be looked into, as it appears that this is a weakness.

*sources on the part of Sida/HUM to provide the necessary oversight. [...] while humanitarian capacity building at the national and local level is a top priority for Sida/HUM, there is a lack of clarity within the unit on how in practice this goal is realized".*⁴¹

Despite Sweden's, and other donors', efforts to emphasise the role of national and local actors in emergencies, humanitarian aid continues to be dominated by actors from the North. The international community increasingly discusses the need to increase focus on the capacity building of local civil society, as it is heavily related to the discussion on disaster risk reduction (DRR). "Strengthening local capacities serves to reduce risks and is implemented in the pre- and post-disaster settings, as well as in the crisis setting, to mitigate risks in the future and to improve local governance, increasing the accountability of aid systems."⁴²

The evaluators of the 2011 study conclude that *"although a flexible donor, Sida is wedded to the international system, resulting in the majority of its funding being channelled through the international system's established structures, or through established actors operating within the international system's framework. It is a strategic approach that does not encourage Sida to engage with local humanitarian actors directly. Additionally, Sida currently lacks the financial and human capacity to fund local partners"*. Sida could improve in this area the authors say and try harder to influence for example OCHA (The UN Office for the Coordination of Humanitarian Affairs) to make pooled funds accessible for local civil society. They continue to say *"Other donors have begun to pay more attention to the need to support initiatives that will help to strengthen the capability of a more diverse range of humanitarian actors than the more traditional ones, such as local CSOs and civil society networks, to interact with the international system. DFID, ECHO and OFDA (The Office of U.S. Foreign Disaster Assistance) have all supported initiatives to enhance the capacity of these actors to engage with the international system. Sida would be well advised to coordinate with other major donors and to look for opportunities to complement existing efforts."*

4.6.6 OECD DAC recommendations

To finalise this section we take a glance at the 12 OECD recommendations to DAC members regarding humanitarian assistance.⁴³ It has not been within the scope of the study to perform an in-depth analysis of different programmes, partnerships or countries to compare OECD recommendations with the actual practice at Sida HUM and/or how the new criteria for strategic partnership are being implemented. Howev-

⁴¹ Rasmussen, Walker, 2011

⁴² Ibid

⁴³ Towards Better Humanitarian Donorship 12 Lessons from DAC Peer Reviews, OECD 2012

er, on a policy level it can be said that the Sida strategy for humanitarian assistance and the criteria for strategic partnership greatly correspond with the DAC recommendations.

We would especially like to highlight the following OECD recommendations: *“Decide how to decide”*. This is a valid recommendation to the entirety of Sida, not only in the area of humanitarian aid. Interviews with Sida staff showed that clearer criteria and procedures for decision-making, particularly when choosing CSO partners, are demanded. The Criteria document developed by HUM and CIVSAM in 2011 might also be a useful model for similar guidance to other units.

“Invest in your staff” is also highly relevant to Sida. Well-developed steering documents and tools for dialogue and assessment will not be effective without continuous on-the-job training and strong support systems (the accessibility of senior advisors and active support and monitoring from the management). The mapping covers a period when several support systems were disassembled without creating new ones.

The strategic framework		Delivering effective support		Organisation fit for a purpose		Learning and accountability	
Lessons learnt							
1	Provide clear strategic vision	5	Match your vision with your money	9	Coordinate across government	12	Demonstrate value for money and promote learning
2	Promote recovery and resilience	6	Decide how to decide	10	Work to clarify the role of the military		
3	Reduce disaster risks	7	Build strong partnerships	11	Invest in your staff		
4	Prioritise participation	8	Develop rapid response mechanisms				

4.7 HOW HAVE CHOICES BEEN MADE?

General observations

There are a number of different factors that determine the modality of choice:

- Reputation and good track record of organisation at the embassy and among other donors
- Limited choices
- Tradition and relationships (often with Swedish partners)
- Pro-activeness of organisations seeking funding
- Internal capacity limitations at Sida
- Demands for concrete and short-term results
- External political factors and interest of other donors
- Instructions from Ministers

Direct support from embassies to CSOs, as well as to intermediaries, has historically been dependent on “reputation and [a] good track record”, and this can still be said to be the main selection method. The most common explanation from respondents for choosing a particular modality is that they select reputable, skilled partners that have the capacity to implement the agreed-upon programme. Another reason given was that, especially in the case of global and regional initiatives, there were only one or two possible actors on the arena.

Some respondents mention that proactive organisations that were smartly interpreting Sida priorities and trends also had an advantage. In reform cooperation countries, selective cooperation countries and in the Baltic countries, the willingness of Swedish organisations to engage in relationship building is of key importance and consequently “interest, pro-activeness and on-going relationships” will be the overriding selection criteria.

A wish to implement the principles of aid effectiveness through, for example, coordinated support aimed at core funding for local CSOs has, in a number of countries, been instrumental in guiding the choice of modality. However, very few have made a strategic mapping of the CSO arena to inform their choices. All in all, we found nine strategies that had created strategic mappings, and had developed and selected modalities and CSO agreement partners based on deliberate and transparent criteria and objectives.

“DAC members value CSOs as partners when they have grass-roots knowledge of needs in developing countries, expertise in specific sectors, knowledge of public opinion and as advocates for human and civil rights, fighting poverty and environmental degradation, improving public governance and making international policies more development-friendly.” Partnering with Civil Society, OECD 2012

The team also came across examples of cases where direct instructions from representatives from the government had decided or influenced the selection of CSO partners. This was mentioned in the European context and in Global programmes where certain organisations had been “promised” support by Ministers.

However, internal factors at Sida also played a major role in modality selection. These internal factors include a lack of human resources and capacity to keep updated with local developments and to administrate and monitor partnerships, as well as increasing demands for less risk taking and a clearer results focus. Because of Sida’s limited human resources and an aversion to risk, well-reputed CSOs with substantial operations are often the preferred recipients of support. Generally contributions below SEK 10 million seem to be too small for Sida to handle in a direct agreement relation. At Sida, transaction costs are present in the discussion of different modality choices, but it is not clear to the review team if there have been serious assessments of how these costs could be measured or considered.

External factors were also mentioned as being important for modality choice – including the space available for CSOs to operate in and the quality of donor coordination. For example, in some countries UN agencies are seen as strong and competent and able to serve as intermediaries (Kenya), while in other countries this is not the case.

In some countries there were good donor coordination mechanisms and likeminded donors (Tanzania); while in other countries this was not the case. In some countries legal limitations for LGBT or human right defender organisations made it imperative to work with international organisations or regional networks (Belarus, Uganda) and so on.

Using Swedish organisations

The use of International Swedish CSOs is significant. It is safe to say that there is a certain bias towards “Swedishness” in the embassies choice of intermediaries. This is not surprising as cooperation between Sida and many Swedish CSOs has a long history and they have mutually shaped the approaches and strategies of one another. The *Outcome-Oriented Evaluation of Diakonia's Latin America Program*⁴⁴ quotes Sida's website: “Swedish non-governmental organisations have played an important role in shaping Swedish support to Latin America since its inception. Many of the organisations that are supported by Sida's Division for Cooperation with CSOs have a presence in the region, where they work together with local partners.”

The study on Direct or Indirect support to CSO (2003) also mentioned the strong link to Swedish organisations. It claims that support to civil society through intermediaries is mostly done through Swedish CSOs, especially in countries where there are Swedish CSO staff/offices and where long relations with the Swedish embassy exist.⁴⁵

These two references are consistent with the DAC data from 2009: DAC members provided around five times more aid through CSOs based in their home countries than through international CSOs and local CSOs in developing countries.⁴⁶

Using calls for proposals

Calls for proposals are used by many other donors as a way of selecting intermediaries and CSO partners in a transparent and fair manner. Calls for proposals are also frequently used by some of the Sida intermediaries, especially by the newly established CSO-granting platforms and sector-based umbrella organisations.

However, very few Sida respondents mention “calls for proposals” as a modality that was preferred. It was seen as cumbersome, risky and donor driven. There are only a few examples where Sida itself is using calls for proposals as a selection method. The Swedish Government's *special initiative on children and young people's right to*

⁴⁴ Swedish Democracy Promotion through CSOs in Bolivia, Guatemala, Nicaragua and Peru, Outcome-Oriented Evaluation of Diakonia's Latin America Programme, Staffan Löfving, Charlotta Widmark, Roddy Brett, Victor Caballero, Miguel González, Cecilia Salazar, Fernanda Soto, Sida Evaluation 2008:02

⁴⁵ Direktstöd som instrument, Erfarenheter av stöd till det civila samhällets organisationer, Per-Ulf Nilsson, Jocke Nyberg /CONTEXT May 2003, Sida

⁴⁶ How DAC members work with civil society organisations, An overview 2011, OECD

health, primary education (MDG2- Millennium Development Goal) and employment and the *Special Initiative for Democratisation and Freedom of Expression* are examples where Sida gets direct guidance and instruction from the MFA. In the latter Sida selects its recipients of support through a call for proposals. The support is then given either in the form of core, programme or project support and can be used for capacity development, such as increased capacity for management and administration, as well as for time-bound activities such as the dissemination of information, campaigns, training and legal activism. Some respondents at embassies raise questions on how the special initiative is coordinated and feel that embassies should have been consulted before decisions were taken.

Specific CSO guidelines (on a country basis)

As a response to the aid effectiveness agenda, nine embassies have developed specific CSO strategies or guidelines.⁴⁷ The principles of coordination, alignment, transparency and ownership have inspired the embassies to reform their work and to initiate a discussion among donors. These CSO guidelines are also a response to internal demands and restraints i.e. insufficient human resources to plan and follow up on all partnerships.

Especially in long-term cooperation countries, there are examples of comprehensive support modalities based on clear guiding documents (guidelines or similar). For example in Tanzania, Mozambique, Kenya and Zambia, funding to CSOs is steered by clear and transparent guidelines, either through grant management long-term partnerships, or through intermediaries (clusters). Ethiopia has detailed its guidelines through a system of calls for proposals. Tanzania has chosen to enter into long-term partnerships through core-funding to national CSOs. Ukraine has a similar approach to that of Tanzania. The embassy in Mozambique has chosen to select a number of International CSOs who coordinate support with specific criteria such as long-term core-funding focusing on voice and accountability. The same goes for the bilateral support to Ethiopia, where both national and international CSOs have developed criteria for sub-granting. Zambia has a tailor-made platform, using a call-for-proposals, coordinated among a number of donors. Kenya has sector-based platforms, which also use calls for proposals. UDNP has been selected as the joint donor platform for support to democracy and human rights sector and an auditing firm has been used as the intermediary for a microcredit scheme to local farmers' associations. All examples of elaborated guidelines show that the principles of aid-effectiveness have been considered, but that the modalities come out looking quite different, depending on the context and the approach taken by staff members and consultants.

⁴⁷ Refer to the document "Snap Shot of CSO support in Swedish development strategies".

4.8 WHAT ARE THE VIEWS ON THE DIALOGUE AND SUPPORT FROM CIVSAM?

Most HQ units and embassies indicate that there is no regular contact with CIVSAM today. The embassies conveyed that when there is interaction, the relations are sporadic and is primarily initiated by a CIVSAM programme officer who is performing assessments or monitoring trips to embassies. Some respondents stated that there is interaction and cooperation when CIVSAM assesses the three-year applications from the frame organisations (i.e. when they need input from the embassies) and when CIVSAM does monitoring trips to countries where Sweden also has embassies. Afghanistan, Mozambique and Liberia mentioned receiving crucial support when developing their funds/mechanisms (even though they would have liked more). Some respondents had received help to identify consultants. There were also a few examples where interaction with CIVSAM was reported to have improved during the last year.

A number of embassies and HQ units are reluctant to interact with CIVSAM because they are afraid to be burdened by more regulations and guidelines. This may be based on general discontent with the communication between the policy level and the implementing level at Sida. Most HQ respondents did not see any need at all for interactions with CIVSAM with regard to their CSO support.

Respondents at embassies that wished for more dialogue with CIVSAM supported initiatives in their respective countries and saw it as a first step that there was mutual information and consultation about CSO support. Examples were given of CIVSAM-supported initiatives that were counterproductive to peace and security. Examples were given regarding the approaches taken by some faith based FOs. There was a strong urge for coordination and dialogue pertaining to proposals presented to CIVSAM that regard programmes in conflict/post-conflict settings. An increased knowledge at CIVSAM on aspects on prevention, DRR and humanitarian aid was also requested.

A wish for more consultations was also expressed by non-conflict countries regarding the (longer-term) HUM initiatives in their respective countries. Kenya was identified as a positive example.

Many units and embassies considered CIVSAM to be difficult to approach and it was unclear what kind of support and services they make available. It was said to be difficult to assess information that was still produced in Swedish and to contact the relevant staff member. It should be mentioned, however, that some key persons at CIVSAM are known for their pro-active approach. This is of course positive, but seems to depend more on the individual than on institutional practice.

4.9 LEGAL CONSIDERATIONS

There are some un-clarities regarding the legal conditions for CSO support and choice of modalities (as indicated in the ToR). As part of the assignment the team therefore consulted Sida's Legal Unit. They mentioned the following risks of the CSO support being at odds with the legal provisions

- *The risk that CSO support is given under very tight terms of reference which are similar to consultancy contracts.* If so, the contribution is at odds with the law on public procurement (LOU 2007:1091⁴⁸). Our mapping showed that this could be the case in some of the initiatives studied, and perhaps increasingly with the trend of using "expert organisations". In some cases there is only one possible actor in the arena, but in many cases the selection is based more on traditional relationships or "reputation". Also Swedish actors are often given preference, as they are considered "more reliable".
- *The risk that Sida hands over its authority to take decisions on expenditures.* This risk is linked to the indirect support modalities, especially the newly developed donor platforms that are established with the sole task to make funding decisions and to monitor the grants. The MFA has initiated a legal review on the legality of these platforms. There is no information on the time frame for this investigation.
- *The risk that the support is against the 16§ in the instruction 2010:1080 which states that the government may not provide support to private companies which gives them advantages in the competition with others.* This could be the case when supporting for example private universities or research institutions. For example a large amount of support has been given to 3ie.⁴⁹

4.10 WHAT ARE THE VIEWS OF THE CSO PARTNERS?

We interviewed CSOs that had experience with various Sida modalities (HUM, CIVSAM, other HQ units and embassies). The interviewed CSOs expressed that they, in general, have had positive experiences entering into agreements directly with the embassies or units at Sida HQ. Sida is considered to be a long-term, generous and flexible donor, with an interest in developing strategic support to civil society (mostly). There is, however, a risk that Sida's increasingly-specific instructions make CSOs more donor-driven, in contrast with Sida's own policy and support to international agreements that respect CSOs in their own right. CSOs have experienced receiving different instructions and conditions from the various Sida units/embassies.

⁴⁸ Lagen om Offentlig Upphandling, The Law on Public Procurement

⁴⁹ <http://www.3ieimpact.org/>

They seem to require different application procedures, different formats, different financial conditions, different coverage of administrative costs, different reporting requirements, etc.

The CSOs stated clearly that there is a lack of coordination between the units at Sida, although in the case of European reform cooperation countries, there is a focal point for each big CSO partner, as within CIVSAM. It seems that a lack of common ground also opens up for a personalised approach from different embassies and units. Several interviewees expressed that they experienced unmotivated turns in relations and support when staff shifted, and thus a lack of institutional approach. Such an approach should acknowledge the need for internal dialogue and not solely trust in policy, guidelines and instructions. International CSOs were, generally, more positive to Sida, describing the organisation as genuinely interested in policy dialogue and in developing a transparent system based on the principles of aid- and development effectiveness.

The CSOs called for an improved internal dialogue at Sida and the need for a transparent, uniform and institutional system to support CSOs directly and via intermediaries. Swedish CSOs appreciated CIVSAM's attempt to coordinate Sida units but assessed that coordination could be improved. In one example, it was mentioned that representatives from Sida units at HQ did not respond to invitations to attend yearly meetings to discuss the strategic plan and report from the CSO, which is an essential process to understand the development of the organisation as an actor in its own right.

The lack of common conditions and coordination was also commented on by embassies that support organisations that are also receiving support through CIVSAM and HUM. They had experienced that CSOs sometimes received parallel financing through the different Sida modalities, which they saw as very problematic. Embassies also saw the different conditions as temptation for well-informed CSOs to "shop around" the various Sida support modalities, as they require different levels of financial and administrative effort.

5 How does Sida's CSO support fare?

5.1 FIT FOR PURPOSE

5.1.1 Supporting CSOs as a means or in its own right

As the purpose of using CSOs (expressed by most respondents) is mainly a means to achieve strategic objectives in thematic and country programs or to save lives, it is logical to use international expert organisations with excellent track record and capacities as consultants and implementers. At country level, this may be effective in acute emergencies and in order to achieve short term results, but will not necessarily build sustainable local capacity to deal with disaster risk reduction and contribute to sustainable social, political, economic and environmental development and peace. Overall the use of CSO as means is increasing – not decreasing. Positive trend is however noted, especially in long term cooperation countries where CSOs are increasingly supported in their own right and in global programs.

In nine countries there are examples of funding modalities⁵⁰ that are based on a comprehensive situation and stakeholder analysis and are especially designed to be fit for the purpose of a) monitoring government and private sector initiatives on the local/district levels b) supporting participation and local organisation for improved conditions for poor and marginalised groups. In many other countries and regional offices strategic processes have been initiated.

5.1.2 Supporting capacity building of national and local CSOs

Using expert organisations as implementers may be fit for the purpose of promoting global level improvements of research, policies and practices. It is also deemed fit for purpose in emergencies and disaster responses which require huge initial resources. Recognised professional organisations might also ensure solid administration, systems for exchange and learning and, if this has been considered, a good out-reach to local CSOs. However- long-term sustainability requires a fully integrated rights-based approach in expert organisations work.

⁵⁰ Ethiopia, Kenya, Uganda, Tanzania, Zambia, Ukraine, Mozambique, Colombia and Special Contribution for democracy

To be effective in the long term and to engage with disaster preparedness/resilience and social/political change in a sustainable manner, men and women living in poverty and oppression must not only be assisted and spoken on behalf of. They also need to be empowered to address their situation and claim their rights. CSO support would need to promote local participation and organisation to make this happen. It is assessed that only a few of the present CSO funding modalities are fit for this purpose. Positive examples are however found in some of the embassies that have worked strategically to develop their CSO funding modalities. This has led to a dramatic increase in support to national and local CSOs in these countries. In these countries, core support has also increased, but mainly for the intermediaries and not for the end recipients.

5.1.3 Two different schools

This review demonstrates that there are two different 'schools' of these new funding modalities. Both consider in different ways the aid effectiveness agenda. The first is emphasising direct bilateral support with selected strategic national partners that can reach the grassroots and deliver results. The second school is working in line with the Aid effectiveness agenda to form joint CSO platforms, creating another layer of intermediaries that can coordinate support to the strategic national partners of their choice. These platforms have the advantage of providing joint donor approaches to CSOs lessening their administrative burden. The idea is that it should release more time for dialogue and analysis. Disadvantages include reduced direct influence and control of Sida. Sida staff argue that this also leads to less contact and dialogue with the national and local civil society. Also, civil society may want a dialogue with Sida to increase their clout and for political protection⁵¹.

It is still too early to assess if the new funding modalities are fit for purpose as few have been evaluated to see how well they fare. The review of the CSO-fund FOS⁵² in Colombia (2012) and the evaluation on the Forum Syd/Diakonia Democracy and Human Rights Programmes in Cambodia (2012) give several recommendations on how to develop and improve the mechanisms but agree that in general the funding modalities are fit for purpose. There is also an upcoming Mid Term Review on the AGIR⁵³-mechanism in Mozambique that will be of great interest. The mid-term review of the Zambian Governance Foundation (2011) focuses more on the administrative challenges than on the results and fit for purpose. There is also an upcoming Mid Term Review on the AGIR[2]-mechanism in Mozambique that will be of great interest. A mid-term review of the Zambian Governance Foundation (2011) focuses more

⁵¹ Evaluation of Framework Organisations in Colombia

⁵² The Fund for the Colombian Civil Society for Peace, HR and Democracy

⁵³ Programa de Acções para uma Governação Inclusiva e Responsável

on the administrative challenges than on the results and fit for purpose. There is also an evaluation of the Ethiopian modality (2011) that provides some lessons.

5.1.4 Advantages and risks of various choices

Various modalities come with pros- and cons. When selecting a modality there are many considerations that may influence the choice. These need to be carefully discussed and balanced in each context. The following may influence the choice

- The need for CSOs as means vs a force in its own right
- The need for understanding of the Swedish agenda/policy vs aid effectiveness agenda
- The need for specific technical knowledge vs the need for facilitation of local capacity development
- The need for high capacity and international networks – vs local ownership
- The need for contextual knowledge vs the need for impartiality
- Direct contacts and dialogue vs less administration and higher transaction costs

The table below list advantages and disadvantages with the various modalities expressed by Sida respondents.

Modality	Advantages	Disadvantages/Risks
Swedish domestic CSO intermediary	Considered for its possible technical or thematic expertise, professional networks and trust.	Risk of limited added value in many development contexts, based on lack of contextual knowledge and competence in results based management, organisational development, development cooperation frameworks.
Swedish international CSO intermediary (with development cooperation experience)	Considered for its possible common value base, knowledge of Swedish development policy, easy communication, trusted, relationship guided by Swedish legislation, often with good international networks. Often fits well in conflict/post conflict settings where mistrust between groups exists, and there is a need for a neutral, well respected party to control funding, ensure transparency and arrange neutral meeting places (e.g. Western Balkans, Middle East).	Contextual relevance is not guaranteed. May not build local capacity in partner countries. Added value needs to be specifically spelt out in each case and related to cost effectiveness. Risk of being supply driven e.g. relationship building in the Baltics and selective cooperation countries.
Partner country intermediary	Often good contextual knowledge and understanding of political and power	Risk of giving power to some organisations at the expense of others. Risk of intermedi-

	relations. Can contribute to local ownership and local CSO capacity development on a solid and long term basis. Funding goes directly to partner country. Low transaction costs.	ary developing own agenda (e.g. OPT), Risk of politicised agenda, especially in conflict/post conflict settings. Risk of intermediary being unfamiliar with Swedish development goals and policies or unwilling to work in line with these (LGBT rights, gender equality, transparency, accountability etc.)
UN agencies as intermediaries	Many times well-reputed with good competence and capacity, but big differences between countries and agencies. The UN is less political and can come in where there are conflicts.	There are examples of UN agencies being bureaucratic and ineffective. Many staff changes affect leadership and control negatively. Swedish influence may be small. Difficulty to get reports related to the Swedish cooperation objectives.
International organisations as intermediaries	Can be chosen for its technical or thematic expertise. Can be used as consultants and for service delivery. Many have national offices with good administrative capacity and contextual knowledge. Good networks. Expertise in development cooperation and humanitarian assistance. Good track record, Quick and effective, Safe. (e.g. Red Cross, Save the Children)	May take the role, space and funding from national/local organisations. Limits the role and influence of national/local organisations.
Direct modalities	You are closer to the partner, can trace results of your own contributions and have more influence. Getting first-hand information from the field to bring into the dialogue. Helps keep updated on contextual developments. Lower transaction costs. Often fits well in support to human rights defenders, think tanks, research organisations and sector umbrellas that have a lot of information and contacts to offer to the Swedish dialogue. (e.g. Kenya, Turkey)	Increases administrative burden of partners and the administrative role of donor. Risk of donor driven organisations rather than vision driven. Organisations become implementers of Swedish agenda rather than agents of change on behalf of the local CSOs or international networks. Needs systematic mapping before selection. Be aware of changes in context and new actors on the arena. Compare and share with other donors.

Indirect modalities	There are possibilities of reaching a large number of organisations, all over the country in districts and communities instead of a few in the capital. Experience shows that it works well in local governance programs and in sector programs where service delivery needs to be monitored at the grass root level (agriculture, environment, health, education, rural development sector programs etc.)	Risk of losing contact with realities of people on the ground. May bring high transaction costs. No direct input to dialogue. Difficult to select the most effective intermediary.
Joint donor platforms – created or developed to serve as intermediary between donors and CSOs in various sectors	Donors are able to influence focus of support, selection criteria and administrative set up. Joint funding and reporting requirements facilitates administration of CSO partners. Can reach many more grass root organisations (e.g. Zambia, Uganda), which is not possible with embassy staff only. Reduces risk of double financing, increases transparency. In line with Aid effectiveness agenda.	Flock mentality and donor driven agenda, limited ownership by partner country organisations. Risk of disagreements in donor group/board, risk of long chain of intermediaries, corruption risk. Less contact with the realities on the ground and the networking with local actors. Difficult to attribute results to a specific donor.
Bilateral arrangements with partner country platforms/umbrellas or organisations as intermediaries	Sweden has direct dialogue, can learn from partners and influence focus of support. Mutual benefits, mutual strengthening of capacities and close dialogue. Can reach out to many grass root organisations, context relevance is good, funding goes to partner country (e.g. Ukraine, Tanzania)	Organisations become implementers of Swedish agenda rather than agents of change on behalf of the local CSOs. Gives power to some organisations at the expense of others. Affects power balances. Risk of double financing.

5.2 RESULTS IN RELATION TO CSO POLICY

Sida is a strong driver of change for aid effectiveness and more donor coordination. The principles of aid effectiveness are present in the guiding documents and have to a certain extent influenced the setting of new modalities for civil society support, especially in long-term cooperation countries.

The study shows that even if there are different examples where the CSO policy has influenced guidelines and new funding modalities, a quite pragmatic approach to civil

society support is common. Civil society support is mainly used as a means to achieve geographic or thematic strategic objectives. CSO support is seen as a complement and the embassies and Sida units are, mostly, content with having a flexible approach. There are advantages of having the possibility to adjust according to political and social changes and this possibility could perhaps be retained within a refined strategic framework. Otherwise there are risks that the principles of aid effectiveness are not taken into account and that CSOs are not seen and respected as actors in their own right, but only as a more cost-efficient implementer than the embassy.

When comparing the Sida CSO support modalities used by “other” channels (excl. CIVSAM and HUM) with the “markers” of effective CSO support used in this mapping, the following picture emerges:

Marker	Result Global Strategies	Result regional strategies	Result national strategies (of the interviewed)
Having a deliberate CSO funding strategy based on up to date context analysis, transparent and clear guidelines	No, except Special Contribution for democracy. Emerging discussions in Research.	Emerging	Nine have completed strategic processes, 7 have on-going processes, 20 have initial/emerging discussions and 4 have not started
Moving towards a bigger share of CSO support in development aid (in strategies with small shares)	Yes	In some	Yes
Moving towards more support to CSOs as independent actors in their own right to ensure local ownership and sustainable empowerment	Yes, combinations are more common	Yes, combinations are more common	Only in some country categories
Moving towards more core support and less project support.	Yes, a lot	Yes, but program support increase most	Yes, a little - but mainly in category 1 countries. Program support is increasing most.
Moving towards more support to the empowerment of rights holders to address their situation and claim their rights through constituency based interest organisations and less to consul-	No, expert organisations and research institutes increase their share and interest organisations are reduced – as end recipients. International CSOs continue to grow as preferred direct	No, expert organisations increase their share and interest organisations are reduced – as end recipients. International and regional CSOs continue to grow	No, expert organisations increase their share and interest organisations are reduced – as end recipients. International CSOs continue to grow as preferred direct agreement partners, although emerging national platforms are seen

tancy like project implementing expert organizations	agreement partners and implementers.	as preferred direct agreement partners and implementers.	in some countries.
Moving more towards support for long term capacity development of international, national and local CSO for (social, political, economic and environmental change, sustainable peace and disaster risk reduction) and less to support for the kind of CSO service provision that replaces the responsibilities of the state	Yes, focus is increasing on capacity development of the international actors to enable them to influence the global development agenda and enhance research capacity.	Yes, some.	Yes, in all country categories. Also support to combination of service provision and promotion of change is increasing; making service provision part of a human rights based approach.
Moving towards more joint funding mechanisms	Bilateral, direct arrangements are most common and increasing. There is focus on separate reporting for "Swedish funded results".	Bilateral, direct arrangements are most common and increasing. There is focus on separate reporting for "Swedish funded results".	Bilateral, direct arrangements are most common and increasing - although in some country categories joint platforms and indirect funding are becoming the main modality. There is still focus on separate reporting for "Swedish funded results".
Moving towards more support to national and local partner country CSOs and a greater local ownership and influence of the support	N/a. The global strategies focus on strengthening global movements and actors and cannot be judged by the funding channelled to national and local levels.	N/a. The regional strategies focus on strengthening regional actors and regional co-operation and cannot be judged by the funding channelled to national and local levels.	Yes, a dramatic increase, especially in 2011 and especially in Category 1 countries of having national and local level end-recipients. There is a positive shift also in category 2 countries. Funding is still increasingly channelled through and controlled by international CSOs.

5.3 LESSONS LEARNT

5.3.1 Lessons

Strategies are viewed to be overriding Policies

The geographic and thematic strategies are viewed as the key guiding documents for Sida's work. Unless the CSO policy is integrated into these strategies, it will not affect CSO support modalities at Sida⁵⁴.

The problem of playing it safe

Support to the same CSOs continues because it is convenient and has worked well and because good relationships already exist. Motivation to change is limited and new ideas even rejected. Making changes requires considerable effort (mappings, selections procedures, guidelines) which requires resources and increases the risk of not being able to deliver results. Convincing staff to take on such work requires convincing arguments and financial and human resource support, apart from directives in the relevant thematic or geographic strategy.

Conflicting signals

The demands on control, professional systems and delivery of results are difficult to combine with the aid effectiveness agenda which requires donor coordination, local ownership and empowerment of local actors. Small, new organisations without the required systems are increasingly excluded from support, despite some efforts to offer capacity building as a preparatory step.

Not one way to go – but what fits where and when?

In the handful of embassies/HQ units that have developed strategic approaches and clear guidelines for their support to civil society, the chosen support models are quite different. The context and purpose have guided the design, as should be the case, but also the views of consultants and staff involved in the development process. The modalities range from various sector platforms and joint donor funds, to direct strategic relationships with selected CSOs. There is clearly no format that fits all, but the justification for the different choices is not obvious and sometimes seems influenced by individual staff and consultants.

The effects of the new modalities is still unknown

Positive and negative experiences are reported from all the new modalities. Positive aspects are the increased focus on national and local CSOs and a reduced administrative

⁵⁴ Since the CSO policy confirms the perspectives within the Busan commitments and the OECD DAC lessons learned, see section 3.3, Swedish commitments and international best practice will not be adhered to in the absence of such integration.

burden. The negative aspects that were mentioned are the risk of losing influence and “touch with the ground”, the risk of corruption (for platforms) and the risk of a lack of local ownership (for direct strategic relationships). All these new modalities have been introduced quite recently and the results have not yet been assessed. The available mid-term reviews that have been carried out so far focus more on the administrative and technical challenges than on the results achieved. There has not yet been systematic documentation and learning from the various models.

Balance between flexibility and strategic approach

Embassies that have argued for and have developed strategic approaches for civil society support have still kept several complimentary modalities. There are examples where embassies have returned to a more pragmatic way of selecting CSOs via “good reputation and/or experience”. In countries where new modalities are in place, there are examples where the ambassador or councillor has opened up complimentary channels for support; for example a special Embassy Fund for minor support to civil society or similar mechanisms have been (re-) introduced. The main argument for this is that there is a need to have room to manoeuvre and to quickly respond when the political context and development process changes. Modalities with set guidelines in place have been perceived as too static or rigid. While it is important to have mechanisms that allow rapid response rapidly to emergencies and political opportunities, these also have to have some guidelines. Otherwise the strategic approach is undetermined. The balance between flexibility and strategic approaches seems hard to strike.

Legal aspects are unclear

In some cases, Sida staff expressed uncertainty about whether the selection process is in line with Sida regulations for procurement. The CSO definition includes actors that are very similar to private companies. Some arrangements are consultancy-like and some are directives from representatives of the government. The legal conditions need to be communicated clearly by Sida's Legal Department.

Data system and language barriers

The PLUS system and the codes used do not reflect the reality of how civil society is supported; the biggest weakness is that CSOs that are secondary partners, i.e. agreement partners to intermediaries are not recorded, and it is therefore almost impossible for Sida to keep records of which local and national CSOs are supported by Swedish aid or to keep track of trends in how national actors are supported. Non-Swedish-speaking staff at the Swedish embassies have less access to information and are not able to use the PLUS system in a systematic way, since most of the data is in Swedish.

Learning from experience

Sida's leadership provides insufficient management responses to evaluations and studies. The same messages on CSO support have been presented in studies from 2003, 2005 and onwards, but have not resulted in sufficient learning or action.

6 Conclusions and recommendations

6.1 CONCLUSIONS

The Busan commitments, the OECD lessons and the Sida CSO policy, which all define good practices and guidelines for CSO support, have only to a limited extent influenced CSO funding practices at embassies and Sida HQ units. As found in other Sida studies⁵⁵, guidance from the central level is not always perceived as useful in the field context. Central policies, guidelines and tools have difficulties in influencing practices unless they are:

- part of the thematic or geographic strategy
- a compulsory part of the planning and assessment tool (Sida@Work)
- accompanied by personal dialogue and practical hands on support

Sida's work at HQ and embassies is guided by thematic and geographic results strategies. CSOs are mainly used as means/tools to reach objectives in these strategies. Therefore professionalism, expertise and good networks are highly rated. With few exceptions, the strongest and most well-known organisations are selected as agreement partners at all levels. To reduce risks and ensure delivery of desired results, "reputation", "personal relationships" and "previous good record" are the most common selection criteria for CSO agreement partners. Some of these agreement partners (that serve as intermediaries) use calls for proposals to find the best implementing partner, but this method is rarely practiced by Sida units and embassies (Special Contribution for democracy is an exception).

The lack of administrative resources at Sida's field offices is one of the main reasons for selecting large, well-reputed CSOs that can handle large amounts of resources. Contributions below 10 million SEK seem to be too small to handle by Sida HQ units and embassies. Increasing demands on control, professional systems and delivery of results in combination with expectations on donor coordination and local ownership and capacity development is a difficult equation. Embassies try to manage by working through reputed international organisations or national platforms that can manage the risk and hopefully reach grassroots organisations. However, small and new CSOs without the required systems in place are often excluded from the support. Instead, already strong organisations that proactively approach Sida and have a long history of cooperation with Sida (as the Swedish CSOs) have an advantage. For some of the global and regional support, there is sometimes only one CSO actor on the arena. In these cases selection is not an issue.

⁵⁵ Field Vision 2.0

Because of the administrative constraints and difficulties to take risks, organisations that are proactively approaching Sida or have a long history of cooperation with Sida (as with the Swedish CSOs) have an advantage. For some global and regional initiatives, there is sometimes only one actor on the arena. In these cases selection is not an issue.

The investment needed to review the CSO portfolio, undertake stakeholder analyses and develop more strategic approaches to capacity development of CSOs in partner countries in line with international commitments and recommendations is often not prioritised within the limited human resources of embassies and units. When such a strategic approach occurs, it has often been initiated by a committed individual at the embassy or is a result of pressing needs to reduce the administrative burden and join other donor processes in the country. In total we found that so far 9 embassies had invested in and completed such processes (6 of them in Long term category countries). It is however encouraging that, in many other embassies and regional offices, some initial strategic steps are taken towards a more strategic approach. There seems to be two different “schools”; one that favours development of direct relationships between Sida and a few selected partner country CSOs and one which favours establishment of joint donor sector platforms which can serve as intermediaries for support to partner country CSOs. In both cases the intention is to strengthen support to partner country CSOs at national and community levels. These efforts have resulted in a dramatic increase in the funding that has national and local partner country CSOs as end recipients of the support.

Joint donor arrangements and core funding to partner country CSOs are still rare, although in a few countries new arrangements for CSO support are being developed. Sector related platforms are established to reach out to community and district level organisations and to reduce administrative burden of Sida staff. These platforms are in a development phase and the results are still to be evaluated. While they reach out to many more local CSOs with support, they also create new monitoring and reporting challenges. Often the chain of intermediaries is long. Four levels are common, raising questions about analysis of added value and transaction costs.

The team did identify a few selection procedures which may be in conflict with rules and regulations (e.g. consultancy like procurements, direct influence from the Ministry). There are also examples of CSOs getting complementary funds from Sida for the same programme through various channels without coordination (especially mentioned for HUM initiatives working through UNDP (United Nations Development Programme) modalities and for some CIVSAM framework organisations).

Sida staff at embassies would like to be more informed and consulted in the planning phase regarding CSO support funded via CIVSAM, HUM and other units at HQ which affect their specific country. The CIVSAM CSO database is not known and it does not include all CSO initiatives, such as those of HUM and the Special Contribution for Democracy.

CSOs themselves feel that Sida should have a more transparent framework for their selection procedures and common guidelines for contractual relationships with CSOs (mini-

mum requirements, formats of proposals and reports, common funding conditions). Non-Swedish CSOs feel that Sida favours Swedish organisations.

The table below summarises the strengths and weaknesses of the Sida CSO support modalities during the past 5 years in relation to the international commitments and recommendations.

Strengths	Weaknesses
A good policy, active in global fora and a number of previous studies	The policy is not used enough as guidance and the evaluations equally not used enough for learning
Increased funding and attention to CSO support	International and Swedish CSOs are increasingly the direct agreement partners and controllers of the increased funding, without guaranteeing a rights-based approach and thus sustainability
CSO support focus on promotion of social, economic and environmental change	CSOs are still seen as a means and project implementers, not actors in their own right – but the trend is slowly changing in some country strategies
Increased support to local and national partner country organisations by embassies	International and Swedish CSOs are still the overwhelming choice as agreement partners
Reduced focus on project support	Core support is not the main modality in the majority of strategies and primarily given to the big and strong organisations
Strategic processes to develop effective CSO funding modalities have started in many embassies and are completed in nine.	Most embassies and HQ units have not yet carried out strategic revisions of the CSO support, despite international commitments and the CSO policy.
Flexibility in the choice of modality and selection procedures that can quickly respond to new situations and opportunities.	Lack of transparent selection procedures in many units and embassies, risk of fragmented and ineffective approach

6.2 RECOMMENDATIONS

Sida needs to more seriously consider the commitments made by Sweden in Busan regarding CSO support, the CSO policy and the OECD recommendations on CSO support, in the design of their strategies and their choice of CSO funding modalities. An independent and strong local civil society movement is an essential part of a democratic society that can balance and monitor the powers of the public and private sectors and give voice to women and men who are poor and marginalised. Having a strong local civil society movement also contributes to sustainable solutions in conflict/post-conflict settings and to better preparedness for rapid responses to emergencies. Using CSOs only as ‘implementing organisations’ does not achieve these long-term results, but rather creates a plethora of consultancy-oriented CSOs bidding for projects with agendas set by donors. Such donor-CSO relations undermine the credibility of CSOs, weaken their accountability to their own stakeholders and shift this towards the donors, make it difficult for CSO to engage in longer term planning such as for their own policy and capacity development, and make the claims by adversaries that certain CSOs are donor agents more believable among the public.

Sida units and embassies therefore could consider:

- Giving more priority to strengthening CSOs in their own right and to supporting women and men in partner countries to organise, address their situation and claim their rights. This means for example that there must be:
 - more focus and better tools to identify and support groups and organisations, especially in districts and communities outside the capital, that have potential to work for sustainable change,
 - room for more risk taking in support to CSOs to allow small and new actors in partner countries to grow,
 - more core support/organisational capacity development support to partner country organisations and groups and less focus on project support,
 - a range of effective and transparent funding modalities that can handle a diversity of CSO support within a strategic framework,
 - methods in place for monitoring and measuring both process and performance results of the CSO modalities used and support provided.
- When providing grants to expert CSOs to carry out programmes or projects, sufficient stakeholder analyses and transparent application and selection procedures must be in place. When using CSOs as consultants for studies, management of funds, etc., proper tender procedures must be in place.
- In connection with development of the new results proposals, investing in a review of the CSO support with an aim to ensure an effective mix of partners and funding modalities, and adherence to the global and Swedish CSO policy commitments.
- To develop CSO support and modalities according to the above recommendations, sufficient time must be invested in development of systems, learning and experience exchange, keeping in touch with partner country organisations and monitoring effectiveness of the selected modalities.

Sida/CIVSAM could in particular consider:

- increasing its involvement in the thematic and geographic strategy processes and giving higher priority to ensure that the recent commitments (Busan and OECD) regarding CSO support modalities are considered,
- developing its consultative and advisory role and providing proactive services to embassies and HQ units in CSO mappings, simple check-lists for selection procedures and tendering, transaction cost limitation, CSO capacity development tools, risk analysis, formats for applications/proposals, agreements, financial and results reporting, etc.,
- providing support in terms of a framework agreement with a competent consultancy pool for CSO assessments, CSO support and strategic CSO work,
- Improving dialogue with embassies and other HQ units in order to ensure synergies and the contextual relevance of its own programmes as well as facilitating experience exchange, information sharing and dialogue on CSO support and support modalities, e.g., by strengthening and by making Sida's system of CSO focal points known but also by establishing a civil society support network that includes relevant and interested persons at embassies and HQ units, (such a system for improved dialogue has already been initiated by CIVSAM for 2013, but par-

ticipation by embassies and HQ units is an essential precondition for its successful functioning),

- Evaluating the effectiveness and lessons learnt of the various new CSO funding modalities and facilitate joint learning experience sharing, especially on the regional level.

Sida's Humanitarian Unit could in particular consider:

- Highlighting the importance and relevance of the Sida CSO policy, the Busan Commitments and the OECD recommendations also in humanitarian and conflict contexts. Discussing/agreeing on how to these can be accommodated in the humanitarian strategy context,
- Ensuring that the agreements signed with strategic partners take the Busan commitments and the OECD recommendations into consideration,
- Improving systems for monitoring and guidance of support channelled through strategic partners to ensure that capacity development of local actors is effectively carried out.

Sida's policy- and decision makers could in particular consider:

- Adhering to the Busan commitments and especially the OECD recommendations on CSO support when developing the new strategic results platforms,
- Giving CIVSAM a formal mandate as a focal point for CSO cooperation and sufficient resources to support embassies and HQ units in development of their CSO support portfolio and selection of funding modalities,
- Developing a common framework for Sida's relationships with and provision of support to CSOs (minimum requirements, formats of proposals and reports, common funding conditions), in particular in order to increase transparency and accountability. This recommendation is mainly based on the views of CSO partners,
- Allowing (and expecting) staff at units and embassies to invest time in strategic development of the CSO portfolio and participation in learning and experience exchange networks,
- Recognising the conflict between Sida control and local ownership and allowing more risk taking in support to local CSOs
- Developing the PLUS system so that it uses English throughout the system and captures information on, e.g., type of agreement partner, type of modality, number of levels of intermediaries, transaction costs at each level and type of end recipient,
- Developing the CSO database so that it includes HUM initiatives and the Special Contribution for Democracy; linking it to the Open Aid web-site,
- Demanding clarity from the Sida Legal Department regarding the outstanding issues on grants to CSOs,
- When the Ministry of Foreign Affairs wishes to support CSOs as part of a political or other agenda, this should be in full consultation and cooperation with the responsible staff at embassies and/or Sida units.

Annex 1 – Country Categories

COUNTRIES	DEFINITION
1. Long term cooperation	
Bangladesh, Bolivia, Burkina Faso, Cambodia, Ethiopia, Kenya, Mali, Mozambique, Rwanda, Tanzania, Uganda, Zambia	Countries where Sweden is to conduct long-term development cooperation
2. Conflict & post-conflict	
Afghanistan, Burundi, Colombia, Democratic Republic of Congo, Guatemala, Iraq, Liberia, Sierra Leone, Somalia, Sudan, Timor Leste, West Bank & Gaza	Countries in conflict and post-conflict situations with which Sweden is to conduct development cooperation
3. Reform cooperation in Eastern Europe	
Albania, Belarus, Bosnia & Herzegovina, Georgia, Kosovo, Macedonia, Moldova, Serbia, Turkey, Ukraine	The overall objective of Swedish development cooperation with Eastern Europe is stronger democracy, equitable and sustainable development and closer ties with the EU and its basic values
4. Alternative forms of democracy and human rights support	
Burma, Zimbabwe and two others	Countries with a democratic deficit where Sweden is to carry on efforts to promote democracy and human rights in alternative forms,
5. Selective cooperation	
Botswana, China, India, Indonesia, Namibia, South Africa, Vietnam	Selective cooperation is undertaken in countries where traditional development cooperation in the form of state-to-state support is being phased out but where encouraging actor-driven cooperation of various kinds is still considered worthwhile.
6. Phasing out countries	
Burundi, Sierra Leone, East Timor, Honduras, Kirgizstan, Laos, Macedonia, Mongolia, Nicaragua, Peru, Sri Lanka, Tajikistan.	Countries which have been in category 1, 2 or 3 – but are now being phased out from being Sida priority countries. These countries have not been in focus of this mapping (interviews and

	coding of initiatives) but are part of some of the statistical analyses.
7. Regional Cooperation	
West Africa, Sub-Saharan Africa, Middle East and North Africa, Asia focusing on Southeast Asia, HIV and AIDS, sexual and reproductive health and rights (SRHR) and on the human rights of lesbian, gay, bisexual and transsexual (LGBT) persons in sub-Saharan Africa	Regional strategies are to focus on problems, challenges and obstacles to development shared by a number of countries, and must add specific regional value.
8. Other countries	
All other countries, often within the regional programs such as the Baltic countries and Egypt, but most commonly under CIVSAM or HUM strategies.	Other countries that receive support via Sida, mainly in humanitarian assistance and via CIVSAM CSO partners
9. Global cooperation	
Global programme (Globala ämnesstrategiska utvecklingsinsatser), Special Initiative for Democratisation and Freedom of Expression, , Research cooperation	These are initiatives that focus on global actors and processes within the sectors relevant to Sida and Swedish development cooperation
10. Russia	
	Special considerations for Russia. Proposed for phase-out.

Annex 2 – Civil society references in cooperation strategies

Strategy	Overarching objective	Cooperation areas and CS goals	Other CS references
1. Long-term cooperation			
Strategy for development cooperation with Bangladesh , 2008-2012	The right to education, health, and a clean and healthy environment is fulfilled for women, men, girls and boys living in poverty	Cooperation areas: - Primary education - Health care - Women's rights and democratic governance - Urban environment No explicit CS objective	"Contributions for women's rights and for opportunities for poor people to demand good public services will primarily underpin sector programme support and be targeted through civil society organisations." "The cooperation strategy will include continued support to the primary education and health sectors. It will be supplemented by initiatives via civil society organisations to strengthen women's rights, and contributions to strengthen the capacity of these organisations for critical, independent review and for holding state agencies into account, thus contributing to stronger democratic governance."
Strategy for Swedish development cooperation with Burkina Faso , 2004-2006 OBS 2004-2006	To help create opportunities for poor people to improve their living conditions.	Cooperation areas: - pro-poor, sustainable growth, - democratic governance and social development, - sustainable development of natural resource management sectors.	"In order to enhance the democratisation process and promote awareness of the meaning of citizenship in a democracy, support shall focus on empowering the poor and enabling them to take part, directly and indirectly, in democratic development and decision-making processes. Sida will consider extending support to local advocacy and educational groups involved in promoting respect for and protection, promotion and observance of human rights, particularly those of women and girls, democratisation,

		No explicit CS objective	conflict resolution and measures against corruption.”
Strategy for Swedish development cooperation with Mali , 2004-2006 OBS 2004-2006	To help create opportunities for poor people to improve their living conditions.	Cooperation areas: - pro-poor, sustainable growth, - democratic governance and social development, - sustainable development of natural resource management sectors. No explicit CS objective	Genuine, effective decentralisation can empower poor people. Measures aimed at strengthening transparency and public participation in democratic decision-making processes should therefore be considered as part of support for Mali’s decentralisation reforms and democratic development efforts. Continued funding through Diakonia to local organisations active in the area is being considered, as is support for the UNDP programme for democratic development and assistance via organisations in civil society.
Samarbetsstrategi för utvecklingssamarbetet med Bolivia , Januari 2009-December 2013	att befolkningen lever i en hälsosam och god miljö samt åtnjuter sina mänskliga rättigheter och demokratiskt deltagande.	Cooperation areas: - Demokratisk samhällsstyrning och mänskliga rättigheter, - utbildning samt - naturresurser och miljö med fokus på klimat. No explicit CS objective	”Sveriges utvecklingssamarbete med Bolivia inbegriper stöd till det bolivianska civila samhället. Målet är att organisationerna samverkar med andra utvecklingsaktörer för att stärka fattiga människors möjligheter att förbättra sina levnadsvillkor och bidra till en demokratisk kultur. Det civila samhällets roll som granskare och påverkansaktör ska uppmärksammas, liksom dess roll för att främja konfliktlösning. En högre grad av givarharmonisering och programstöd eftersträvas. Stöd kan även ges till svenska enskilda organisationers program i Bolivia.” Stödet till mänskliga rättigheter ska: ...” fokusera på efterlevnaden av internationella konventioner genom stöd till offentliga institutioner, rättsvårdande och konfliktlösande instanser. Jämställdhet och kvinnors roll i utveckling ska integreras med riktade insatser, särskilt inom sexuell och

			reproduktiv hälsa och rättigheter. Mänskliga rättigheter kan även främjas genom samarbete med civila samhället till förmån för urfolk, människor med funktionsnedsättning, kvinnor, barn, äldre, homo- och bisexuella, transpersoner.” ”Dialogen på sektornivå ska betona hållbar, jämlik och effektiv användning av naturresurser såväl i landsbygds- som urbana miljöer. Dialogen ska också uppmärksamma betydelsen av ökad effektivitet genom bättre koordinering mellan och inom ministerier och övriga, såväl offentliga som privata, aktörer, inklusive civila samhället.”
Strategy for development cooperation with Cambodia , 2012-2013	Help bring about improved conditions for sustainable and democratic development with increased respect for human rights.	Cooperation areas: - Democratic development and human rights - Education - Climate CS objectives under democratic development and HR: - ”More effective dialogue and regular cooperation between representatives of public authorities and actors in civil society at both national and local level.”	CS referred to under climate: “Support will also be provided to strengthen the capacity of civil society to undertake climate change adaptation measures and to ensure closer collaboration between civil society and the government in the area of climate change.”
Country Strategy for Development Cooperation with Ethiopia , 2003-2007	To contribute to the reduction of poverty in the country by helping to remove the factors that create or	Cooperation areas: - Democratic development and respect for human rights	“In the past, Swedish support to civil society organisations (CSOs) has mainly been channelled through Swedish NGOs. Local NGOs have also received assistance from funds reserved for support for human rights/democratic development at the disposal of the Swedish embassy.”

OBS 2003-2007	perpetuate poverty	- Social development - Economic growth	“Following the SDPRP process and recognition of the part played by CSOs in poverty reduction, and of their experience of working with poor people and vulnerable communities, priority should now be given to seeking direct contact and closer working relations with these organisations. In view of the experience some CSOs have of gender-related, HIV/AIDS and human rights issues, which are closely related to Swedish development cooperation goals, increased resources should be directed at cooperation with CSOs in Ethiopia. (...)”
Strategy for development cooperation with Kenya , 2009– 2013	”A Kenya where all poor women, men, girls and boys have the opportunity to improve their living conditions, and where their human rights are realised.”	Cooperation areas: - Democratic governance - Natural resources and the environment - Urban development	CS referred to under democratic governance: ”Supplementary support will be extended to civil society in collaboration with other donors.” CS reference under natural resources and the environment: ”Civil society organisations will be supported with a view to promoting greater popular participation in planning, decision-making and policy implementation, and enhancing awareness of rights and responsibilities with regard to natural resources and the environment.” CS reference under urban development: ”In addition, Sweden will extend support to the Government and civil society for reforms aimed at providing greater access to affordable housing, and seek to strengthen the role of civil society in spurring demand for rights and services. Additional CS references: ”Swedish aid to civil society will over and above support to the abovementioned sectors will also include support for HIV/AIDS It will be aimed at strengthening efforts within civil society to

			prevent the further spread of the HIV/AIDS epidemic and mitigate its social effects, and supplements the government HIV/AIDS programme.”
Strategy for development cooperation with Mozambique , 2008-2012	”Starting from the rights perspective and the perspective of poor people on development, to reduce absolute poverty, focusing in particular on women and children, by promoting a democratic social development and rapid, sustainable and broad economic growth.”	Cooperation areas: - Reduction of poverty through budget support - Democratic governance - Economic development - Research cooperation - Concentration and phase out No explicit CS objective	“Efforts directed to civil society and the private sector will primarily complement support to the public sector.” CS reference under democratic governance: “Extensive support will be given to civil society for organisational development in order to strengthen its role in follow-up of the poverty reduction strategy and also as monitor and influential actor as regards democratic development and increased respect for human rights with the focus on vulnerable groups, not least women and children. Furthermore, support will be given through civil society to strengthen the capacity of parliament in its review function and also of local government executive committees and provincial assemblies in their respective roles in different processes, as well as law amendment work and equal access to the legal system.” CS referred to under economic development: “Special efforts will be made in the northern Niassa province within the framework of the areas of co-operation, focusing on strengthening the capacity of actors in the local administration, civil society and the private sector.”
Strategy for development cooperation with Rwanda , 2010 – 2013	Reduced poverty and improved conditions for sustainable peace and reconciliation, as well as greater respect for human rights.	Cooperation areas: - Democracy and human rights - Environment and natural resources - Market development	CS referred to under Democracy and human rights: ”Support will also be given to civil society to enhance their opportunities to demand accountability and insight vis-à-vis the state.” ”Support will be given to NGOs, including women’s organisations and networks that work with democracy, human rights, anti-corruption and reconciliation, with an emphasis on

		- Research - Phase out A. No explicit CS objective under any of the areas.	capacity-building and strengthening of dialogue.”
Regional strategy for development cooperation with Tanzania , 2006-2010	”To help create conditions that will enable the poor to improve their lives.”	Cooperation areas: - Energy - Trade related private sector development - Education sector development programme, including research - Reform Programmes for local government and public financial management - Human rights and democracy - Cross-cutting issues - Phase out sectors	CS reference relating to overall objective: “To achieve the overarching objective of poverty reduction, Swedish development assistance in 2006–2010 is to support Tanzania in its efforts to promote... ”a civil society able to serve as a watchdog of the state and to foster political participation, a democratic culture and the rule of law...” CS reference regarding HR and democracy: ”Direct support will also be channelled to civil society organisations (CSOs) and media. Swedish support to CSOs is to focus on HR and democracy by supporting non-state actors and institutions that are fundamental to the development of checks and balances, a democratic culture and the rule of law.” CS reference: “Stronger constitutional institutions, a pluralistic and independent media and a vigorous civil society are of the utmost importance for strengthening both domestic accountability and supervision of the executive branch of government.”
Strategy for development cooperation with Uganda , 2010 – 2013	Increased respect for and enjoyment of human rights, with special emphasis on women’s and children’s	Cooperation areas: - Democratic governance, including peace and security - The health sector.	CS reference relating to democratic governance: “Possible channels for support include central organisations in civil society, including a pluralistic party system, organisations closely associated with political parties, free media, NGOs, the academic world and think tanks.”

	rights and democratic principles.	- Private sector development, including international trade and financial systems. - Research No explicit CS objective	”Support to the legal sector will continue to be provided, possibly via delegated cooperation involving another partner, in conformity with the division of labour within UJAS. To render interventions more strategic, a significant proportion of this support will be targeted at actors in civil society engaged in promoting greater legal security and equal access to the legal system, including the development of a state-financed legal aid programme. Support will be extended to a limited number of key actors in civil society actively committed to ensuring full respect for and enjoyment of human rights and fundamental freedoms, including the rights of the child.” ” Initiatives will include the promotion of truth, justice and national reconciliation processes and dialogue. Agents of change, which are mainly found in civil society and the academic world, will be important cooperation partners.” CS reference relating to the health sector: ” Substantial support will also be extended for capacity development of civil society organisations and structures actively engaged in the health sector.” ”Greater emphasis and increased resources will be focused on supporting civil society agents and processes of change actively engaged in ensuring that health services and HIV/AIDS prevention initiatives are accessible, acceptable and of good quality.” CS reference to phase out sector: ”Uganda has a well-developed sector
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			programme for the water and sanitation sector. Sweden will continue to support the programme through sector budget support and via a co-financed fund until the end of 2010. This support, to be allocated both to the decentralised (district) administration and to the central government administration, is to be implemented by the public sector, civil society and the private sector.”
Strategy for development cooperation with Zambia , 2008-2011	The overall objectives of Sweden’s development cooperation with Zambia include the effective implementation of Zambia’s development strategy (FNDP) to reduce poverty, strengthen democracy, stimulate broad economic growth and attain the millennium development goals.	Cooperation areas: - Poverty reduction through budget support - Health and HIV/AIDS - Agriculture - Energy - Civil society - + areas to be phased out CS objective: ”A vibrant, democratic and pluralistic civil society promoting transparency, accountability, participation and non-discrimination.” ”Strategic issues for dialogue will concern giving civil society access to and insight into democratic decision-making processes and strengthening it in its right to hold decision-makers to account.”	”During the period, Sweden will actively support civil society in pursuing the issue of the right to high quality health care.” In relation to HIV/AIDS work it is stated: ” Support may be given through civil society and through the relevant authorities.”

2. Conflict & post-conflict			
Strategy for development cooperation with Afghanistan , 2009-2013	For people living in poverty, particularly women and girls to enjoy better living conditions in a peaceful and democratic society.	Cooperation areas: - Democratic governance and human rights - Education - Private sector development.	CS reference relating to democratic governance: “To increase respect for human rights, Sweden will work on providing support to various actors including civil society, focusing on independent actors working with accountability and advocacy.” ”support for implementation of Security Council Resolution 1325 via multilateral channels and civil society will be prioritised.”
Strategy for Development Cooperation with Burundi , August 2009-December 2013	Peaceful and democratic development in society, with special emphasis on the perspective and rights of the poor.	Cooperation areas: - Peace and security - Democratic governance No explicit CS objective.	CS references to democratic governance: “Swedish cooperation shall focus on helping central government to become more accountable vis-à-vis its citizens, on strengthening citizens’ opportunities and capacity for demanding political accountability, and on strengthening the capacity of the media and civil society.” ”Swedish cooperation shall focus on building capacity in the justice system and supporting civil society organisations that seek to promote the legal rights of poor people.”
Strategy for development cooperation with Iraq , 2009-2014	A lasting peace in Iraq, improved living conditions and democratic development	Cooperation areas: - Democratic governance and human rights - Trade, industry and financial systems No explicit CS objective Civil society mentioned as one of	CS reference relating to democratic governance and HR: “Sweden will further examine the conditions for benefitting from Swedish companies, relevant agencies and organisations in civil society and the Iraqi diaspora...for know-how transfer at local level.” ”Given the role of civil society and the difficulties affecting the operations of civil society organisations support can also be provided to government bodies regulating the conditions of civil society organizations.”

		the Key issues for Dialogue: The role of civil society and the conditions affecting NGO operations	”...Sweden will support civil society organisations in Iraq by providing capacity development and in their efforts to strengthen human rights.” Additional CS references: “Respect for human rights in Iraq is seriously lacking. Therefore support is warranted both for work with government institutions promoting human rights and for continued Swedish capacity support to Iraqi civil society organisations working on human rights.
Strategy for development cooperation with Colombia , 2009-2013	Att fattiga människor har förbättrat sina levnadsvillkor och att en hållbar fred har uppnåtts med ett brett samhälleligt deltagande.	Cooperation areas: - Fred och säkerhet - Mänskliga rättigheter och demokratisk samhällsstyrning	”Huvuddelen av biståndet kommer även fortsättningsvis att kanaliseras genom multilaterala och enskilda organisationer.” För sektorn fred och säkerhet: ”Inom sektorn ska Sverige främja dialog mellan aktörerna i den interna väpnade konflikten, om och när det finns önskemål om detta från berörda parter. Utvecklingssamarbetet ska stärka dialog och fredsbyggande kapacitet hos de organisationer som har möjlighet att bidra positivt till processen.” ”För sektorn mänskliga rättigheter och demokratisk samhällsstyrning: Stödet ska fokusera på personer och grupper särskilt påverkade av konflikten (inklusive MR-försvarare, kvinnor, barn, urfolk och afrocolombianer och internflyktingar) och tillämpa ett differentierat angreppssätt för att bemöta de specifika behoven och rättigheterna hos olika grupper. Skydd av internflyktingar ska ges särskilt utrymme inom samarbetsområdet och även omfatta behovet av att stärka det förebyggande arbetet. Utvecklingssamarbetet ska arbeta brett för att påverka offentliga institutioner att skydda och respektera mänskliga rättigheter och internationell humanitär

			rätt och för att de ska öka ansträngningarna för jämlikhet, jämställdhet och resursfördelning. Utvecklingssamarbetet ska även främja en mer representativ och deltagande demokrati och stärka initiativ för offrens rätt till sanning, rättvisa och gottgörelse. Kvinnors representation och tillgång till rättvisa skall ges särskilt utrymme inom dessa processer. Stöd till ansträngningar att förbättra civil kontroll över militära institutioner ska ges för att stärka god samhällsstyrning och mänskliga rättigheter, och för att förbereda Colombia för en postkonfliktsituation.” ”Svenska och colombianska enskilda organisationer har en viktig roll i att uppfylla det övergripande målet, särskilt vad gäller kapacitetsutveckling, överbrygga motsättningar samt i att övervaka och kräva god samhällsstyrning, respekt för rättsstatens principer och respekt för de mänskliga rättigheterna.”
Strategy for development cooperation with the Democratic Republic of Congo , 2009-2012	To strengthen the conditions for sustainable peace and improved living conditions for poor people.	Cooperation areas: Peace, reconciliation and democratic governance Pro-poor economic development, focusing on agriculture and forestry Health, focusing on preventing, managing and combating sexual violence and on promoting sexual and reproductive health and rights. CS related objective in the cooperation area of peace, reconciliation	CS references relating to peace, reconciliation and democratic governance: “the support shall continue to strengthen election processes and elected representatives (both men and women) at both central and local level through joint donor programmes and NGOs.” ”The support should contain contributions to strengthen the capacity of actors whose role is to hold the state to account, such as civil society and the media.” Additional references:” Support for international NGOs will continue within the area of democracy and human rights. Support for Congolese

		and democratic governance: "Strengthened capacity for accountability in public administration and civil society. "	civil society will also form part of the cooperation, and will be preceded by actor analyses."
Strategy for development cooperation with the Guatemala , 2008-2012	Creation of conditions conducive to continued peace and poverty reduction based on a rights perspective and the perspective of the poor on development.	Cooperation areas: - Democratic governance and human rights - Sustainable pro-poor growth in poor regions - Health	CS reference relating to democratic governance and HR: "Support ... should incorporate contributions to promote public confidence in and strengthen the representativity and legitimacy of the political party system– for example in the form of previously successful measures to increase electoral participation and strengthen civil society." Additional CS reference: "Sweden should support endeavours to bring about constructive and closer ties between civil society and government actors as part of the work of implementing the Peace Accords, and seek to broaden support for the reform processes among non-conventional cooperation actors such as the private sector."
Strategy for development cooperation with the Liberia , 2008-2013	To strengthen peace, respect for human rights, democratic governance and the effective implementation of Liberia's poverty reduction strategy.	Cooperation areas: -Democratic governance and human rights -Agricultural development and business, including regional and international trade No explicit CS objective	CS references relating to democratic governance and HR: "Attention will be given to the role of civil society in democratic development." Additional CS references: "Liberia's institutions are being built up and support for capacity development is needed at all levels, as well as in civil society."
Strategy for development cooperation with	Increased respect for human rights and individual	Cooperation area: - Education	

the Sierra Leone , 2009-2013	freedom, and increased socioeconomic welfare and security, particularly for women and girls.		
Policy framework for Sweden's development cooperation with Somalia , 2009	Promoting lasting reconciliation, stability and the re-establishment of effective governance,	Cooperation areas: - RDP Pillar 1 "Deepening peace, improving security and establishing good governance." - RDP Pillar 2 "Investing in people through improved social services" - Support to Swedish NGO:s through the so-called NGO appropriation, inter alia for activities aimed at meeting social needs, conflict prevention and reconciliation. - Support via EU - Humanitarian assistance	CS reference: To foster an active civil society and contribute to capacity development, support should where possible increasingly include domestic Somali organisations.
Strategy for development cooperation with Sudan , 2008-2011	N/A	N/A	N/A
Strategy for development cooperation with Timor Leste , 2009-2013	To reduce poverty, strengthen peace and stability and promote greater respect for human rights.	Cooperation areas: - Democracy and human rights - Education	CS reference: "When designing Swedish initiatives, the key role played by civil society as a cooperation and dialogue partner shall be considered."

Strategy for development cooperation with the West Bank and Gaza 2008-2011	• To promote peace building and the peace process. • To promote democratic Palestinian state-building.	Cooperation areas: - Promoting the peace process and peace building - Promoting democratic Palestinian state-building - Infrastructure and community building - Private sector development and development of international trade - Civil society CS objective: “A strengthened civil society, which is essential to democratic development and respect for human rights.”	CS reference relating to promotion of democratic state-building: “Democratic state-building is facilitated by supporting the Palestinian Authority in its endeavour to develop its public administration and by supporting private enterprise and civil society.” CS reference relating to CS objective: “Civil society has a key role to play in scrutinising institutions, in monitoring human rights and in ensuring the provision of basic public services where institutions for one reason or another are unable to assume full responsibility. One of democracy’s pre-requisites is a strong civil society and broad popular participation. Sweden will continue to give special consideration to the rights of women and children. Activities in this area are designed to facilitate preventive conflict management and protect vulnerable people – primarily women and children – from domestic violence and as civilians in the conflict.”
3. Reform cooperation			
Strategy for development cooperation with Albania , 2009-2012	A stronger democratic state, sustainable development in the long term, and improved opportunities for achieving EU membership.	Cooperation areas: - Democratic governance and human rights - Natural resources and environment. CS objective under the democratic governance and human rights cooperation area: “To ensure that Albanian civil society has greater access to a legally secure and efficient police system that is	CS reference relating to democratic governance and human rights: “The aim of Swedish support to civil society is to provide citizens with better access to information about the reform process to enable them to make demands in this respect.” ” Sweden is to focus more closely on gender equality through measures that enhance the capacity of both the administration and civil society to help make the implementation of gender equality legislation more efficient.” ” Opportunities for civil society to monitor gender equality and other hu-

		under civilian control and subject to civilian monitoring.” CS objective under the natural resources and environment area: ”Increased and improved interaction between civil society and the state on environment and climate issues.”	man rights, including minority rights and LGBT issues, can be improved by providing support to NGOs via Swedish framework organisations and through dialogue.” CS references relating to natural resources and environment: “Organisations in civil society are to be given support designed both to strengthen their ability to pursue issues relating to the environment and natural resources, and also to bring more women into this area of work.” Additional CS reference: “Support to civil society aimed at strengthening its role in the development of Albanian society is to be provided both within the framework of these two sectoral activities [i.e. the cooperation areas] and via Swedish framework organisations.”
Strategy for Swedish aid initiatives in Belarus , 2011-2014	”A democratic development characterised by respect for human rights, greater protection of the environment, better conditions for a market economy and closer relations with the European Union.”	Cooperation areas: - Democracy, human rights and gender equality - Environment - Market development	CS references relating to democracy, HR and gender equality: “In pursuit of the objective, Sweden is to support civil society and its actors, encourage cooperation between them and help increase dialogue between these actors and the authorities, the aim being to promote the emergence of a more pluralistic civil society. Swedish support to civil society is to focus on areas such as democracy and human rights, gender equality, media and culture. Support for international exchanges primarily for young people and students are to be given priority. Capacity development is to be a key element in support to civil society, but this should be based on needs and demand as far as possible and represent an integral part of the partner’s activities.” CS reference relating to environment: ”Capacity development is to be a

			key element in Swedish support to civil society, but this should be based on needs and demand as far as possible and represent an integral part of the partner's activities. Swedish support aims to promote dialogue and cooperation between actors in civil society and public administration and to facilitate coordination both between ministries with responsibilities in the environment area and between national and local authorities.”
Strategy for development cooperation with Bosnia and Herzegovina , 2006-2010	To create conditions that enable poor people to improve their lives	Cooperation areas: - Building of a sustainable state - Economic development No explicit CS objective	CS references relating to building of a sustainable state: “An important step in building a sustainable state is to strengthen civil society.” ”Cooperation between civil society and government agencies needs to be strengthened.”
Strategy for development cooperation with Georgia , 2010-2013	For the country to develop towards a democratic and accountable state, forging closer ties with the EU.	Cooperation areas: - Democracy, human rights and gender equality - Environment - Market development No explicit CS objective	CS reference relating to democracy, human rights and gender equality: “Sweden will also support a more democratic and inclusive decision-making process where civil society actors, including women's organisations and other interest groups, are given better opportunities to both participate in and influence political processes.” ”Above all, democracy-building contributions – mainly channelled via civil society – and confidence-building measures should be considered within the context of Swedish support.” ”Initiatives to promote a democratic culture – such as the commitment of civil society and increased participation of women in election issues – are to be supported.”

			”In the area of gender equality, Sweden will continue to cooperate with both public institutions and civil society actors to achieve a better regulatory framework, increased awareness and changes in attitudes.” CS references relating to the environment: It should also be possible to provide support to civil society in order to increase the general public’s environmental awareness and monitor that Georgia is living up to its pledges in the area of environment, both in cities and rural areas.” Additional CS references: “To promote broad democratic participation, support will be given to civil society actors with a view to strengthening their capacity to effectively contribute to poverty reduction in general and the strategy objectives in particular.” ”The rights perspective and the perspective of poor people will be taken into account, partly by helping to create better conditions for participation, gender equality, transparency, accountability and a stronger role for civil society in all sectors.”
Strategy for development cooperation with Kosovo , 2009-2012	To facilitate EU approximation and to contribute to the country’s stability and economic growth.	Cooperation areas: - Environment and Climate, - Education - Democratic Governance and Human Rights. Sub- objective under Democratic Governance and Human rights:	“Support to civil society will mainly be provided through Swedish NGOs.” Education: “Support will be channelled mainly through the Ministry of Education, local government authorities, educational institutions, as well as NGOs.” Democratic Governance and Human rights:

		To strengthen the ability of civil society to take a more active part in the development of society.	“Achieving objective (b) will involve providing support to civil Society in an effort to expand opportunities for people to monitor and debate democracy and human rights matters, including minority and gender equality issues. Support – channelled through Swedish NGOs – may be extended to a number of smaller organisations in Kosovo. Boosting women’s participation in decision-making processes is a priority objective for this support. Other initiatives supporting implementation of the status settlement plan may also be considered. Support aimed at safeguarding the cultural heritage of ethnic groups is expected to continue during the strategy period.
Strategy for development cooperation with Macedonia , 2006-2010	Poverty reduction by means of societal change, based on EU integration as an engine of development.	Cooperation areas: - Agriculture, focusing on sustainable economic development - Human rights and social cohesion - Sustainable development (environment) CS objective under the human rights and social cohesion cooperation area: “Swedish support... aims to help bring about fair and non-discriminatory social development for women, men and children in Macedonia and thereby enhance opportunities for poor	CS reference relating to human rights and social cohesion: “Swedish support may also be provided to strengthen civil society, including the partners in the labour market.” CS reference relating to sustainable development: “Swedish support may go to policy development, environmental administration, and activities in civil society focusing on the urban environment.”

		people to improve their conditions, by efforts aimed at: - helping to strengthen civil society.”	
Strategy for development cooperation with Moldova , 2011-2014	Moldova to be well integrated with the EU, including the values of the Union.	Cooperation areas: - Democracy, human rights and gender equality - Sustainable infrastructure - Market development Sub-objective in Democracy, human rights and gender equality: - Moldova has a more independent civil society that increasingly supplements and balances other actors in the public and private sectors.	“Public administration support will be supplemented by support to actors that can promote accountability, such as civil society organisations or independent media.” Sub-objective in Democracy, human rights and gender equality: “To achieve this objective, support will be given to civil society actors and the forums in which they operate. Civil society is relatively underdeveloped, even if its impact on decision-making bodies is greater now than was previously the case. Sweden will support an independent, pluralistic and vigorous civil society that encourages social debate and participation in political decision-making processes. Swedish support will aim at giving civil society opportunities to exercise an accountability “watchdog” function and conduct alternative monitoring of, and influence on, the country’s EU integration process. Support will be given to organisations that work with human rights. Particular attention will be given to the potential to support the rights of LGBT people and of ethnic minorities. Since independent media and freedom of expression are of major importance in the democratic development, Sweden will contribute with support to these areas as well. Civil society actors are considered to be the main channel regarding support to actors in Transnistria.”

Strategy for development cooperation with Serbia , 2009-2012	To strengthen democracy and promote sustainable development in a way that improves the prospects for EU membership.	Cooperation areas: -Democratic governance and human rights - Natural resources and the environment	CS reference: “Within the framework of the two sectors [cooperation areas], civil society may be supported in order to strengthen its role in the development of society. CS reference relating to democratic governance and HR: ”Support for human rights will include both cooperation with state institutions and strengthening of civil society.” ”The role of civil society in monitoring gender equality and other human rights – including those of children, the LGBT community and minorities, particularly the Roma – will be strengthened by support through Swedish NGOs and other organisations.” ” ... the broader SSR area will be taken into consideration for the purpose of strengthening democratic development while integrating, reducing and aligning the security sector with civil society.” CS reference relating to natural resources and the environment: ”Sweden will also support civil society in its interaction with local authorities. Furthermore, support will be provided to increase the cooperation of civil society with the authorities, particularly when it comes to water purification, sewage treatment, waste management and chemical management.” ”Civil society organisations will be supported in strengthening their ability to promote environmental issues, involving more women in the effort and incorporating a gender equality perspective into their activities.”

Strategy for development cooperation with Turkey , 2010-2013	Strengthened democracy that improves the prospects of membership in the European Union	Cooperation area: - Democracy, human rights and gender equality No explicit CS objective	CS references relating to democracy, human rights and gender equality: “...support will be provided to civil society to strengthen its role in the development of society.” ”Support for human rights includes both cooperation with state institutions including the judiciary and support to civil society. Interaction between these actors will also be strengthened.” ” The role of civil society in protecting human rights, including gender equality, minority issues, the child rights perspective, efforts to combat torture and LGBT issues, will be strengthened through support via, for example, Swedish non-governmental organisations.”
Strategy for development cooperation with Ukraine , 2009-2013	Deepened EU integration within the areas of democratic governance and human rights and within natural resources and environment.	Cooperation areas: - Democratic governance and human rights - Natural resources and environment. No explicit CS objective	CS reference: “Civil society shall primarily be supported within the chosen cooperation sectors, and be a resource for reform work.” CS references relating to natural resources and the environment: ”Civil society organisations shall be supported to build capacity for advocacy and monitoring of environmental work. This should be done through contributions in dialogue with the government and relevant agencies, and through the civil society organisation’s role of mediator of information to the general public on the state of the environment and what a sustainable use of natural resources means.”

5. Selective cooperation			
Strategy for selective cooperation with China , 2009-2013	Enhanced democratic governance and greater respect for human rights, and an environmentally and climate friendly sustainable development.	Cooperation areas: - Democratic governance and human rights - Environment and climate - Other areas No explicit CS objective	CS reference relating to democratic governance and HR: "Support to the development of a Chinese civil society working in areas relating to human rights, gender equality and environment/climate should continue."
Strategy for selective cooperation with India , 2009-2013	To achieve socially, economically and environmentally sustainable development.	Cooperation areas: - Environment and climate - Other areas of cooperation No explicit CS objective	CS references: "As a complement to partner driven cooperation in the environment and climate sector, direct support to certain strategically important organisations in civil society and possibly other cooperation partners may be considered, in the first instance those that can contribute to the development of policy and reforms in the environment and climate area." "Direct support to Indian organisations in civil society will be phased out in pace with the cessation of the applicable agreements during 2009 and 2010. Ongoing support via multilateral organisations will be terminated during 2009 and 2010."
Strategy for selective cooperation with Botswana , 2009-2013	Enhanced socially and environmentally sustainable economic growth and reduced poverty.	Cooperation areas: - Economic growth, - Environment and climate, - Democracy and human rights - HIV and AIDS	

		CS objective in the area of democracy and human rights: “To strengthen democratic institutions and organisations represented by civil society.”	
Strategy for selective cooperation with Indonesia , 2009-2013	Improved democratic governance and greater respect for human rights, environmentally sustainable development and economic growth that will benefit more of the population.	Cooperation areas: - Democratic governance and respect for human rights - Environment and climate - International trade and business development - Other areas CS objective in the Democratic governance and respect for human rights area: “Strengthened capacity of civil society actors working to promote participative democracy and increased respect for human rights.”	
Strategy for development cooperation with Vietnam , 2009-2013	The overall goal of the programme phasing out Sweden’s regular development cooperation with Vietnam is enhanced democratic governance, respect for human	Cooperation areas (for selective cooperation): - Democracy and human rights - Environment and climate change - Other areas	CS reference relating to democracy and human rights: “...the emphasis will be on support for civil and political rights in the following sub-areas: - Freedom of expression and freedom of information, freedom of opinion and free participation in civil society. Here, support will be provided to the media, including journalists, and for the development of an independent

	rights and environmentally sustainable development .		civil society. - Anti-corruption and a transparent society in which citizens can claim accountability. Swedish input will include support for the public sector, civil society and the media, and also for moves to strengthen the rule of law.” ” Sweden also intends to promote more open and supportive cooperation between the Vietnamese government and nongovernmental partners.” ”Sweden will support agents for change both in the public administration and in the emerging civil society in Vietnam.”
Strategy for selective cooperation with Namibia , 2009-2013	Enhanced socially and environmentally sustainable economic growth and reduced poverty.	Cooperation areas: - Pro-poor economic growth - Environment and climate - democracy and human rights. CS objective for the area of democracy and human rights: A strong civil society in the areas of democracy, gender equality and human rights.	
Strategy for the full range of Swedish cooperation with South Africa , 2009-2013	A strong civil society in the areas of democracy, gender equality and human rights.	No explicit CS objective	

Regional strategies			
Strategy for Development Cooperation in West Africa , 2004-2006	To help create conditions that will enable the poor to improve their living standards and conditions.	Cooperation areas: - conflict prevention and management, - common infrastructure and natural resources, and - economic cooperation and integration.	In conflict prevention and management: “In addition to support to ECOWAS, smaller volumes of funding to civil society organisations may be considered. An important player in this respect is the regional organisation, West Africa Network for Peacebuilding (WANEP). Civil society can call attention to violations of human rights, and can also influence and inform the general public and policymakers, strengthen the participation of women in peace-building moves, assist in the social reintegration of ex-combatants, and act as a channel of implementation for the above activities. Cooperation is already under way between ECOWAS and civil society on an early warning mechanism for conflicts. Civil society should be given a central role in conciliation processes and confidence-building programmes.”
Cooperation Strategy for Regional Development Cooperation with Sub-Saharan Africa , 2010-2015	To increase the capacity and political accord among the African intergovernmental communities and the countries concerned to manage transboundary challenges such as regional stability, trade and economic integration, and sustainable development.	Cooperation areas: - Peace, security and conflict management - Environment and climate - Economic integration, trade, industry and financial systems - Special anti-corruption measures as part of democratic development - Support for strategic research contributions No explicit CS objective.	CS references relating to anti-corruption measures: “Support is to be extended to civil society organisations for their supportive and watchdog roles.” “Organisations that have a strategic role in working for greater transparency, combating corruption and promoting civil society participation in regional processes are also eligible for support.” “Independent media that cover issues relating to corruption, transparency and accountability, and civil society organisations that scrutinise the use of public funds are important actors that are also eligible for Swedish support.”

Strategy for development cooperation with the Middle East and North Africa , 2010-2015	Stronger democracy and greater respect for human rights; and sustainable development that improves conditions for peace, stability and freedom in the region.	Cooperation areas; - Democratic governance and human rights - Sustainable use of regional water resources - Regional economic integration	CS reference relating to democratic governance and HR; "Swedish assistance should primarily focus on support to groups in civil society that promote democratisation and human rights by means of lobbying, opinion building, the organisation of grass-roots political parties, the monitoring of government undertakings, etc."
Strategy for regional development cooperation with Asia focusing on Southeast Asia , 2010-2015	Greater respect for human rights, more sustainable use of natural resources and planning for communal services for people living in poverty, and increased regional integration.	Cooperation areas: - Environment and climate - Sustainable communal services - Democracy and human rights	CS references relating to environment and climate: "Support shall also be given to civil society, political actors and elected assemblies in order to strengthen the demand and capacity for greater accountability on the local, national and regional level." CS references relating to sustainable communal services: "Collaboration and dialogue with regional civil society organisations shall be promoted to strengthen their powers of scrutiny and influence." CS references relating to democracy and human rights: "Activities shall be focused on regional exchange of experience and cooperation among national HR institutions in the region, regional civil society organisations whose work is aimed at promoting human rights and, when possible, capacity support of ASEAN's regional HR commissions. The aim of the support to civil society is to promote scrutiny and advocacy as regards the commissions' fulfilment of their respective mandates and development, and to empower vulnerable individuals to assert their human rights."

Strategy for regional work on HIV and AIDS, sexual and reproductive health and rights (SRHR) and on the human rights of lesbian, gay, bisexual and transsexual (LGBT) persons in sub-Saharan Africa, 2012	The strategy's long-term objectives are: - Reduced number of new HIV infections - Improved living conditions for women and girls affected by HIV and AIDS - Increased respect for and enjoyment of the human rights of LGBT persons.	See long-term objectives. CS expected results under improved living conditions for women and girls affected by HIV and AIDS: "Increased participation from civil society in national and regional fora where issues and areas covered by this strategy are addressed."	CS references relating to capacity building: "Cooperation shall be directed at providing support for capacity building through the African Union (AU) and Regional Economic Communities (RECs), non-governmental organisations (NGO's) networks, the business sector and research institutions, and support for advocacy and political processes" "Support for capacity development in these organisations is a long-term process requiring in-depth dialogue, long-term commitment and close monitoring. This can be supplemented by targeted initiatives in the form of support to civil society organisations which are capable of responding where the need arises for short-to-medium-term results; for example reducing the spread of HIV infection through increased access to condoms." CS references relating to participation and collaboration: "Increased participation from civil society in national and regional fora where issues and areas covered by this strategy are addressed." "Collaboration shall take place with Swedish stakeholders in civil society, academia, public organisations, authorities and the Swedish business sector." "Swedish support and dialogue shall be conducted in close collaboration with Norway and with regional stakeholders such as civil society organisations (CSOs)."
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Other Strategies			
Strategi för globala ämnesstrategiska utvecklingsinsatser, 2011-2014	Genomslag för den svenska regeringens prioriteringar i det globala utvecklingssamarbetet för långsiktig och hållbar fattigdomsminskning.	Områden: - Regeringens tematiska prioriteringar - Förstärkta insatser för att nå millenniemålen - Insatser för att stimulera utvecklingens drivkrafter och överbrygga utvecklingshinder	CS references: “Stödet ska även ges till organisationer eller nätverk inom civilsamhället som kan påverka eller generera ny kunskap i enlighet med svenska prioriteringar.”
Strategi för särskilda insatser för demokratisering och yttrandefrihet . 2012-2014	Stärka förutsättningar för förändringsaktörer att arbeta för ökad demokratisering och yttrandefrihet.	Stödet ska gå till: - långsiktig och strategisk verksamhet för att stärka demokratisk utveckling och yttrandefrihet - skyndsamma insatser för att bistå individer och aktörer i det civila samhället	CS references “Stödet ska huvudsakligen tå till enskilda individer, grupper, eller civilsamhällesorganisationer...”

Annex 3 – Persons interviewed

Name	Department/Unit
Hannah Akuffo	Sida HQ/Unit for Research Cooperation
Ingmar Armyr	Sida/Department Conflict and Post-Conflict
Desiré Ballo	Embassy of Sweden Mali
Paulos Berglöf	Sida/Department for Programme Cooperation
Louise Bermsjö	Sida/Department Global Cooperation/ Global Topic Development
Helene Bergquist Fredriksen	Sida/Department for Legal Services and Procurement
Mikael Boström	Embassy of Sweden Zimbabwe
Charlotta Bredberg	Sida/Department Global Cooperation/ Global Topic Development
Ros-Mari Bålöw	Embassy of Sweden Moldova
Magnus Carlquist	Embassy of Sweden Zimbabwe
Njavwa Chilufya Nkandu	Embassy of Sweden Zambia
Anette Dahlström	Embassy of Sweden Cambodia
Maher Daoudi	Swedish Consulate Jerusalem
Pia Engstrand	Regional HIV/AIDS Team for Africa
Pedro de Figueiredo	Swedish Embassy Sudan
Anna Furubom-Guittet	Embassy of Sweden Democratic Republic of CoCSO
Karin Fällman	Sida/Department for Global Cooperation/Unit for Support to Civil Society
Visare Gorani Gashi	Embassy of Sweden Kosovo
Anders Hedlund	Sida /Department for Reform and Selective Cooperation/the Baltics and Western Balkan
Kristina Henschen	Sida/ Belarus
Marianne Hultberg	Sida, St Petersburg
Hassan Hussein	Embassy of Sweden Egypt, Mena region
Elisabeth Hårleman	Swedish Embassy Afghanistan
Susanna Janson Landin	Sida/ Department Conflict and Post-Conflict
Annika Jayawardena	Embassy of Sweden Kenya
Ulrika Josefsson	Embassy of Sweden South Sudan
Peeter Kaaman	Embassy of Sweden Georgia
Rhena Kahn	Embassy of Sweden Bangladesh
Stina Karlton	Embassy of Sweden Burkina Faso
Rezarta Katuzi	Embassy of Sweden Albania
Rebecka Kitzing-Ivarsson	Embassy of Sweden Russia
Patrick Kratt	Sida/Department Conflict and Post-Conflict/Unit for Humanitarian Assistance
Jenny Krisch	Sida HQ/Responsible for the study "Fieldvision 2.0"
Matthias Krüger	Embassy of Sweden Kenya/Somalia

Christina Larsson	Sida/Department Global Cooperation/ Global Topic Development
Charles Lawrence	Embassy of Sweden Liberia (Sierra Leone)
Camilla Lindström	Embassy of Sweden Democratic Republic of CoCSO
Ylva Lindström	Sida/ CIVSAM/ Special Contribution Democracy
Susanne Lokrantz	Sida/Department Global Cooperation/ Global Topic Development
Tomas Lundström	Embassy of Sweden Thailand (Burma)
Sara Martínez	Embassy of Sweden Bolivia
Veronica Melander Martínez	Embassy of Sweden Guatemala
Tumsifu Mmari	Embassy of Sweden Tanzania
Abdulahdy Mohammed	Embassy of Sweden Ethiopia
Joakim Molander	Embassy of Sweden Rwanda (incl. Burundi)
Henrik Mungenast	Sida/Department Global Cooperation/ Global Topic Development
Josephine Mwangi	Embassy of Sweden Kenya
Maureen Nahwera	Embassy of Sweden Uganda
Nicholas Ngece	Embassy of Sweden Kenya
Emma Nilensfors	Embassy of Sweden Colombia
Johan Norqvist	Sida/Department Global Cooperation/ Global Topic Development
Camilla Ottosson	Embassy of Sweden Thailand/Regional Asia
Constance Ouma	Embassy of Sweden Kenya Regional programme Africa (excl West Africa)
Annika Palo	Embassy of Sweden Turkey
Jessica Pellrud	Sida HQ/Reform Cooperation in Europe
Mirja Peterson	Embassy of Sweden Ukraine
Camilla Redner	Sida HQ/Department for Conflict and Post Conflict
Lotta Roos	Sida/Department Global Cooperation/ Global Topic Development
Anders Rönquist	Embassy of Sweden Kenya
Ola Sahlén	Sida/Department Global Cooperation/ Global Topic Development
Olga Sandakova	Embassy of Sweden Ukraine (via e-mail)
Annika Siewertz	Embassy of Sweden Indonesia
Claire Smellie	Sida/Department for Global Cooperation/Unit for Support to Civil Society
Malin Stawe	Sida/ Department Conflict and Post-Conflict/Iraq Unit
Sara Stenhammar	Sida/Department Global Cooperation/ Global Topic Development
Kerstin Sullivan	Sida/ North Korea
Johan Sundberg	Sida/Department Global Cooperation/ Global Topic Development
Margareta Sundgren	Sida/Department Global Cooperation/ Global Topic Development
Maja Tjenström	Embassy of Sweden Mozambique

Fredrik Uggla	Embassy of Sweden Egypt, Mena region
Fredrik Westerholm	Swedish Consulate Jerusalem
Carin Zetterlund-Brune	Sida/ Department Conflict and Post-Conflict/Unit for Humanitarian Assistance

Interviews with civil society organisations

Andrei Brighidin, East Europe Foundation, Moldova

Susanna Elmberger, Kvinna till Kvinna

Inez Hackenberg, Oxfam Novib, Hague

Ulrika Lång, Olof Palme International Centre

Sorin Meracre, East Europe Foundation, Moldova

Lisbeth Petersen, Forum Syd

Ylwa Renström, Kvinna till Kvinna

Antoinette van Vugt Chilaule, Oxfam Novib, Maputo

Annex 4 – Terms of Reference

Call Off for a Review of Civil Society Support Modalities at Sida HQ and Swedish Embassies

Background

The Swedish Policy for Support to Civil Society in Developing Countries within Swedish Development Cooperation (Policy for Support to CS) clearly states that civil society actors have a key role in reducing poverty and a particular importance and special potential to contribute to democratic development and increased respect for human rights in developing countries.

The Policy for Support to CS's overall objective is: a vibrant and pluralistic civil society in developing countries that, using a rights-based approach, contributes effectively to reducing poverty in all its dimensions.

Civil society is recognised to have a role as a collective voice and/or a role as a service provider. Many organisations act as both collective voices and organisers of services in which case the dual roles can be mutually reinforcing and give increased legitimacy to both the civil society actor concerned and the policy issue it pursues.

Within the humanitarian sphere, the Policy for Support to CS as well as the Swedish Policy for Humanitarian Assistance (the Humanitarian Policy) both recognise the important part international and national civil society organisations have to play in implementing humanitarian assistance already today, but also in the future as global humanitarian needs are expected both to increase and to become more complex in character, due to such factors as a greater number of protracted armed conflicts, population growth, urbanisation, the impact of climate change, the struggle for access to natural resources, and higher food prices. Their close association with local communities means they are in a unique position to reach people in need rapidly and effectively.

The Humanitarian Policy's overall objective is: to save lives, to alleviate suffering and to maintain human dignity for the benefit of people in need who are, or are at risk of becoming, affected by armed conflicts, natural disasters or other disaster situations.

A substantial part of Swedish development cooperation and humanitarian assistance is implemented in collaboration/jointly with civil society organisations at global, national, regional and local level. Sweden also provides support to and cooperates with civil society organisations via the European Commission and multilateral organisations, not least the various bodies of the UN.

The donor community, including Sweden, also supports civil society indirectly by contributing to the creation of an enabling environment that is the institutional, legal, political and administrative conditions that enable the existence, activities and effectiveness of civil society.

Studies of Civil Society Support Modalities

In 2006, Sida's department SEKA carried out a study of civil society support modalities at Sida's field offices as well as the regional and sector departments at Sida HQ, Civil Society Support Models by Maria Gunnarsson. The study was carried out in connection to the, at that point, recently adopted Policy for Civil Society, which has, since then, been replaced by the current above-mentioned policy. The aim of the study was to provide Sida with a general overview of how the support to civil society is channelled within Sida and to present a few examples so as to exemplify the diversity of civil society support modalities. The study also touched upon some, by Sida and by the embassies, perceived strengths and weaknesses with the various models.

In 2007 Norad, on behalf of "Nordic+" donors contracted Scanteam to review the experience in six countries of different support modalities. The study was commissioned so as to help clarify contextual preconditions and necessary programme inputs for more effective support to civil society. It had three objectives; 1) to investigate possibilities for improving and increasing effectiveness of direct support to CSOs/CSOs through country level support modalities; 2) to shed light on constraints and possibilities of different types of support modalities, bearing in mind the need to apply different modalities in different contexts; and 3) to increase outreach to a wider range of civil society organisations and reduce transaction costs. Identified trends included, among others, an increase in core support in particular in some countries and by some donors although three-quarters of all agreements covered by the survey remain unilateral, a preference for core funding by CSOs, an increase in use of intermediary agents in particular home country ICSOs, and a general trend towards more shared and strategic modalities.

In an effort to coordinate its CSO support with other donors and complement Gunnarsson's study, Sida and five other donors in the so-called Nordic+ group conducted a consultancy study of their CSO support in six countries. This culminated in the Nordic+ conclusions for CSO support which were piloted in three countries. Sida was lead in the pilot exercise in Zambia. The conclusions from the test cases were incorporated into the key messages of the so-called Multi-Stakeholder Task Team on CSO development Effectiveness and Enabling Environment, official advisor to the OECD-DAC WP-EFF (The Working Party on Aid Effectiveness) in view of the HLF-4 in Busan. Thus the findings have impacted on the global policy level. They have also influenced the EC principles for good CSO donorship.

At the level of Sida's support to CSOs in partner countries, these conclusions have been used to a varying extent. Therefore, based on the study Civil Society Support Models by Maria Gunnarsson and Sida's experiences within the Nordic+ group's efforts, Sida has, for some time, had the intention to develop recommendations and guidelines concerning systems and mechanisms of cooperation between Sida and CSOs regarding the support channelled from other appropriations than the appropriation item Support via Swedish

Civil Society Organisations . The intention is still valid and increasingly important due to a rapidly changing global context. These global developments (including important and ambitious CSO-led aid effectiveness processes), two series of occurrences of major reorganisations within Sida (with, among other aspects, a clear ambition of becoming much more of a field based authority), new policies for support to civil society and for humanitarian assistance, creates a need for a more recent review of current CSO support modalities that takes into account such changes.

1. Purpose

It is CIVSAM's intention to use this review as a basis for further developing and systematising its advisory role on civil society support to units at Sida HQ and Sida's field offices. Each year CIVSAM receives numerous formal and informal requests for support from other units at Sida. CIVSAM recognises that there is no "one size fits all" in terms of choice of civil society support modality. But, as part of CIVSAM's advisory role and in order to be able to better guide other Sida units in terms of choice of CSO partners and modalities for support in different country contexts, it is imperative for CIVSAM to, first, get a good picture about current trends and lessons learned from Sida's own support to civil society in these different contexts and within different types of assistance (international development/humanitarian).

Therefore, with a specific focus on choices of support modalities, the review shall provide a comprehensive overview of Sida support provided to and through civil society organisations, an assessment of the chosen support modalities' fitness for purpose, an identification of trends that affect and/or stem from such support, an analysis of what the support modalities resulted in vis-à-vis the roles of civil society in different contexts, and a recommendation what lessons learned should be applied for continued improvement of Sida's support to and through civil society.

2. Interpretation of Key Concepts

For the purpose of this review key concepts will be interpreted as follows:

Implementing organisation: An organisation that directly implements development cooperation or humanitarian assistance with local cooperation partners in developing countries.

Intermediary organisation: An organisation that receives and passes on funds to another CSO (commonly a member organisation) that implements development cooperation or humanitarian assistance with a local cooperation partners in developing countries. An intermediary organisation can be a UN agency, such as UNDP or UNICEF, or even a private company/consortium of companies.

Umbrella organisation: An organisation that unites and represents several organisations as well as coordinates the activities of a number of member organisations and promotes a common purpose.

Note: an intermediary organisation can be an umbrella organisation and vice versa.

3. Assignment

The consultant will be expected to gather and to analyse information through desk studies and interviews in order to produce a report and arrange a seminar.

The assignment should focus on civil society support provided by Sida during the last five years. The assignment shall be as comprehensive as possible by including information concerning all Sida support to and through CSOs. The consultants should, therefore, not limit their review and analysis to a follow-up of the eleven cases that were selected for deeper screening as part of the previous study. The assignment includes three assessment areas (see 2.1 Assessment Areas below); Overview Part, “Fitness for Purpose” and Trends Part and Result and Lessons Learned Part. The Overview Part constitutes the core of this assignment. Concerning Results and Lessons Learned Part, i.e. the expected analysis of what the support modalities resulted in vis-à-vis the roles of civil society in different contexts, the assignment shall not aim at evaluating all support provided to and through CSOs, but rather propose a methodology that utilises a number of samples in different contexts and that provides a sufficient empirical basis for drawing some conclusions about what worked well where and when. Breadth of support modalities should constitute one criteria in the selection of such samples.

The Scanteam study identifies what theoretically should be the course of action vis-à-vis support to and through CSOs if the donor has done its homework, meaning the donor has asked itself questions such as; Do we want a great outreach? Do we want a close working relationship with the implementer? Do we want to reduce our required administrative resources? Do we want to enable greater diversity of support through direct support using an intermediary agent? Or do we want to strengthen harmonisation and alignment within the aid effectiveness agenda through the streamlining of financing although this may limit the range and kind of organisations that can access joint funds? The study covers several donors and concerns the strategic policy framework – how to globally improve support to and through CSOs. This assignment should assess if the factors that determine Sida’s choice of support modality are at odds with what the strategic policy framework demonstrate should be the case – the degree of erroneous thinking as far as support to and through CSOs is concerned.

2.1 Assessment Areas

As specified in the overall purpose of the assignment, with a specific focus on choices of support modalities, the review shall provide a comprehensive overview of Sida support provided to and through civil society organisations, an assessment of the chosen support modalities’ fitness for purpose, an identification of trends that affect and/or stem from such support, an analysis of what the support modalities resulted in vis-à-vis the roles of civil society in different contexts, and a recommendation what lessons learned should be applied for continued improvement of Sida’s support to and through civil society.

The review shall present findings and draw conclusions from observations made rather than provide textured information with discussion.

Considering that the Swedish Policy for Humanitarian Assistance expects that long-term development efforts complement humanitarian efforts in conflict-affected countries and in the wake of natural disasters, when so is possible, and that humanitarian, recovery and development, therefore, need to be seen as a continuum in conflict and fragile situations, this review shall reflect such an approach.

The review areas are stipulated in more detail through the series of questions below. All assessment areas and questions must be analysed and reported on as part of the assignment.

Overview Part:

- I. Determine Sida's total support to and through civil society over the last 5 years 2007 – 2011 (based on the years' respective expenditures). Determine how much of this was provided through core support, through programme support and through project support.
- II. Determine what civil society support modalities are applied by Sida at HQ and in the field and by whom. The following details of civil society support modalities shall be provided: country, sector, modality, organisation, Sida department/unit, purpose of the support to CSOs (service delivery; promote public awareness and debate in member countries; promote vibrant civil society, including the enabling environment in partner countries; dialogue, confidence-building and conflict management; or enhance CSOs own institutional or developmental/humanitarian capacity)?
- III. The extent to which each civil society support modality is chosen/used by Sida units and Swedish embassies in terms of Swedish support to and through CSOs.

“Fitness for Purpose” & Trends Part:

Based on the above overview:

- I. Determine whether any guidelines (and if so which ones) were utilised by the department, unit or field office when choosing the civil society support modality in place.
- II. What factors brought about the modality of choice at different Sida departments, units and field offices? The extent to which external factors determined the modality of choice – e.g. the surrounding environment (increasingly limited for CSOs/or more open for CSOs, inaccessibility for CSOs to gain access to UN Funding Pools). The extent to which internal factors at Sida determined the modality of choice – e.g. transaction costs, availability of human resources, unwillingness to “think outside the box” and go along with the known and tested, lack of knowledge concerning available options or other. The extent to which internal factors at the CSOs determined the modality of choice – e.g. the CSOs capacity. The extent to which the purpose of the support to civil society determined the modality of choice (“the fitness for purpose”) .
- III. Can any trends be identified in terms of increasing or decreasing use of/support to any one of the different types of CSO support modalities, e.g. core and framework funding, programme funding, project funding, civil society funds,

- and any one of the different categories of CSO actors e.g. CSOs in the North, CSOs in the South, national umbrella organisations, intermediary organisations in the North or in the South, etc.?
- IV. What factors brought about the identified trends in terms of Sida's increasing or decreasing use of/support to the different types of modalities and the different categories of CSO actors (external factors, internal factors at Sida or at CSOs, purpose)? What strengths and weaknesses do the interviewed Sida departments, units and field offices see with the different types of modalities and the different categories of CSO actors?
 - V. Are any of the identified civil society support modalities at odds with Sida's own regulations and what impact has such potential irregularities had on current choices of modalities (or can be expected to have in terms of future support considering the identified trends)?

Results & Lessons Learned Part:

Again, based on the above overview:

- I. By reviewing existing studies/evaluations of Sida's support to and through CSOs, ascertain what the choice of modality resulted in vis-à-vis CSOs roles as collective voices and organisers of services including their role of promoting peace. Results achieved within a particular thematic area (e.g. governance, human rights, etc.) are not in focus, but rather results of the separate support modalities so as to draw conclusions as to what worked well where and when.
- II. In order to contribute to continuous improvement of Sida's support to and through CSOs, what lessons learned should be applied? What practical ideas and tips can be suggested to ensure that shortfalls and mistakes in Sida's support to and through CSOs are not repeated and that successful practices are replicable?

2.2 Assessment Phases

The assignment will consist of these phases:

Phase 1: Inception Report

During Phase 1 the consultants are expected to elaborate and finalise the assessment methodology. The final methodology must be presented in an inception report. Its possible limitations shall also be discussed therein. The inception report shall also be produced and finalised during Phase 1.

The inception report shall in addition to outlining the proposed methodology, include a detailed implementation plan with clear timeframes. Moreover, a stakeholder analysis shall be made with a plan for stakeholders' involvement (see Stakeholder Involvement below).

The inception report shall also clearly describe any adopted interpretations of key concepts (other than the key concepts under 2 Interpretation of Key Concepts) utilised within the report. Interpretation of the following key concepts must be included: local/national organisation and international organisation.

The inception report must be submitted to Sida 15 working days after the signing of the contract. The inception report must, thereafter, be approved by Sida.

Phase 2: Collection of Data

As a minimum for the empirical foundation of the assessments, the consultant is expected;

- to gather and to synthesise necessary information and documentation concerning Sida departments/units and field offices' support to and through civil society in development cooperation and humanitarian assistance, as well as their applied civil society support modalities, so as to ensure that all details (see Overview Part) are covered for as many departments/units and field offices as possible. All Sida departments/units will be expected to provide necessary documentation. Other sources of information include the CSO Database and Open-Aid.
- to conduct interviews with relevant persons at Sida HQ and Sida field offices (through video conference calls at Sida and/or with Skype).
- to gather and review a sufficient sample of studies and evaluations that Sida has conducted of support to and through civil society for the results analysis (see Results and Lessons Learned Part).

No field visits are expected to be necessary as part of this assignment. Interviews with CSO representatives may be necessary and part of the proposed methodology if the consultants deem it necessary for "Fitness for Purpose" and Trends Part and/or Results and Lessons Learned Part.

Phase 3: Collation, Analysis and Presentation of Data

The consultants are expected to synthesise all gathered data for the Overview Part and analyse all gathered data for the Fitness for Purpose & Trends Part and the Results & Lessons Learned Part using the agreed methodology (see Phase 1).

Findings shall, thereafter, be presented in a draft report. The primary intended user of the report is CIVSAM considering that this review will be utilised as a basis for further developing and systematising CIVSAM's advisory role on civil society support to units at Sida HQ and Sida's field offices. The consultant will, nevertheless, be expected to share the draft findings with all contributors of data for feed-back on factual errors. The draft report must clearly distinguish and present the Overview Part (more descriptive) and the Fitness for Purpose & Trends and Results & Lessons Learned Parts (more analytical). The report shall also include conclusions, as well as recommendations, both presented separately for clarity.

The review shall be carried out in accordance with DAC's Evaluation Quality Standards.

Phase 4: Production of Final Report

The consultants shall produce a final report. The primary user is again CIVSAM. The final report shall not exceed 50 pages (excluding annexes). Figures of support modali-

ties shall be as comprehensive as possible and be included as annexes to the report. The final report shall be approved by CIVSAM.

3. Sida Departments and Units

The review is commissioned by CIVSAM to constitute a baseline that forms part of the basis required for CIVSAM's intention to further develop and systematise its advisory role during 2012.

The consultants shall plan and carry out the assignment in close consultation with CIVSAM. A focal point for the assignment at CIVSAM will be selected. The focal point will make herself available to meet the consultants, answer questions and provide direction to the consultants concerning the implementation of the assignment. The focal point may also assist the consultant with identifying relevant persons to interview and meet at Sida HQ and in the field offices. She will also be able to identify and provide the consultants with general reference material for the assignment. For documents that are specific to Sida departments'/units'/field offices' support to civil society, the consultant will be expected to contact the respective departments/units/field offices. CIVSAM will urge all departments and units to cooperate with the consultants via an e-mail/or letter where this review is advertised. All Sida departments/units/and field offices will be expected to provide the consultants with necessary documentation and input in order to assist the consultants in their task to provide the expected overview and analysis.

Because humanitarian, recovery and development need to be seen as a continuum in conflict and fragile situations, and since this review shall reflect this expectation, CIVSAM sees it as particularly important that the consultants also interview Sida officers with responsibility for the humanitarian assistance to and through civil society in the field (in addition to Sida/HUM at HQ).

Moreover, in order to determine whether the identified civil society support modalities are at odds with Sida's own regulations, CIVSAM sees it as particularly important that the consultants also interview Sida's unit for Legal and Procurement Services.

The following contacts shall, at a minimum, take place with Sida:

- During Phase 1 and as a point of departure for the assignment, Sida shall organise a meeting between the consultants and CIVSAM to discuss the methodology and time-frame for the assignment as presented in the proposal, whereupon the consultant shall present an inception report within 10 days for Sida's approval.
- During Phase 2, and as part of the required Data Collection, meetings and interviews with relevant Sida staff will take place.
- During Phase 3 and once the draft report is produced the consultants shall organise a meeting with relevant Sida staff to present tentative findings and conclusions.
- During Phase 4 and once the final report has been submitted, the consultant should make himself/herself available to present the final report to Sida and others Sida may wish to invite.

4. Recommendations

The assessment shall present the required data and answer the questions specified within Assignment Areas (see above). The consultant will also be expected to make recommendations stemming from the undertaken analysis and drawn conclusions. The recommendations shall, apart from recommending what lessons learned should be applied (see Results & Lessons Learned Part), provide CIVSAM with guidance concerning its ambition to improve the advisory role concerning CSO support modalities. Such recommendations should be a logical consequence of the undertaken analysis and conclusions. If the analysis and conclusions address shortcomings in relation to how Sida (as a whole or in part) goes about the design of civil society support programmes, i.e. indications that Sida allows potentially irrelevant factors determine the choice of support modality, or that certain factor are not sufficiently considered when determining the civil society support modality, recommendations in terms of how such shortcomings can be addressed and rectified should be included to the benefit of CIVSAM. Consequently, any undertaken analysis and drawn conclusions that can be formulated into clear recommendations that may assist CIVSAM in improving its efforts to enhance its advisory role in support to civil society should be included. It should be clearly specified whether certain recommendations only refer to international development or humanitarian assistance (or both).

5. Time Schedule and Report Format

The assessment shall start no later than the 2012-06-01. The final report should be submitted to Sida no later than 2012-10-14. The proposed timeframes shall be included in the inception report (see Phase 1).

The final report shall not exceed 50 pages excluding Annexes and be submitted electronically. Approval of the Final Report will be based on its adherence to the OECD/DAC Evaluation Quality Standards.

The report shall be written in English with an executive summary in Swedish. The final report must be presented in a way that enables publication without further editing, which includes having been professionally proof read. The format and outline of the report shall therefore follow, to the greatest extent possible, the guidelines in Sida Evaluation Manual – a Standardised Format. The report shall be written in programme Word 6.0.

6. Consultant's Qualifications

The assignment shall be carried out by a team of a maximum of three persons. One person should be responsible for initiating and supervising the process (at least this person needs to fulfil the required qualifications for Category I, see below). The members are expected to take shared responsibility for data collection and analysis.



Review of Civil Society Support Modalities at Sida HQ and Swedish Embassies

The review analyses how Sida units and embassies has supported or engaged civil society organisations from 2007 to 2012, of trends during this period and lessons learnt regarding the modalities used. The conclusions are based on statistics from Sida's data system and interviews. The review concludes that the Swedish CSO policy is well in line with international standards of good practice, but its implementation is lagging behind. Only nine embassies have so far taken a comprehensive strategic approach to their CSO support. CSOs are still seen mainly as effective means rather than important actors in their own right that can empower and give voice to people living in poverty and oppression. Most CSO support is provided to and through large international or Swedish organisations with networks and offices around the world. Partner country CSOs often focus on delivering on the donor agenda.

SWEDISH INTERNATIONAL DEVELOPMENT COOPERATION AGENCY

Address: S-105 25 Stockholm, Sweden. Office: Valhallavägen 199, Stockholm

Telephone: +46 (0)8-698 50 00. Telefax: +46 (0)8-20 88 64

Postgiro: 1 56 34-9. VAT. No. SE 202100-478901

E-mail: info@sida.se. Homepage: <http://www.sida.se>

