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Sida Decentralised Evaluation

Klas Markensten  
Johanna Lindström

# Experiences and lessons learned from Partner Driven Cooperation in the seven selective cooperation countries

Final Report



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**Final Report  
December 2013**

**Klas Markensten  
Johanna Lindström**

**Authors:** Klas Markensten and Johanna Lindström

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

E-mail: [info@sida.se](mailto:info@sida.se). Homepage: <http://www.sida.se>

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# Abbreviations and Acronyms

|        |                                                              |
|--------|--------------------------------------------------------------|
| Centec | Center for Environment and Technology                        |
| CFTC   | Contract-Financed Technical Cooperation                      |
| CG     | Cooperation grant                                            |
| CII    | Confederation of Indian Industry                             |
| CSE    | Centre for Science and Environment                           |
| CSO    | Civil Society Organisation                                   |
| CSR    | Corporate Social Responsibility                              |
| CTS    | Chamber Trade Sweden                                         |
| DAA    | Distributed Agreed Amount                                    |
| EO     | Environment Office                                           |
| ICLD   | International Centre for Local Democracy                     |
| IPMA   | Indian Paper Manufacturers Association                       |
| IVL    | Swedish Institute for Environmental Research                 |
| LoI    | Letter of Intent                                             |
| MoU    | Memorandum of Understanding                                  |
| MSEK   | Million Swedish Krona                                        |
| NGO    | Non-governmental Organisation                                |
| PDC    | Partner Driven Cooperation                                   |
| PG     | Planning grant                                               |
| REDD   | Reducing Emissions from Deforestation and Forest Degradation |
| SALAR  | Swedish Association of Local Authorities and Regions         |
| SGU    | Statens Geologiska Undersökning/Swedish Geological Survey    |
| Sida   | Swedish International Development Cooperation Agency         |
| SIPU   | Swedish Institute of Public Administration                   |
| SIWI   | Stockholm International Water Institute                      |
| SMHI   | Swedish Meteorological and Hydrological Institute (SMHI)     |
| STEM   | Swedish Energy Agency                                        |
| ToC    | Theory of Change                                             |

# Preface

This evaluation was contracted by Sida through the Framework Agreement for Sida Reviews, Evaluations and Advisory Services on Results Frameworks and conducted by SIPU International. The evaluation team consist of the Team Leader Klas Markensten, international consultant Johanna Lindström, QA expert Stein-Erik Kruse, consultants for each of the 7 countries: Thaveeporn Vasavakul (Vietnam), Greeshma Francis (India), Juairia Sidabutar (Indonesia), Linda Chikarema (Namibia), Lawrence Kubanga (Botswana) and Anna Jonsson (China).

The findings of the report are entirely the responsibility of the team and cannot be taken as expression of official Sida policies or viewpoints.

The team has benefited from information and views from a number of PDC partners in the seven countries and in Sweden, and Sida and the embassies have been very forthcoming in supporting the evaluation.

## Executive Summary

Partner Driven Cooperation (PDC) has been the main aid modality in the Swedish development cooperation 2009-13 with seven countries: South Africa, Namibia, Botswana, China, India, Indonesia and Vietnam. The bilateral development cooperation with these countries ends in 2013.

The evaluation looks at experiences and results from the implementation of PDC to explore the extent to which the goals in the Swedish government's PDC policy have been reached. It also looks forward and gives suggestions for a possible future PDC, and notes how other aid modalities could be enriched by experience from PDC.

Most of the larger PDC projects have been reviewed by the evaluators – based on a key project documents, complemented with selected interviews with partners in Sweden and the seven countries, with Sida and the embassies, and with other key stakeholders.

The project level assessments have formed the basis for comparisons between countries, PDC actors, sectors, PDC categories, as well as PDC and other aid modalities. From this, conclusions have been drawn on PDC as an aid modality, and suggestions made for possible future PDC.

## CONCLUSIONS ON PDC AS AID MODALITY

The **partnership modality has worked well** in all seven countries. The mutual interest is overall very strong. 18 per cent of the studied partnerships are likely to continue their projects and another 44 per cent foresee some kind of joint future activities. Many partners have commented on the value of the personal and professional partnerships, and how these have helped them reach the planned results of their collaboration. Financing, mainly for the Swedish partners, is the major problem for continuation.

PDC has been confronted with double **time problems**. It had a very slow start in 2009. There was a lack of rules, procedures and guidelines within Sida. In addition, Sida was changing its contribution management system during this period, which compounded the problem. Partners complained of very long waiting times for Sida to make decisions. Eventually the number of projects started increasing, and for 2012 the country budgets became the main limitation, especially in Asia. The government then finally answered repeated queries from Sida about the future, and took the decision in 2012 not to renew or prolong the cooperation strategies for the seven countries after 2013. This created a new time problem. Planning and implementation had to be accelerated, with negative effects on some of the projects.

It is probable that a majority of the PDC projects will **reach their short-term objectives**. As for reaching the **long-term objectives of poverty reduction**, this is difficult to foresee, and also depends on if and how the partnerships will continue. In many projects, Swedish partners supply technical knowledge on models and technology at a high level in the national systems, for which the poverty effects will come after a long time and are difficult to predict. The project documents are sometimes weak in terms of describing the expected long-term results.

It is a requirement that projects should take into account four perspectives: poverty, rights, gender and the environment. It has for many actors, especially for actors new to development cooperation, been a **problem to integrate these perspectives**.

**Cost sharing promotes ownership.** Local cost sharing was difficult to introduce in several countries, and for some actors, for example NGOs, it has been prohibitive. Sida has been flexible with rules for cost sharing. Cost sharing by the host country partner has been a basic feature of PDC with positive effects on joint ownership. Joint management has been less equal, with the agreement partner (in the majority of cases the Swedish partner) normally more active in planning and reporting.

**PDC has worked in all the seven country contexts**, which are very different. Large countries such as China and India, and also South Africa, have offered special challenges because of size, government systems and competition from other donors, but may also be more suitable since they can make better use of the type of knowledge available in Sweden. On the other hand, small countries provide good opportunities for networking.

**PDC is a long-term aid modality.** It takes a long time to forge partnerships and personal relations and to do joint planning. It also takes time to accomplish sustainability. At least five years is normally needed for a PDC project. The short time available for PDC implies higher risks.

This entails that PDC is **normally not suitable for quick phasing out** of development cooperation. Theoretically, the government could take decisions to phase out from a country over a very long period, and then PDC could be used.

**The application process for applied research has worked well**, using open, competitive calls for proposals with fixed rules and time schedules. Planning grants and cooperation grants were subject to sometimes prolonged discussion between the applicants and Sida, which could lead to better projects, but which was also time consuming.

In all seven countries, Sida engaged **facilitators to build up the project portfolio** (with focus on introducing new actors). This was necessary but worked differently in the seven countries. Many facilitators had a broad mandate to stimulate contacts in

general, not only PDC. Facilitators located in embassies and consultants with local offices specialised on matchmaking produced most PDC projects.

PDC projects worked **equally well in the different sectors**, the main one being environment and climate. Human rights and democracy is easier to support by targeted interventions than by PDC.

**Universities are the dominant actor** and their projects have been largely successful. Swedish government agencies, municipalities and NGOs normally cannot find continued financing after the PDC period. Projects run by private companies have better prospects of future financing, but have higher risks. It is positive that many actors that are new to development cooperation have been recruited through PDC, but this could also entail higher risks.

PDC shows similarities with for, example, Contract-Financed Technical Cooperation and the Baltic Sea Cooperation. What is **specific for PDC is the strong emphasis on the partnership**.

**PDC implementation has been in line with the government's PDC policy.** Many new partnerships with mutual interest have been created, and the principles and priorities in the policy (and the cooperation strategies) have been put into practice. Question marks can be put on how self-supporting the relationships will be, and the perspectives (poverty, human rights, gender, and the environment) were not observed enough.

## RECOMMENDATIONS FOR A FUTURE PDC

**A new PDC instrument with clear focus on sustainable relations of mutual interest** could be useful. It would include cost sharing and preferably be used in middle-income countries. It could be useful in new countries, but should only exceptionally be used to phase out other cooperation.

The mechanism with **fixed application procedures** deployed in applied research and the Challenge funds should be used, and also other **experience from Challenge funds** could be applied for example having country, regional and global funds and separate windows for different actors. Rules for satisfying the development objective should be spelled out clearly.

**Facilitators should be used** to stimulate new partnerships and to give technical support to partners applying for funds. All types of actors should be able to apply. Instead of having a special unit in Sida for PDC it is proposed that the responsibility for PDC is distributed **according to the actual Sida organisation**. A new PDC modality should not start until all rules and procedures are determined and communicated.

## PDC EXPERIENCE OF INTEREST FOR OTHER AID MODALITIES

**Partnerships** are found in most aid modalities, and experience from PDC on the importance of the quality of the partnerships could be included in methods handbooks. The fact that good partnerships take time to develop should be emphasised, and options for financial support to the establishment of new partnerships should be explored.

**Cost sharing** promotes ownership. There is practically always some local contribution of resources also in other aid modalities, and overall guidelines for how to calculate and apply cost sharing in interventions supported by Sida should be formulated.

**Sustainable relations can probably promote better long-term results.** An explorative paper on this relation could be elaborated.

# 1 Introduction

The bilateral so-called Selective cooperation with seven countries (South Africa, Namibia, Botswana, China, India, Indonesia and Vietnam) will be phased out during 2013 when the current cooperation strategies come to an end. Partner Driven Cooperation (PDC) has been the predominant aid modality for these countries. This report presents the findings and conclusions from an evaluation of PDC as an aid modality in Swedish development cooperation.

## 1.1 OBJECTIVES OF THE EVALUATION

The overall purpose of the assignment is to assess whether Partner Driven Cooperation as an aid modality has reached or has the possibility to reach the goals set up in the government policy for PDC. This includes the principles Sida has derived from the policy.

In the Terms of References it is stated that the evaluation is undertaken to summarise PDC as an aid modality. The results of the evaluation can be useful if PDC is to become a future aid modality and can contribute to further develop the instrument. The evaluation can also enrich other aid modalities used in the Swedish bilateral programmes.

The evaluation should also contribute to documentation of results of the Swedish cooperation with the seven countries for Selective Cooperation.

These objectives are elaborated further in the Terms of References (Annex 2).

The evaluation should thus 1) look at the experiences and assess the results of PDC 2) give suggestions for use of PDC and possible changes if it would become a future aid modality 3) if possible enrich other Swedish aid modalities 4) give an overview in the interest of documenting the Swedish support to the seven countries that will now be terminated.

## 1.2 PARTNER DRIVEN COOPERATION

As a type of development cooperation, Partner Driven Cooperation is not new. It has appeared in different forms over a long period of time. At one time it was called Economic Cooperation, and later Broader Cooperation.<sup>1</sup>

In December 2007 the government launched a policy for Partner Driven Cooperation (in the policy called Actor-driven cooperation). The definition of PDC is as follows:

“Actor-driven cooperation refers to measures that stimulate cooperation activities primarily between Swedish actors and actors in low and medium income countries that build on mutual

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<sup>1</sup> Broader cooperation is a forerunner to PDC with basically the same main characteristics. See for example Sida, Återrapportering avseende Sidas bredare samarbete, 2007-06-12.

interest and an explicit division of responsibility between the actors involved and that have the potential to eventually be self-supporting relationships.”<sup>2</sup>

Actor-driven cooperation should contribute to the objective of international development cooperation or the objective of reform cooperation in Eastern Europe. Five basic principles for actor-driven cooperation state that it should:

- be catalytic and temporary
- stimulate relationships with common ownership and clear division of responsibility, for example through cost-sharing and shared management
- contribute to relationships that can continue after the end of aid financing
- match interests, needs and experiences of the partner country and Sweden
- be eligible for funding from the budget from development cooperation.

The policy also states that the modalities to be used should permit a fast and flexible management, mainly based on applications. It should be possible to give small grants to promote contacts between partners. PDC should become the predominant form of support to countries with Selective Cooperation where Swedish development cooperation was being phased out, and function as a bridge between development cooperation and self-supporting relationships.

The policy has been expressed by Sida in 7 guiding principles:

- Mutual interest
- Swedish competitive advantages
- Catalytic
- Time limited
- Potential to be self-supporting
- Joint ownership
- Cost sharing.

There are three forms of PDC grants: Planning grants to a maximum of 284 000 SEK and Cooperation grants and grants for Applied Research, normally not for more than 5 MSEK. The average project period is two years and the maximum normally three years. In addition to project grants, Sida has financed facilitators to stimulate new partnerships.

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<sup>2</sup> Appendix to Government Decision 19 December 2007 (UD2007/46452/UP)

## 1.3 SCOPE OF THE EVALUATION

Table 1 shows the number of PDC projects by country.

**Table 1: Number of projects by country (2008-2013)**

| Country            | All        | Sida       | Agency for Economic and Regional Growth | Arts Council |
|--------------------|------------|------------|-----------------------------------------|--------------|
| South Africa       | 111        | 75         | 8                                       | 28           |
| India              | 99         | 77         | 15                                      | 7            |
| Vietnam            | 96         | 82         | 14                                      | 0            |
| Botswana           | 70         | 57         | 8                                       | 5            |
| Indonesia          | 53         | 41         | 8                                       | 4            |
| China              | 79         | 38         | 27                                      | 14           |
| Namibia            | 45         | 37         | 5                                       | 3            |
| <b>Grand total</b> | <b>553</b> | <b>407</b> | <b>85</b>                               | <b>61</b>    |

Note: Only projects agreed after the start of PDC as a concept has been included. Contract-Financed Technical Cooperation (CFTC) has not been included. Certain projects with two phases have been counted as one. Source: Sida PLUS/Greatness

In terms of the scope of this evaluation, not all 553 projects are included. The evaluation does not include the 146 projects financed by Sida, but administered by the Arts Council and the Agency for Economic and Regional Growth projects (DemoEnvironment), and not projects before 2009. Of the 407 projects administered by Sida, there are a number that are not included.<sup>3</sup> The resulting number of grants relevant and available for this evaluation is 282 (including all the facilitators). Out of these, 172 have been assessed (see section 2.1 below).

## 1.4 EVALUATION QUESTIONS

There are 69 specific questions in the Terms of Reference, and sub-questions. The questions at the project level were consolidated and organised according to the DAC criteria: relevance, efficiency, effectiveness, impact and sustainability. In addition, the more general questions in the Terms of References have been presented in two categories: comparative conclusions, and conclusions and recommendations for PDC as an aid modality.

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<sup>3</sup> A number of projects (125) are connected to assessed grants (extensions or similar); represent administration costs in the Sida system; have been discounted due to not being deemed relevant, e.g. ITP courses and grants to ICLD; or have not been accessible to the evaluation team, e.g. documents not available.

Table 2: Evaluation questions

| Evaluation criteria        | Evaluation question                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
|----------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Relevance                  | <p>Is the project in line with the selective cooperation strategy for the country?</p> <p>Have the rights and poverty perspectives and the thematic priorities (HR, gender, environment) been integrated in project implementation?</p> <p>Is the project based on mutual interest?</p> <p>Is the project based on Swedish comparative advantages?</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| Efficiency <sup>4</sup>    | <p>Is the project catalytic? (measured as Sida share of total cost in per cent)</p> <p>Was the project jointly owned and managed and reported by the partners?</p> <p>Were the costs shared to a large extent by the partners?</p> <p>Has the budget been fully used?</p> <p>Which are the good and bad experiences of project implementation? What has worked and what has not?</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| Effectiveness              | <p>Will the project contribute to Sida's overall objective (poverty reduction)?</p> <p>Is there a theory of change in the project document?</p> <p>Will the stated objective of the project be met?</p> <p>Were the principles of PDC implemented in the projects?</p> <p>Did the project have high risk?</p> <p>Which were the major risks and challenges? Were there factors that were preconditions for successful implementation?</p>                                                                                                                                                                                                                                                                                                                                                                                                                         |
| Impact                     | <p>Type of objectives stated in the project document (impact, outcome, output, activity)</p> <p>Were there any spin-off or side effects, for example new actors or relations?</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| Sustainability             | <p>Does the project have potential to be self-supporting in the future without Sida support?</p> <p>Will the relations between the partners continue over time in some form?</p> <p>To what extent has PDC contributed to promoting sustainable relations, which will continue without funding through development aid?</p> <p>What conclusions can be drawn related to the time needed to develop sustainable relations in relation to the actual implementation time of PDC projects?</p>                                                                                                                                                                                                                                                                                                                                                                       |
| Comparative lessons learnt | <p>Which are the lessons learned of different categories of PDC (facilitators, planning grants, cooperation grant projects, applied research)? Good and bad experiences? What worked/did not work?</p> <p>Is it possible to draw comparative conclusions about PDC implementation in the seven countries?</p> <p>Is it possible to draw conclusions on PDC implementation by different types of actors?</p> <p>Is it possible to draw conclusions about PDC implementation in different sectors?</p>                                                                                                                                                                                                                                                                                                                                                              |
| PDC as aid modality        | <p>Which are the lessons learned? Strengths and weaknesses of PDC as an aid modality?</p> <p>Which have been the major preconditions, risks and challenges for PDC?</p> <p>What role do the principles of PDC play for PDC as a model as compared with other types of development cooperation?</p> <p>Is there a win-win-win in PDC projects in promotion of Swedish knowledge, building relations and at the same time achieving development cooperation goals?</p> <p>Is PDC useful as a transitional modality when moving from traditional development aid?</p> <p>Can PDC be a suitable aid modality in the main cooperation countries in combination with other modalities?</p> <p>How could PDC as an aid modality be developed further? Are changes needed to improve results of PDC?</p> <p>Should PDC be used as an aid modality in the future? How?</p> |

<sup>4</sup> Data could eventually not be provided by Sida on the Sida share of total costs and on the full use of the budget (many projects were also on-going when the evaluation was conducted).

### 1.5 OUTLINE OF THE REPORT

In chapter 2, the methodology of the evaluation is described.

In chapter 3, the short history of PDC is related. Chapter 4 presents the PDC grant categories and a very short summary of PDC in the seven countries. Annex 1 includes more detailed country reports.

The main chapter (chapter 5) in the report is the presentation of the project assessments for different issues such as sustainability of relations, poverty reduction, reaching objectives, mutual interest, joint ownership, cost sharing, human rights/poverty perspectives and gender and environment, and the issue of in which countries PDC functions well as an aid modality.

In chapter 6, different actors are discussed and compared, and in chapter 7 the different PDC sectors. In chapter 8 the activities of the nine facilitators used in the different countries are presented.

In chapter 9, PDC is compared to other aid modalities and then conclusions on the experiences of PDC are drawn in chapter 10.

In chapter 11, the question put to the evaluators of suggestions for a possible new PDC instrument is discussed, and recommendations for a future PDC are made in chapter 12. Finally, a few lessons from PDC that might be useful for other aid modalities are presented in a final chapter 13.

## 2 Methods

The evaluation process is “bottom-up” and uses information that is quantified at the level of projects (see Figure 1). At the next level, comparisons are made between countries, categories, sectors and actors. Finally, on the basis of the conclusions drawn on these levels and other information collected by the evaluators, an analysis of PDC as an aid modality is made.

### 2.1 SELECTION CRITERIA AND SAMPLE

In view of the objectives to contribute to the assessment of the whole of PDC as an aid modality and to give information on the entire cooperation with the countries for selective cooperation, a broad range of projects has been selected for assessment.

The total number of projects available for assessment is 282. All cooperation grants and applied research projects with information available (143) have been assessed. Due to the large number of planning grants, only a small selection has been included in the assessment (20). For the 110 remaining planning grants, only a rough assessment of sustainability is made.<sup>5</sup> All facilitators are included (9).

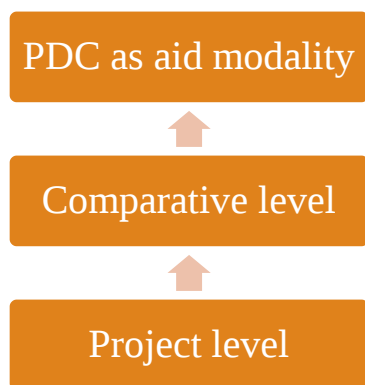


Figure 1: The evaluation process

There are different levels in the depth of assessments, with some projects subjected to more in-depth analysis. The selection of these projects has been purposive and pragmatic. The selection criteria include geographical location, size, type, presence of key persons and availability of interviewees during the timing of field visits.

### 2.2 METHODS FOR DATA COLLECTION AND ANALYSIS

The evaluation questions have been translated into a set of criteria in an assessment framework (Annex 4), which has guided the data collection and analysis of the sample of projects. It has been developed on the basis of Sida policy documents including the Policy for Actor-driven Cooperation, the Policy for Global Development and policies on issues such as poverty, rights, and the environment.

<sup>5</sup> These planning grants are also not included in the categorisation of projects in terms of type of actor and sector.

The following data collection methods have been used:

- Semi-structured interviews<sup>6</sup> with local and/or Swedish partners, the responsible Sida programme officers in Stockholm and at the embassies, and with other stakeholders within Sida, in the Ministry for Foreign Affairs and in the countries who have knowledge pertinent to Partner Driven Cooperation. Visits to Botswana, Namibia, South Africa, India, Indonesia and Vietnam have been conducted.<sup>7</sup>
- A focus group discussion was held with partners in Botswana, and joint validation discussions with the Sida personnel responsible for PDC in South Africa and India. A preliminary discussion on the possible conclusions and recommendations from the evaluation was conducted with the heads of the division and department responsible for PDC in Sida.
- Review of project documents, including at least project proposals, the latest project report and sometimes Sida assessments of the proposals or reports, and various other project documents made available.
- The source material from electronic surveys conducted by Sida with both the Swedish and the local partners on different issues within Partner Driven Cooperation. The frequency of response was not enough to draw any firm conclusions at a general level, but individual responses (where available) have been used to triangulate assessments.

Out of the 282 projects:

- 73 projects were subjected to more in-depth assessment, with interviews, document review and survey responses when available. The focus has been on interviewing local partners, rather than Swedish partners, as the local partners are deemed to have more contextual, up-to-date knowledge of the actual situation on the ground.
- 90 projects were assessed on the basis of project documents, Sida assessments and survey responses when available.
- 110 projects (planning grants) were assessed on two criteria only: continuation to cooperation grant (Yes/No) and potential for continued collaboration (Yes/No). The basis was mainly interviews with Sida programme officers and project documents.
- 8 facilitators were assessed on the basis of interviews and document review, and one was assessed based on document review only. Evaluations have been available for three facilitators.

An assessment scale of 1-4 has been used for the majority of criteria. For a few variables a Yes/No estimation has been used. For a few of the criteria, the initial definition in the assessment framework did not fit some of the types of projects. In these cases, subjective assessments on the scale 1-4 (very good, good, sufficient, poor) have been used and calibrated be-

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<sup>6</sup> The interview guide is included in Annex 5.

<sup>7</sup> The list of interviewees is included in Annex 6.

tween the consultants.<sup>8</sup> The local consultants engaged in five of the seven countries participated in making the project assessments.

The discussion of the same projects with different persons with knowledge about them served well as triangulation and validation of the information received. Naturally, the projects selected for local interviews gave more in-depth information.

Data from Sida's PLUS system on the portfolio of PDC projects have been organised and cleaned by a consultant working with a separate TOR and contract. SIPU has used these data for the assessment tables.<sup>9</sup>

Apart from the project data, the evaluators have actively asked if there have been any side effects or spin-off effects – for example if new actors have been involved as a result of the PDC project, in the project itself or in separate relations. Information has also been solicited on more general lessons learnt from Partner Driven Cooperation.

### 2.3 LIMITATIONS AND CHALLENGES

The quality of data is an issue. In early 2013, Sida gave detailed instructions to the partners how to structure their final reports when practically all on-going PDC in the seven countries will stop at the end of 2013. These instructions include detailed questions on reaching objectives, sustainability, lessons learned, effects on partner organisations, side effects and spin off effects, thematic priorities of the Swedish Government and the poverty, rights, gender and environmental perspectives.

However, these final reports were in all but a few cases not available for this evaluation. The reports from 2012 have mostly been available, but as many projects started late 2011 or in 2012, these reports cover mostly only the start-up period. The reports and project proposals often include only superficial information on issues such as environment and the poverty and rights perspectives. The result of the unavailability of full reports is that much of the assessment is focused mostly on the potential to achieve results, rather than actual results.

As is stated and foreseen in SIPU's call-off response, it has not been possible to answer the questions in the Terms of References on cost efficiency and cost effectiveness of the projects or of the facilitators. Data are not available on distribution of costs between actors and Sida. There are no hard data available on cost efficiency, and Sida does not ask the projects for measurements or estimates of this. There has been no possibility for the evaluators to go into

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<sup>8</sup> See Annex 4 for the Assessment Framework with comments.

<sup>9</sup> Note that data on overall disbursements and disbursements by country for 2013 has been updated as of 14 November 2013. Disbursements by sector and actors for 2013 are valid as of 27 September 2013.

detail for the large number of projects, to look for financial accounts, construct historical baselines or find other comparable projects.

The sources of information have mainly been those responsible for project implementation. In many cases, they are also the beneficiaries of interventions, e.g. staff within public agencies that are part of capacity building efforts or those providing technical support. These can have a positive leaning, which might be true also for Sida personnel responsible for decisions. This is a possible source of bias and could influence the ratings upwards. Very few stakeholders outside of project implementation have been consulted, e.g. the target groups of interventions in terms of policy makers or ultimately poor people.

The fact that, for practical reasons, most the projects visited were those located in the capital is a potential source of bias, but on the other hand, as nearly all the projects located in the capital were visited, this provides a counter-bias. For China, most of the project assessments are based on document review and a few interviews with Swedish stakeholders, as a visit could not be included due to time and resource constraints. This may have influenced findings.

The report includes data on actual disbursements 2009-2013. Note that data for 2013 do not cover the full year as many projects only finish at the end of 2013 and still have payments pending.

## 3 The short history of PDC

### 3.1 SLOW START-UP AND QUICK EXIT

Partner Driven Cooperation is guided by the strategies for cooperation with the seven countries for Selective Cooperation. Strategies for all seven countries were decided upon during the course of 2009 and they all cover the period 2009-13. Sida could start, but could not implement the PDC programmes fully in the respective countries until a strategy was in place.<sup>10</sup> This meant that implementation of PDC for the respective countries started gradually during 2009. The exception was Vietnam, for which a strategy was launched in early 2009. The embassy in Vietnam had delegated decision authority so it could determine its own rules from early 2009 and start the transformation towards PDC as the main aid modality.

There were a number of teething problems for Partner Driven Cooperation. For existing actors both in Sweden and in the partner countries, the conditions in the PDC modality were new. And a basic tenet in the new policy is that relations between Sweden and the countries should be broadened, which implies that new actors should be brought in, who had little knowledge of development cooperation. The communication problems were substantial.

The introduction of new actors was an additional burden on Sida's administrative capacity. To solve this problem, Sida brought in a number of facilitators for the seven countries, but to introduce the facilitators into Swedish development thinking was also a challenge for Sida and took time. Also, the principle that PDC should be catalytic implied that the projects should not be big, so instead the number of projects had to rise.

In the beginning, there were not enough precise rules, regulations and procedures articulated for PDC. This meant that at the same time as PDC should be increased in the countries, new administrative rules had to be worked out. And the government had not answered Sida's questions on principles such as future financing for government agencies, procurement or only Swedish actors being partners.<sup>11</sup> So Sida had to find ways to get around the problems. For example, the issue of procurement was eventually solved by the decision to consider the support as a *contribution* and not an assignment that had to be procured in competition. The instrument has in practice been reserved for Swedish actors.

At the same juncture, Sida went through a turbulent phase with many personnel changes, and changed (and complicated) its system for assessing contributions. The end result was that the

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<sup>10</sup> In countries like South Africa and India, similar but not identical projects for so-called broader cooperation were in place when PDC started.

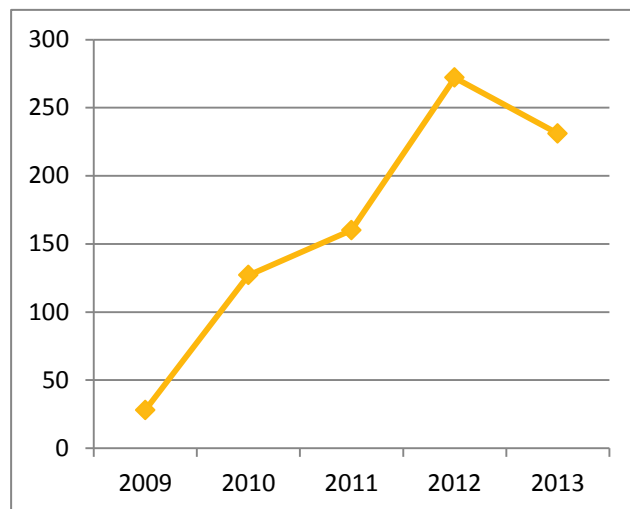
<sup>11</sup> See for example Sida, Återrapportering avseende Sidas bredare samarbete, 2007-06-12

partners often had to wait for substantial periods of time – in the worst cases more than a year – to get a decision from Sida on an application.<sup>12</sup> The lack of guidance did not only concern PDC – Sida did not want to prescribe in detail how projects and results should be described. Especially with new actors, this position led to sometimes long processes and discussions.

This took time, Sida took time, and the facilitators also needed time to start up and stimulate new partnerships. The authorities in the countries also needed time to adjust to the PDC modality.

Eventually, Sida worked out procedures for applications for planning grants and for applied research. Rules for special planning grants to the private sector were introduced. Culture and Demo Environment were delegated to external actors to handle. Some embassies had been very strict in not financing local costs but this was loosened up. The actors involved became more familiar with the new modality. The facilitators started to get results.

The end result was that Sida got more proposals and applications and became more apt in



**Figure 2: Figure 3: Annual PDC disbursements 2009-2013 (MSEK)** Number for 2013 is up to 14 November 2013. Source: Sida PLUS/Greatness/Evaluation Team

taking decisions faster. The number of projects increased, and for 2012 practically all countries had plans for projects that moneywise were approaching or over-reaching the budget ceilings. The development is illustrated in figure 2.<sup>13</sup>

The government decision in 2007 on Selective Cooperation to the seven countries mentions the perspective of phasing out. But the cooperation strategies for the seven countries do not state that it is the last strategy for the country. Sida did on several occasions ask the Swedish government for information about the future. Cooperation projects have a long gestation period, and the normal time for approved PDC

cooperation grants had been set to three years, so Sida needed information well before the strategies ended. In 2010, the government commissioned an evaluation of the PDC policy,

<sup>12</sup> A local partner who during this period waited for a year to get a decision from Sida commented on the new contribution assessment system: "Sida created a bureaucratic monster through which the proposal should be dragged."

<sup>13</sup> In this report, only disbursements 2009-2013 are included. Some PDC projects started before 2009, but we have concentrated on the strategy period for all seven selective cooperation countries. In section 4.2 disbursements for all countries and years are shown.

also to answer the queries from Sida, but it did not lead to clarifications of the policy or an answer if the strategies would be prolonged or not.

Finally, in spring 2012, the ministry informally gave Sida information that the strategies would not be prolonged after 2013. The formal decision proposal was presented in September 2012 in the budget bill. This late decision created problems for both planning and implementation of PDC projects. The actors had to make immediate readjustments of projects in the planning phase, and for some projects planning had to be stopped altogether.

Planning grants for non-private actors were very often followed by cooperation grants for a longer period. However, given the new short time frame, it was in most cases not advisable – also given the probability of delays in project implementation – to give a cooperation grant later than mid-2012. Sida had to slam the brakes.

For example, in Indonesia there were at the end of 2012 a number of planning grants and several other emerging partnerships that resulted in proposals for cooperation grants. But at that juncture no decisions could be taken on cooperation grants. For other countries, planning had to be accelerated and the planned project time shortened. Also, the projects that had managed to get approval often had to cram more activities into the time available before December 2013 than they had originally planned, and for several of them implementation suffered. Also, all “normal” delays were a threat to success of the projects, as they could not be prolonged after 2013.

## 3.2 PROSPECTS FOR FUTURE SWEDISH FINANCING OF PDC

The PDC policy opened in principle for PDC in all countries, not only the seven for selective cooperation. This has however not materialised. The possibility to use PDC was included in the cooperation strategies for Serbia and Iraq in 2009, but was not implemented. As long as the PDC policy is valid, it is theoretically possible to use the present PDC modality.

The closing of all cooperation activities, not only PDC, in the seven countries for Selective Cooperation has naturally generated some resistance with the respective constituencies. However, few PDC projects will get continued support. The Swedish Ministry of Environment has allocated 7 MSEK from a new budget line in the Swedish budget for continued activities in emerging economies, including India, China, Indonesia and Vietnam. In China, the CSR centre will get funding from the Ministry for Foreign Affairs, and there will be some other financing on the margin (see further 5.1). But all in all, there will be very little Swedish official financing available to finance the participation of Swedish PDC actors in the seven countries, compared to the former Sida financing.

In the government's budget bill for 2013 there is a budget line for Capacity development and exchange.<sup>14</sup> In the text in the bill it is said "certain parts of the present Partner Driven Cooperation can also be financed under this budget line." And further on it is stated: "New working modalities that will make use of the experiences from Partner Driven Cooperation shall be established." The budget bill for 2014 is silent on PDC.

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<sup>14</sup> Swedish budget bill for 2013, p. 39

## 4 Categories of PDC support and country overview

### 4.1 THE FOUR CATEGORIES

There are four types of PDC support: cooperation grants, planning grants, applied research grants and support via facilitators. In the table below the assessments of the different categories in the seven countries are shown.

**Table 3: The four types of PDC and number assessed in this evaluation**

| Country              | Cooperation grants | Applied research grants | Planning grants | Facilitators | PG not assessed | % of PG leading to CG <sup>15</sup> | % of non-assessed PG with potential for continuation <sup>16</sup> |
|----------------------|--------------------|-------------------------|-----------------|--------------|-----------------|-------------------------------------|--------------------------------------------------------------------|
| Namibia              | 10                 | 2                       | 0               | 2            | 14              | 50                                  | 57                                                                 |
| Botswana             | 17                 | 4                       | 0               | 3            | 21              | 67                                  | 81                                                                 |
| South Africa         | 15                 | 6                       | 2               | 2            | 23              | 24                                  | 43                                                                 |
| India                | 12                 | 15                      | 1               | 3            | 12              | 31                                  | 42                                                                 |
| Indonesia            | 6                  | 4                       | 11              | 1            | 3               | 21                                  | 100                                                                |
| Vietnam              | 26                 | 10                      | 3               | 1            | 25              | 39                                  | 56                                                                 |
| China                | 10                 | 6                       | 3               | 1            | 13              | 31                                  | 85                                                                 |
| <b>All countries</b> | <b>96</b>          | <b>47</b>               | <b>20</b>       | <b>13</b>    | <b>110</b>      | <b>38</b>                           | <b>62</b>                                                          |

The facilitators are treated in a separate chapter (8). The assessments of grants are presented in chapter 5, PDC in the seven countries.

Planning grants have been used for a variety of purposes. In most cases it has been an initial phase for two identified partners to establish a relationship and explore opportunities to work together through a cooperation grant. In some cases, it has been granted to a Swedish organisation to look for suitable counterparts. For companies, planning grants are the only form available. This is true also for grants within the cultural sector.<sup>17</sup>

<sup>15</sup> These are not assessed as they are connected to a cooperation grant that has been assessed.

<sup>16</sup> This includes those that have led to cooperation grants (see column % of PG leading to CG).

<sup>17</sup> The term planning grant has been questioned. For the private sector it is the only form available without continuation to be planned for. In the cultural sector, the Arts Council has not used the term, as it would arouse expectations of continued financing.

About two thirds (62%) of the planning grants are assessed to have led to a continued relationship in some form. In this is included the 38 per cent of planning grants that have already led to a continuation in the form of cooperation grants.

The applied research grants are approved after a process of formal application with set criteria. Two rounds of applications have been made with more demand than available funds.

There are pros and cons with the different forms used for cooperation grants and applied research grants. The research grants use standardised conditions and have fixed times for application and reward. The proposals for cooperation grants have not had pre-set time frames, and the proposals have sometimes been the subject of protracted discussions with Sida – with the objective of improving the proposals. Especially with new actors there has been a need to transfer knowledge on what is needed for successful proposals for development cooperation projects. This procedure has sometimes been very time-consuming for Sida both in Stockholm and in the embassies and has caused impatience among applicants.

## 4.2 COUNTRY OVERVIEW

In Annex 1, short reports for PDC in each of the seven countries are presented. For each country, information is given on disbursements per sector, actors, types of grant and key data for the country compared to the average for all seven countries. Also, for each country two short project examples are presented with the aim of illustrating the specific context of PDC in that country. In all countries, a smaller share of the total Sida programme consists of targeted contributions, often in the area of human rights. These are not included.

The present chapter gives a short overview for all seven countries. In table 4, total disbursements of PDC are shown.

**Table 4: PDC Disbursements in 7 countries 2009-2013 (MSEK)**

| Country            | 2009          | 2010       | 2011       | 2012       | 2013       | 2009-2013  |
|--------------------|---------------|------------|------------|------------|------------|------------|
| South Africa       | 4             | 35         | 35         | 48         | 61         | 183        |
| Vietnam            | 2             | 23         | 44         | 53         | 58         | 180        |
| India              | <sup>18</sup> | 26         | 25         | 49         | 29         | 129        |
| Botswana           | 10            | 22         | 20         | 39         | 25         | 117        |
| China              | 1             | 8          | 16         | 38         | 33         | 96         |
| Namibia            | 7             | 10         | 15         | 23         | 14         | 69         |
| Indonesia          | 3             | 4          | 3          | 23         | 12         | 44         |
| <b>Grand total</b> | <b>27</b>     | <b>127</b> | <b>160</b> | <b>272</b> | <b>232</b> | <b>818</b> |

Note: Figure for 2013 is up to 14 November 2013. Source: Sida PLUS/Greatness/Evaluation Team

In **South Africa**, Partner Driven Cooperation met with some obstacles when starting. The South African government questioned the transition from regular development cooperation

<sup>18</sup> Less than 500 000 SEK. The figure is low largely due to a repayment.

according to the Paris Declaration and the fact that PDC looked very much like tied aid. South Africa also offers other challenges such as being a large and complex country. On the other hand it has a technical level that relatively easily can make use of Swedish knowledge. South Africa has most cultural PDC projects of the seven countries. There is a broad scope for different types of PDC projects and the portfolio is diversified. South Africa has a strong role in several regional PDC projects that include Botswana and Namibia.

In **Vietnam**, Sweden has a history as a donor during 46 years and a privileged position. The embassy has delegated authority and could start PDC earlier than in the other countries. More than half of the PDC portfolio is in the field of environment, and universities are the dominant actors. Active work by the embassy and a facilitator in environment, CENTEC, lead to a large number of projects – together with the fact that there were many old relationships. The projects in Vietnam have been relatively successful.

When **India** carried out a nuclear bomb test in 1998, Sweden terminated the cooperation agreement and reduced its aid programme. Eventually Sweden and India signed MoUs for example in the environment and health areas and several partnerships were on-going when PDC was introduced in 2009 (together with support through UN organisations and NGOs). The transition to the PDC format was difficult, especially in the beginning when the embassy interpreted the PDC rules for local cost sharing in a very strict way. The strategy for India has only one major priority, environment and climate. Applied research is the predominant form of cooperation and three quarters of the actors are universities. Several projects in the health sector work to reduce poverty, in a tripartite mode with a combination of Swedish knowledge, Indian government funds and structures, and large and efficient NGOs. An environment office in the embassy worked well as a facilitator of new PDC projects while the results of the work of two other facilitators are not as visible yet.

**Botswana** has a relatively high GDP and can finance a substantial part of the projects. Other positive factors for PDC are strong institutions, an open culture and a small population, which makes communication easier. The Swedish embassy closed in 2008 but Business Sweden has an office that has contributed substantially to matchmaking for PDC. The portfolio is very varied though research projects are few, mirroring a not very strong university structure. Botswana scores relatively high on poverty issues and the poverty-related perspectives. Financing (on the Swedish side) is a problem for continued sustainable relations.

**China** is an interesting country for several parts of the Swedish society, and the PDC involvement has been implemented in close contact with a number of government departments, municipalities and the business sector. A facilitator function was set up at the embassy, Center for Environment and Technology (Centec), which has been financed not only by Sida but also by the Ministry of Enterprise and the Ministry for Foreign Affairs. Environment is the prime PDC sector in China. The political dialogue and signature of MoUs have worked in synergy with Partner Driven Cooperation projects.

PDC in **Namibia** had start-up difficulties. Sweden closed its embassy in 2008, Business Sweden did not get official sanction for a local office, and interest in Sweden for projects in Namibia was less than in for example South Africa and Botswana. There were three facilitators,

but only one was moderately successful with stimulating five projects. The result is that Namibia has fewest projects of the seven countries. On the other hand, the projects that are in place have high scores on poverty and sustainability. Democracy and human rights is the largest sector dominated by four large projects on land administration, media, health and the rights of children. There are also several projects for job creation, which is a Namibian priority.

Swedish development cooperation with **Indonesia** before PDC was mostly channelled through multilateral organisations and there were few contacts between Sweden and Indonesia outside the business sphere. The embassy worked hard at stimulating new agreements, but it became clear that more facilitation was needed. A consortium led by SIWI was contracted to get more projects in environment. It started working in September 2012 but then there was little time to start larger PDC projects. However, Indonesia has several characteristics that are positive for PDC. Cost sharing has been a challenge in terms of forward planning, but once costs were budgeted it has supported ownership. Indonesia is in the forefront, after the Busan high-level forum on development effectiveness, to push for new types of cooperation and saw PDC as a pilot in this regard. Several PDC projects have applied a cluster model with a number of actors involved, including municipalities. The largest such project is EcoAirport, in the area of Environment and Climate Change.

## 5 PDC in the seven countries

In this chapter the results of the project assessments are presented.<sup>19</sup>

### 5.1 SUSTAINABLE RELATIONS ARE PROBABLE

In Table 5, the results from the project assessments are given for the most important variables: sustainable relations, poverty reduction and sustainability of results. Connected to these are the issues of the presence of a theory of change, and the probability that the projects will reach their set objectives.

**Table 5: Sustainable relations and sustainable poverty reduction**

| Country                      | Prognosis sustainable relations | Prognosis poverty reduction | Prognosis sustainable results |
|------------------------------|---------------------------------|-----------------------------|-------------------------------|
| Namibia                      | 2.9                             | 3.0                         | 3.0                           |
| Botswana                     | 2.7                             | 2.6                         | 2.6                           |
| South Africa                 | 2.7                             | 2.6                         | 2.5                           |
| India                        | 2.6                             | 2.5                         | 2.4                           |
| Indonesia                    | 2.7                             | 2.1                         | 2.3                           |
| Vietnam                      | 2.9                             | 2.3                         | 2.9                           |
| China                        | 2.9                             | 2.1                         | 2.3                           |
| <b>Average all countries</b> | <b>2.8</b>                      | <b>2.4</b>                  | <b>2.6</b>                    |

Sustainability in the relationship between the partners is a basic issue for Partner Driven Co-operation. After short-term support from the development cooperation budget, the partnerships would hopefully continue and be self-supporting in the long term. Table 5 shows a great similarity between the countries with a mean figure of 2.8. For the 163 assessed projects the distribution is the following:

**Table 6: Prognosis sustainable relations**

| Scale | Description                                                                                                                                                                                                  | Number of projects | Per cent of projects |
|-------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|----------------------|
| 4     | The relationship is self-supporting and similar activities to those funded under PDC will continue. There is either financial sustainability or medium term project funding has been secured from elsewhere. | 30                 | 18                   |
| 3     | The relationship will continue with joint activities in some form, but to a lesser degree from when the project was funded under PDC.                                                                        | 71                 | 44                   |
| 2     | Positive contacts will remain between the partners but without joint activities on the ground                                                                                                                | 56                 | 34                   |
| 1     | The relationship will cease.                                                                                                                                                                                 | 6                  | 4                    |

<sup>19</sup> Because of space limitations, tables for all variables are not included in the main text. They can be consulted in Annex 3.

In 18 per cent of the cases, continuation of the project activities is secured in the medium term. Another 44 per cent foresee continued joint activities, but less than during the PDC project (and possibly not the same activities). Of the remainder, practically all foresee that they will have continued informal contacts.

Several interviewees said it was probable that the present close contacts would, with time, become less energetic and frequent. The main obstacle identified for continued relations is possibilities to finance continued cooperation. Universities can apply for funds in their respective countries and internationally, and businesses could continue to buy and sell to each other. Swedish government agencies and municipalities do normally not have any funds for a continuation of joint activities, but most of them will probably continue with personal contacts via mail, telephone and Skype. NGOs with a common agenda would presumably continue to push for it, but for them both new financing and cost sharing is difficult (see further section 5.8).

The countries with highest rank in the table above are Namibia, Vietnam and China. There is no conclusive explanation for this, but in the case of Vietnam there is a very long history of close cooperation between many partners, which they would probably like to continue. The same explanation is valid for China. In the case of Namibia it is a bit surprising because it has not been so easy to establish partnerships for that country. One possible explanation is that the few partnerships that were established were also of high quality, and they also did show relatively good results (see 5.3).

A few Swedish government agencies will get continued funding from the Swedish government. In China the CSR centre will get with Funding from the Ministry for Foreign Affairs. The Swedish Environment Protection Agency has received 7 MSEK from a new budget line in the Swedish budget for continued activities in emerging economies, only marginally concerning PDC projects (but relevant for India, China, Indonesia and Vietnam). This amount will be distributed between a number of government agencies working in the environmental area, include the Swedish Chemical Agency (KemI). Vinnova will receive some funds for work within environment and health in India (and a new local post at the embassy has also been created for follow up in these areas).

Some projects have received or will apply for other Sida funding, e.g. from. Global Programmes, including Business for Development (B4D), and from the International Centre for Local Democracy (ICLD). Others have received funding from other donors such as EU, or have managed to create sustainable business relations. Some collaborations between individual researchers have led to institutional partnerships between universities, which in their turn have led to collaborations in other areas. For at least two cases, funding has been secured from the local partner. Swedish Lantmäteriet will be financed directly by the Chinese Ministry of Land Resources for training and SIWI by Rand Water in South Africa.

## 5.2 ALL PROJECTS REACH THEIR SHORT-TERM OBJECTIVES

All PDC projects are short-term. Therefore, the objectives are in most cases outputs. A project objective can for example read: to enhance the capacity for health care providers and managers on Adolescent Reproductive and Sexual Health and lifestyle issues.<sup>20</sup> The short-term objectives are compatible with Swedish development objectives. In a few cases (6 per cent of the grants), not only short-term outputs but also outcomes (more permanent changes) to be reached during the project period have been defined. For example: The Botswana government has increased its responsiveness to child rights violations.<sup>21</sup>

The fact that the objectives normally are short-term outputs explains the assessment that the probability of reaching the immediate project objectives is high, for all seven countries (see Annex 3).

## 5.3 POVERTY REDUCTION AND SUSTAINABLE RESULTS

Since PDC projects are financed from the aid budget, they should contribute to the objective of Swedish development cooperation. The figures in Table 5 imply that it is difficult to predict the effects on poverty. The assessment indicates that there is potential for poverty reduction but that negative factors, such as for example that the partnership will not be sustainable (or a number of other factors) might influence the end result.

Actually, few PDC projects can have direct effects on poverty in the short term. They are of short duration and normally do not work directly with poor populations. Instead, Sweden through PDC normally provides models, technology and policy advice relatively high up in the results chain towards combating poverty. All the seven countries are middle-income countries where the governments are normally not asking for support from countries like Sweden for direct poverty oriented interventions at the grass-root level.

The highest scores for potential for long-term poverty reduction are for the countries in Southern Africa and India. The strategies for Namibia and Botswana explicitly state the need to fight poverty. In India there are several health projects, which could have positive effects on poverty reduction. This is also the situation in South Africa where for example several organisations managing projects against HIV/AIDS have also taken on more directly poverty-oriented PDC projects. In Indonesia, there have been mostly planning grants with less with uncertain influence on long-term poverty. There and in Vietnam and China, several projects

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<sup>20</sup> District Design for Mainstreaming ARSH and Non-communicable conditions in Youth Friendly Health Services in Himachal Pradesh, India (Lund University-SHM-MAMTA).

<sup>21</sup> Making Children's rights a reality in Botswana (Save the Children and Bonela).

are active at a higher policy level or concern research, with very indirect and long-term links to the poverty situation. Furthermore, in these countries many projects are in the environment and climate area with very long-term possible effects on poverty reduction.

One issue connected to the actual type of projects is the fact that many actors do not normally focus on poverty objectives in their normal activities. This was discussed early on by Sida: “The objective for Sida’s work with Partner Driven Cooperation is that the actors shall continue to cooperate on their own with benefits for poor people. The actors on their side have only exceptionally the benefit for poor people or combating poverty as their prime objective.”<sup>22</sup>

However, to get funds from Sida, the actors have to show that there is a possible long-term benefit for poor people, or Sida should at least assess that the short-term objectives of the projects are compatible with possible long-term effects on poverty. Sida has worked hard on the poverty issue with the result that at least during the PDC project period, the short-term objectives have been consonant with the long-term Swedish poverty reduction objective (see also 5.5 on theory of change).

**Sustainability of results** is connected to the prognosis for poverty reduction, but with more emphasis on if there is longevity in the results achieved. This similarity is also seen in the table above. The country that stands out with a relatively higher figure for sustainable results is Vietnam, possibly because of the existence of long-term relations that started long before PDC and which will continue.

To sum up: The short-term objectives for the projects are compatible with poverty reduction, and most projects reach their short-term objectives. The nearly 20 per cent of the partnerships that have secured financing for a continuation of present activities probably have an advantage in reaching the long-term objectives of poverty reduction. As the prospective results for most projects are very long-term, they are very difficult to predict.<sup>23</sup>

In the footnote below some illustrations are given of positive results already reached.<sup>24</sup>

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<sup>22</sup> Sida, Återrapportering av Sidas arbete med genomförandet av Policyn för aktörssamverkan inom utvecklings-samarbetet, 16 juni 2009, AI p 7

<sup>23</sup> This evaluation is also conducted when a majority of projects are still on-going which makes this type of assessment even more difficult.

<sup>24</sup> Some examples of results:

1. In collaboration between the International Law Centre of the Swedish National Defence College and the Faculty of Law at the University of Pretoria, summer schools and conferences have been held in South Africa in 2011 and 2012. The topic has been International Humanitarian and Human Rights Law. The long-term outcome objective has been to establish a Masters Programme at the University of Pretoria. The university has now approved the establishment of such a programme from 2014.
2. The Breastfeeding Promotion Network (BNI) in India advocates breastfeeding rights for women to decrease risk of pneumonia and diarrhoea, which are leading causes of child deaths. Indian authorities have not been

## 5.4 RISKS

Connected to the prognosis for reaching objectives is the judgement of risk of not reaching the objectives. As most projects have short-term output objectives, the risks are low. In only 28 (16%) cases the risk is expected to be high. This normally depends on some major unplanned factor influencing the work, or on the agreement partner being new and unproven.

One example of high risk is a project in South Africa to strengthen monitoring in companies of HIV/AIDs. The objective was to introduce a specific web based system for such reporting but the basic conditions for introduction of this system were found to be missing.

New actors do almost by definition not know the challenges and pitfalls in executing development projects, so it is not surprising that they are well represented in the group of projects constituting high risks. There are also risks connected with the systems in the countries. Even seasoned actors have fallen prey to the systemic delays and extraneous interests prevalent in for example several Asian PDC countries.

PDC projects share a time risk with other short-term projects. As has been mentioned earlier, PDC projects need a long start-up period. The risk with allowing only three years altogether for a PDC project increases the risk of results not being sustainable.

One risk that could have loomed larger is the risk that the projects would not be self-supporting. But the fact that self-supporting was eventually interpreted not as the partners financing with their own funds, but financing would be available, even from other Swedish development funds, made this risk less prominent.

## 5.5 THEORY OF CHANGE MISSING

Theory of change explains the results chain or how to reach the long-term results for the projects - the logical sequence of events that will eventually lead to a reduction in poverty. The score 3 for this variable corresponds to that there at least a minimal description of the theory of change in the project documents.

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very engaged in this issue earlier. The International Maternal and Child Health Department at Uppsala University (IMCH) supports the work. Through advocacy and consultations the project has achieved that the central ministry and several state ministries have agreed to become partners in the campaign.

3. Chamber of Trade in Sweden supports women entrepreneurship in Namibia through collaboration with the NGO Women's Action for Development (WAD). WAD trained 319 small-scale women entrepreneurs in commerce (for example selling oranges on the road). A number of them have afterwards started formalising their businesses to be able to buy directly from wholesalers. New donors have been enrolled for a continuation and more women have asked to be trained.

The average score for all the countries is below this level. As said before, many projects are of a technical nature or research projects where the focus of the partners is on what they want to do, rather than on the long-term effects for defined categories of poor people.

## 5.6 MUTUAL INTEREST IS VERY STRONG

The PDC policy states that the aim is to stimulate self-supporting relationships of mutual interest. The mutual interest is a linchpin for results and sustainability. The idea is that the partners should, based on their own interest, find each other and start to cooperate.

**Table 7: Mutual interest and joint ownership**

| Country                      | Mutual interest | Joint ownership |
|------------------------------|-----------------|-----------------|
| Namibia                      | 3.8             | 3.3             |
| Botswana                     | 3.7             | 3.1             |
| South Africa                 | 3.4             | 3.2             |
| India                        | 3.6             | 3.0             |
| Indonesia                    | 3.3             | 2.9             |
| Vietnam                      | 3.6             | 3.1             |
| China                        | 3.4             | 2.8             |
| <b>Average all countries</b> | <b>3.5</b>      | <b>3.1</b>      |

Though many partnerships were new and not a continuation of old relations, it is seen in table 7 that partners have a very strong mutual interest. This is true for all the countries. This also comes out strongly in the interviews with the partners. The importance of the mutual interest and the importance of good personal relations are very much emphasised. The mutual interest is also manifested in cost sharing, and it gives an impetus to joint ownership of the activities and results.

Where there is a slightly lower score it is often connected to the fact that the Swedish partner is not able to articulate in proposals or reports how the partnership connects to its core activities in Sweden.

The type of mutual interest depends on the actors involved. The dominant actors, universities, often state that the partners have a common interest in the research problem, and universities are also interested in applying their knowledge in practice through applied research or cooperation grant projects. Some Swedish actors have a distinct international profile and interest, such as Karolinska Institutet, Lantmäteriet, Swedish Meteorological and Hydrological Institute, the Swedish Chemical Agency, and Stockholm International Water Institute.

Some Swedish government agencies have less clear motives for cooperation such as giving their personnel more international experience. Many Swedish municipalities would probably not be active if there were no development cooperation funds available. Small enterprises can use the planning grant to scout new markets. In the environment field there is a clear Swedish business interest.

The partners in the countries do sometimes have identical interests as their Swedish partners. NGOs normally work for a common cause. Mostly there is an interest in the countries to tap

Swedish knowledge and experience. The fact that partners sometimes have different interests does not make them less mutual and strong.

### 5.7 JOINT OWNERSHIP AND MANAGEMENT

Joint ownership is about the roles and repartition of tasks between the partners. In the PDC policy, it is emphasised that there should be common ownership and a clear role and division of responsibility. The assessments of the projects have looked at factors such as if both partners participate equally in the planning, implementation and reporting – or if one partner is more dominant.

The joint management of the projects does not stand out as much as the mutual interest. But the ownership is still very much shared, especially in the implementation phase, where the local partner naturally has a strong role as implementation is done in the country. Planning is also very much done jointly by the partners and contributes to forging the relation.

Reporting is mostly done by the Swedish partner. This is natural as the funds are normally disbursed by Sida to the Swedish partner, who is the agreement partner in 137 of 163 assessed projects. The local partner at least checks the reports. In countries like China, factors such as language do influence the country partner's participation in reporting.

There are examples of practically total ownership by the local partner. For example in the case of the Centre for Science and Environment in India, they looked around and then chose the Swedish Agency for Environment Protection as their partner in the courses planned and run by CSE. CSE also does most of the work with reporting. In Vietnam and in South Africa, there are several examples of the local partner being the agreement partner, thus having more practical ownership in terms of management and administration.

### 5.8 LOCAL PARTNERS SHARE COSTS

Cost sharing is basic requirement for Partner Driven Cooperation. It is considered a convincing sign of ownership, and Sida demands that the partners shall present their model for cost sharing in their proposals. In the beginning it was thought that the relative contribution from the local partner would gradually increase, but also given the shortened time perspective with everything ending in 2013, this has not been the practice.

The Swedish costs – which are often the main cost element for the projects - are paid by the Swedish side. And then mainly by Sida, as the Swedish partners have normally not had much funds of their own to contribute, with the exception of businesses. So cost sharing really refers to the extent to which institutions in the countries share the costs with Sida.

Sida did not from the beginning have rigid rules for cost sharing, and the principle has been applied flexibly according to country contexts and types of actors. An early rule applied by the embassy in Vietnam not to pay Swedish salaries was changed, and in India the possibility to finance more local costs was opened up. In Vietnam, some partners thought that cost shar-

ing favoured the Swedish partner. This was related to their difficulties in getting access to government funding for PDC projects. In Vietnam the agreement partner was often Vietnamese, implying a transfer of funds for salary costs from Vietnam to Swedish partners, and thus highlighting differences in budget amounts between partners.

Cost sharing by the local partner is normally mainly in the form of imputed salary costs, i.e. the cost for the time spent by their personnel on the project, as well as some or all local costs. Government agencies normally do not have any problems in principle with this. Universities that often get funds from many different sources might have problems in determining who pays what. And for local NGOs, the problem is severe. Their cost-sharing contribution might in reality be contribution of funds contributed by other donors, or simply unpaid overtime. Sida has shown some flexibility on this issue and more costs for NGOs have been covered in some cases. Cost sharing arrangements vary very much.<sup>25</sup>

Sida has not had any general guidelines for cost sharing or how cost sharing should be calculated.<sup>26</sup> There are no reliable data to compare between the countries. The in-kind contributions in terms of staff time (local salary costs) are often not given precise numbers in proposals; it is also seen as a somewhat sensitive issue that Sida has not pushed for information on. In a few proposals the local salary costs are weighted against Swedish wage costs to provide a better estimation of the real sacrifice made. In some proposals only direct local costs are included. For applied research grants, cost sharing is not specified at all.<sup>27</sup>

The cost sharing with PDC was not easy to introduce, as it in most cases was a change from a model where Sida paid also most of the local costs, including salaries for project personnel. In India, the budget system is slow and government departments are only exceptionally allowed to pay for their own foreign travel and for non-Indian consultants, which created problems. On the other hand, many PDC projects in India have been about transferring new models to government systems, which implies that the government does pay large amounts of local

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25 Some examples of cost sharing:

1. In the Namibia Water Sector Programme the Namibian government covers 51 per cent of all the budgeted costs (including salary costs for the Swedish organisations SIWI and SMHI), with a small in-kind contribution from SIWI and with Sida covering the remaining 45 per cent. The 51 per cent contribution from the Namibian government does not include the salary costs of participants (primarily civil servants) in the trainings so the actual contribution is higher.
2. For the collaboration between the Swedish Environment Protection Agency and the Chinese Ministry of Environment, the Chinese contribution is calculated to 22.5 per cent of project costs, covering some venue costs and costs for local experts. The value of staff time is not included.
3. For the collaboration between Lund University (LU), the NGO MAMTA and the State Health Mission (SHM) in Shimla in India, Sida finances 76 per cent of the costs of MAMTA (staff time and reimbursables), all of the LU costs and none of the SHM costs. In this budget the staff costs for the Indian partners are detailed.

26 This is true also for Contract-Financed Technical Cooperation. See Sida Evaluation 03/09, Joao Guimaraes et. al., Contract financed Technical Co-operation and Local Ownership, p 39ff.

27 The Evaluation Team has not had information on budgets for applied research grants.

costs. In Indonesia, cost-sharing proved a challenge in terms of forward planning, with lead times up to a year required, but once costs for the partnership were in the budget, it supported strong ownership.

In the country interviews, the evaluation team found that cost sharing was mostly perceived as a positive factor that gave ownership. It is not possible to state how important cost sharing is for ownership compared to other factors such as the quality of the partnership relation.<sup>28</sup>

## 5.9 THE PERSPECTIVES ARE NOT SYSTEMATICALLY INCLUDED

In all Sida's assessments of contributions, the extent to which the poverty and rights perspectives are applied should be considered. This is also the case for gender and environmental aspects. In table 8 the assessment results are shown for these factors.

**Table 8: Poverty and rights perspectives, and gender and environment aspects**

| Country                      | Poverty    | Rights     | Gender     | Environment |
|------------------------------|------------|------------|------------|-------------|
| Namibia                      | 2.8        | 3.1        | 2.8        | 2.3         |
| Botswana                     | 3.0        | 2.9        | 2.7        | 2.5         |
| South Africa                 | 2.6        | 2.6        | 2.4        | 2.2         |
| India                        | 2.9        | 2.6        | 2.6        | 2.5         |
| Indonesia                    | 2.5        | 2.2        | 2.1        | 3.3         |
| Vietnam                      | 2.4        | 2.3        | 2.2        | 3.0         |
| China                        | 2.3        | 2.2        | 1.9        | 3.2         |
| <b>Average all countries</b> | <b>2.6</b> | <b>2.5</b> | <b>2.4</b> | <b>2.7</b>  |

These issues have not always been easy for the partners, for example for many research partners and technically oriented organisations. This shows both in the project plans and in reporting.

As explained above, it is difficult for short-term projects working on more abstract levels with models and research to construct theories of change leading to reduced poverty. One missing issue has been an articulation of the policy processes to be influenced and the challenges in getting research to be applied. The other perspectives meet the same difficulties – they are often not integrated in thinking or planning of more tangible short-term outputs.

There is also a difference between “seasoned” actors with long experience of applying for development cooperation funds and new actors. The more experienced actors do write about all these factors and they know what Sida require. But sometimes it is more rhetorical than

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<sup>28</sup> In a major evaluation focussed specifically on the issue of local ownership (in Contract-Financed Technical Cooperation, see footnote 25), it was found that seven characteristics were important for ownership, while cost sharing was considered to play a less important role.

concrete content, for example in a research project presenting their rights perspective: “The present cooperation project addresses the rights perspective of all people regardless of socio-economic conditions and should therefore contribute strongly to the development of a more pluralistic society in which all citizens can be empowered through better health.”

The average figures for the countries conceal great variations. Many environmentally oriented projects do not present much about gender, and vice versa.

The high numbers for environment for Indonesia, Vietnam and China is probably related to the fact that environment is a main priority for PDC in these countries. But conversely, their focus on gender, rights and the poverty perspective is weaker compared to the average. Likewise, high figures in Namibia and Botswana are probably a result of the strategies being more focused on poverty issues.

In general, the issue of perspectives and gender/environment has been a problem from the Sida point of view. Especially when introducing a new actor, which is a point with PDC, it can take a long time to coach the new actors, which can contribute to long processes before decisions on contributions can be taken. In view of the fact that many projects end in 2013 and will write final reports, Sida has emphasised that the final reports should not omit these issues where they have been present in the project.

### 5.10 POSITIVE RESULTS FOR SPIN-OFF EFFECTS, IN LINE WITH STRATEGY, COMPARATIVE ADVANTAGE

Building new relations is an important part of the PDC concept. Therefore, the possibility of getting spin-off or synergy effects from the partnerships is also seen as positive. For example if the Partner Driven Cooperation leads to the involvement of new actors in any of the countries, or if new funding is mobilised for continued relations.

For most of the assessed projects, spin-off effects emerge. It is not surprising as, when projects are conceived, it is not easy to foresee all the actual developments and which actors need to be involved to get a good result. And canvassing for new funding is an essential part of the partners' efforts to accomplish sustainability. Spin-offs have especially been noted when the PDC projects are related to a larger framework, for example ministerial visits with mobilisation of a number of participating actors.

The assessments of the projects has included a discussion of to what extent they are in line with the cooperation strategy for the respective country and if the Swedish partner has a comparative advantage.

The comparative advantage (Sida uses the term competitive) means that the Swedish partner should be more competent or experienced than similar organisations. In the absolute majority of cases this is confirmed by the fact that the local partner is interested in cooperation and that they and the Swedish partner have agreed on the partnership, including cost sharing.

## 5.11 WHERE DOES THE PDC MODEL WORK WELL?

A number of factors come out in this evaluation that could be described as success factors for Partner Driven Cooperation. A precondition is that there are **actors in both countries that are interested** in cooperating. This was a problem for example in Namibia, where at least the initial interest in Sweden was weak. In countries such as Vietnam and India, the existence of long-term relations between actors in these countries and Sweden, and knowledge about Swedish competence, certainly helped in starting off PDC collaborations. The presence of a Swedish embassy in the countries is also a positive factor.

An enabling factor is always if there is a framework expressing **political support** for the cooperation. The respective governments showed a strong interest in cooperation within certain sectors in the case of China, India and Indonesia. This led to the signing of MoUs and visits by ministers that certainly facilitated PDC in these countries. In these three countries, an approval or mandate from their governments is in fact necessary, so the mutual political will to collaborate is very important.

On the other hand, in countries like Botswana where the government is not preponderant but offers a **stable and open institutional environment**, PDC works very well as new initiatives can easily and quickly be realised. Conversely, the overly regulatory environment in Indonesia and India did present challenges.

A well-functioning PDC presupposes cost sharing. This is easier in **middle-income countries**. Theoretically, it is possible with partnerships also in low-income countries, with organisations/institutions with enough funds of their own. But normally other types of aid are better in low-income countries where the main objectives often are more short-term reduction of poverty, where direct financing of local costs and salaries is needed, where closer Sida involvement is necessary, and where the PDC requirements of partnerships, and only with Swedish actors, might be a restriction.

**Large countries** offer advantages. They have many universities, which are the main partners in PDC. The Swedish knowledge is better suited to more complex systems in large countries, and Swedish political and economic interest is normally stronger. On the other hand, in continents like China and India, small and short-term PDC projects have few prospects of having their effects spread in the whole country - while in **small countries** like Namibia and Botswana networking is easy.

Of course, a country where many **speak English** fluently is a major advantage for cooperation with Swedish partners.

In some countries one problem for introducing PDC has been the **competition from other donors** with more generous aid modalities. This is an argument for opting for countries where other countries are not so interested or well represented.

## 5.12 PDC AS AN INSTRUMENT FOR PHASING OUT

PDC, and earlier broader cooperation, have been seen as suitable instruments for phasing out development cooperation. This is sometimes based on an implicit reasoning that first countries are poor and get development assistance. Then they become middle-income countries where broader cooperation and PDC can be the main instruments. In the last phase, normal trade and other relations replace financing from the development cooperation budget.

In the PDC policy is said that PDC can be “an important bridge in the transition from long-term development cooperation to broader, self-supporting cooperation based on mutual interest.” In practice, it took some time to introduce the new modality to different stakeholders, and also to start up new partnerships. In fact, one major argument against using PDC for phasing out is that Partner Driven Cooperation takes time (see further 9.1). At least a five-year period is normally needed – first for introduction and facilitation, then to build partner relations and ultimately to start a project that is given enough time to give sustainable results and secure long-term relations.

But when governments take decisions to phase out from a country, the time allowed is seldom more than three years. In the case of the seven PDC countries it was less than two years. As PDC in reality is a long-term modality, it is **not suitable for a quick phasing out of development cooperation.**

However, if there should be a long period available for phasing out, for example 7 years, which will be the length of the new strategies for Eastern Europe and Western Balkans, it could be appropriate. Otherwise it is probably better to wind up the existing cooperation in good order as it is, without the introduction of new rules and aid modalities.

## 6 Actors

The dominant categories of actors in Partner Driven Cooperation are government agencies/ ministries, municipalities, universities, private companies, and NGOs. In table 9 number of projects by agreement partner is shown. Most agreement partners are Swedish.

**Table 9: Number of projects per agreement partner**

| Agreement partner                                                     | Number of projects |
|-----------------------------------------------------------------------|--------------------|
| Swedish university                                                    | 100                |
| Swedish NGO/ institute/ foundation/ association/ economic association | 84                 |
| Swedish ministry/ government agency                                   | 65                 |
| Swedish company                                                       | 35                 |
| Local NGO/ institute/ foundation/ association/ ec. association        | 30                 |
| Swedish municipality                                                  | 11                 |
| Local ministry/ government agency                                     | 11                 |
| Local university                                                      | 4                  |
| Local company                                                         | 2                  |
| Local municipality                                                    | 1                  |
| <b>Grand total</b>                                                    | <b>343</b>         |

Source: Sida PLUS/Greatness/Evaluation Team

Out of approximately 180 agreement partners, an estimated 50 per cent are new to Sida. This number does not include primary or secondary partners in both countries that are not agreement holders, many of which are also new to Sida.<sup>29</sup> For the assessed projects, a similar table of actors in the respective countries is presented below.<sup>30</sup>

**Table 10: Number of assessed grants, distributed by agreement partner and country**

| Actors                                      | Number of assessed grants |           |           |           |           |              |           | Total      |
|---------------------------------------------|---------------------------|-----------|-----------|-----------|-----------|--------------|-----------|------------|
|                                             | Botswana                  | China     | India     | Indonesia | Namibia   | South Africa | Vietnam   |            |
| University/college/ research/other          | 8                         | 7         | 21        | 5         | 2         | 8            | 18        | 69         |
| NGO/institute/ association/ ec. association | 8                         | 4         | 2         | 5         | 7         | 10           | 12        | 48         |
| Ministry/ government agency                 | 5                         | 5         | 5         | 5         | 3         | 3            | 8         | 34         |
| Company                                     | 0                         | 2         | 0         | 4         | 0         | 1            | 1         | 8          |
| Municipality/ local government              | 0                         | 1         | 0         | 2         | 0         | 1            | 0         | 4          |
| <b>All actors</b>                           | <b>21</b>                 | <b>19</b> | <b>28</b> | <b>21</b> | <b>12</b> | <b>23</b>    | <b>39</b> | <b>163</b> |

<sup>29</sup> The Sida PLUS system only enables a rough estimation of this number. Data for the total number of partners are not available.

<sup>30</sup> Here there is no difference made between Swedish and national actors.

Universities and similar institutions are the predominant actors. All grants in the category Applied research belong to this group. Also, a number of the cooperation grants involve universities. For countries like India and Vietnam there is a considerable mutual demand for co-operation within the area of applied research.

The group NGOs/institutes/associations/economic associations/foundations is a mixture. Apart from some NGOs, there are many foundations, but also entities linked to for example universities. The projects in this category are often smaller in size while the projects managed by government agencies are often bigger. Few companies and municipalities have been active within the PDC modality.<sup>31</sup>

In a few cases, the Swedish government has given directives that specific actors should be financed, for example in the strategies for South Africa and China. Especially in South Africa, the implementation of these directives was not very easy and Sida proposed in its first follow up of the strategy for South Africa that these directives should be changed.

The following table shows the top ten Swedish partners with number of PDC agreements.

**Table 11: Top ten agreement partners, number of agreements**

| Agreement partner                                                              | 2009-2013 |
|--------------------------------------------------------------------------------|-----------|
| Lund University                                                                | 17        |
| Stockholm University                                                           | 16        |
| Stockholm International Water Institute (SIWI)                                 | 16        |
| Karolinska Institutet                                                          | 12        |
| Swedish Trade Council/Business Sweden                                          | 11        |
| Umeå University                                                                | 9         |
| Swedish Meteorological and Hydrological Institute (SMHI)                       | 9         |
| Swedish Association of Local Authorities and Regions (SALAR)/SKL-International | 7         |
| Lantmäteriverket                                                               | 7         |
| Stockholm School of Economics                                                  | 7         |

Source: Sida Plus/Greatness/Evaluation Team

Lund University, Stockholm University and Karolinska institutet are active in several technical fields and in a number of countries. SIWI participates in most of the seven countries and sometimes takes the role of coordinating other Swedish actors.

Of the government agencies, SMHI and Lantmäteriet have a very long tradition of working internationally and with Swedish development cooperation in all continents.

<sup>31</sup> The ICLD projects in Indonesia and India have not been included in the assessment, as this was deemed to be more of a facilitation assignment.

Table 12: Actors and the perspectives

| Actors                                      | Poverty    | Rights     | Gender     | Environment |
|---------------------------------------------|------------|------------|------------|-------------|
| Company                                     | 2.4        | 2.1        | 2.1        | 2.8         |
| Ministry/ government agency                 | 2.3        | 2.2        | 2.0        | 3.0         |
| Municipality/local government               | 3.8        | 3.8        | 3.3        | 3.3         |
| NGO/institute/ association/ ec. association | 2.5        | 2.6        | 2.5        | 2.5         |
| University/college/ research/other          | 2.8        | 2.6        | 2.4        | 2.8         |
| <b>Average all actors</b>                   | <b>2.6</b> | <b>2.5</b> | <b>2.4</b> | <b>2.7</b>  |

Apart from the high score for municipalities (explained below), we know already from Chapter 5 that in general the actors are not very good at including all the different perspectives, apart from environment in environmental projects.

Table 13: Actors and sustainability

| Actors                                      | Prognosis sustainable relations | Prognosis poverty reduction | Prognosis sustainable results |
|---------------------------------------------|---------------------------------|-----------------------------|-------------------------------|
| Company                                     | 2.8                             | 2.0                         | 2.3                           |
| Ministry/ government agency                 | 2.7                             | 2.1                         | 2.6                           |
| Municipality/local government               | 2.5                             | 2.5                         | 2.5                           |
| NGO/institute/ association/ ec. association | 2.8                             | 2.5                         | 2.7                           |
| University/college/ research/other          | 2.8                             | 2.5                         | 2.5                           |
| <b>Average all actors</b>                   | <b>2.8</b>                      | <b>2.4</b>                  | <b>2.6</b>                    |

The numbers in table 12 and 13 are commented below under the different categories.

## 6.1 GOVERNMENT AGENCIES/MINISTRIES

The Swedish state sector is characterised by small ministries focused on policy formulation, while large semi-independent government agencies are responsible for implementation. In the cooperation countries, ministries are often responsible also for implementation. Many PDC projects are therefore between government agencies in Sweden and ministries in the countries.

Government entities have a high score on mutual interest. They are usually working in the same sector and have a joint interest in developing the sector, nationally and globally. At the same time they have a shared problem as concerns financial sustainability. Sida has in different documents pointed to the positive role that government entities can play, for example:

“[Swedish] government authorities are central in Partner Driven Cooperation. Sida has interpreted the intents in the policy thus that Partner Driven Cooperation as aid modality rests much on the authorities in Sweden taking on their responsibility at the same time as a Swedish comparative advantage is utilized; authorities are given emphasis because they can function as facilitators in a way that it is difficult to see any other type of actor fulfil.”<sup>32</sup>

Sida has repeatedly asked the government for clarification about the financing for government authorities to continue their partnerships in the seven countries after the end of the Sida financing. This is because Swedish authorities are not allowed to finance cooperation with developing countries from their own budget, unless mandated to do so by the government. The Swedish government has had an increasingly restrictive view on this issue, which means that only in exceptional cases can Swedish authorities continue the joint work with the partners in the countries after 2013.

## 6.2 MUNICIPALITIES

The municipalities collaborating through Partner Driven Cooperation do not have the situation of government authorities that they work with their sister organisation active in a certain sector, with possibilities to influence at the national level. Instead, they either collaborate around methods and skills in running of a municipality, or collaborate around specific projects.

In Table 12 on the perspectives, the municipalities stand out positively. But they are very few, and the high score is explained by the fact that several projects are related to a specific concept promoted by SKL-International, which does include all the perspectives. For example in Indonesia, the SymbioCity collaborations between Palu and Borås and Probolinggo and Helsingborg have been centred on sustainable urban planning - integrating poverty, rights, gender and environmental perspectives.

The municipalities cannot, similar to the government agencies, use their own funds in developing countries unless the municipality finds some tangible benefits of the partnership for their core activities. Swedish municipalities are in a sense closer to tax payers than government agencies and need to carefully justify their international work.<sup>33</sup> Some manage to find such justifications - there are examples of business relationships created as a result of partnerships between municipalities. An example of possible results of this kind is the collaboration between the cities Palu in Indonesia and Borås within the area of sustainable urban development, where a broad range of relevant stakeholders in Borås are involved. However, such

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<sup>32</sup> Regeringskansliet (UP), Samråd UD Sida aktörssamverkan 2008-11-21, 2009-01-30

<sup>33</sup> Pettit, A. (2010) Partner Driven Cooperation within Swedish Development Cooperation, Perspectives No. 16, August 2010, University of Gothenburg, School of Global Studies

business opportunities take a long time to develop. ICLD does provide an opportunity for further funding for municipalities after PDC, but it is not clear whether this will be available for the seven selective cooperation countries in the future, and it is only for short-term projects.

### 6.3 UNIVERSITIES

As was pointed out in Chapter 5, all actors have shown a strong mutual interest and joint ownership of the projects. Universities show an even stronger mutual interest than the other actors.

An explanation can be a combination of the fact that both parties are very much focussed on the research problem to be solved and see mutual benefits for them and their universities. Very often it is a question of specific engaged persons that have formed a good personal relation. Universities also very often use MoUs to formalise their cooperation, and many PDC projects between universities have been preceded by MoUs and former relations.

Universities like government entities do not have basic funding for their work in developing countries. The difference is that universities can apply for funds from a variety of sources for such work, and they are used to finance their activities in this way. Therefore, they also have a high probability of continuing their relations. It is, however, more difficult for universities in the countries than for Swedish universities to acquire new funding. For example in Vietnam, the universities follow the same rules as government agencies, which means they have to apply for a budget from the government for their cost sharing contribution.

### 6.4 COMPANIES

The private sector can only get planning grants. The few companies assessed score below average on most variables. Within this average, there is a lot of variation.

More than half of projects assessed are deemed to be high risk; actors are unknown to Sida and often entering completely new markets. Some have been able to connect to a suitable partner and created potentially sustainable business relations, whereas other initiatives have failed completely as the Swedish partners (or both) did not have the necessary resources to leverage the funding from Sida. In this category are included also a few consultancy companies that are more experienced development actors, with high scores on most assessed variables.

Private companies are normally not used to apply for contributions. And some do, according to interviews, not appreciate the procedures that have to be followed, especially not when they take a long time. On the other hand, once they are in a successful implementation stage they like the arrangement, and they are not surprisingly applying a long-term perspective on the partnership.

### 6.5 NGOS, ASSOCIATIONS, FOUNDATIONS

This category is very varied. The NGOs proper is not a numerous category for PDC. They have normally their main financing from core funding from other budget lines in development cooperation. And they are dependent on external financing, which means that they do not have funds for cost sharing. One NGO partner said that “asking us NGOs to do cost sharing is to make us cheats”, as they would then use funds provided by other donors for other purposes.

In this category are a number of “semi-companies”, associations or foundations that are in place to facilitate smooth running of projects for the public organisation they are affiliated with. Partners in this category are very near the average in the assessments.

## 7 Sectors

Are there sectors where implementation of PDC works better than in other? Table 14 shows the sector distribution of PDC.

**Table 14: Sector distribution of disbursements for PDC projects 2009-2013 (MSEK)**

| Sector                                      | 2009-2013  |
|---------------------------------------------|------------|
| Environment and climate change              | 270        |
| Democracy, human rights and gender equality | 139        |
| Market development                          | 115        |
| Health                                      | 114        |
| Other                                       | 52         |
| Research                                    | 15         |
| <b>Grand Total</b>                          | <b>706</b> |

Source: Sida PLUS/Greatness/Evaluation Team

Four sectors stand out with the largest disbursements: Environment and climate change; Democracy, human rights, and gender equality; Market development; and Health. The categories contain several types of interventions. For example, Democracy, human rights and gender equality includes the rather large support to central public sector agencies. Most applied research projects are included in the figures for the different sectors. The sector research includes a small number of more basic research projects.

The broad picture is that the outturn for sectors mirrors the priority sectors in the strategies for the seven countries. For South Africa there are really no priority sectors. In all the other six countries environment and climate is one of the priorities for the Partner Driven Cooperation. Democracy and human rights is a priority in five of these six countries. The third priority is economic growth, mentioned in four strategies (including South Africa).

The area of environment and climate change is of interest for Swedish companies as Sweden can have comparative advantages that lead to increased export opportunities. China is a clear case in point where increasing such exports has been part of the Swedish policy, as well as India and Vietnam. Democracy and human rights in a more narrow sense is an area where it is difficult to have PDC projects, and there have often been additional targeted contributions to this sector outside of PDC. NGOs are often working in this area and they do not have counterpart financing for PDC. In countries like China, these kinds of projects have also not been high on China's priority list.

As Partner Driven Cooperation should be driven by the partners and the actual demand, it has not been an effective way to push for reforms in entire sectors. Sector programme support is a much better modality for this. Instead, PDC has been more directed towards specific sub-areas where Swedish technical knowledge has been in demand.

Environment and climate is the dominant sector in the strategies. The work of the facilitators that were engaged was to a large extent focused on finding more projects in this area, with some success.

Table 15: Sectors and prognosis for results and relations

| Sector                                                    | Prognosis poverty reduction | Prognosis sustainable relations | Prognosis sustainable results |
|-----------------------------------------------------------|-----------------------------|---------------------------------|-------------------------------|
| Democracy, human rights and gender equality <sup>34</sup> | 2.6                         | 2.7                             | 2.8                           |
| Health                                                    | 2.7                         | 2.9                             | 2.6                           |
| Market Development                                        | 2.4                         | 2.9                             | 2.6                           |
| Environment and Climate Change                            | 2.2                         | 2.8                             | 2.4                           |
| Other                                                     | 2.5                         | 2.5                             | 2.6                           |
| <b>Average all sectors</b>                                | <b>2.4</b>                  | <b>2.8</b>                      | <b>2.6</b>                    |

The higher prognosis for poverty reduction in the health sector is not surprising, and reflects substantial and successful poverty-directed projects in the health sector in India – for example a project for safe abortion with the participation of Uppsala University and a large NGO in India, Ipas. The low number for environment and climate change can, as has been noted above, be explained by the fact that effects by environment and climate change projects on poverty are very long-term and difficult to predict.

The high figure for sustainable results in the area of Democracy, human rights and gender equality could be explained by the fact that in this area there is often a very concrete cooperation between engaged actors in civil society and between specialised government agencies.

Table 16: Other variables for sectors

| Sector                                      | Poverty    | Rights     | Gender     | Environment | Mutual interest | Joint ownership | Theory of change | Prognosis reach objectives |
|---------------------------------------------|------------|------------|------------|-------------|-----------------|-----------------|------------------|----------------------------|
| Democracy, human rights and gender equality | 2.8        | 3.2        | 2.5        | 1.8         | 3.5             | 3.2             | 2.8              | 3.1                        |
| Health                                      | 2.8        | 2.7        | 2.7        | 1.7         | 3.8             | 3.2             | 2.9              | 3.0                        |
| Market Development                          | 2.3        | 2.4        | 2.5        | 2.3         | 3.2             | 3.1             | 2.5              | 3.1                        |
| Environment and Climate Change              | 2.5        | 2.1        | 2.2        | 3.7         | 3.5             | 2.9             | 2.7              | 3.0                        |
| Other                                       | 2.4        | 2.6        | 2.1        | 2.8         | 3.8             | 3.4             | 2.5              | 3.4                        |
| <b>Average all sectors</b>                  | <b>2.6</b> | <b>2.5</b> | <b>2.4</b> | <b>2.7</b>  | <b>3.5</b>      | <b>3.1</b>      | <b>2.7</b>       | <b>3.1</b>                 |

The earlier mentioned tendency that environment projects do not look closely at rights and gender perspectives and vice versa is found also in Table 16. That rights, gender and poverty

<sup>34</sup> Note that this category includes one research project that is technically categorised as basic research, but with a focus on gender issues. To allow for better comparison it has been reclassified.

is a prominent aspect of health projects is also no surprise, particularly as the key health partnerships in India have a specific gender focus and a focus on sexual and reproductive health rights.

## 8 Facilitators

Facilitators are not comparable to PDC projects. It has been an instrument to increase contacts, and to find partners and stimulate partnerships. If these partnerships can be established without PDC financing, so much the better. There are a number of such cases, which are not part of this evaluation. Here we shall present and discuss the 9 facilitators that have been engaged by Sida in the seven countries.

The policy for PDC underlines the need to stimulate new partnerships between Swedish actors and partners in the seven countries. In the strategies, Sida is also instructed to facilitate partnerships. For example, the strategy for cooperation with India states “Sida shall work through and have a continuous dialogue with facilitators and actors to further and support cooperation between Swedish and Indian partners...”

In some countries like for example Vietnam, a number of PDC projects could build on former projects or relations. But Sida was required to actively look also for new partnerships, and this was only possible to do at some scale through engaging facilitators.

The type of facilitator and the arrangement between Sida and the facilitator varies. Table 17 shows the facilitators in the different countries, the respective sectors, the total budget, and the target and actual number of partnerships facilitated. Numbers are included also for the facilitators for Demo/environment and Culture but these are not discussed.

The important facilitation made through the normal activities of the embassies and by political representatives from Sweden is not included here. Especially in countries like China and India, the visits from ministers and political work by the embassies have often functioned as door openers. It also needs to be emphasised that some of the facilitators had a much broader mandate than to facilitate PDC partnerships. For example in China, Centec had its main focus on facilitation of commercial projects and institutional cooperation financed outside development cooperation. In India, the facilitators also had more focus on the business sector and on creating contacts with Indian public sector organisations at all levels that could lead to commercial contacts in the future.

The figures for partnerships facilitated are therefore not comparable (see also notes to the table). The work of the different facilitators is briefly commented below, followed by a more general discussion on facilitators as a PDC instrument.

## 8. FACILITATORS

**Table 17: Facilitators**

| Facilitator                             | Type                         | Disbursement MSEK (2009-2013) <sup>35</sup> | Target partnerships/matches | Partnerships/matches facilitated | Sector               |
|-----------------------------------------|------------------------------|---------------------------------------------|-----------------------------|----------------------------------|----------------------|
| CENTEC Viet-nam                         | Consultant                   | 6                                           | 16 <sup>36</sup>            | 24 <sup>37</sup>                 | Environment          |
| Centec China                            | Embassy                      | 5 <sup>38</sup>                             | 8 <sup>39</sup>             | 20 <sup>40</sup>                 | Environment          |
| SGU BOT, NAM, SA                        | Government agency            | 17                                          | No data                     | 3 <sup>41</sup>                  | Mining               |
| SWECO BOT, NAM, SA                      | Consultant                   | 4                                           | No data                     | 20 <sup>42</sup>                 | Water, energy, waste |
| SIWI Indonesia                          | Consultant                   | 3                                           | 6 <sup>43</sup>             | 0 <sup>44</sup>                  | Forestry             |
| Business Sweden BOT, NAM                | Government agency/consultant | 25                                          | 13 <sup>45</sup>            | 14 <sup>46</sup>                 | Various              |
| Environment Office India                | Embassy                      | 5                                           | No data                     | 4 <sup>47</sup>                  | Environment          |
| STEM India                              | Government agency            | 2                                           | Up to 10 <sup>48</sup>      | 2 <sup>49</sup>                  | Waste, energy        |
| IVL India                               | Consultant                   | 3                                           | 25 <sup>50</sup>            | 1 <sup>51</sup>                  | Paper and pulp       |
| Arts Council                            | Government agency            | No data <sup>52</sup>                       | No data                     | 61 <sup>53</sup>                 | Culture              |
| Agency for Economic and Regional Growth | Government agency            | No data <sup>52</sup>                       | No data                     | 85 <sup>53</sup>                 | Environment          |

<sup>35</sup> 2013 is until 27 September 2013.

<sup>36</sup> LFA CENTEC: 12 PDC and DemoEnvironment financed, 6 municipal cooperation through by ICLD.

<sup>37</sup> Interviews: 10 financed by PDC, 13 by DemoEnvironment and 1 municipal cooperation through ICLD.

<sup>38</sup> Sidas share of the total budget for Centec 2007-2013 was 12.8 MSEK. In addition, the Swedish Ministry of Enterprise has provided 7 MSEK.

<sup>39</sup> Centec Results Matrix Final: 2 MoUs/Lols, 6 projects (target for 2011-2013, baseline of 9 MoUs, 9 projects).

<sup>40</sup> Förberg et al. (2013): 11 MoUs/Letters of intent and 9 demonstration projects. In addition CENTEC has contributed to a number of business opportunities.

<sup>41</sup> Meeting Points Mining, Annual Report 2012, February 2013.

<sup>42</sup> SWECO Final Report, February 2013

<sup>43</sup> Interviews: 6 planning grants

<sup>44</sup> Interviews: 10 potential partnerships. Due to lack of funding through PDC, none of these were financed. Some have now found funding elsewhere, but there is no reliable record of this.

<sup>45</sup> Project Document for MeetingPoints, November 2009.

<sup>46</sup> Meetings Points Annual Report, December 2012. No data for Namibia.

<sup>47</sup> Kullman, M. and Davis, A. (2012) Special Attaché Environment, Energy and Climate Change at the Swedish Embassy in New Delhi, India, October 4, 2012

<sup>48</sup> SEA project proposal, Phase 2. No target for Phase 1.

<sup>49</sup> SEA Narrative Report 2012, April 2013. The narrative report for Phase 1, May 2011, mentions strengthened contact with 13 actors.

<sup>50</sup> Project proposal, Phase 1: 10 Indo-Swedish partnerships on specific demonstration projects, 5 agreements of institutional /agency corporation, 10 Business to Business agreements

<sup>51</sup> IVL Narrative Report, Phase 1, February 2013

<sup>52</sup> Note that the total budget for facilitation and grant funds total 26 MSEK for the Arts Council and 28 MSEK for DemoEnvironment.

<sup>53</sup> Sida PLUS/Greatness

## 8.1 CHINA

The **Center for Environment and Technology (Centec)** was organised within the Swedish embassy already in 2007, before PDC. According to a recent evaluation, Centec has been efficacious in promoting Swedish environment technology in China and in supporting Swedish companies on the Chinese market. It has also been successful in promoting Partner Driven Cooperation which was, however, not its main purpose.<sup>54</sup>

The key to the success of Centec has been its integration in the Swedish embassy, and its work to conclude MoUs in different areas. China a big country and the government is ubiquitous both at the central and province levels. Centec had sufficient local employees that could keep continuous contact with provinces and cities of interest to Sweden. A basis for the good result in the form of business deals is also that Swedish companies have a strong interest in the Chinese market while needing the official support from the embassy. Part of the budget for Centec was paid not by Sida but by other Swedish government departments.

## 8.2 VIETNAM

The Centec idea was copied in Vietnam to increase the Partner Driven Cooperation in the areas of environment, energy and climate change. However, **CENTEC in Vietnam** was not part of the embassy. Instead, it was a result of a procurement of an independent consultant. CENTEC in Vietnam had some problems in starting up, partly because the consultant had little prior knowledge of the country context. It was established in 2011 and in the beginning few partnerships were facilitated. However at the end of 2013 a total of 24 of partnerships had been facilitated. One problem was that by the time CENTEC had facilitated new partnerships, Sida funds for new PDC and the time for executing new PDC financed projects was running out.

## 8.3 INDONESIA

In Indonesia, a facilitating mechanism started only in April 2012. The need was recognised after a mid-term review of the cooperation strategy in 2011. Through a Sida framework consultancy agreement, a **consortium with Stockholm International Water Institute (SIWI)** as the main consultant was commissioned, with two different counterparts on the Indonesian side (University of Indonesia and later UKP4 - the Presidential Working Unit for Supervision and Management of Development). The aim was to facilitate partnerships in the area of envi-

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<sup>54</sup> Fröberg et. al. (2013) Final review of CENTEC, Center for Environmental Technology, at the Embassy of Sweden in Beijing, China, Final Report, Sida Decentralised Evaluation 2013:26

ronment and climate. It was however found out that Swedish environment technology was at the time not so much in demand in Indonesia, and key Swedish actors were more occupied with China and India. Therefore, more attention was instead directed specifically towards the forestry sector.

By autumn 2012, nine potential partnerships were already in the pipeline. This was an achievement, especially as the amount for the contract with the consultant did not allow for setting up a permanent office in Indonesia.

Then the PDC budget for Indonesia was decreased, and in October 2012 it became clear that the budget was already fully booked so no new PDC projects could be funded. The facilitator's work continued but focused on creating a platform for broader collaboration that could be funded by others, such as the programme Reducing Emissions from Deforestation and Forest Degradation (REDD) and from the Swedish International Centre for Local Democracy (ICLD).

### 8.4 INDIA

Three facilitators have operated in India: an Environment Office, the Swedish Energy Agency (STEM) and a consortium led by the Swedish Environmental Research Institute (IVL).

The **Environment Office (EO)** started in 2010 in the form of an Environment Attaché at the embassy, later strengthened with a local officer. It built on the groundwork laid by a former environment facility. The Swedish Government tasked Sida to finance the main costs for the Environment Attaché. The Attaché/EO concentrated on environment, climate and energy, based on MoUs between Sweden and India. The EO had a broad agenda and contributed also to the realisation of 4 PDC projects. The positive results from their work contributed to that the office in 2012 was made permanent in the form of a post at the embassy, financed by the Ministry for Foreign Affairs.

After a Swedish Biogas Delegation visited India in 2009, a MoU on renewable energy was signed between Sweden and India. Sida financed the **Swedish Energy Agency (STEM)** as a facilitator in this area, with special focus on Waste to Energy. The overall objective of the programme is “to create and convey as much relevant information to the Indian and Swedish potential partners so that they can make informed decisions about further cooperation – on commercial terms.”

The report for 2009-2011 from STEM concludes: “Several players claim that a platform is in place for further partnerships. At the same time, it has also become clearer that major chal-

lenges have to be faced.”<sup>55</sup> Two pilot projects on biogas were initiated but have met with some problems in implementation. Considerable efforts have been made to increase awareness among Indian stakeholders of Swedish competence, and with Swedish stakeholders about the Indian market.

In 2011 a consortium for facilitation was procured for facilitation of in the area of **Clean Technology**. **The consortium** consisted of the Swedish Institute for Environmental Research (IVL) and the company Innventia on the Swedish side, and the Confederation of Indian Industry (CII) and the Indian Paper Manufacturers Association (IPMA) on the Indian side. Initially the pharmaceutical and mechanical engineering industries were included but most attention was given to the **pulp and paper** industry.

The initial plan for the facilitation was to facilitate more than 10 Indo-Swedish partnerships that would lead to collaboration on specific demonstration projects, and more than 5 agreements of institutional/agency cooperation. In February 2013, one business deal was closed and one was near to be closed. The explanation for the low number given is that the Indian market is difficult and long-term relationships take time. The facilitator estimates that there are good chances for more contracts on business deals, long-term development projects or institutional agreements before or just after the end of the project in December 2013. This is based on the fact that the consortium has worked intensively on creating new contacts, in the form of delegation visits and other collaborations between Swedish and Indian stakeholders in the sector.

### 8.5 SOUTHERN AFRICA (SOUTH AFRICA, BOTSWANA, NAMIBIA)

Sida commissioned three facilitators: Swedish Geological Survey (SGU), Business Sweden and SWECO.

The decision to support **SGU as a facilitator for the mining sector** was taken already in March 2009. It has a history where the idea was to use the positive experiences of cluster thinking in the Swedish mining sector to relate to and support the mining sector in Southern Africa. The programme was called “Meeting Points Mining” (MPM). The work should be done in close collaboration between SGU and the corresponding authorities in South Africa, Botswana and Namibia.

SGU focused in the first instance on getting MoUs with its sister organisations in Botswana and Namibia, which took considerable time. SGU did not have a permanent representation in the region. SGU worked in several areas to further cooperation, but only 3 projects resulted.

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<sup>55</sup> Waste to Energy in Urban Infrastructure – experiences from Indo-Swedish collaboration 2009-2011, STEM October 2011

As expressed by an evaluation of the MPM: “So far very little concrete results have come out of the Meeting Point Mining program. At the same time, as noted above, we can see that a large number of apparently useful activities and initiatives – in terms of study visits, workshops and discussion – have taken place.”<sup>56</sup>

SGU has emphasised some difficulties in their task such as the fact that large Swedish companies do not need any support for their activities – especially not in South Africa – and that there were many actors interested in the mining sector offering some competition to SGU. Furthermore, the sister organisations of SGU in Namibia and Botswana lacked funds to participate actively.

The support to the **Meeting Point Programme of Business Sweden** (formerly Swedish Trade Council) covers Botswana and Namibia but not South Africa. Already in 2005, Business Sweden was engaged by Sida to support activities in Namibia that could lead to increased trade. In 2008, Sida gave support to Business Sweden to establish offices in Namibia and Botswana. The support was thereafter prolonged to the end of the strategy period 2009-2013.

Business Sweden has worked on facilitating Partner Driven Cooperation and other contacts between Sweden and the two countries. Activities directed towards specific Swedish companies were not financed by Sida but carried out by Business Sweden as part of their normal consultancy work.

The activities in Namibia met several obstacles. The Namibian government did not allow Business Sweden to open a permanent office so the work was done through visits from South Africa. Swedish prospective partners were passive, partly it was said because of the world economic crisis from 2008. Responses from the Namibian side were positive but slow and the availability of skilled persons was a bottleneck.

In contrast, in Botswana Business Sweden could open an office that in a way replaced the Swedish embassy as a hub for continued relations. Swedish partners showed more interest in Botswana and the end result was new PDC projects (14). The total budget for the facilitation was 31 MSEK, which in the evaluation was considered high.

**SWECO** was procured as a facilitator for PDC in the area of **environment and climate**. An international consultant was based in South Africa with two national consultants in Botswana and Namibia. SWECO was relatively successful. They had similar experiences from Namibia and Botswana as Business Sweden. The work in Botswana went well, also because of cooper-

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<sup>56</sup> Goppers, K. (2012) Facilitating Partner Driven Cooperation in Southern Africa: A Review of Sida's Meeting Point Program with the Swedish Trade Council and the Swedish Geological Survey.

ation with the local office of Business Sweden (even if their respective roles were not always clear).

The work in South Africa was especially difficult. The reasons given are that also traditional aid is offered and PDC is not as attractive in comparison, and that South Africa is large with big population and more complex situation. It has taken time to communicate the PDC concept.<sup>57</sup>

## 8.6 DISCUSSION OF FACILITATORS

### 8.6.1 Country environment

The country environment for the work of the facilitators and for the facilitation of new PDC projects was very different in the seven countries.

In China, being part of the embassy was probably a prerequisite for the work because of the dominant political and administrative role of the government. Centec in China was part of a productive collaboration between political work, business promotion and development cooperation.

In Vietnam the government also has a strong role but CENTEC was not part of the embassy. It did still manage to promote broad contacts, and also many PDC projects after a slow start.

In India the facilitators all had a broad mandate with focus on facilitating contacts between Swedish companies and the not so easily accessible Indian market and officialdom. Processes in India normally took a long time in spite of the positive push given by the MoUs in different areas. The Environment Office managed to facilitate a number of PDC projects.

In Indonesia, the political and administrative environment was very conducive to the promotion of new PDC projects. In Southern Africa, Namibia and South Africa offered problems of different kinds, while facilitation of new PDC projects in Botswana was easier. In both Indonesia and Botswana, the budget limitations for Sida were the main constraint for having new PDC projects.

### 8.6.2 Type of facilitator

The most effective facilitators for new PDC projects have been organisations that have concentrated on this task and had experiences from similar types of work. For example SWECO in Southern Africa, Business Sweden in Botswana and SIWI in Indonesia have experience of working with new projects and matchmaking. SIWI and SWECO also worked in a defined area where they had special knowledge.

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<sup>57</sup> SWECO, Facilitator Partner Driven Cooperation Within Environment/Climate for Botswana, Namibia and South Africa, Final Report, February 2013.

Swedish government agencies have a sector perspective and have an interest in collaborating with their sister organisations in the countries. SGU in Southern Africa and STEM in India had a broad agenda with less focus on facilitating new PDC projects.

The fact that Centec in China and the Environment Office in India belonged to the embassy did give them special advantages when dealing with the officialdom in the two countries, and the collaboration between these offices and the development cooperation part of the embassies worked well.

Prior knowledge of the country is an important asset for facilitators. This was a difficulty for example for SGU in Southern Africa and for CENTEC in Vietnam. In China, Centec started with a strong combination of knowledge of actors in China and the Swedish public and private context.

### **8.6.3 Local presence**

One experience is that having a local office is very important. Business Sweden in Botswana and the embassy functions show this. SWECO also had good use of their national focal points in Namibia and Botswana. The fact that Business Sweden, in spite of availability of Sida financing, did not get an office in Namibia established is probably one explanation for the difficulties for getting more PDC projects there.

Interlocutors in, for example, India and Botswana emphasised that the personal relations and the understanding of the local culture were very important for good results. For example, in Botswana many consider being contacted only via email as not being enough – a personal contact or a phone call is also expected.

### **8.6.4 Facilitation takes time**

One common experience from the facilitators is that facilitation takes time. Most of the facilitators started in 2011. To find and match partners took time, and as has been said above, it takes time also for the partners to cement their relationship.

The decision in 2012 not to prolong the strategies with the seven countries meant that in principle no activities after 2013 could be financed. The decision came at the same time as many facilitators were getting up speed and many new PDC projects were identified. The fact that financing dried up meant that several facilitators had to change tack and try to find other financing for the identified projects, or work on increasing contacts in other ways.

### **8.6.5 Cost efficiency**

It is absolutely impossible to draw firm conclusions for the facilitators as concerns cost efficiency, measured for example by number of new PDC projects compared to the cost for the facilitator.

A comparison is complicated by the different country contexts, the mandates have been very different for the different facilitators, their connection to the Swedish embassies and public agencies varies, their history has been different and the types of projects are not comparable. Ascertaining cost effectiveness would be even more difficult.

### 8.6.6 General lessons learnt from engagement of PDC facilitators

One lesson learned is that the decision to engage facilitators was correct. The demand from the Swedish government that Sida should stimulate the engagement of new partners and new types of partnerships meant a lot of work. New partners had difficulties in understanding the context of development cooperation and the sometimes varied demands on how proposals, results frameworks and reports should be formulated.

Another lesson is that it is an advantage if the organisations engaged are specialised in the task of facilitation. They need to have suitable experience for this task, and knowledge both of the Swedish market and context and that of the cooperating country is a definite advantage. The selection of the persons to do the work therefore becomes crucial. Employment of nationals to participate in the facilitation has given positive results. A local office or a very qualified local counterpart seems to be very useful, not to say necessary.

It could be discussed if the facilitation should have a broader scope. One problem for Sida has been that discussion on PDC projects takes time, especially when new actors are involved. Some of the work done by Sida could maybe be transferred to facilitators serving as a kind of help desks. This could include to give advice, point to training possibilities (especially for new actors), and support to the partners in how to apply for and report on PDC projects. In addition to facilitation of applications for Sida funding, it could also be discussed if the facilitators might also have the task to stimulate partners to establish partnerships without any external funding.

In a situation where new facilitators would be engaged, an argument could be made for doing prior research on cost efficiency and cost effectiveness for example by drawing experience from other donor countries. If several facilitators are engaged in one country, there is a need to delineate clearly their roles and competencies.

## 9 Comparison with similar aid modalities

In Table 18, PDC is compared to similar aid modalities that have been managed by Sida. **Contract-Financed Technical Cooperation (CFTC)** is in many aspects similar to some PDC projects. The most common type of CFTC project is that Swedish consultants support public agencies with capacity building. There is cost sharing from the receiving partner. The time for the project is limited, although there can be a number of phases so in reality CFTC can continue for a long time.

The country partner has the main ownership as the Swedish partner is normally supporting the receiving organisation only for a small part of its overall activities, and the requirement of mutual interest is less for CFTC than for PDC. CFTC projects have sometimes led to some kind of sustainable relations but it is not a requirement. CFTC should lead to poverty reduction but the emphasis on for example the perspectives are not strong in the instructions for how to write CFTC proposals.

CFTC was more similar to PDC up to some time after 2000, when CFTC was transformed into more of procurement of consultancy services. PDC is technically a contribution to cooperation between partners, without procurement.

In several reports, Sida has pointed to the similarities between PDC and partnerships in the **Baltic Sea region** (now handled by the Swedish Institute). This programme gives project initiation grants up to 440 000 SEK and thematic grants up to 3 million SEK. The main difference is that these partnerships are financed not by development cooperation but from the regular Swedish budget, and therefore do not need to comply with the development cooperation objective. A similarity with PDC is that it is labour intensive.

**Innovation Against Poverty** is one of the new challenge funds initiated by Sida. It is directed towards private companies. Through applications, private companies apply for small grants or large grants, and those assessed to fulfil the requirements in the best way are chosen. The grants must be matched by cost sharing of at least 50 per cent and are limited in time.

**Support to Civil Society Organisations** (involving partnerships between a Swedish CSO and a CSO in another country) do not have cost sharing and time limitations. The purpose is less project-oriented and more to strengthen the civil society. But similarly to PDC the funds are directed towards activities where Sida is not involved in the actual content of the supported activity. **Research Links** are small, less than 250 000 for three years, and mainly goes to finance travel between the collaborating universities. **ICLD**, the International Centre for Local Democracy, does primarily not finance partnerships but specific time-bound projects. **Swedpartnership** finances investments through loans to Swedish partners up to 200 000 Euro. The loans cover maximum 40 per cent of the costs and are written off after the investment has been made. There are no requirements concerning poverty reduction in the instructions for applicants.

Sida's administration of PDC has for evident reasons been relatively time-consuming compared to disbursements, as the projects are small, catalytic and needed a lot of hand-holding. This is inherent in the nature of the modality. There are no data to make comparisons on this issue with other similar modalities.<sup>58</sup>

In real situations, most of the aid modalities in the table can look alike. And this is true also for bilateral assistance guided by country strategies. For example in a partnership between the Swedish enforcement authority and its Georgian counterpart, there are two engaged partners, mutual interest and ownership, cost sharing, time limited Sida financing, comparative advantage for the Swedish partner, rights and gender perspectives, poverty effects and prospects for sustainable relations and results.

But even if there are these kinds of examples, the Sida conditions, the way Sida instructs the applicants, how the proposals are assessed and the type of dialogue that is conducted is what forms the aid modality.

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<sup>58</sup> Sida has no actual information on the disbursements per person year for PDC to compare with other aid modalities.

## 9. COMPARISON WITH SIMILAR AID MODALITIES

**Table 18: Comparison with other aid modalities**

| Criteria                 | PDC     | CFTC <sup>59</sup>  | Baltic Sea Cooperation <sup>60</sup> | Innovation Against Poverty <sup>61</sup> | CSO <sup>62</sup> | Research Links <sup>63</sup> | ICLD <sup>64</sup> | Swedpartnership <sup>65</sup> |
|--------------------------|---------|---------------------|--------------------------------------|------------------------------------------|-------------------|------------------------------|--------------------|-------------------------------|
| Actor                    | Various | Swedish consultants | Various                              | Companies                                | CSOs              | Universities                 | Local government   | Companies                     |
| Mutual interest          | x       | x                   | x                                    |                                          | x                 | x                            | x                  | x                             |
| Comparative advantage    | x       | x                   | x                                    | x                                        |                   | x                            |                    |                               |
| Cost sharing             | x       | x                   | x                                    | x                                        |                   | x                            | x                  | x                             |
| Catalytic (time limited) | x       |                     | x                                    | x                                        |                   | x                            | x                  | x                             |
| Joint ownership          | x       | x                   | x                                    |                                          | x                 | x                            | x                  |                               |
| Sustainable relations    | x       |                     | x                                    |                                          | x                 | x                            | x                  | x                             |
| Sustainable results      | x       | x                   |                                      | x                                        | x                 |                              | x                  |                               |
| Poverty perspective      | x       | x                   |                                      | x                                        | x                 |                              | x                  |                               |
| Rights perspective       | x       |                     |                                      |                                          | x                 |                              | x                  |                               |
| Gender                   | x       | x                   |                                      | x                                        | x                 |                              | x                  |                               |
| Environment              | x       |                     | x                                    | x                                        | x                 |                              | x                  |                               |
| Planning grant           | x       |                     | x                                    | x                                        |                   | x                            |                    | x                             |
| Cooperation grant        | x       | x                   | x                                    | x                                        |                   |                              | x                  |                               |

<sup>59</sup> Sida (2004) Contract-Financed Technical cooperation

<sup>60</sup> Svenska Institutet, Instruktioner för ansökan om projektinitiering och tematiska partnerskap

<sup>61</sup> Sida (2012) Innovations against poverty . Guide for applicants

<sup>62</sup> Sida (2011) Kriterier för civilsamhällesorganisationers behörighet som – ramorganisation inom anslagsposten Stöd genom svenska organisationer i det civila samhället

<sup>63</sup> <http://www.vr.se/forskningsfinansiering/varabidrag/swedishresearchlinks.4.13cbb1ce134a644c01380009410.html>

<sup>64</sup> ICLD (2012) Riktlinjer för programmet Kommunalt Partnerskap

<sup>65</sup> Swedfund (2013) Övriga villkor och anvisningar <http://www.swedpartnership.se/>

## 9.1 CHARACTERISTICS OF PDC

The basic feature of PDC is **the relation**. The PDC policy says: “The objective of actor-driven cooperation is to stimulate and strengthen the emergence of self-supporting relationships...” The partners find each other (sometimes with the help of facilitation) and formulate a proposal that is discussed with Sida. Sida looks at the project proposed, but also very much at the partnership, its quality and its prospects of being sustainable. A MoU between the partners is a positive sign. The idea is that the partners should be fully responsible for the implementation and that Sida should avoid any hands-on participation during project implementation.

The rules for reporting to Sida and the dialogue in that connection are also focused both on the results of the project and on the partnership itself.

The partners themselves also emphasise the importance of the partnership. The personal relations are said to be very important, and the building up of the partnership is regarded as a key factor for the success of the projects. This comprises also that the partners need to discuss in detail their roles and responsibilities when it comes to the implementation of the project.

Together with cost sharing and mutual interests, the emphasis on the partnership gives a stronger ownership. A number of partners have expounded on this difference between their PDC partnerships where both partners take responsibility, *vis-à-vis* capacity building or technical assistance that ends when the specific activity ends.

The fact that the partnership is so important also means that the projects cannot start at once. Building the necessary personal relations and trust takes time – which has been emphasised by a number of partners both in interviews and in the survey with the partners. SWECO that worked as facilitator in Southern Africa expresses this thus:

“Final conclusion is that PDC is a good concept that is very including and open, but it also requires lots of time, for facilitation, contact establishment and partnership formulation, but mainly for the concept to mature within the potential partnership organisations. For successful PDC strategies in the future it is recommended to have a longer implementation time with support. Even though the support is only supposed to be initial and catalytic, partners themselves will need assistance over time, to find other partners, to formulate partnership ideas, and to find the right timing for their Partner Driven Cooperation, in their own organisation and with the partnering organisation and in the context they are working.”

In the PDC policy the picture is given that Partner Driven Cooperation should be a very agile aid modality: “Aid forms and instruments for actor-driven cooperation have to permit rapid and flexible management so that they can be used in various categories of countries and respond quickly to demand from actors.”

This has not been the case. Establishing the relation is not a quick fix. This time factor has been compounded with the initial internal delays in Sida. PDC came into full speed only in 2012 and then Sida had to slam the brakes.

PDC cooperation grants should normally be for three years. Several partners have stated that they would rather use the same amount of money for an even longer period, to make sure that the relation and the activities are sustainable. Together with the long gestation period needed for forging the partnerships on beforehand, this means that PDC projects would need 5 years for a full cycle. There are of course cases, for example when earlier relations were transformed into PDC partnerships, which would need less time. But the major focus in PDC is on creating new relations.

It is not possible to say anything meaningful on the cost efficiency or cost effectiveness of the PDC projects. The general impression of the evaluators is that partners do try to spend their budgets wisely, and the fact that most projects reach their objectives indicates that at least at the output level the projects are reasonably cost effective.

But what is clear is that at the aid modality level, PDC has been an expensive affair. The slow start with the introduction of a very new modality, the administrative problems and waiting periods many projects met in the beginning, and the sudden need to rush through the activities to meet the new December 2013 deadline was certainly not ideal. Also for Sida it meant a lot of investment in rules, relations and procedures. This time-consuming investment period was not followed by a reasonable period to reap the fruits from that investment.

A just comparison between PDC and other aid modalities would have to separate out the effects of these initial problems and the sudden hurry in the end. This operation is not possible with the information available.

## 10 Conclusions

### 10.1 THE PDC PROCESS

PDC is a long-term aid modality. It takes time to build up relations between the partners. Personal meetings are necessary, roles and responsibilities have to be determined and agreed upon, and repartition of costs must be clear before the project starts.

Rules and procedures were not readily available and communicated. When PDC started this created problems, delays and waste of resources for all parties. PDC did not in the beginning fulfil the requirement in the policy of rapid and flexible management and quick responses to the demand from actors.

The time for phasing out PDC is short. Experience from phasing out other development cooperation shows that phasing out should be given time. The decision to end the selective cooperation was taken less than two years before it should have ended, when it just had been organised and expanded rapidly. New projects had to be shelved and recently started projects had to squeeze in planned activities in a short time period or lower their ambitions. Any delay will give negative effects, as prolongation is not possible.

### 10.2 PDC PROJECTS

Most partner relations will continue. Nearly 20 per cent have secured a continuation of present activities. Another 44 per cent foresee some kind of future joint activities, and most of the remainder will continue to have informal contacts.

Projects reach their short-term objectives. As PDC projects are short, three years maximum as a rule, they mostly have short-term output objectives that are well planned and will be reached. Most projects also have positive spin-off effects.

Poverty reduction effects are possible. Most projects work with models, systems or research questions, not least in environment. The potential effects on poverty are often long-term and not always spelled out, while the projects are short. It is therefore difficult to predict more generally to what extent the foreseen effects on poverty will materialise.

Mutual interest is very strong. This is true for all seven countries. The partners emphasise the importance of mutual interest and good personal relations. The project planning and reporting is less mutual, with the Swedish partner normally having the agreement with Sida and being more active, but implementation is well shared.

There is cost sharing. It was not easy to introduce, as most countries did not have it before. Sida with time adapted cost sharing to local contexts. Getting funds from governments has

sometimes taken a long time, and for NGOs it has been very difficult to contribute. Cost sharing is positive for local ownership.

The perspectives have been difficult for the partners. All Sida contributions should take into account the poverty, rights, gender and environment perspectives. This has not been given high priority by most partners, and especially new actors have needed coaching to include the perspectives.

### 10.3 PDC COUNTRIES

PDC can function in different country contexts. Large countries can absorb Swedish knowledge well, but the results are difficult to scale up and spread geographically. Small countries provide good opportunities for networking. Government structures in the countries can both support and slow down Partner Driven Cooperation.

PDC works well in middle-income countries. They can afford cost sharing, which is good for ownership in PDC projects. In low-income countries PDC requirements might be more difficult to implement and other types of aid with more Sida involvement and financing of local costs would be preferable.

The countries should have a mutual interest. Political interest to collaborate is positive for PDC. It is necessary that actors in both countries have economic, research or other interests in collaborating with each other.

PDC is not suitable for quick phasing out of development cooperation. PDC projects need up to five years to mature whereas time for phasing out is normally shorter. PDC might, however, be introduced as a bridging facility if there is a very long phasing out period.

### 10.4 PDC CATEGORIES

Application procedures have worked well. For applied research (and DemoEnvironment and culture) the model with applications has been effective. For planning grants and cooperation grants handled by Sida, opportunities to coach applicants have been better but the processes have been time-consuming and have caused impatience among some applicants.

The decision to use facilitators was good. The process objective for Sida was to rapidly increase the number of PDC projects in all the seven countries. This was made, but would have been very difficult without the active contribution by the facilitators.

Specialised consultants and embassy facilitators produced many projects. To be located in an embassy was a distinctive advantage in dealing with officialdom. Some Swedish government agencies had a broad mandate and were less focussed on matchmaking while consultants with this as a specific and only purpose did facilitate many partnerships.

Local presence is positive for facilitation. A local office seems to be a key to success. Relations and cultural patterns are best understood by living in the country. Other positive factors are experience of the country and of the actors in both countries.

### 10.5 PDC SECTORS AND ACTORS

PDC sectors work equally well. There are no major differences in results between the different sectors. As PDC is demand driven, it is not a suitable instrument to influence development in entire sectors. As foreseen, human rights and democracy are better supported by targeted interventions than PDC.

Universities are major actors with strong mutual interest. They are responsible for applied research projects and also participate in many of the cooperation grants. They are in a better situation than public sector entities concerning sustainability as they can apply for new funds after PDC financing. Cost sharing is sometimes a problem for universities in the countries.

Government agencies do not have future funding. There are many large and successful partnerships with Swedish government agencies involved. But Swedish authorities at present have limited possibilities to fund international cooperation without external funding so there is little sustainability.

Municipalities do in most cases not have funds for continuation. There are not many PDC projects with municipalities and most of these are outlier cases working with specific concepts, such as SymbioCity.

Private companies have positive conditions for long-term sustainability. Few companies have participated in PDC, not all successfully, and they can only get planning grants. But when partnerships are established, they can be financed by the partners.

NGOs do not have funds for PDC. The PDC category NGOs, associations etc. contains for example foundations connected to universities. NGOs proper may have other donor funding but not for participating in PDC type of partnerships.

### 10.6 PDC COMPARED TO OTHER AID MODALITIES

PDC is similar to Contract-Financed Technical Cooperation and the Baltic Sea Cooperation. There are similarities as concerns cost sharing, ownership, relations – but there are also differences, and a comparison does not lead to any firm conclusions.

The partnership is what is distinctive for PDC. Both Sida and the partners emphasise the importance of a close and long-term partnership for success of the projects and their results.

## 10.7 HAVE THE AIMS IN THE PDC POLICY BEEN FULFILLED?

Has PDC developed according to the policy from 2007? At a general level, the answer is yes. A number of relations of mutual interest have been created, with engaged partners working together in very positive partnerships, in all seven countries. The partnerships have matched the interests of the partner country and Sweden. And the projects have had short-term objectives compatible with the objectives of development cooperation and will reach those objectives. There has been joint ownership and shared responsibilities and there is a willingness to continue the relation. There has been cost sharing from the partners in the countries. PDC has fulfilled the aim of being the dominant Swedish aid modality in the seven countries.

Some of the basic principles in the policy have been fulfilled to a lesser extent. The relations are in most cases not self-supporting in the sense that they would still need external funding to continue (the Swedish government agencies and municipalities never had another option). The inclusion of the different perspectives has not been satisfactory. The PDC instruments did, especially in the beginning, not permit rapid and flexible management.

# 11 Future Partner Driven Cooperation

Partner Driven Cooperation as an aid modality has so far only been used in the seven countries for selective cooperation, and ends there in 2013. In the former chapter, conclusions from using this aid modality were drawn. In this chapter we will try to answer the other main question in the Terms of References: “To make recommendations to Sida about if and how to use PDC as an aid modality in the future and possible moderations needed in PDC to improve its results.”

We structure this discussion as follows: objective, countries, Challenge funds, actors and sectors, rules and methods, and organisation. The discussion ends with recommendations for action.

## 11.1 CLEAR OBJECTIVE

The objective of PDC is “to stimulate and strengthen the emergence of self-supporting relationships of mutual interest between Swedish actors and actors in low and medium income countries in order to contribute to the objective of international development cooperation or the objective of reform cooperation in eastern Europe.”

The Terms of References for this study mentions the “potential win-win-win in supporting PDC projects to (i) promote Swedish knowledge, (ii) build relations and at the same time (iii) achieve the development cooperation goals.”

The essence of LFA and Results Based Management is that there should be a hierarchy of objectives, with one major objective. The ambiguity inherent in the present objective(s) for PDC has been a challenge for Sida. In the Sida principles for broader cooperation from 2006 it is stated “the objectives for development cooperation are sometimes difficult to reconcile with the task to stimulate broader cooperation...”

This issue is also discussed in a Sida report on PDC:<sup>66</sup>

*“All development cooperation contributes to building relations between different actors. What is distinctive for partner driven cooperation is that the relation is an objective in itself...Another distinctive feature is that one of the actors shall be Swedish. Actions to stimulate partner driven cooperation must therefore be directed towards Swedish actors.”*

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<sup>66</sup> Sida, Återrapportering av Sidas arbete med genomförandet av Policyn för aktörssamverkan inom utvecklings-samarbetet, 16 juni 2009

What is the main objective for PDC? If it were clearly the development objective, it would perhaps be formulated like “reach the development objective by utilizing partnerships and Swedish knowledge”. If it were to promote Swedish knowledge and exports, it could be “promote the use of Swedish knowledge and resources with the restrictions that it is possible to finance with aid funds and takes the form of partnerships”.

The present goal can probably be interpreted as having the creation of “sustainable relations of mutual interest” as the main objective. The restrictions are that only Swedish resources should be used, and that the relations “be eligible for funding from various appropriation items in international development cooperation”, as it is formulated in the PDC policy.

If this is correctly understood, there would be a case for stating this clearly for any future PDC. Perhaps something like: “Sustainable relations of mutual interest between Sweden and the respective countries should be promoted. The joint projects must be eligible for funding under Swedish development cooperation”.

## 11.2 NEW PDC TO WHICH COUNTRIES?

In the PDC policy is stated that Partner Driven Cooperation can be implemented in all ODA countries. It would make up the bulk of selective cooperation, but can be used also in other countries. “In these countries it can also serve as a preparation for a future transition to broader, self-supporting cooperation without development cooperation funding.” One conclusion from this evaluation is that PDC is not a suitable aid modality to during a short phase-out period replace other development cooperation. But PDC could be a very useful instrument to *start* cooperation with new countries. If Sweden wants to increase relations with a country, which has not received Swedish development cooperation funds before, PDC could speed up the process of building new relations. Facilitators could be engaged to find new partnerships, and planning grants could be given for actors to meet and discuss joint activities and then start projects without a historical burden.

As said earlier, there are situations when PDC can be used to phase out. With the present situation where the Swedish government is going to decide on strategies for 7 years, as for example with Eastern Europe and the Western Balkans, a new such strategy with introduction of PDC could mark a transition to a situation without any Swedish aid.

The type of countries where PDC might be more useful is discussed in Chapter 5. For example, cost sharing indicates that middle-income countries have an advantage. There are also issues about size, language, institutional setup and presence of other donors.

As indicated in the present PDC policy, it is not necessary to have bilateral strategies for countries where PDC would be used. There could also be regional or global instruments for PDC. Sida pointed this out in 2011, proposing an alternative where the Swedish government takes a decision that specific countries shall be open for PDC. One budget line would then be set up for this group of countries and funds allocated according to actual demand. PDC could be combined with other development cooperation modalities.

## 11.3 CHALLENGE FUNDS FOR SUSTAINABLE RELATIONS?

One model that could be relevant for future PDC are the new aid modalities called Challenge funds. These mechanisms are modelled on the way research funds are allocated from a research facility (such as the PDC window for applied research).

The Challenge funds are “a financing mechanism to allocate funds for specific purposes using competition among organisations as lead principle. A challenge fund invites companies, organisations or institutions working in a targeted field to submit their proposals”.<sup>67</sup>

The Challenge funds are used for a great variety of purposes such as extending financial services to poor people, finding solutions to health problems, triggering investments in high-risk markets and to stimulate innovation. They are defined in time (normally three years) and can apart from grants also finance technical support. Cost sharing is normally applied. Challenge funds can be global, regional and national.

PDC already uses this type of mechanism for applied research. If it would be extended to the other types of Partner Driven Cooperation, it could follow the practices of Challenge funds. However, the time limit would probably have to be longer than three years, given the time it takes to get sustainable partnerships and results. For country and regional funds it could be adapted to the respective strategy periods.

The mechanism would be used to further the primary objective of a future PDC, creation of sustainable relations of mutual interest. The demands on Sida to measure process results could be expressed not in volume of disbursements but in number of relations created. At the same time all projects, like for other Challenge funds, should individually satisfy the development objectives as they are expressed in the instructions for applications.

The use of an application mechanism would meet a strongly expressed demand from a number of PDC partners. They have complained of time-consuming procedures when their proposals were sent back and forth between them and Sida. They would prefer a standardised procedure with clear criteria for assessment and predetermined dates for Sida decisions. This would also be in line with the original intentions in the PDC policy that it should be an agile and reactive instrument.

The use of application procedures according to fixed criteria would have its drawbacks. Especially with new actors, Sida has coached them to understand how development cooperation works and how to reason to fulfil the development objectives. To compensate for this, special

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<sup>67</sup> Sida, Leaflet on Challenge Funds, no date.

measures could be used for example training and use of facilitators (which would also save capacity for Sida) so that new actors are stimulated to apply.

## 11.4 ACTORS AND SECTORS

The universities would probably be a key actor also in a future PDC modality. They are the predominant category in the present PDC. They work well both with applied research projects and with cooperation grant projects. They have strong mutual interest and partnerships and have experience in arranging financing for their continued activities.

When Partner Driven Cooperation started, the projects proposed by private companies were not eligible for financing. Thereafter, they could apply for planning grants with special conditions. They had some difficulties in the beginning with the Sida procedures and with the delays, but once they got financing most were very positive. And they have the clear advantage that they can create their own sustainability. They would qualify to be a prominent partner category in a future PDC. However, to be able to assess the viability of business proposals, specific expertise is required. There are also maybe enough funds available already for the private sector through a number of new Challenge funds.

Cultural organisations (that are not part of this review) have been successful in their activities, and a large part of the partnerships that have been supported have plans for a continuation. They would also fit well into an aid modality focussed on creation of increased sustainable relations.

Government agencies, municipalities and NGOs have a financing problem. NGOs also get core financing from Sida and extra financing from other funds might be an issue. But there could be exceptions or special solutions, and they should not be excluded from participating in a future PDC. In fact, a PDC modality focusing on broad relations should not bar any type of organisation from applying for PDC financing.

The question of choice of sectors is in most of the cases not relevant for a broad PDC not guided by sectorial priorities. Still, for country or regional PDC funds, there might be a wish to set priorities and to use facilitators specialising on preferred sectors. This is of course feasible. In that case, there might be useful to do needs assessments before deciding on which sectors to prioritise.

## 11.5 RULES AND METHODS

If PDC would be reintroduced, it would be wise to keep the elements that have been successful. One of the major factors for ensuring ownership is cost sharing. This has been applied flexibly between countries and within countries for different types of projects. It could be more difficult to have a flexible system if it is application-based.

What could be done is to have separate windows for different types of actors, as is now practised for universities and the private sector. For each window, different cost sharing rules could apply. Different norms could also be used for different countries. The Challenge funds supported by Sida have similarly different rules for cost sharing. The question of allowing

financing of some amounts of local costs, to give more flexibility especially in the start-up period, is something several PDC partners have proposed.

The emphasis on mutual interest could be expressed in requisites for signed MoUs or agreements between the partners, and that both partners should sign the application. Convincing plans for sustainability would also be part of the content of their applications.

If sustainable relations is the primary objective, what about the development objective? PDC funds could follow the example of the Challenge funds. The applicants are required to describe the effects of their projects for low-income people, and there are sometimes questions for example on possible effects on environment and the number of women participating. But the applicants are not required to present very complicated analyses of the different facets of poverty. The fact that there is competition through the application process makes it probable that those scoring high not only on sustainable partnerships but also on development effects will win the competition.<sup>68</sup>

Challenge funds are for shorter periods, but PDC funds would need to be for longer periods to facilitate sustainability.

The present PDC modality includes that Sida gives a contribution to projects planned and implemented by two partners. One partner is always Swedish. This could probably be applicable also in a new PDC modality. It might, however, be necessary to look closer into this issue before launching a new system, to have full clarity.

A new PDC modality should only start when all rules and regulations are determined. Before starting, there should also be a massive communication campaign to reach potential partners before the first round of applications. The web should be used much more than at present, not only for applications. A number of partners have asked for much more open information on the web. They want Sida to publish selection criteria, good examples of projects and applications, and information on how Sida assesses results. They would also like to see platforms for sharing knowledge, for example on which hotels to use, how much to pay for local consultants and other country-specific information supplied by implementing partners working in the respective countries.

### 11.6 WHO SHOULD HANDLE A FUTURE PDC?

Sida does not have enough capacity to handle a future PDC with direct administration. Sida in general now uses an elaborate system for contribution assessment and management, which is in principle the same for small as for large contributions. PDC projects are by definition

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<sup>68</sup> In the beginning, PDC had more financing than projects. The lesson for a future PDC is not to put pressure that disbursements should be high in an early phase so as to allow for ample competition.

small, and they are limited in time, which means that they do eventually not constitute prolongations of known projects but are always new projects.

The solution is probably to have facilitators. The use of facilitators in the present Partner Driven Cooperation has maybe been costly in some cases, but has also given a fair idea of what could work in the future. The type of facilitator to procure would of course be dependent on the type of context and funding window.

Facilitators could have at least three tasks. One would be to support partners in the establishment of partnerships, without Sida financing of the resulting partnerships. This would probably be cost effective. Another task could be to help to produce new partnerships that could be financed after winning in an application process.

A third task could be to give prospective partners technical support and function as a helpdesk. The facilitator could point to training possibilities to on development cooperation basics such as perspectives, results based management, monitoring systems and reporting. They could also support the applicants to make their applications.

Sida itself would also need expert support in preparing the material for decisions. It could take different forms. The present arrangement with the Arts Council giving technical support and also preparing material for the decision-making in Sida on applications seems to work well. There could also be reference groups and experts looking at applications and giving advice to Sida.

Within Sida, the present PDC funds are managed by a separate unit. It might be better in the future to integrate the management more in the basic organisation. For countries in Europe (like Georgia and Bosnia that are now setting up separate challenge funds) the decisions would be taken by the regional department. For funds in Zambia where the embassy has delegated authority, the decisions would be taken at the embassy. Regional funds would be decided by regional departments and global funds by a Sida department for global issues.

## 12 Recommendations for a future PDC

1. It is recommended that the possibility to set up a new PDC instrument is explored. This would include the successful characteristics of the present PDC: cost sharing, mutual interest, emphasis on sustainable relations and results.
2. The new instrument should have clear and measurable objectives, and one objective (probably sustainable relations of mutual interest) should guide the practical work.
3. A new PDC modality can be useful to start cooperation in new countries and for phasing out over a very long time period, but should normally not be used for quick exits. PDC should preferably be used in middle-income countries that can afford cost sharing.
4. PDC funds should base its procedures on the experience from applied research and from the Challenge funds, including their experience on how to satisfy development objectives. There could be different windows for different actors and countries, and regional and global PDC funds. PDC funds need a relatively long validity period, and the issue of restricting the instrument to Swedish actors should be analysed.
5. Facilitators should be used to stimulate new partnerships and to support actors to apply for PDC funds. All types of actors should be able to apply
6. A new PDC should only start when all rules and procedures are determined and communicated.
7. The management of PDC funds should follow the actual organisation in Sida.

## 13 Lessons learned from PDC for other aid modalities

1. In practically all aid modalities, there are foreign and local partners. The quality of the **partnership**, which is a basic issue in PDC, is obviously important also for other types of development cooperation. And the fact that good partnerships take time to develop is a useful lesson. When new Sida method handbooks are made, the partnership aspect could be elaborated on. Also, it could be considered to introduce support similar to PDC planning grants, when relevant, to enable partners to forge relationships and do planning together in a better way than now.
2. **Cost sharing** promotes ownership. There is always some local cost sharing also in other aid modalities, in the form of human resources and some local costs devoted to the projects. General guidelines for cost sharing would be useful that would also include how to calculate cost sharing, an issue that has been discussed but not solved for PDC (or Contract-Financed Technical Cooperation).
3. If there are **sustainable partnership relations, long-term results will be more achievable** and sustainable. This assumption would merit more recording of experience and analysis.

## Annex 1 Findings by country

### BOTSWANA – AN IDEAL COUNTRY FOR PARTNER DRIVEN COOPERATION?

The earlier long-term development cooperation with Botswana ended in 1998. It was replaced by cooperation in the form of Contract-Financed Technical cooperation, International Training Programmes and support to measures to combat HIV and AIDS. Up to half the costs were shared by Botswana, having become a middle-income country.

In 2009 Botswana was included in the group of seven countries for Swedish selective cooperation, with a strategy for the period 2009-2013. In the strategy it is said that PDC should become the predominant aid modality in 2011.

The Swedish embassy in Botswana closed in 2008, but Business Sweden then opened an office to continue its work on facilitating contacts and new PDC projects. This office has been very successful in furthering contacts between Sweden and Botswana and has initiated a number of new PDC projects. The consultancy firm SWECO has not had an office but has as a facilitator managed to initiate 12 PDC projects in the areas of water, energy and waste. A third facilitator, the Swedish Geological Survey, had problems in initiating PDCs in the mining sector.

#### Box 1: Successful support to new entrepreneurs

In the portfolio there are four projects supporting new entrepreneurs. This is very much in line with the Botswana priority for job creation. One project is collaboration with Global Business Labs in Stockholm, which is successfully investing funds in the development of young entrepreneurs coming from the university studies. Another is support to small women entrepreneurs through Women in Business Association (WIBA), which with the Swedish support has rapidly increased their membership and profile. Botswana Innovation Hub is a Botswana government institution has identified four business ideas that are promising. It cooperates with Lund University and Krinova Science Park in Kristianstad. Also, a very motivated Swedish organisation, Young Drive, has given training for young people in Botswana to start micro-businesses. The two latter projects could be hampered by lack of financing for a continuation.

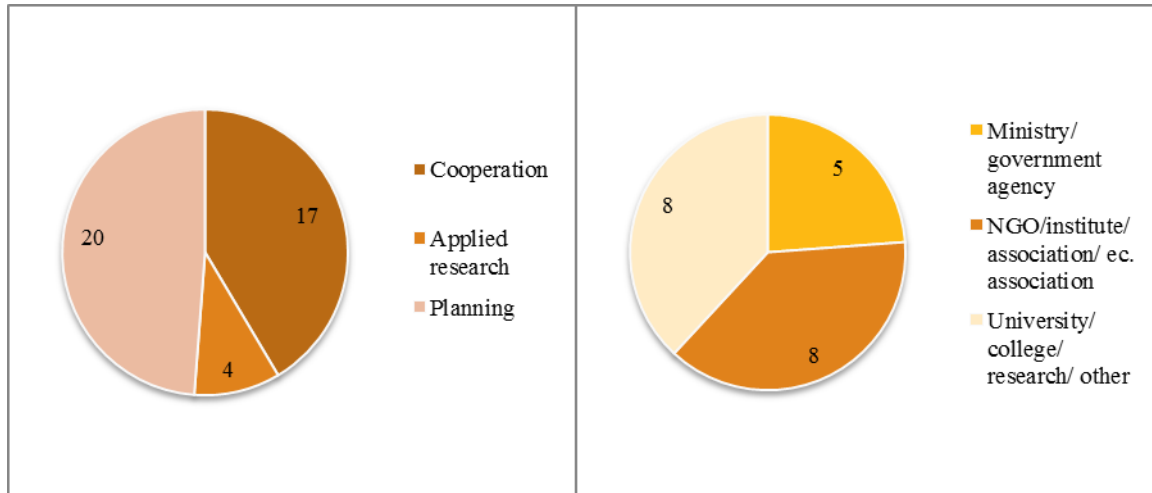
The main PDC cooperation areas are economic growth, environment and climate, and democracy and human rights. The sector distribution during the period 2009-2013 is shown in Annex Table 1.

**Annex Table 1: Sector distribution during the strategy period (MSEK)**

| Sector                                      | 2009-2013  |
|---------------------------------------------|------------|
| Market Development                          | 33         |
| Democracy, human rights and gender equality | 25         |
| Environment and Climate Change              | 22         |
| Health                                      | 15         |
| Other                                       | 15         |
| <b>Grand total</b>                          | <b>110</b> |

Source: Sida PLUS/Greatness/Evaluation Team

In the largest sector, Market development, there is a large and successful project on tax administration and several projects to encourage entrepreneurship. The sectors Democracy, human rights and gender equality and Health are dominated by two very large projects on respectively land administration and spinal injuries. In Environment and climate change the number of projects, for example in the water sector, is larger.

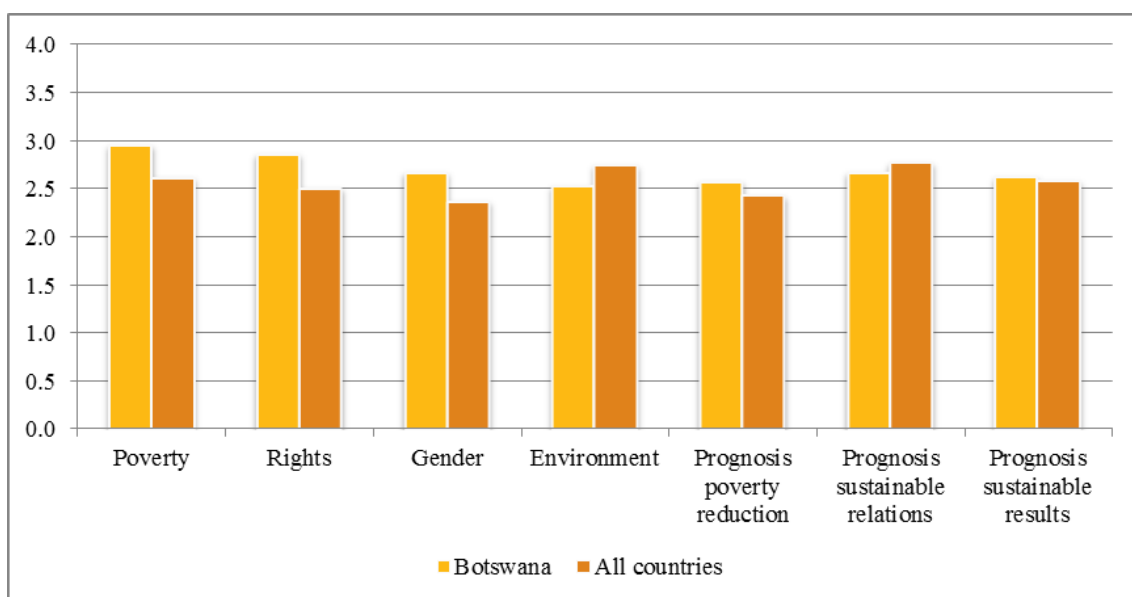


**Annex Figure 1: Type of grant and agreement partner (for assessed grants)**

For assessed grants, the distribution between the categories is even, apart from a total absence of private companies. The entrepreneurship projects are managed by associations.

Botswana has had many grants approved. The research grants are few, which is explained by scant interest from Swedish universities and not so strong structures in Botswana. A record 67 per cent of planning grants have led to cooperation grants.

As can be seen in the figure below, Botswana has higher than average scores on all poverty oriented variables, reflecting the priority on poverty in the strategy.



**Annex Figure 2: Botswana compared to the average for 7 countries with selective cooperation**

Botswana has several characteristics that are favourable for successful PDCs. It has a relatively high GDP with possibilities to finance a substantial part of the costs of the projects. It also has a tradition of strong institutions and has experienced government officers. The Botswana culture is also said to be relatively open for new knowledge and experiences. The small population, 2 million, makes communication and cross-fertilisation between different areas easier.

On the other hand, having a small population (and low salaries in government) carries the risk that people trained in PDC projects leave for South Africa or other countries, and it could be difficult to recruit replacements with the same expert qualifications.

Generally, the PDC projects in Botswana have reached their objectives and the quality of the collaboration has been high.

The main problem is that the future of most projects is dependent on future official financing, which is difficult to arrange in Sweden and in some cases also in Botswana.

#### Box 2: Water, water everywhere

Lack of water management is one of Botswana's major problems. 1000-year-old groundwater sources are mined, while sumptuous rainfall disappears every year in runoff and evaporation. Through an initiative from the Swedish International Water Institute (SIWI), support has been given to the on-going institutional reforms in the water sector. Training from SIWI has been complemented by support in meteorological forecasting from SMHI in Sweden, and by a project for artificial recharge of groundwater with support from Chalmers University in Göteborg. In addition, support has been given to issues of wastewater and sanitation, also from Chalmers.

The combined support has reached its short-term objectives. However, the decision by the Swedish government to end all financing by the end of 2013 meant curtailing some of the planned interventions. The idea was to make feasibility studies that would be financeable from the next development plan in Botswana, but time and funds are not enough to reach that stage, which puts the results reached so far in jeopardy.

## NAMIBIA – PDC WITH START-UP DIFFICULTIES

The phasing out of the Swedish development cooperation with Namibia started during the strategy period 2004-2008. The transformation to the modality Partner Driven Cooperation was not made without difficulties. The closure of the Swedish embassy in Namibia in October 2008 did not improve the situation.

According to the strategy, PDC should already in 2011 be the predominant aid form in Namibia, so implementation of PDC had to start immediately. One way to increase the volume was to use facilitators. Three facilitators were engaged: Business Sweden for general match-making, Swedish Geological Survey (SGU) for the mining sector, and SWECO for projects within energy and environment.

Business Sweden had difficulties with the status of their local office, and the office was closed in 2011. SGU made strong efforts to get an agreement with their Namibian counterpart but had less emphasis on finding new partnerships, and the demand for partnerships in the mining sector was also less than expected.

Of the facilitators, only SWECO managed to get a number of new partnerships going. In Namibia, a total of 3 partnerships were started through facilitation by SWECO and 2 planning grants were approved during the period 2010-2012. According to SWECO there is demand in Namibia but the main factor slowing down the cooperation is that “Swedish actors consider Namibia to be the least interesting country in the Bot-Nam-Zaf region...”

### Box 3: Rights-based conservation - Swedish travel agency cooperates with Namibian NGOs

World Wildlife Fund (WWF) in Namibia, together with NGOs working in the field, supports local groups in caring for their environment. The groups get the right to a land area, usually non-productive areas with wildlife. The NGOs train the groups in land conservancy, democratic governance and financial management. In this way the groups can make their areas attractive for tourism, for example by investors establishing game lodges, and receive financial benefits for the group members. Jambo Tours was approached by WWF as a partner. Jambo Tours will expand their tourist trips to Namibia to include stays in the conservancies. They will also support renewable energy investments in the lodges in the conservancies. Jambo Tours finances its participation in the project with its own funds. The cooperation can be sustainable as WWF also has access to other financing for its work in the conservancies. The implementation has been compressed in time as it took a year to get a Sida decision on funding and it is not possible to postpone activities into 2014.

**Annex Table 2: Sector distribution during the strategy period (MSEK)**

| Sector                                      | 2009-2013 |
|---------------------------------------------|-----------|
| Democracy, human rights and gender equality | 34        |
| Market Development                          | 17        |
| Environment and Climate Change              | 7         |
| Research                                    | 4         |
| Health                                      | 2         |
| <b>Grand Total</b>                          | <b>64</b> |

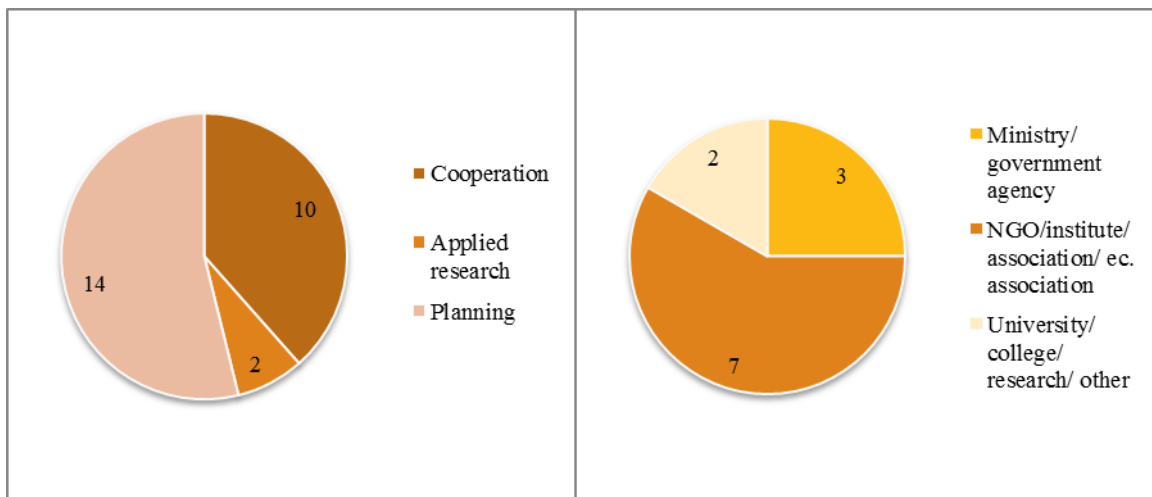
Source: Sida PLUS/Greatness/Evaluation Team

The objective for the selective cooperation with Namibia is strengthened socially and environmentally sustainable economic growth and decreased poverty. The main cooperation sec-

tors are poverty-oriented economic growth, environment and climate, and democracy and human rights.

More jobs and economic growth is a priority in Namibia and several PDCs are directed towards these objectives. Apart from the economic development in conservancies (see box), there is also cooperation for example on support to young educated entrepreneurs, to women doing small-scale commerce and to workshops for CSR.

In the democracy and human rights portfolio are registered four large projects - for land administration, broadcasting cooperation (see box), a spinal injury project and support through Save the children. In environment, a cooperation grant has been given to training for the water institutions and to efforts to utilise waste from an abattoir. Namibia participates successfully in regional projects against gender-based violence, development of indigenous grains, and inclusive education.

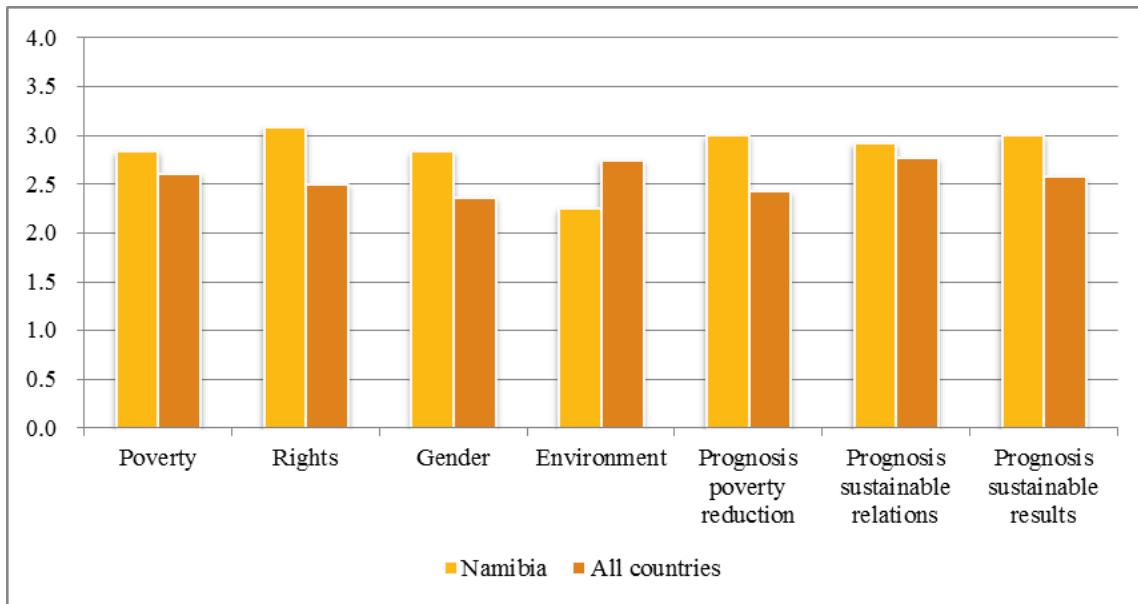


**Annex Figure 3: Type of grant and agreement partner (for assessed grants)**

For assessed grants, the dominant type of partners is NGOs and similar organisations, which is because in Namibia several associations affiliated to for example municipalities or universities are active. The largest project is a successful cooperation between the land authorities in the two countries. Namibia has the smallest number of PDC projects of the seven countries. Half the planning grants have been followed by cooperation grants.

The profile for Namibia is that there are very few research projects and few and large projects normally proceeded by planning grants or earlier phases of the same project. This mirrors the difficulties in getting new projects started in Namibia. The paucity of research projects can be explained by the fact that the population is small and universities few, and the Swedish interest in starting collaborations has been low.

A selection of variables from the assessment of the PDC cooperation and applied research projects in Namibia is depicted in the figure below.



**Annex Figure 4: Namibia compared to the average for 7 countries with selective cooperation**

As shown in the figure, the projects in Namibia have generally been prepared with due regard to the different perspectives (apart from environment, which probably mirrors that there have been few projects in that area). The very positive attitude by the Namibian government towards gender equality also helps. The prognosis for sustainable poverty results is high. This is probably because there are few but large projects with enough resources, and the projects are also (in accordance with the strategy) directed relatively directly towards poverty issues.

The PDC programmes in Namibia have in general reached their short-term objectives and could also influence poverty in the medium term. The prognosis for sustainable relations is relatively high. A major problem in several projects is the risk of turnover of personnel that have been trained in the projects. Namibia has a small population and few specialists in any one area. The lure from the job market in South Africa and elsewhere is a strong pull factor for trained persons.

A major problem in Namibia is water, but there is only one water project in the major portfolio. This illustrates the fact that PDC is not planned from sector perspectives but instead more driven by demand and interest from the different actors involved.

PDC programmes in Namibia had problems in getting started. One reason was the lack of strong facilitators with local presence. Also the interest from the Swedish partners was not very strong. In several cases the projects in Namibia have been a follow-up or add-on to PDC projects already conceived in South Africa

#### **Box 4: Sveriges Radio and Namibian Broadcasting Corporation**

Sveriges Radio has a long experience of supporting radio and television projects within the Swedish aid programme. Namibia Broadcasting Cooperation (NBC) has a large geographical outreach in Namibia and sends programs in a number of languages. The cooperation is directed towards developing capacities in NBC for radio and television, and also for new multimedia channels.

The project has been managed jointly and both partners are very engaged and have accomplished good results. A phase two of the project was to start in January 2012 but the Sida decision was delayed to September 2012.

NBC says this gave them more time to plan but that it of course meant a compressed implementation. A continuation of the cooperation is unlikely as there is no financing available, but informal contacts will continue.

or Botswana. Namibia has participated well in regional projects of this kind and benefited from the regional cooperation, which in some cases has prospects of continuing without financial support from donors.

## SOUTH AFRICA – PIONEER FOR PARTNER DRIVEN COOPERATION

It is stated in the cooperation strategy for South Africa 2009-13 that: “The shift from traditional development cooperation to selective cooperation has already been made”. This was perhaps an overstatement, but the direction towards cooperation between interested partners had been tested in South Africa for a number of years. The Selective Cooperation with South Africa is one building block in a much wider Swedish strategy for cooperation with South Africa.

In 2008, the disbursements for Swedish development cooperation with South Africa were SEK 55 million. The planned volume for the new strategy period was approximately SEK 90 million per year.

The general Swedish cooperation strategy with South Africa emphasises economic growth, but for the Selective cooperation the following areas are mentioned: peace and security, democracy and good governance, gender equality and human rights, trade and economic cooperation, environment and climate, infrastructure, energy and rural development. It is also said that there should be flexibility for other areas. Emphasis is given to support to new partners to engage in partnerships.

The start-up of the PDC programme (and already earlier with the introduction of broader cooperation) in South Africa was not without stumbling blocks. The South African authorities questioned if the PDC programme agreed with the agenda for aid effectiveness, and if it was de facto a form of tied aid. The fact that there were at the time many other donors present in South Africa offering support with less strings attached and less demands for cost sharing also made the start-up phase for PDC bumpy. South Africa is also large and complex. With time, and as several donors left South Africa, the demand for PDC increased, but Sida still considers it one of the more difficult countries in which to work with the PDC modality.

### Box 5: Low Carbon Development in Cape Town

Support is given during 2013 to collaboration between Stockholm Environment Institute (SEI) and two non-profit organisations in Cape Town. Cape Town has elaborated an Energy and Climate Change Action Plan that will be complemented with information on the carbon situation. The report to be produced will give a detailed carbon profile for the central city and suggest mitigating options and a strategy for an appropriate low carbon transition. SEI has been engaged in city-scale low-carbon development analysis throughout the world. The partners have the intention to continue to collaborate in the future. The project illustrates the advanced context in South Africa.

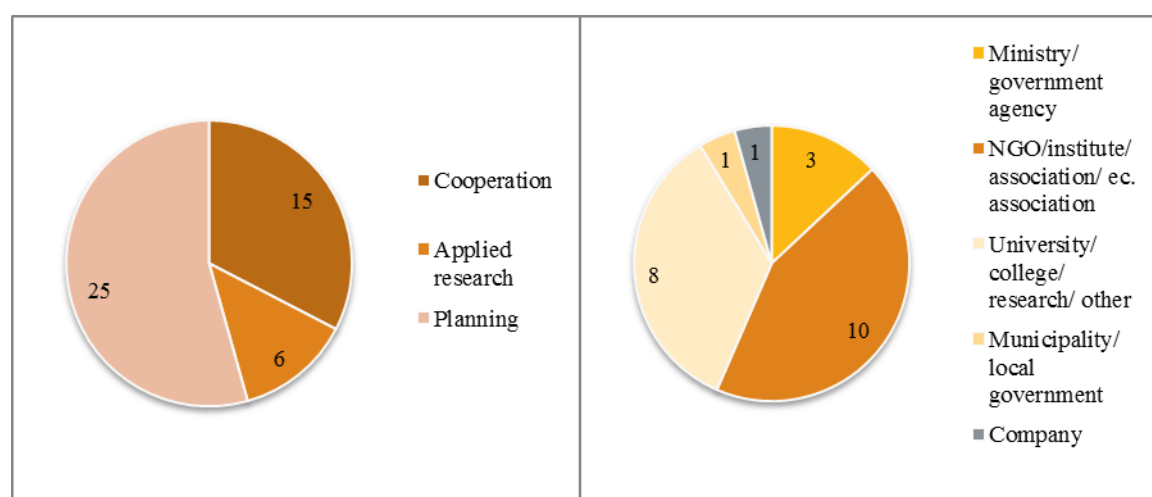
A special feature was that the delegation to the embassy to take decisions on aid projects was withdrawn with the start of the PDC programme in 2009. At the same time, Sida was in a stage of reformulating its general assessment criteria, and there were no guidelines worked out for PDC when it started. This created extra steps and uncertainty in the handling of the PDC programme in South Africa.

**Annex Table 3: Sector distribution during the strategy period (MSEK)**

| Sector                                      | 2009-2013  |
|---------------------------------------------|------------|
| Democracy, human rights and gender equality | 44         |
| Market development                          | 35         |
| Health                                      | 20         |
| Other                                       | 20         |
| Environment and climate change              | 18         |
| Research                                    | 10         |
| <b>Grand Total</b>                          | <b>148</b> |

Source: Sida PLUS/Greatness/Evaluation Team

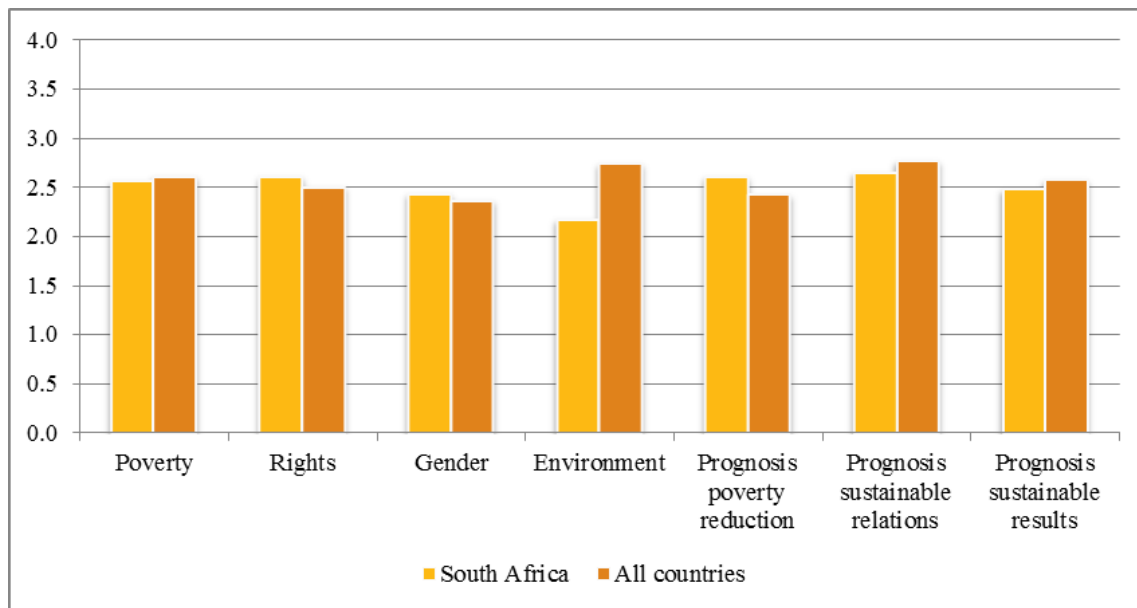
The present PDC programme in South Africa shows a large variation. The high figure for Democracy and human rights is influenced by the inclusion of a very large municipal project through ICLD. The sum for Market development includes 22 million for projects through Business Sweden and costs for the facilitator Swedish Geological Survey. There is an outflow from the non-PDC cooperation in the HIV/AIDS area into related PDC projects in the health sector. A few new projects have been started in the area of environment and climate change, with support from the facilitator SWECO.

**Annex Figure 5: Type of grant and agreement partner (for assessed grants)**

For assessed grants, the high number of NGOs and other associations as partners mirrors the diversity of the programme. Before, Sweden and South Africa had extensive cooperation between government authorities and municipalities but few participate now in the PDC programme.

South Africa has only slightly more projects than Botswana, in spite of its size and many prospective partners that can absorb Swedish knowledge and technology.

A specific feature in the strategy for selective cooperation with South Africa is that Sida is instructed to finance projects implemented by the Swedish Trade Council (STC, now Business Sweden), the Swedish Police and the Folke Bernadotte Academy. The support to STC should be SEK 10 million per year. After some difficulties in aligning the implementation through STC with the objectives for development cooperation, there is now an active and multifaceted programme with a focus on economic growth and CSR.



**Annex Figure 6: South Africa compared to the average for 7 countries with selective cooperation**

South Africa scores relatively high on poverty related issues, perhaps reflecting a number of projects related to gender and health. Few environmental projects give low scores on the environment perspective.

The fact that South Africa is more developed than its neighbours has influenced the PDC programme. For example, CSR is more viable as a subject for cooperation when the economic sector is large, and when nearly 60 Swedish companies can participate as resources. A project to use the Internet to diagnose people with severe burns in remote areas was identified for Botswana and South Africa but was only technically possible in South Africa. Several PDC programmes working also in Botswana and Namibia are centred in South Africa – for example a programme against gender violence and one working with the development of inclusive education.

The PDC programme in South Africa was victim of the same circumstances as in the other PDC countries - the time squeeze when the programme should end in 2013. However, South

Africa has a number of qualified institutions that can in a short time include PDC in their other activities. This enabled Sida and the embassy to enter into short-term agreements also for 2013 for example as concerns cooperation on a music project. Also, several organisations with which Sida had cooperated in the field of HIV/AIDS could quickly find a Swedish partner and engage in related fields such as gender norms or gender violence.

**Box 6: Gender violence – how to bring perpetrators to justice**

Rape and other forms of gender-based violence are rampant in South Africa, and the perpetrators often go scot-free because of lack of evidence and attention to the victims. Foundation for Professional Development (FDP) is a medical association that has received Sida support for HIV/AIDS projects. In collaboration with experts in Uppsala University in Sweden, FDP is training doctors, other health personnel, educators and social workers in identifying and supporting victims, and in collecting forensic evidence. The demand for the training has been much larger than planned. FDP has overshot its targets and has agreed with Sida to include additional interested groups.

Generally, the PDC projects in South Africa have reached their objectives and the partners have had a strong mutual interest. Informal contacts will continue in almost all cases, and a number of projects have found additional financing to continue the partnerships.

## CHINA – A CONGLOMERATE OF SWEDISH INTERESTS

Swedish development cooperation with China began in 1979, and has been focused on financing exchanges of knowledge and experience between Swedish and Chinese actors, through Contract-financed Technical Cooperation, development credits and International Training Programmes. This was continued through PDC, which was set out to be the most important form of cooperation from 2009.

The overall objective of Sweden's selective cooperation with China is enhanced democratic governance and greater respect for human rights, and an environmentally and climate friendly sustainable development. The cooperation strategy foresees that Partner Driven Cooperation can be supported also in other areas of mutual interest, for example in the health sector. Some interventions in both environment and democracy and human rights would be financed by targeted interventions, but PDC should increase its share during the strategy period. The annual budget is 50 MSEK.

A facilitator was established in 2007, the Centre for Environmental Technology (Centec). It has been jointly financed by Sida, the Swedish Ministry of enterprise and the Ministry for foreign affairs. It is formally part of the embassy. Centec had a

broad mandate and has facilitated collaboration between commercial as well as public partners. Another initiative financed from PDC funds that is also located at the embassy is a focal point for collaboration on CSR issues in China.

### **Box 7: New partnerships and dialogue between Sweden and China in the areas of food safety and work-related rights**

One of the few PDC projects focused on democracy and human rights was a partnership between the Swedish consultancy company Track II and the Chinese organisations Beijing Yirenping Center and Institute of Contemporary Observation. The overall objective of this initiative was to support Chinese CSOs in their work, and to increase the involvement of Chinese CSOs in Swedish cooperation with China. The focus was on the areas of food safety and work-related rights, although in practice the discussions were more general. The project stemmed from an analysis of the limited dialogue between Swedish businesses, organisations and government agencies and Chinese CSOs. The planning grant included meetings and seminars in both countries. This included a visit to Almedalen to showcase an event where different actors try to shape and influence the political agenda in Sweden.

The project reached the short-term results of giving opportunities for the Beijing Yirenping Center and the Institute of Contemporary Observation to engage with Swedish stakeholders and it has led to better awareness among Swedish stakeholders of two major organisations in China that are recognised for having previously made progress within their areas of expertise. After the initiative, one of the Chinese partners has applied to Sida for continued support (through a different support instrument). However, it is unclear to what extent the initial meetings are going to result in any longer term collaboration. Without further financing, Track II can no longer act as a supporting intermediary.

The sector distribution during the period 2009-2013 is shown in Annex Table 4. Environment and climate change is the largest area in the portfolio and the single largest project (apart from the CRS centre) is the long-term collaboration between the Swedish Environmental Protection Agency (SEPA) and the Chinese Ministry of Environmental Protection (MEP). As foreseen in

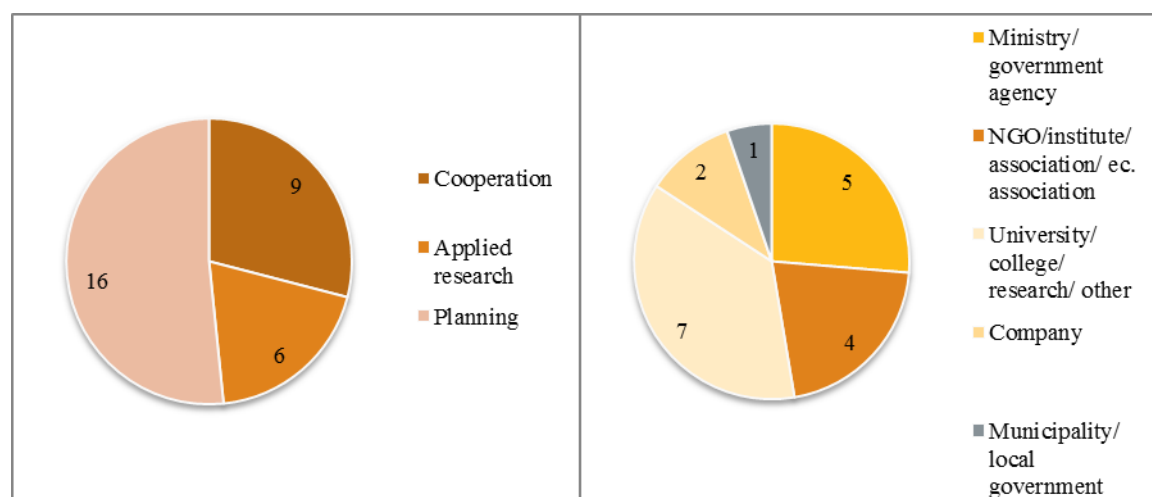
the strategy, the support to democracy, human rights and gender equality has mostly been financed through targeted contributions rather than as PDC.

**Annex Table 4: Sector distribution during the strategy period (million SEK)**

| Sector                                      | 2009-2013 |
|---------------------------------------------|-----------|
| Environment and Climate Change              | 44        |
| Market Development                          | 10        |
| Democracy, human rights and gender equality | 9         |
| Health                                      | 7         |
| <b>Grand total</b>                          | <b>70</b> |

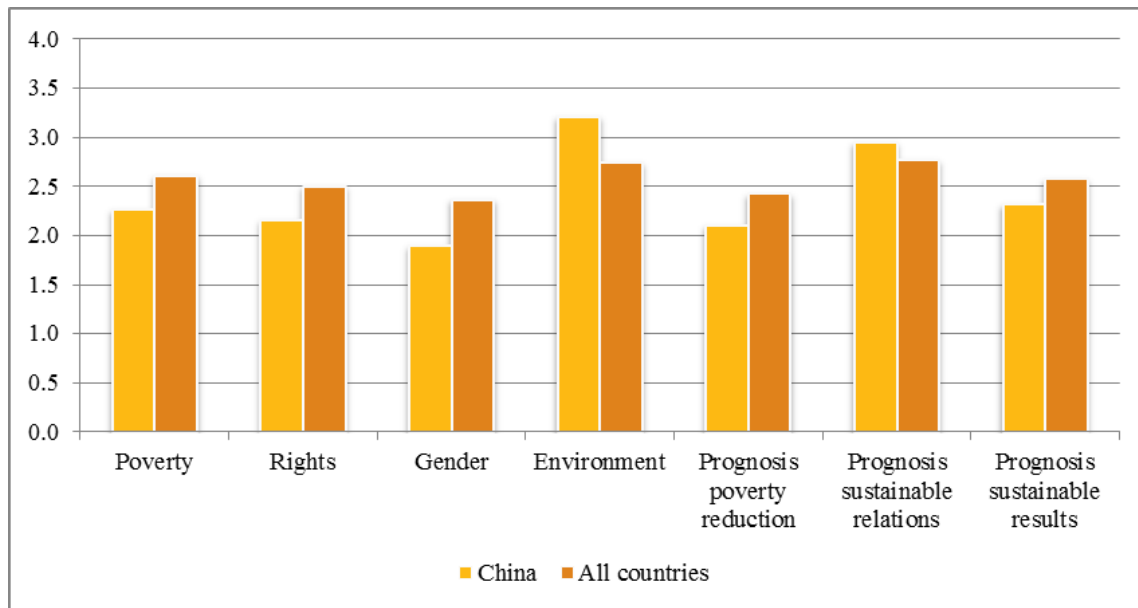
Source: Sida PLUS/Greatness/Evaluation Team

As shown in figure 7 for assessed grants, universities and public agencies constitute the majority of agreement partners. There has been a strong mutual interest in the research area. The Chinese and the Swedish governments have established collaboration through MoUs in a broad range of areas such as environmental protection, sustainable development and CSR as well as health and infectious disease control. In most PDC projects in China, the government in China at different levels has a strong influence.



**Annex Figure 7: Type of grant and agreement partner (for assessed grants)**

Among the types of assistance, planning grants constitute about half of awarded grants. One third of these were followed by cooperation grants. Some initiatives built on previous collaborations and were directly financed through a cooperation grant (SEPA, SKL-International).



**Annex Figure 8: China compared to the average for 7 countries with selective cooperation**

As is the case for other PDC countries, most projects in China will reach their short-term project objectives. As can be seen in figure 8, the strong environment focus in the China programme gives high scores for this perspective. Probably due to the sometimes technical nature of the projects that focus on environmental and climate issues, the immediate focus on gender, rights perspective and poverty perspective is weaker compared to the average. The prognosis for results on poverty is also below average. The prospects for sustainable relations are above average. A contributing factor could be that several of the partners had an established and functioning collaboration prior to applying for PDC support.

The high level policy dialogue between the Chinese and Swedish governments has supported the collaboration between the partners. The mutual interest is generally high and there seems to have been few problems with cost sharing and the provision of staff resources. It is not clear to what extent PDC has contributed to sustainable relations as it has only been the most recent contribution of several previous (and similar) contributions to long-standing relationships supported by Swedish development cooperation.

Centec which is partly financed by PDC funds has according to an evaluation<sup>69</sup> contributed to facilitation of business relations between Swedish and Chinese companies. The embassy's role in facilitation has been of importance as a door opener for Swedish actors to collaborate with Chinese stakeholders. Through the CSR Centre, also located at the Swedish embassy,

<sup>69</sup> Fröberg et al. (2013) Final review of CENTEC, Center for Environmental Technology, at the Embassy of Sweden in Beijing, China, Final Report, Sida Decentralised Evaluation 2013:26

Sweden has a unique position vis-à-vis other countries to influence CSR awareness among Chinese and Swedish stakeholders.

The political sensitivity of democracy and human rights issues makes PDC in this area more challenging than in environment. However, one general experience is that much can be accomplished by working alongside Chinese counterparts during long periods of time, to show how democracy and human rights is practiced every day in the Swedish organisations, and these issues can also indirectly be incorporated in capacity development.

According to interviews made, there seems to have been a lack of coordination between PDC and other Swedish initiatives in China. There are many actors involved such as Business Sweden, the Swedish Institute, the Ministry of Environment, the Ministry of Enterprise and of course the Ministry for Foreign Affairs. However, there is now a newly established group within the Sweden-China Trade Council, which will review the implementation of Swedish-Chinese MoUs to increase coordination on the Swedish side.

China is one of the PDC countries where the Swedish government will provide some special funds for a continuation of activities, for example the CSR centre and environmental cooperation with the Swedish Environment Protection Agency. Centec might receive continued funding, but this has not been confirmed. The Chinese government will also finance training provided by Lantmäteriet as a continuation of a partnership that started long before PDC; one of the rare examples of a partner country continuing to finance Swedish costs.

**Box 8: Collaboration between the Swedish Environmental Protection Agency and the Chinese Ministry of Environmental Protection**

The Institutional Cooperation between the Chinese Ministry of Environmental Protection (MEP) and the Swedish Environmental Protection Agency (SEPA) is a successful example of a sustainable relationship. While collaboration through PDC is being phased out, the stakeholders have established a platform for continued policy dialogue and will continue to collaborate after 2013, receiving funding through the Swedish Ministry of Environment.

SEPA and MEP signed a MoU in 2007 and started collaborating within a wide range of issues. In 2012 and 2013, the collaboration has been financed through PDC. Apart from a strengthened policy dialogue, the expected results of the strengthened collaboration are enhanced capacity of MEP and affiliated organisations for prevention of mercury pollution and pollution from the pulp and paper industry. SEPA has been able to make a major contribution to the drafting of a new Chinese convention on mercury.

## INDIA – SWEDISH UNIVERSITIES AND INDIAN NGOS CONTRIBUTE TO DEVELOPMENT OF POLICIES

When India in 1998 surprised the world with nuclear tests, Sweden and other donors reacted by curtailing support. India also gradually showed less interest in small donors like Sweden and did only welcome technical assistance and support through UN organisations or NGOs. Sweden then chose to cooperate with UN and the World Bank, and to give sizeable support to a number of strong Indian NGOs with potential to influence development of public policy in India. Before PDC, Sweden also supported research and broader cooperation for example through an environment facility.

The cooperation strategy 2009-2013 stated that Partner Driven Cooperation should become the dominant aid form. The annual amount for the cooperation was set to 60 MSEK per year. One sector, environment and climate, was given priority. Health was also mentioned as a sector with potential for PDC type of cooperation.

For public agencies in India to act, it is important to have a mandate and political backing. In 2009, Sweden and India signed memorandums of understanding (MoU) on environment/climate and health. These MoUs were partly products of contacts through earlier development cooperation. The MoUs and connected working groups paved the way for new cooperation between India and Sweden in these sectors.

### Box 9: Youth Health Services boosted in Indian States

Adolescent Reproductive and Sexual Health (ARSH) is a key issue in the Indian government's rural health strategy. But it is a sensitive issue and States have been slow in opening ARSH clinics in spite of having allocated funds for this purpose.

The NGO MAMTA in India had a training collaboration for five years with the Swedish NGO for sexual awareness RFSU. It was followed 2007-2008 by National Training Programmes (NTP) in ARSH issues run by MAMTA and Lund University. The training institute National Institute of Health and Family Welfare (NIHFW) became interested and had recently received the important government mandate to run training courses in this area.

This led to a PDC project 2010-2013 where the three parties collaborated successfully on training health personnel in the Indian States. Part of the training programme was that the participants should open ARSH clinics in their home areas. 16 such clinics were opened, financed by the State budgets. NIHFW and the States became gradually responsible for the courses and financing, Lund University supplied technical knowledge and pedagogical support, and MAMTA helped the government machinery to function at a reasonable speed. NIHFW will continue with courses in ARSH for all the States, which is a sustainable result of the PDC project (and its history). MAMTA and Lund has since won a contract for five years in a consortium to organise International Training Courses in Sweden. Their relations will continue, while the connection between Lund and NIHFW has fewer prospects to survive.

In the environment and climate area, three different facilitators were engaged: a consortium led by the Swedish Environment Research Institute, IVL, as a consultant; the Swedish Energy Agency, SEA; and a special environment attaché placed at the embassy. The IVL facilitation focused on the pulp and paper industry and SEA on waste and biogas. The environment attaché at the embassy had a broad mandate, but also worked closely with the Sida programme officers at the embassy to support the initiation of new PDC projects in the environment sector.

The transformation of Swedish support to Partner Driven Cooperation was not easy, also because Swedish expertise was considered expensive, and there were other donors that could finance more local costs. Also, the Swedish embassy interpreted the PDC policy on cost sharing more strictly than other Swedish embassies with PDC by for example not financing any local costs in India.

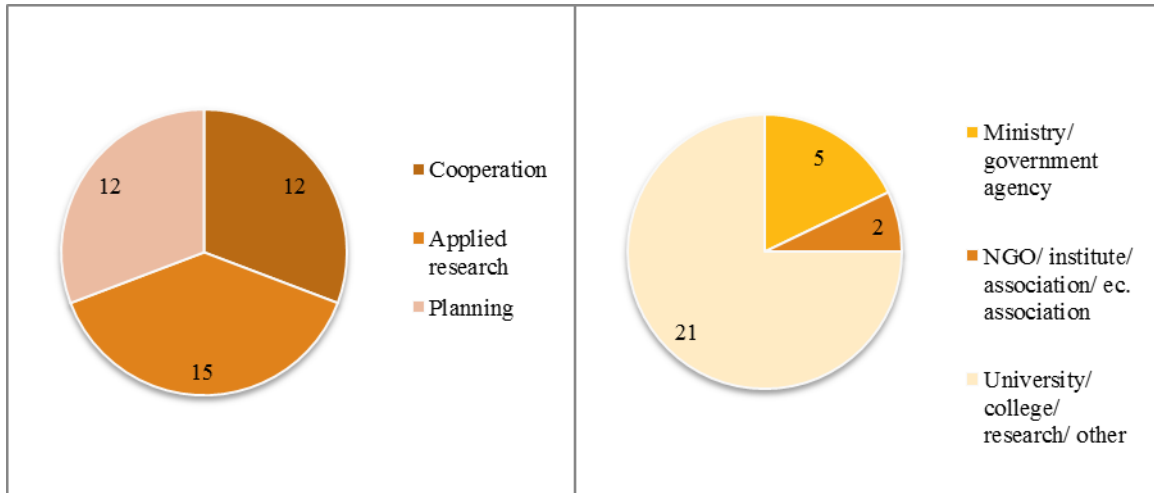
This strict interpretation was changed in May 2011. Sida would still not finance salaries in India, but now local costs for workshops and travel could be financed (except when the government arranged the workshops). This contributed to a surge in the number of projects approved in 2012. At the same time, the Swedish decision to end the cooperation in December 2013 was a tough restriction – maybe especially so in India where the government procedures often cause delays in the projects. A number of earlier projects, especially in the health sector, were transformed into PDC projects. The early strict interpretation on local financing meant however that a number of Indian partners opted out. The end result is that from a situation where most of the funds were financing costs of Indian organisations, the Swedish support is now mostly financing costs for the Swedish partners. The sector distribution of the cooperation during the period 2009-2012 is shown in Annex Table 5.

**Annex Table 5: Sector distribution during the strategy period (MSEK)**

| <b>Sector</b>                               | <b>2009-2013</b> |
|---------------------------------------------|------------------|
| Environment and Climate Change              | 50               |
| Health                                      | 38               |
| Other                                       | 15               |
| Market Development                          | 10               |
| Democracy, human rights and gender equality | 3                |
| Research                                    | 2                |
| <b>Grand Total</b>                          | <b>117</b>       |

Source: Sida PLUS/Greatness/Evaluation Team

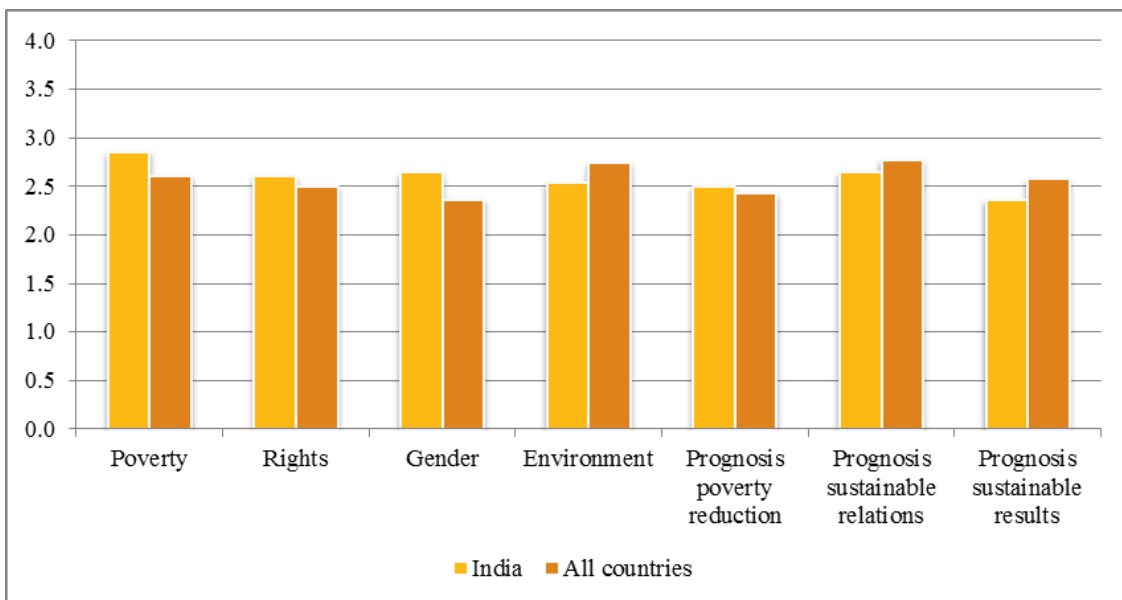
The most important sector is environment and climate change, in line with it being the number one priority in the strategy. Health is an important sector, supported by an MoU and by a long history from earlier Swedish cooperation with India.



**Annex Figure 9: Type of grant and agreement partner (for assessed grants)**

The figure on types of actors and grants for assessed grants show that universities and applied research are dominant in the portfolio. India has a high number of very qualified scientists and universities. Swedish universities have also shown a strong interest in collaborating with Indian counterparts. Research was also a special priority area in the preceding Swedish cooperation strategy with India. In addition, of the Swedish actors in projects financed by cooperation grants, many are also universities.

Support through Swedish government agencies runs into the common problem of financing when Sida funds end. Very few private actors have been active in PDC in India. Swedish companies sometimes consider the Indian market as difficult to work with and understand.



**Annex Figure 10: India compared to the average for 7 countries with selective cooperation**

The higher than average score for poverty-related variables in figure 10 is probably due to the fact that a number of long-term health projects are part of the portfolio (and because of the participation of pro-poor large NGOs in the projects).

Two types of PDC collaboration are normally successful in India. One is between universities in the two countries where there is a strong mutual interest, and with possibilities for future financing and sustainable relations.

The other is where an engaged and technically competent partner in Sweden joins forces with strong NGOs in India who have a long-term mission to reform Indian systems of importance for the poor. The Swedish partner supports ideas and technical knowledge and the NGO understands the Indian context and is able to manoeuvre in the bureaucratic and political environment. Often this type of co-operation has a history, and the Indian NGO will continue its work in India after the PDC financing ends. The Swedish input can give a boost, but the work must continue afterwards and it “must be seen as a process and must allow for enough time and sufficient inputs needed to move the bureaucratic and political class on an incremental ladder of attitudinal change”.<sup>70</sup>

#### Box 10: Brown air in northern India

The MoU from 2009 between India and Sweden on environment and climate mentions collaboration in monitoring, research and development of air quality and climate change. Two Swedish partners are involved: Department of Applied Environmental Science at Stockholm University, and Stockholm Environment Institute (SEI). The Indian partners are the Indian Institute of Tropical Meteorology and the Indian Institute of Technology, both located in New Delhi. The development problem that is in focus is air pollution, especially so-called Brown Air, essentially black carbon, part of which comes from burning biomass in household stoves. Measurements of this form of air pollution in New Delhi were made with the support of Stockholm University during the winter period. The results showed that 41 per cent of the air pollution came from burning biomass. This figure is near the Indian average, which is surprising as Delhi is the capital and one would expect less use of traditional household stoves. SEI is focused on research on the situation for women and girls in the Delhi area, who are most affected by the air pollution from stoves. Both parts of the project aim to add leverage to the Indian National Biomass Cook-stove Initiative by adding scientific information on pollution and socio-economic conditions.

70Sida Assessment Memo on “National Training Programme on Youth Friendly Health Services in India, 2010-2013”, dated 2010-03-18.

## INDONESIA - OPPORTUNITY LOST FOR INCREASED PARTNER DRIVEN COOPERATION

Before the selective cooperation strategy 2009-2013 was developed, Swedish development cooperation with Indonesia was mostly channelled through multilateral organisations. There were relatively few points of contact between Sweden and Indonesia apart from business relations. The priority cooperation areas in the strategy are democratic governance and human rights, environment and climate, and international trade and business development. Also other areas with potential for PDC can be considered.

A new Ambassador and a new Head of Development Cooperation were posted to Indonesia at the time the strategy implementation was meant to start. Along with a small team, they began intensive work with facilitating partnerships between Swedish and Indonesian actors under the umbrella of PDC, essentially starting ‘from scratch’. After a mid-term review of the strategy in 2011<sup>71</sup>, it was recognised that in order to reach the goals of the strategy, this facilitation had to be strengthened. A facilitator in the area of Environment and Climate was procured. The facilitation team led by SIWI began its work in September 2012. A Memorandum of Understanding with Indonesia was signed in February 2013<sup>72</sup>. A number of project ideas emerged, some also through the

### Box 11: The Indonesia – Sweden Partnership programme

One promising initiative is the collaboration between Chamber Trade Sweden (CTS) and the Employers Association of Indonesia (APINDO), who are implementing a one-year partnership programme focused on enhancing trade between Sweden and Indonesia within the textile, fashion and interior decorating sectors. The aim is to strengthen the Indonesian private sector and relations that contribute to sustainable development. Programme activities include capacity development of SMEs in the areas of sustainability, CSR and corruption prevention, promotion of trade between Sweden and Indonesia, and enhancement of the support that APINDO provides to its members. It is too early to say whether there will be long lasting effects of the programme, but the short-term objectives are likely to be reached.

This initiative grew out a previous collaboration and a successful planning grant that connected Swedish and Indonesian companies in the textile industry, with the potential for long-lasting business relations. The cooperation grant has enabled APINDO and CTS to strengthen their relationship and involve further businesses and other stakeholders. The partnership is likely to continue even without funding from Sida. External funding is being sought from the EU. CTS is also involved in similar PDC projects in Botswana, Namibia and South Africa and has managed to connect these projects, with representatives of all partners meeting in South Africa to discuss issues around women’s economic empowerment.

<sup>71</sup>Sida (2011) Rapport från halvtidsöversynen av strategin för selektivt samarbete med Indonesien 27-29 april 2011 i Jakarta

<sup>72</sup>Memorandum of Understanding between The Ministry of Finance and the Swedish International Development Cooperation Agency, February 23rd 2012

ITP courses in Integrated Water Resources Management and Local Environmental Management.

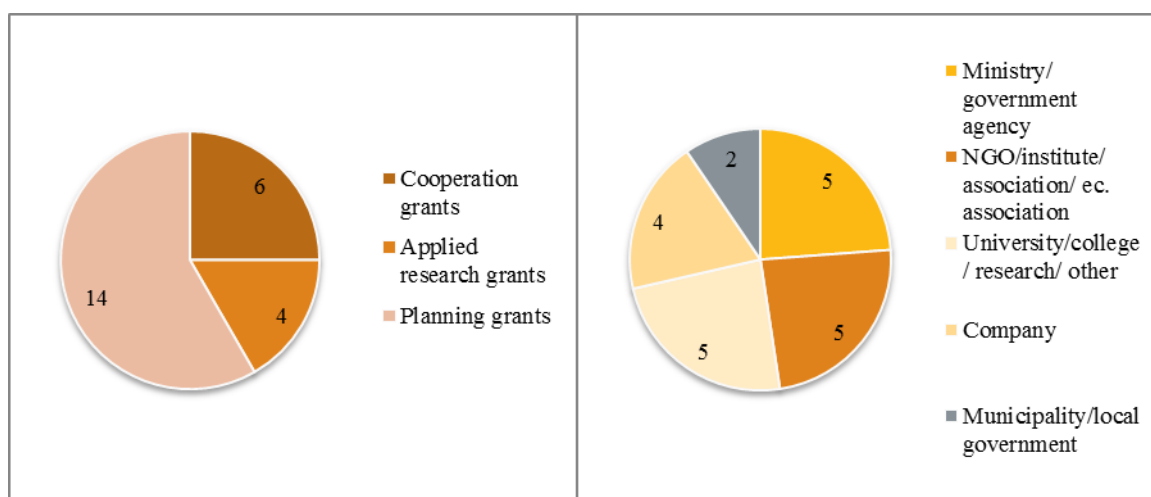
The main PDC cooperation area is environment and climate, including sustainable urban development. Overall, the portfolio is characterised by cluster thinking. In several projects a number of actors are involved, also financed through ICLD and DemoEnvironment. The single largest project is a multi-stakeholder partnership in the area of sustainable transport called EcoAirport. The sector distribution during the period 2009-2013 is shown in Annex Table 6.

**Annex Table 6: Sector distribution over the strategy period (MSEK)**

| Sector                                      | 2009-2013 |
|---------------------------------------------|-----------|
| Environment and Climate Change              | 35        |
| Market Development                          | 6         |
| Democracy, human rights and gender equality | 3         |
| Other                                       | 1         |
| <b>Grand Total</b>                          | <b>45</b> |

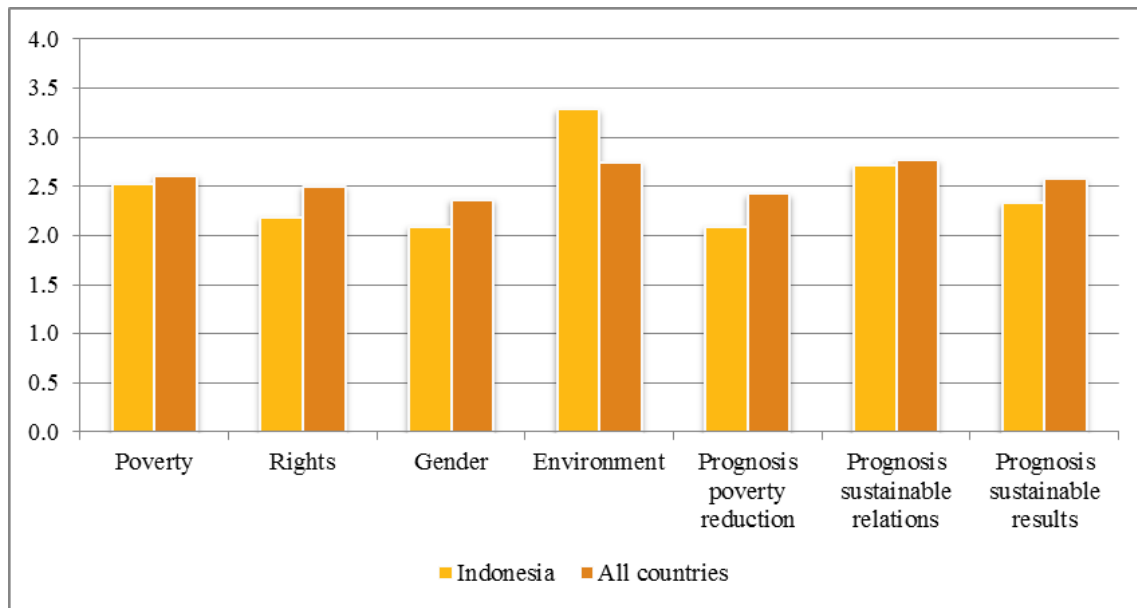
Source: Sida PLUS/Greatness/Evaluation Team

For assessed grants (figure 11), there is quite an equal distribution of types of partners. In comparison with other PDC countries, there are more companies involved in Indonesia. The majority of grants are planning grants. This is partly explained by the focus on businesses relationships for which the planning grant the only modality available. Budget constraints also limited the possibility to have planning grants followed by cooperation grants for other actors. There were a number of partnerships under development, primarily through the facilitator SIWI, which never got the chance to submit a proposal because of the budget restrictions.



**Annex Figure 11: Type of grant and agreement partner (for assessed grants)**

Figure 12 shows some key variables from the project assessments.



**Annex Figure 12: Indonesia compared to the average for 7 countries with selective cooperation**

Similarly to other countries where the environment has been a strategic focus, the environmental perspective is very strong and there has been less of a focus on the gender, rights and poverty perspectives. With regards to the prognosis for sustainable relations, Indonesia is a bit below average, perhaps reflecting that the majority of relationships were completely new and did not have time to consolidate through a cooperation grant. The prognosis for poverty reduction and for sustainable results is below average probably for similar reasons.

Indonesia has several characteristics that are favourable for successful PDC. One thing that was mentioned frequently was that it is not about the money. Indonesia is an emerging economy where many government agencies are able to finance their part in joint projects, and they see real value in the cost-sharing aspects of PDC. It is seen to bring more ownership and sustainability, and the projects are about jointly identifying needs and priorities and working together to build Indonesian capacity. The knowledge transferred is then also seen as more durable.

A constraint for reaching sustainable results has been the context of a highly regulated and political environment, where reform is difficult. Political commitment at the highest level was seen as key to success. Alternatively, projects attempt to bypass national level policy processes by trying to implement changes at the local governmental level, often with the aim of showing the viability of new concepts.

Generally, the PDC projects in Indonesia have reached their objectives and Indonesian partners are on the whole very satisfied with the relationships created. They are keen to continue collaborations with a focus on support for capacity development. The main problem is that the future of most projects is dependent on future financing. This is not a problem from the Indonesian side in most cases - it just takes forward planning to ensure that costs are included in the budget. The Swedish financing is the main issue, and Indonesian procurement regulations prevent them from contracting Swedish partners directly (although the main constraints for this are probably the high cost of Swedish experts).

Indonesia had an ambition to use PDC as way to pilot a new way of approaching development cooperation, in line with the Partnership for Effective Development Cooperation agreed in Busan in 2011. Indonesia has been in the forefront in this area with the Jakarta Commitment, signed in 2009 by 20 donors, which emphasises transfer of knowledge.<sup>73</sup> PDC fits very well into this framework. It has been voiced that the fact that PDC is now being phased out means that it can no longer be a pilot for this approach to development cooperation, and this is regarded as an opportunity lost. It is too early to see the results of PDC, and it is thus difficult to bring evidence of the potential benefits to a broader international audience. However, Indonesia continues to encourage this type of cooperation, e.g. with Australia where a small proportion of the support is set aside for innovative partnerships.

**Box 12: Climate Change Mitigation and Adaptation Policies in the health sector (CC-MAP)**

CC-MAP is a partnership project between Gadjah Mada University (UGM), Yogyakarta, and Umeå University. The aim is to provide a more solid base for policy decisions on climate change mitigation and adaptation within the health sectors in Indonesia and Sweden, with a special emphasis on the use of eHealth. Local authorities both in Indonesia and Sweden are very interested so the potential for implementation of the recommendations from the research are high. For Yogyakarta, an e-health roadmap is planned and there is future funding coming from the local government and other sources, possibly including DemoEnvironment and ICLD (for a partnership between Yogyakarta City Government and Västerbotten County Council). This is an example of true mutual interest; e-health is as relevant in the sparsely populated areas of Northern Sweden as it is in Indonesia, where the population is dispersed over 6000 islands.

The project has created important spin-off effects. The universities are also collaborating on an early warning system for Dengue fever, which is going to be implemented by UGM and funded by the Yogyakarta City government.

<sup>73</sup> Jakarta Commitment: Aid for development effectiveness. Indonesia's Roadmap to 2014, 2009

## VIETNAM – A FORERUNNER FOR PARTNER DRIVEN COOPERATION

Sweden has been a prominent donor in Vietnam over the past 46 years and is acknowledged as a reliable development partner in the relationship with Vietnamese ministries and government agencies.<sup>74</sup> The strategy for 2009-13 foresees a phasing out of regular cooperation and a phasing in of Partner Driven Cooperation. There was no information in the strategy if PDC would continue or not after 2013. The priority sectors in the strategy are democracy/human rights and environment/climate.

The introduction of the modality Partner Driven Cooperation in 2009 implied both a continuation of old relationships and new partnerships. The Swedish embassy and the facilitation unit CENTEC (Centre for Environment Technology Cooperation) set up in 2011 both played a crucial role in promoting new partnerships.

Partly because decisions on bilateral development cooperation were fully delegated to the embassy in Vietnam, the implementation of the PDC concept in Vietnam started earlier than in other countries. The initial period in Vietnam was a period of trial and error, and much of the concretisation of the new PDC policy was done in the Vietnam programme.

**Annex Table 7: Sector distribution during the strategy period (million SEK)**

| Sector                                      | 2009-2013  |
|---------------------------------------------|------------|
| Environment and Climate Change              | 96         |
| Health                                      | 32         |
| Democracy, human rights and gender equality | 22         |
| Market Development                          | 4          |
| <b>Grand Total</b>                          | <b>154</b> |

Source: Sida PLUS/Greatness/Evaluation Team

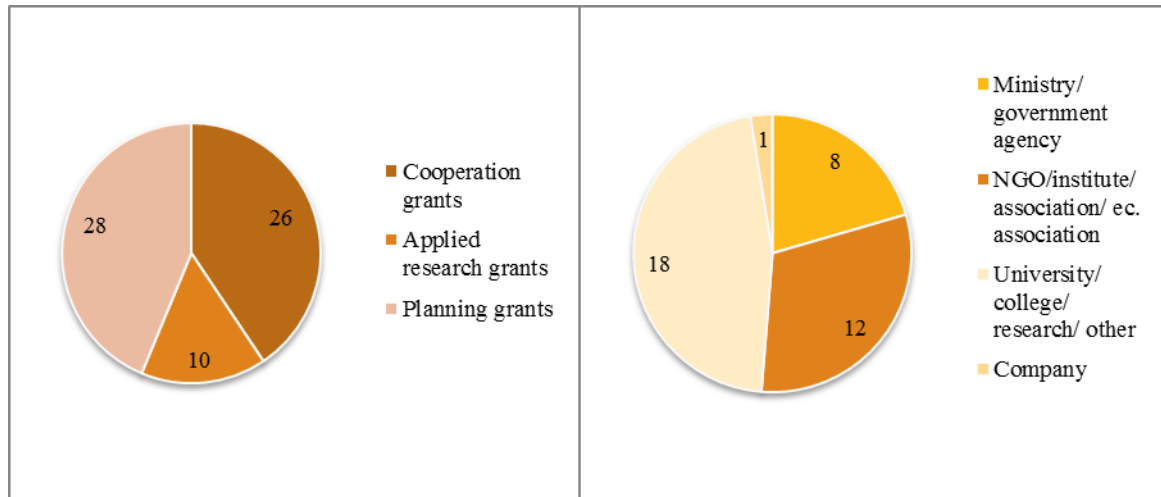
### Box 13: The Hanoi Design Centre

The Design Centre is a positive example of the possibilities offered within the PDC framework. A result of the partnership between the Vietnam Handicraft Exporters Association and the Lund University School of Industrial Design, the Centre turned itself into a contact point for Swedish know-how in the area of design and for the introduction of Vietnamese handicraft designs to the outside world. The Centre provided capacity development services to craftsmen and used its premises as a show room. It collected small fees that helped sustain its operation. A corner of its fourth-floor space was utilised for the display and demonstration of various minority groups' traditional handicraft techniques. The Centre considered this as a way to promote minority livelihoods.

The cooperation strategy 2009-13 focused on two sectors: democracy and human rights and environment and climate change, but with openings for Partner Driven Cooperation also in other areas, and Health is a significant sector. A majority of PDC projects focused on environmental technology, including biogas, renewable energy, energy efficiency, waste management, water treatment, and sustainable development.

<sup>74</sup> Strategy with development cooperation with Vietnam 2009-2013

Projects in human rights and democracy were mostly financed as non-PDC projects. The PDC projects mostly piloted, reinforced and expanded existing good practices and methods within the existing structures in Vietnam.

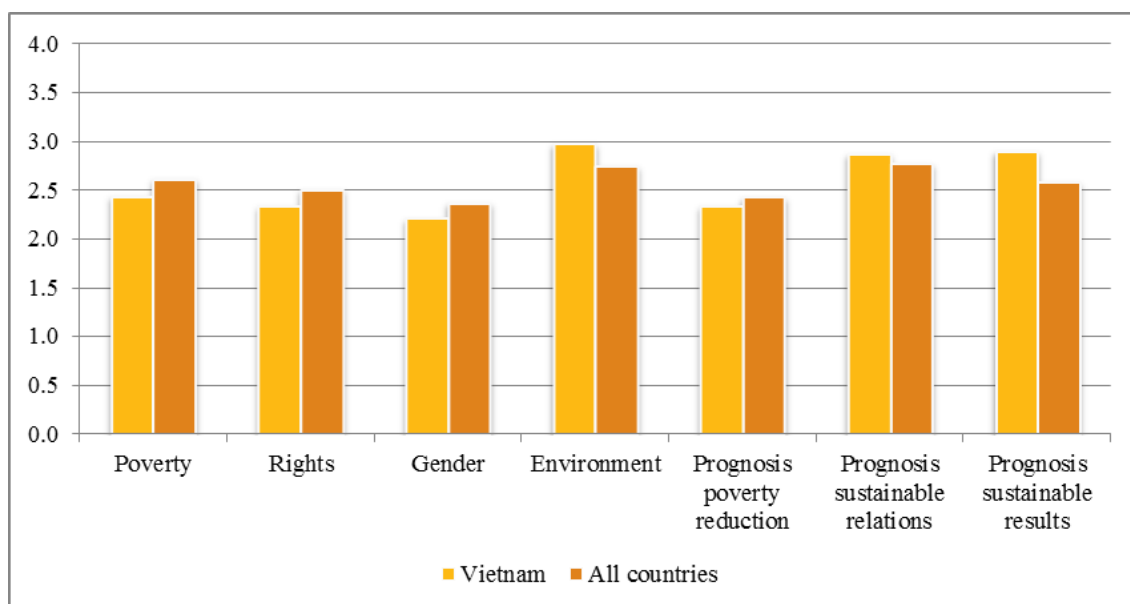


**Annex Figure 13: Type of grant and agreement partner (for assessed grants)**

As can be seen in figure 13 for assessed grants, Partner Driven Cooperation (PDC) in Vietnam engaged mostly universities, but also partners from the public sector and NGOs. The business sector was normally not an agreement partner, but companies were brought into partnerships as secondary participants to support particular project objectives. PDC partnerships in Vietnam had multiple forms: one-to-one Swedish-Vietnamese partnerships, many-to-one partnerships, and many-to-many partnerships. Multiple partnerships raised the question of how and where interests intersected. Several projects involved likeminded partners from other European countries, such as Denmark and the Netherlands.

In comparison with other selective cooperation countries, there was a relatively large amount of projects in Vietnam. Of the planning grants, 11 were followed by cooperation grants.

In figure 14 some key variables from the project assessments are shown.



**Annex Figure 14: Vietnam compared to the average for 7 countries with selective cooperation**

Vietnam performs particularly well on issues of sustainability of the results and of the partner relations. Most PDC projects achieved their stated objectives, and the score for sustainable results is relatively high. The outputs included empowerment of the LGBT community, legal and social assistance to ex-prisoners, capacity building on climate change mitigation and energy planning, policy research and policy communication, and advocacy of green economic development among businesses.

Many partnerships are considered by the partners as being long-term, though the degree of post-project joint activities between Swedish and Vietnamese partners will vary depending on funding prospects. It is likely that partners from the government sector will not be able to sustain activities after funding ends. Partners from the NGO sector may face a similar problem unless they can find other sources of funding. Universities seem to fare better. It is noteworthy that many of the original partnerships have created spin-offs in the form of additional partnership opportunities between Sweden and Vietnam.

As shown in figure 14, projects in Vietnam include relatively well the perspective of environment and climate. This is not strange considering the strategic focus on environment and the size of the environmental portfolio. While crosscutting issues such as gender, poverty reduction, and human rights were considered important by Sida, integration of these principles into PDC projects and assessments were not systematic.

PDC partners displayed mutual interests although the degree of mutuality varied. In some cases Swedish partners apparently acted as a capacity-builder, coach, or technical consultant, rather than as an equal partner. Some Vietnamese partners also commented that there was an information gap between the partners and that different business cultures created difficulties.

#### Box 14: SME's Green Plan in Action

The implementation of PDC has not been without hurdles. In Vietnam, government-affiliated agencies and research institutes need official approval in order to get involved in donor-funded projects. Although the government-affiliated Institute of Strategy, Policy on Natural Resources and Environment received funds to carry out its project "SME's Green Plan in Action," it needed to follow official procedures before receiving a green light. In addition to reporting to Sida, the Institute was also required to report to the line Ministry. This experience is shared by many other government-affiliated research institutes and universities in Vietnam. For PDC to be effective in Vietnam, there is a need to properly introduce it to relevant government authorities, to streamline approvals and harmonise reporting requirements.

With regards to joint management, there were in practice projects where one partner maintained a leading role. Joint ownership was shown in the commitment of Vietnamese partners to cost-sharing. This varied from partnership to partnership. Most Vietnamese partners contributed only in kind (labour and infrastructure), but it was not clear how Vietnamese partners calculated their contributions. There were comments that PDC favoured Swedish over Vietnamese partners as the former were entitled to financing of fees/salaries while the latter were not. This comment stemmed from a perceived and actual difficulty for Vietnamese partners to ensure additional support from the Vietnamese government to support their participation.

With the long cooperation between Vietnam and Sweden and the special position that Sweden has had in Vietnam over the years, the environment for Partner Driven Cooperation was very positive. Many new contacts were established and old bonds were strengthened. PDC as an aid modality was well suited for cooperation between the two countries.

There are a number of reasons why PDC has been successful in Vietnam. Firstly, the areas for cooperation such as the expansion of rights of the disadvantaged, climate change, energy, environment, applied research for policy makers, and market development were not so politically sensitive that they required high-level political approval. Secondly, Swedish agencies have an interest in having a presence in Vietnam and there is a corresponding interest on the part of Vietnamese agencies to benefit from Swedish experience. Thirdly, Sweden's privileged relationship with Vietnam has been a very positive background factor.

## Annex 2 Terms of Reference

### **UPPDRAGSBESKRIVNING**

**Övergripande utvärdering av aktörssamverkan som metod och erfarenheter av aktörssamverkan som biståndsform.**

Strategierna för selektivt samarbete i sju länder avslutas i december 2013. I dessa länder har sedan 2009 aktörssamverkan varit den primära samarbetsformen. Aktörssamverkan är nytt för biståndet och därför är erfarenheter och slutsatser om hur biståndsformen fungerat viktiga lärdomar.

Uppdraget skall genomföras enligt nedanstående Terms of Reference.

## TERMS OF REFERENCE

### **Experiences and lessons learned from Partner Driven cooperation in the seven selective cooperation countries.**

#### **1. Background**

The bilateral cooperation with seven countries (South Africa, Namibia, Botswana, China, India, Indonesia and Vietnam) will be phased out during 2013 when the current cooperation strategies come to an end<sup>75</sup>. Partner Driven cooperation (PDC) has been the predominant aid modality in these countries, and Sida now wants to evaluate PDC as a modality in Swedish development aid.

Partner Driven Cooperation (PDC) is an instrument for project financing within Swedish development cooperation. It was developed on basis of a new policy by the Swedish Government<sup>76</sup>, and has been in implementation since 2009. PDC aims at establishing relations between Swedish partners, and partners in other countries, based on mutual interest and in the long term financed by other means than development cooperation funding.

Sida has decided to conduct the evaluation this year, even if many projects are still on-going, due to uncertainty about capacity and funding after 2013. Sida is aware of the fact that this limits to possibility to draw conclusions.

The evaluation is undertaken (i) for Sida: to summarize PDC as an aid modality. The results of this evaluation can be useful if PDC is to be a future aid modality, to further develop the instrument. The results can also contribute with valuable input when developing aid modalities in other program countries.

The evaluation is also undertaken to (ii) show the project partners and Swedish tax payers how Partner Driven cooperation has been implemented, and whether the projects have contributed to the goals set up in the policy.

Finally (iii), the evaluation will serve as documentation of the results of the Swedish development cooperation with the seven above-mentioned countries, as the development cooperation with those countries will be phased out.

#### **The policy for Partner Driven Cooperation**

According to the policy for Partner Driven Cooperation, the purpose of PDC is to stimulate and strengthen the growth of self-supporting relationships of mutual interest between Swedish partners and partners in low- and middle income countries in order to contribute to the objective of international development cooperation. PDC is based on the following principles:

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<sup>75</sup> Seven strategies for selective cooperation 2009-2013

<sup>76</sup> Policy for Partner Driven Cooperation (Policy för aktörssamverkan), 2007 (annex 1)

- Mutual interest,
- Swedish competitive advantages,
- Catalytic,
- Time limited,
- Potential to be self-supporting,
- Joint ownership,
- Cost sharing

PDC has been implemented mainly through four different types of support: (i) facilitators, (ii) planning grants (iii) call for proposals<sup>77</sup> and (iv) cooperation grants.

*Facilitators* are actors, funded by Sida with the aim of contributing to build relations between Swedish and local actors. The facilitators work in different sectors and have different objectives.

*Planning grants* are limited projects below SEK 284 000 that are shorter than 24 months. The larger *cooperation grants* (> SEK 284 000) are more extensive and are implemented during a longer period of time (normally 2-3 years). The *call for proposals* include: PDC *applied research* projects which to a large extent are of the same character as cooperation grants but were granted in a call for proposals in 2010 and one in 2012, and are spread in all seven countries. The *cultural cooperation* are planning grants handled by the Swedish Arts Council and *Demo Environment* are cooperation and planning grants, handled by the Swedish Agency for Economic and Regional Growth.

All the seven countries where PDC has been used, are either countries where Swedish development cooperation has been limited in size for a longer period of time, or are in a transition period of phasing out traditional development cooperation.

## 2. Objective of the assignment

The overall objective of the assignment is to assess whether the PDC as an aid modality, have or is has the possibility to reach the goals as set up in the policy.

Subordinated objectives:

To analyze the strengths and weaknesses of Partner Driven Cooperation as an aid modality in development cooperation in the seven selective cooperation countries.

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<sup>77</sup> Projects have been granted through call for proposals: Demo environment (handled by the Swedish Agency for Economic and Regional Growth), cultural cooperation (handled by the Swedish Arts Council), Applied Research in partner driven cooperation (two call for proposals, handled by Sida). The evaluation will focus on the call for proposals for applied research, to limit the selection of projects.

To make recommendations to Sida about if and how to use PDC as an aid modality in the future and possible moderations needed in PDC to improve its results.

Conclusions shall be drawn with regard to PDC as a model for creating sustainable relations on the one hand and contributing to poverty reduction on the other. The review should analyze the potential win-win-win in supporting PDC projects to (i) promote Swedish knowledge, (ii) build relations and at the same time (iii) achieve the development cooperation goals. The specific principles (see above) of PDC should be analyzed in this context. Are these criteria predominant in the projects, and what role do they play for PDC as a model as compared with other types of development cooperation.

### 3. Scope of the assignment

The evaluation should include an overall assessment of PDC as a method and be based on an assessment of the four different types of support:

- Facilitators
- Planning grants
- Cooperation grant projects
- Applied Research

The evaluation will cover the period 2009-2013

### 4. Issues to be covered

The review shall particularly focus on, and respond to the following questions:

#### 4.1 Assessment of facilitators

Assess whether the facilitators have reached or are likely to reach the objectives set in their agreements/applications?

Assess to what extent the facilitators have contributed to/or is likely to contribute to creating sustainable relations between actors<sup>78</sup>.

Assess the cost-efficiency<sup>79</sup> and effectiveness of using facilitators.

What are the lessons learned? Which are the good and bad experiences of facilitators? What has worked and what has not worked?

Is it possible to make comparative conclusions about different types of facilitators, or of facilitators in the different countries?

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<sup>78</sup> Relations that continue without funding through development aid

<sup>79</sup> The financial input from Sida and other partners respectively in relation to the result of the project.

*4.2 Assessment of finalized planning grants<sup>80</sup>*

Assess to what extent the model planning grants have contributed to promoting sustainable relations, which continue without funding through development aid?

Assessment of the implementation of the principles of PDC into the projects (Mutual interest, Swedish competitive advantages, catalytic, time limited, potential to be self-supporting, joint ownership, cost sharing)

Assess the cost-efficiency<sup>81</sup> and effectiveness of using planning grants for promoting the PDC objective.

What are the lessons learned? Which are the good and bad experiences of planning grants?

What has worked and what has not worked?

*4.3 Assessment of cooperation grants*

Is it assessed as likely that the objective of the projects will be met or have been met? To what extent will projects lead to sustainable relations?

Assessment of the implementation of the principles of PDC into the projects (Mutual interest, Swedish competitive advantages, catalytic, time limited, potential to be self-supporting, joint ownership, cost sharing)

To what extent is the project assessed to contribute to Sida's overall objective (poverty reduction).

How has the rights and poverty perspective, and Sida's thematic priorities (HR, gender and environment) been integrated in project implementation.

What are the lessons learned? Which are the good and bad experiences of project implementation? What has worked and what has not worked?

What have been the major risks and challenges, preconditions for project implementation?

Assess the cost-effectiveness of the projects.

*4.4 Assessment of on-going projects granted through call for proposals<sup>82</sup>*

Is it assessed as likely that the objective of the projects will be met or have been met? To what extent will projects lead to sustainable relations?

Assessment of the implementation of the principles of PDC into the projects (Mutual interest, Swedish competitive advantages, catalytic, time limited, potential to be self-supporting, joint ownership, cost sharing)

To what extent is the project assessed to contribute to Sida's overall objective (poverty reduction).

How has the rights and poverty perspective, and Sida's thematic priorities (HR, gender and environment) been integrated in project implementation.

What are the lessons learned? Which are the good and bad experiences of project implementation? What has worked and what has not worked?

What have been the major risks and challenges, preconditions for project implementation?

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<sup>80</sup> In some instances, planning grants have been used to define projects that continued with a cooperation grant, and in other cases, the planning grants have been applied to initiate sustainable relations directly after the planning grant. In the former case, the achievements of the project may have come after the cooperation grant.

<sup>81</sup> The financial input from Sida and other partners respectively in relation to the result of the project.

<sup>82</sup> This section will be limited to the call for proposals for applied research

Assess the cost-efficiency of the projects.

#### *4.5 Overall assessment of PDC as a method*

Is it assessed as likely that the objectives of PDC will be met in the seven countries? (sustainable relations and poverty reduction)

To what extent have the principles of PDC been implemented (Mutual interest, Swedish competitive advantages, catalytic, time limited, potential to be self-supporting, joint ownership, cost sharing)

How has the rights and poverty perspective, and Sida's thematic priorities (HR, gender and environment) been integrated in project implementation.

What are the lessons learned? Which are the good and bad experiences of PDC? What has worked and what has not worked?

What have been the major risks and challenges, and the main preconditions for PDC implementation?

Can it be said that PDC is an aid modality where high risks are taken<sup>83</sup>? Motivate the answer. Assess the cost-effectiveness<sup>84</sup> of the method.

To what extent has PDC contributed to engaging new actors in the respective countries and/or new actors within development cooperation?

If possible draw comparative conclusions about PDC implementation in the seven countries?

If possible draw comparative conclusions about PDC implementation by different types of actors? Which are the main types of actors that can be seen in PDC?

If possible draw comparative conclusions about PDC implementation within different sectors?

What conclusions can be drawn related to the time needed to develop sustainable relations in relation to the implementation time of PDC projects?

If possible draw comparative conclusions regarding the four types of support.

Make recommendations for how to further develop PDC as an aid modality. Is PDC useful as a transitional modality when moving from traditional development aid? Can PDC be a suitable aid modality in the main cooperation countries, in combination with traditional development aid? Is it possible to draw any conclusions that are more or less suitable for PDC?

### **5. Methodology**

The consultant shall participate in a start-up workshop with the unit for Selective Cooperation at Sida to be able to analyze Sida's experiences of PDC, and from this knowledge possibly formulate hypotheses to conduct the continuous evaluation around.

The methodology should further be as follows:

- The consultant shall conduct a desk study to review and assess relevant documentation for a number of projects, including the original project document and the progress reports of the projects that are to be reviewed. The consultant shall also take part of oth-

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<sup>83</sup> High risks in relation to the project goals

<sup>84</sup> The financial input from Sida and other partners respectively in relation to the result of the project.

er relevant evaluations/reviews<sup>85</sup>. There are in total approximately 250 on-going projects within PDC in the seven countries, around 20 completed cooperation grant projects<sup>86</sup>. The consultant is asked to in the tender suggest how many projects that it is reasonable and representative to review, in order to meet the requirements of this ToR.

- A basic project portfolio analysis should be carried out, providing an overview of all projects and their division on type of project (planning grant, facilitator etc.), budget, country, type of partner, timespan, sector (environment, health etc) etc. It could be presented a table in an annex to the final report, with conclusions from the project portfolio analysis to be presented in the final report itself. This assignment will be further defined and discussed depending on how the assignment with the communication consultant is defined.<sup>87</sup>
- Interviews with project partners in the reviewed projects and other relevant stakeholders, as well as consultations with Sida and Embassy staff. The questions should be discussed with Sida in advance.
- Telephone interviews with finalized planning grant project partners (There are approximately 40 projects with 80 partners). The consultant is asked to suggest in the tender how many projects that is reasonable and representative to review, in order to meet the requirements of this ToR.
- Field visits to some of the reviewed projects in the seven countries. The consultant is asked to in the tender suggest how many projects would be reasonable to visit.

The projects to be evaluated will be decided by Sida in consultation with the Embassies and the consultant. The suggestions by the consultant for number of projects to evaluate will be finally adjusted, in connection with the start-up workshop.

Local arrangements for the field visits will be decided upon once a detailed work plan has been developed.

## 6. Time Schedule and Reporting

A preliminary time schedule based upon the time schedule in the T o R shall be given by the Consultant in the tender.

The assignment starts 2013-05-20 (earlier if possible!)

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<sup>85</sup> A mid-term review of the facilitators SGU and The Swedish Trade Council was done in 2011. A review of the facilitator Centec in China is currently being implemented. Other reviews might be added to this list.

<sup>86</sup> The projects span over many different thematic sectors, related to the strategies of the respective countries and includes; environment/climate, democracy/human rights, economic growth, health etc. The projects are implemented by a variety of actors: universities, private actors, NGO's, foundations and government authorities. The budgets range from approximately SEK 80 000 to around MSEK 10.

<sup>87</sup> A communication consultant has just begun their task of assisting in communication work related to the phase out, and one of their tasks is to summarize and visually present statistics about PDC, but this task is not clearly defined yet. It is important that these talks complement each other.

*Desk study, workshop and Inception report*

The Consultant is asked to begin the assignment by participating in the introduction workshop (preliminary date, afternoon May 29<sup>th</sup>). On basis of this, the consultant shall prepare an inception report elaborating on the feasibility of the scope of evaluation, hypothesis, the description of methodological choices, design of analysis, data collection methods, instruments for data collection and analysis, the detailed and operational evaluation work plan. The inception report shall include a detailed scope of work and time schedule reflecting this ToR.

The inception report shall also include, if necessary, a fine tuning of the initial suggestion in the tender of how many projects of each type and in each country that would be reasonable to review to fulfil the requirements of this ToR. The selection shall be made so that it is as representative as possible given the available resources.

The Consultant shall in the inception report propose a final time schedule and division of labour. The inception report (maximum 10 pages) shall be submitted to the Sida no later than 14 June 2013 for approval.

*Final report*

The Consultant shall prepare a report and submit it to Sida by October 31<sup>st</sup> 2013.

The report should contain five different sections, (i) overall conclusions (ii) assessment of facilitators, (iii) assessment of planning grants, (iv) assessment of cooperation grant projects (v) Applied research

The conclusions in the evaluation should be based on analysis and exemplified with evidence based data emanating from specific contributions

Lessons learnt should, if possible, provide insights relevant not only to Sida and the Embassy but also partners.

Recommendations for future development of PDC

The report shall be written in English and shall not exceed 40 pages, excl. annexes.

*Presentation at final seminar*

The consultant is asked to be ready to present the findings at a final seminar about PDC that will be held in Stockholm in December 2013.

**7. Budget**

Sida assesses that the cost of the assignment will be maximum MSEK 1,2. In the tender, the consultant shall present a preliminary budget based on the initial methodological choices, suggested team and number of projects to study.

The consultants shall in the tender present a preliminary timeframe that indicates number of days per consultant engaged for the assignment, and reimbursable costs. The assignment will be carried out between May 20<sup>th</sup> and 31<sup>st</sup> of October, An additional maximum two days should be reserved for presentations of the report at seminar(s) in December 2013.

The inception report shall include a full budget for the assignment, including reimbursement costs

## 8. Evaluation Team Qualification

It is expected that the evaluation is to be carried out by a team of consultants, led by a team leader.

Qualifications of the evaluation team, distributed among individual team members

Evaluation skills related to the proposed methodology in this ToR

Broad knowledge of development aid

Knowledge and understanding of different methods in Swedish development aid<sup>88</sup> and preferable experience of method development

Competence around capacity development<sup>89</sup>

Broad knowledge in the represented sectors of the PDC projects (environment/climate, Democracy/Human rights, Economic development, Health)

Experience of policy implementation

Knowledge/ experience of the regions/countries (Namibia, South Africa, Botswana, India, Indonesia, China and Vietnam)

Excellent language skills (English)

Local consultants in several or all of the countries are desirable.

The evaluators must be independent of the evaluated activities and have no stake in the outcome of the evaluation.

### Annexes:

Policy for Partner Driven Cooperation

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<sup>88</sup> The consultants must be able to draw conclusions on cost effectiveness and effects of PDC compared to “traditional” development cooperation. This can include project support, sector programmes, multi-bi, technical assistance etc.

<sup>89</sup> Many of the projects aim at and have objectives related to capacity development

## Annex 3 Project level assessment data

**Annex Table 8: Number of assessed grants**

| Average       | Cooperation grants | Applied Research grants | Planning grants | Facilitators | Assessed grants (excluding facilitators) | Non-assessed planning grants | Proportion of planning grants leading to coop grants (%) | Planning grants not assessed with potential for continuation | Proportion of non-assessed PG with potential for continued collaboration (%) |
|---------------|--------------------|-------------------------|-----------------|--------------|------------------------------------------|------------------------------|----------------------------------------------------------|--------------------------------------------------------------|------------------------------------------------------------------------------|
| Namibia       | 10                 | 2                       | 0               | 2            | 14                                       | 14                           | 50                                                       | 8                                                            | 57                                                                           |
| Botswana      | 17                 | 4                       | 0               | 3            | 24                                       | 21                           | 67                                                       | 17                                                           | 81                                                                           |
| South Africa  | 15                 | 6                       | 2               | 2            | 25                                       | 23                           | 24                                                       | 10                                                           | 43                                                                           |
| India         | 12                 | 15                      | 1               | 3            | 31                                       | 12                           | 31                                                       | 5                                                            | 42                                                                           |
| Indonesia     | 6                  | 4                       | 11              | 1            | 22                                       | 3                            | 21                                                       | 3                                                            | 100                                                                          |
| Vietnam       | 26                 | 10                      | 3               | 1            | 40                                       | 25                           | 39                                                       | 14                                                           | 56                                                                           |
| China         | 10                 | 6                       | 3               | 1            | 19                                       | 13                           | 31                                                       | 11                                                           | 85                                                                           |
| All countries | 96                 | 47                      | 20              | 13           | 163                                      | 110                          | 38                                                       | 68                                                           | 62                                                                           |

**Annex Table 9: Project assessments by country**

| Average       | Poverty | Rights | Gender | Environment | Mutual interest | Joint ownership | Theory of Change | Prognosis poverty reduction | Prognosis reach objectives | Prognosis sustainable relations | Prognosis sustainable results | No of outcome as primary objective | No of grants with high risk | No of grants with spin offs |
|---------------|---------|--------|--------|-------------|-----------------|-----------------|------------------|-----------------------------|----------------------------|---------------------------------|-------------------------------|------------------------------------|-----------------------------|-----------------------------|
| Namibia       | 2.8     | 3.1    | 2.8    | 2.3         | 3.8             | 3.3             | 2.9              | 3.0                         | 3.0                        | 2.9                             | 3.0                           | 1                                  | 1                           | 10                          |
| Botswana      | 3.0     | 2.9    | 2.7    | 2.5         | 3.7             | 3.1             | 3.0              | 2.6                         | 3.0                        | 2.7                             | 2.6                           | 4                                  | 7                           | 18                          |
| South Africa  | 2.6     | 2.6    | 2.4    | 2.2         | 3.4             | 3.2             | 2.9              | 2.6                         | 3.2                        | 2.7                             | 2.5                           | 2                                  | 3                           | 19                          |
| India         | 2.9     | 2.6    | 2.6    | 2.5         | 3.6             | 3.0             | 3.0              | 2.5                         | 2.9                        | 2.6                             | 2.4                           | 0                                  | 4                           | 25                          |
| Indonesia     | 2.5     | 2.2    | 2.1    | 3.3         | 3.3             | 2.9             | 2.2              | 2.1                         | 3.0                        | 2.7                             | 2.3                           | 0                                  | 4                           | 19                          |
| Vietnam       | 2.4     | 2.3    | 2.2    | 3.0         | 3.6             | 3.1             | 2.6              | 2.3                         | 3.2                        | 2.9                             | 2.9                           | 1                                  | 6                           | 22                          |
| China         | 2.3     | 2.2    | 1.9    | 3.2         | 3.4             | 2.8             | 2.6              | 2.1                         | 3.0                        | 2.9                             | 2.3                           | 2                                  | 3                           | 10                          |
| All countries | 2.6     | 2.5    | 2.4    | 2.7         | 3.5             | 3.1             | 2.7              | 2.4                         | 3.1                        | 2.8                             | 2.6                           | 10                                 | 28                          | 123                         |

## ANNEX 3. PROJECT LEVEL ASSESSMENT DATA

**Annex Table 10: Project assessments - count by score**

| Count       | Poverty | Rights | Gender | Environment | Mutual interest | Comp advantage (Y/N) | Joint ownership | Theory of change | Prognosis poverty reduction | Prognosis reach objectives | Prognosis sustainable relations | Prognosis sustainable results | Projects with outcome as primary objective | Number grants with high risk | Number grants with spin offs |
|-------------|---------|--------|--------|-------------|-----------------|----------------------|-----------------|------------------|-----------------------------|----------------------------|---------------------------------|-------------------------------|--------------------------------------------|------------------------------|------------------------------|
| 1           | 11      | 30     | 37     | 46          | 2               | -                    | 5               | 6                | 6                           | 3                          | 6                               | 13                            | -                                          | -                            | -                            |
| 2           | 68      | 47     | 58     | 22          | 15              | -                    | 35              | 55               | 55                          | 29                         | 56                              | 73                            | -                                          | -                            | -                            |
| 3 / N       | 57      | 60     | 39     | 23          | 38              | 1                    | 67              | 78               | 78                          | 86                         | 71                              | 47                            | 153                                        | 135                          | 40                           |
| 4 / Y       | 27      | 26     | 29     | 72          | 108             | 162                  | 56              | 24               | 24                          | 45                         | 30                              | 30                            | 10                                         | 28                           | 123                          |
| Grand total | 163     | 163    | 163    | 163         | 163             | 163                  | 163             | 163              | 163                         | 163                        | 163                             | 163                           | 163                                        | 163                          | 163                          |

**Annex Table 11: Project assessments by agreement partner**

| Average                                          | Poverty | Rights | Gender | Environment | Mutual interest | Joint ownership | Theory of change | Prognosis poverty reduction | Prognosis reach objectives | Prognosis sustainable relations | Prognosis sustainable results |
|--------------------------------------------------|---------|--------|--------|-------------|-----------------|-----------------|------------------|-----------------------------|----------------------------|---------------------------------|-------------------------------|
| Company                                          | 2.4     | 2.1    | 2.1    | 2.8         | 3.3             | 2.9             | 2.0              | 2.0                         | 2.6                        | 2.8                             | 2.3                           |
| Ministry/ government agency                      | 2.3     | 2.2    | 2.0    | 3.0         | 3.5             | 3.0             | 2.6              | 2.1                         | 3.0                        | 2.7                             | 2.6                           |
| Municipality/ local government                   | 3.8     | 3.8    | 3.3    | 3.3         | 3.5             | 3.0             | 3.8              | 2.5                         | 3.3                        | 2.5                             | 2.5                           |
| NGO/institute/ association/ economic association | 2.5     | 2.6    | 2.5    | 2.5         | 3.4             | 3.1             | 2.9              | 2.5                         | 3.2                        | 2.8                             | 2.7                           |
| University/college/ research/other               | 2.8     | 2.6    | 2.4    | 2.8         | 3.7             | 3.1             | 2.7              | 2.5                         | 3.0                        | 2.8                             | 2.5                           |
| All actors                                       | 2.6     | 2.5    | 2.4    | 2.7         | 3.5             | 3.1             | 2.7              | 2.4                         | 3.1                        | 2.8                             | 2.6                           |

Annex Table 12: Project assessments by sector

| Average                                     | Poverty | Rights | Gender | Environment | Mutual interest | Joint ownership | Theory of change | Prognosis poverty reduction | Prognosis reach objectives | Prognosis sustainable relations | Prognosis sustainable results |
|---------------------------------------------|---------|--------|--------|-------------|-----------------|-----------------|------------------|-----------------------------|----------------------------|---------------------------------|-------------------------------|
| Democracy, human rights and gender equality | 2.8     | 3.2    | 2.5    | 1.8         | 3.5             | 3.2             | 2.8              | 2.6                         | 3.1                        | 2.7                             | 2.8                           |
| Health                                      | 2.8     | 2.7    | 2.7    | 1.7         | 3.8             | 3.2             | 2.9              | 2.7                         | 3.0                        | 2.9                             | 2.6                           |
| Market Development                          | 2.3     | 2.4    | 2.5    | 2.3         | 3.2             | 3.1             | 2.5              | 2.4                         | 3.1                        | 2.9                             | 2.6                           |
| Environment and Climate Change              | 2.5     | 2.1    | 2.2    | 3.7         | 3.5             | 2.9             | 2.7              | 2.2                         | 3.0                        | 2.8                             | 2.4                           |
| Other                                       | 2.2     | 2.6    | 2.1    | 2.8         | 3.8             | 3.4             | 2.5              | 2.5                         | 3.4                        | 2.5                             | 2.6                           |
| All sectors                                 | 2.6     | 2.5    | 2.4    | 2.7         | 3.5             | 3.1             | 2.7              | 2.4                         | 3.1                        | 2.8                             | 2.6                           |

# Annex 4 Assessment Framework

The assessment framework is to be used by make assessments based either on interviews or on document review. The scoring is completed in the excel sheet, but the qualitative observations should be added here.

|                                      |  |
|--------------------------------------|--|
| Project:                             |  |
| The assessment is based on (source): |  |
| Person making the assessment:        |  |

| Criterion             | Description                                                                                   |
|-----------------------|-----------------------------------------------------------------------------------------------|
| In line with strategy | This criterion assesses whether the project is in line with the Swedish cooperation strategy. |
| Level of assessment   | Description                                                                                   |
| Yes                   | Project is on the whole within description of sectors and other rules in strategy             |
| No                    | Does not fit into the strategy                                                                |
| Observations          |                                                                                               |

| Criterion           | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
|---------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Poverty Perspective | <p>This criterion assesses whether the project applies the poverty perspective that should be a core part of Sida funded projects and programmes. Poverty is a problem with many dimensions. The circumstances, needs, interests and prospects of poor women, men and children should be taken into account. The poor person's perspective, which is based on the dignity, reality, experiences and priorities of the poor, puts the individual in focus. To integrate this perspective requires knowledge and an analysis of connections and effects at both macro and individual level. It also calls for the concurrent application of several perspectives, e.g. the gender equality perspective and the perspective of the child.<sup>90</sup></p> <p><i>Note: There is overlap with the criteria for prognosis of poverty reduction, but here the main issue is how the poverty perspective is integrated in the planning and implementation, and not so much on the results of this integration (there can be external events that have the effect that results are not reached or overreached in this area).</i></p> |
| Level of assessment | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| 4 = Very good       | The project is based on a rigorous analysis of the needs, conditions and priorities of poor                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |

<sup>90</sup> Global Challenges – Our responsibility. Communication on Sweden's policy for global development, 2008

|                |                                                                                                                                                                                                                                                                                                                                             |
|----------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                | people at multiple levels, and for different groups. The final target group is well articulated and if possible the group is participating in the planning and implementation of the project. <sup>91</sup><br><i>Note: it should not be possible to score 4 here unless there is a high score also on rights, gender, and environment.</i> |
| 3 = Good       | The project is based on an analysis of the needs, conditions and priorities of poor people. The final target group is well articulated.                                                                                                                                                                                                     |
| 2 = Sufficient | The target group is articulated.                                                                                                                                                                                                                                                                                                            |
| 1 = Poor       | The poverty perspective is not mentioned or deemed important.                                                                                                                                                                                                                                                                               |
| Observations   |                                                                                                                                                                                                                                                                                                                                             |

| Criterion                        | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|----------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Rights perspective <sup>92</sup> | <p>This criterion assesses whether the project applies the rights perspective. The rights perspective places the rights and freedoms of the individual at the centre of development in a country, and the perspective should be mainstreamed across all of Swedish development cooperation. The rights perspective incorporates four fundamental principles, based on the normative framework for human rights:</p> <p><b>Non-discrimination</b> is a basic premise of development cooperation and means that people are to be treated equally and with the same respect for their dignity, which in practice often means that the interests of marginalised and discriminated groups are to be brought to the fore and given priority.</p> <p><b>Participation</b> is both a method for achieving predetermined objectives and securing sustainable results, and a goal in itself in that it makes people more aware that they have the right to demand change and social justice. All individuals should be able to make their voices heard, regardless of their social position, sex, age, disability, ethnicity, religion or other belief, or sexual orientation. When decisions are to be made that affect people living in poverty, therefore, one of the basic aims of Swedish development cooperation is to strengthen citizens' participation in democratic political processes.</p> <p>The right to free and independent information is a condition of active participation in the various functions of society, where <b>openness and transparency</b> enable people to demand <b>accountability</b> on the part of decision-makers.</p> |
| Level of assessment              | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| 4 = Very good                    | All four principles are integrated into project planning and implementation. It will be possible to observe results that relate to the four principles during the project implementation <sup>93</sup>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |

<sup>91</sup> In practice, many PDC projects are conducted at a high level in the results chain, and therefore not likely to include the final target group in project planning and implementation. The scoring has therefore been focused more on the analysis of multi-dimensional poverty.

<sup>92</sup> Change for Freedom. Policy for democratic development and human rights in Swedish development cooperation, 2010–2014

<sup>93</sup> In practice, it has been virtually impossible to assess whether there are results during the project period, so this has not been used as a restriction. The assessment has focused on the potential for results in this area.

|                |                                                                                                                                                                                                               |
|----------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 3 = Good       | At least two of the principles are integrated into project planning and implementation, with one of them being non-discrimination. Results relating to these principles can be observed during implementation |
| 2 = Sufficient | Non-discrimination is integrated into project planning and implementation.                                                                                                                                    |
| 1 = Poor       | None of the principles are mentioned or deemed important.                                                                                                                                                     |
| Observations   |                                                                                                                                                                                                               |

| Criterion                        | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|----------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Gender perspective <sup>94</sup> | This criterion assesses whether the project applies a gender perspective. Gender equality is both a goal in itself as well as a prerequisite for long-term democratic development and an equitable and sustainable global development. Sweden works actively to make gender equality and measures that help strengthen the rights and role of women an integral part of, and point of departure for, all its development cooperation. Both the practical needs and long-term strategic interests of women and girls are to be highlighted. |
| Level of assessment              | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| 4 = Very good                    | The gender perspective is integrated into project planning and implementation. A thorough gender analysis has been done. The project aims to impact on both the <b>practical needs and long-term strategic interests</b> of women and girls. Results or potential for results on gender equality can be observed during implementation.                                                                                                                                                                                                    |
| 3 = Good                         | The gender perspective is integrated into project planning and implementation. A gender analysis has been done. The project aims to impact on primarily the <b>practical needs</b> of both genders. Results or potential for results on gender equality can be observed during implementation.                                                                                                                                                                                                                                             |
| 2 = Sufficient                   | The gender perspective is part of project planning, but the focus is primarily on gender equality in numbers within project implementation (e.g. equal numbers of men and women are projects participants). The project does not aim to impact on the practical needs nor strategic interests of women and girls or boys and men specifically.                                                                                                                                                                                             |
| 1 = Poor                         | The gender perspective is not mentioned or deemed important.                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| Observations                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |

| Criterion                               | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
|-----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Environmental perspective <sup>95</sup> | This criterion assesses whether the project applies an environmental perspective. Environment is one of the three pillars of Swedish Development Cooperation and should be integrated into all projects. An important starting-point is a thorough consideration of development potential versus the risks of negative environmental impact. Potential conflicts between objectives should be identified and proposals for how to deal with them put forward. Develop- |

<sup>94</sup> On equal footing. Policy for gender equality and the rights and role of women in Sweden's international development cooperation 2010-2015

<sup>95</sup> Policy for environmental and climate issues in Swedish development cooperation, 2010-2014

|                     |                                                                                                                                                                                                                                                                                                   |
|---------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                     | ment cooperation shall contribute to improved societal development and build safer and more sustainable communities by reducing and tackling both present and future risks faced by women, men and children living in poverty.                                                                    |
| Level of assessment | Description                                                                                                                                                                                                                                                                                       |
| 4 = Very good       | The project planning includes an analysis of the positive environmental effects and the risks of negative environmental impact, including climate change. This perspective is integrated also in project implementation. There is potential for results in the environmental area to be observed. |
| 3 = Good            | The project planning is based on an analysis of effects on the environment.                                                                                                                                                                                                                       |
| 2 = Sufficient      | The environment is mentioned, but not analysed                                                                                                                                                                                                                                                    |
| 1 = Poor            | The environmental perspective is not mentioned or deemed important.                                                                                                                                                                                                                               |
| Observations        |                                                                                                                                                                                                                                                                                                   |

|                     |                                                                                                                                                                                      |
|---------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Criterion           | Description                                                                                                                                                                          |
| Mutual interest     | The aim of PDC should be that partnerships are based on a match of the interests, needs and experience of the partners, and also on the interests of the partner country and Sweden. |
| Level of assessment | Description                                                                                                                                                                          |
| 4 = Very good       | Both partners articulate well their interest in the partnership and how they can both gain from it in their core areas of activity.                                                  |
| 3 = Good            | Both partners articulate their interest in the partnership, but the Swedish partner does not articulate how the partnership can support its core activities in Sweden.               |
| 2 = Sufficient      | The mutual interest is taken for granted but not articulated.                                                                                                                        |
| 1 = Poor            | Only one partner has in reality had a clear interest in the cooperation                                                                                                              |
| Observations        |                                                                                                                                                                                      |

|                       |                                                                                                                                |
|-----------------------|--------------------------------------------------------------------------------------------------------------------------------|
| Criterion             | Description                                                                                                                    |
| Comparative advantage | PDC measures should focus on cooperation in areas where Swedish actors have comparative advantages.                            |
| Level of assessment   | Description                                                                                                                    |
| Yes                   | The partner has asked for support from Swedish resources and the project is within a sector mentioned in the country strategy. |
| No                    | The partner has not identified support from Swedish resources and the project is not within an area mentioned in the strategy  |
| Observations          |                                                                                                                                |

|           |             |
|-----------|-------------|
| Criterion | Description |
|-----------|-------------|

|                               |                                                                                                                                                                                           |
|-------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Joint ownership <sup>96</sup> | Mutual interest and a division of responsibility mean that PDC measures have to be based on common ownership and shared and mutual responsibility (financial and/or administrative).      |
| Level of assessment           | Description                                                                                                                                                                               |
| 4= Very good                  | Both partners participate in equal measure in the planning and implementation of the project. Both participate actively in the narrative reporting to Sida.                               |
| 3= Good                       | Both partners have shown full engagement in the planning and implementation of the project. Project reports to Sida are written by the Swedish partner but checked with the local partner |
| 2= Sufficient                 | The Swedish partner decides on most of the planning and implementation and writes the reports to Sida but both partners say they have ownership                                           |
| 1= Poor                       | The Swedish partner works as a consultant to the partner without any real joint partnership                                                                                               |
| Observations                  |                                                                                                                                                                                           |

|                                |                                                                                                                                                                                                                                                                                                                                                          |
|--------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Criterion                      | Description                                                                                                                                                                                                                                                                                                                                              |
| Theory of Change <sup>97</sup> | In order to assess the potential of PDC projects to contribute to development objectives, a theory of change that describe logical sequence of events towards the objectives needs to be articulated in the project document.                                                                                                                            |
| Level of assessment            | Description                                                                                                                                                                                                                                                                                                                                              |
| 4 = Very good                  | The project document describes the sequence of events that will lead in the long run to reduction of poverty. It articulates how activities will lead to outputs and how these outputs will contribute to outcomes and impacts in the long term. The theory of change is feasible and presents assumptions made and risks that might derail the process. |
| 3 = Good                       | The project document describes the sequence of events that will lead in the long run to reduction of poverty. It articulates how activities will lead to outputs and how these outputs will contribute to outcomes and impacts in the long term.                                                                                                         |
| 2 = Sufficient                 | The project document describes the links between activities and the objectives of the project, but not how they contribute to development objectives                                                                                                                                                                                                     |
| 1 = Poor                       | There is no logical chain of events towards objectives articulated.                                                                                                                                                                                                                                                                                      |
| Observations                   |                                                                                                                                                                                                                                                                                                                                                          |

|               |                                                                                          |
|---------------|------------------------------------------------------------------------------------------|
| Criterion     | Description                                                                              |
| Prognosis po- | PDC projects should contribute to poverty reduction and equitable and sustainable global |

<sup>96</sup> This is not only relevant for the Swedish partner as the leading partner, but the partner which is the agreement partner. For South Africa and Vietnam, the agreement partner has sometimes been the local partner.

<sup>97</sup> Here the Evaluation Team has focused their assessment on the general existence and quality of a theory of change. For instance, for a score of 3, it has been considered enough that the project has made some kind of description of how the project activities will impact on the poverty situation.

|                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
|---------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| verty reduction     | development. As many projects are not completed, the focus is on assessing the potential for projects to contribute to poverty reduction <sup>98</sup> .<br><i>Note: There is overlap with the criteria for poverty perspective, but here the main issue is how whether there is potential for poverty reduction, and not so much on the whether the poverty perspective is integrated into planning and implementation (e.g. even if there has not been a good poverty analysis, the project can still influence poverty reduction).</i> |
| Level of assessment | Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| 4 = Very good       | The continuation of project activities for a long time is secured and there is high potential that the project will lead to reduction of poverty in the long run. Alternatively, the project has been able to directly contribute to poverty reduction within the timeframe of the project.                                                                                                                                                                                                                                               |
| 3 = Good            | There is some potential that the project will lead to poverty reduction.                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| 2 = Sufficient      | The potential for poverty reduction is there, but the relationship may not be sustainable enough to enable this or other negative factors might occur.                                                                                                                                                                                                                                                                                                                                                                                    |
| 1 = Poor            | There is no potential for the project to lead to long-term poverty reduction.                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Observations        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |

|                                          |                                                                                                                                           |
|------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------|
| Criterion                                | Description                                                                                                                               |
| Prognosis reach objectives <sup>99</sup> | A key effectiveness question is whether the PDC projects will reach their objectives. Objectives are normally either outputs or outcomes. |
| Level of assessment                      | Description                                                                                                                               |
| 4 = Very good                            | The project will reach all the objectives set out in the project document, and in the time planned.                                       |
| 3 = Good                                 | The project will reach most of the objectives in the project document. There may be some delays.                                          |
| 2 = Sufficient                           | The project will reach a few of the objectives in the project document. There may be severe delays.                                       |
| 1 = Poor                                 | The project will not reach any of the objectives in the project document.                                                                 |
| Observations                             |                                                                                                                                           |

|                          |                                                                                            |
|--------------------------|--------------------------------------------------------------------------------------------|
| Criterion                | Description                                                                                |
| High risk <sup>100</sup> | There are a number of potential risks for project implementation, such as risks of lack of |

<sup>98</sup> Note that poverty reduction is interpreted in its broadest sense here, as described in the poverty perspective criteria above. The differences between 2 and 3 were not articulated enough in the assessment framework, so for this criterion there has been more of a focus on a relative assessment between 1 and 4.

<sup>99</sup> For this criterion scoring less than 4, other obstacles apart from delays have meant a less than perfect score. For instance, some activities might have been completely changed and not completed, meaning that some objectives would not be reached, even with delays.

<sup>100</sup> The only risks that have been considered are those occurring during the actual implementation period of the

|                     |                                                                                                                                                                      |
|---------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                     | political support, lack of financing, key persons leaving etc. Another type of risks for PDC is that the actors are new to the development field and lack experience |
| Level of assessment | Description                                                                                                                                                          |
| Yes                 | The implementation and/or new actors risks are high                                                                                                                  |
| No                  | There are medium to low risks of normal implementation problems occurring                                                                                            |
| Observations        |                                                                                                                                                                      |

|                     |                                                                                                                                                                                                                                                                                                                                           |
|---------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Criterion           | Description                                                                                                                                                                                                                                                                                                                               |
| Spin off effects    | Due to the varying nature of PDC projects and the relatively new aid modality that PDC represents, the evaluation should focus on documenting spin-off effects of the partnerships. It could for example be unexpected effects in reaching results, or that new actors that were not identified in the original plan have been introduced |
| Level of assessment | Description                                                                                                                                                                                                                                                                                                                               |
| Yes                 | The partners articulate spin-off effects, such other/new contacts made, synergy effects between PDC projects, synergy effects with other projects, unanticipated results.                                                                                                                                                                 |
| No                  | No spin-off effects are articulated.                                                                                                                                                                                                                                                                                                      |
| Observations        |                                                                                                                                                                                                                                                                                                                                           |

|                                 |                                                                                                                                                                                                                                                                                     |
|---------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Criterion                       | Description                                                                                                                                                                                                                                                                         |
| Prognosis sustainable relations | Partner Driven Cooperation should lead to sustainable relations that are self-supporting. Self-supporting relationships means relationships that have potential to continue in the longer term with financing other than funding from the (Swedish) development cooperation budget. |
| Level of assessment             | Description                                                                                                                                                                                                                                                                         |
| 4 = Very good                   | The relationship is self-supporting and similar activities to those funded under PDC will continue. There is either financial sustainability or medium term project funding has been secured from elsewhere.                                                                        |
| 3 = Good                        | The relationship will continue with joint activities in some form, but to a lesser degree from when the project was funded under PDC.                                                                                                                                               |
| 2 = Sufficient                  | Positive contacts will remain between the partners but without joint activities on the ground                                                                                                                                                                                       |
| 1 = Poor                        | The relationship will cease.                                                                                                                                                                                                                                                        |
| Observations                    |                                                                                                                                                                                                                                                                                     |

|                           |                                                                                                                                                                                          |
|---------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Criterion                 | Description                                                                                                                                                                              |
| Prognosis sustainable re- | Ultimately, PDC should lead to results that are sustainable in that the development benefits of the project continue after PDC funding ends. Some results could be dependent on sustain- |

---

project

|                      |                                                                                                                                                                                                                                                                                                                                         |
|----------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| sults <sup>101</sup> | able relations, but some results may not be dependent on the relationship continuing.                                                                                                                                                                                                                                                   |
| Level of assessment  | Description                                                                                                                                                                                                                                                                                                                             |
| 4 = Very good        | The type of outcomes and impacts that the project contributes to are highly likely to be sustainable, even without additional development cooperation funding or a continued relationship. Alternatively, the relationship is sustainable and there is a high potential for it to contribute to sustainable results over the long term. |
| 3 = Good             | There is relatively high potential for sustainable results, if project activities continue.                                                                                                                                                                                                                                             |
| 2 = Sufficient       | There is potential for sustainable results                                                                                                                                                                                                                                                                                              |
| 1 = Poor             | There is no potential for sustainable results.                                                                                                                                                                                                                                                                                          |
| Observations         |                                                                                                                                                                                                                                                                                                                                         |

|                                       |
|---------------------------------------|
| PDC as an aid modality - Observations |
|                                       |

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<sup>101</sup> With results here we mean both short-term results linked to the project objectives, as well as more long-term development results connected to poverty reduction.

# Annex 5 Interview guide

## INTERVIEW QUESTIONS (PROJECTS)

### 1. Cooperation between partners

1. Origin (earlier projects or contacts between partners, contacts with Sida, facilitators, planning grants)?
2. Mutual interest (interest of you, your partners, country, Sweden)?
3. Why Swedish partner (comparative advantage, relations Sweden, former contacts)?
4. The initial period (took time to build relation? Different perspectives partners)?
5. Roles between partners (who took initiative, nature of relation, who manages the project)?
6. Financing (Sida's part, partner financing, budget fully used, problems local costs, government involvement)?
7. Project implementation (good and bad experiences, lessons learnt, risks)?
8. Cost efficiency? (has the project been managed in a cost-efficient manner? Have you cut costs? What has been most expensive? Compared to similar projects?)

### 2. Reach objectives

1. Which were the main objectives for the project?
2. Will the main objectives be met? High/low risks? Challenges?
3. Poverty reduction (will the project contribute, what is the sequence)?
4. Were included, in planning and implementation, the poverty and rights perspectives (target group, gender, participation, non-discrimination, openness and transparency, accountability)?
5. Effects on the environment?
6. Was the project cost-effective (total cost related to effects, and Sida's costs related to effects)?
7. Other positive or negative effects of the project (effects for people, new actors, business and trade, relations with Sweden)?
8. Did the project promote Swedish knowledge and actors?
9. Synergies (with other actors, other Swedish aid, other projects, research, civil society)?

### 3. Sustainability

1. Will relations continue without Sida support? In what forms?
2. How and how much did PDC contribute to future relations?
3. Time issues: how long time to build initial relations, how long to fortify relations, related to time for PDC projects (PG and CG)?
4. Risks for sustainable cooperation?
5. For Planning Grant: did it lead to Cooperation Grant?

#### 4. Lessons learnt

1. Which are the major lessons learnt (positive and negative, what has worked/not, preconditions project implementation, cost efficiency/effectiveness, reach objectives)?
2. Risks (which were the major risks and what happened, future risks for reaching objectives and for cooperation to continue)
3. How does PDC work as an instrument to
  - create sustainable partner relations?
  - contribute to poverty reduction?
  - promote Swedish knowledge and exports?
  - build relations between Sweden and the country?
4. Was PDC cost effective (total costs/result – bang for the buck), did it give high leverage (Sida's costs/result)?
5. PDC as aid modality (strengths and weaknesses, compare to other forms of Swedish cooperation and similar support from other donors, usefulness in other countries)?
6. If and when PDC will be used in the future, should the rules and procedures change? How?

#### INTERVIEW QUESTIONS (FACILITATORS)

1. Origin of the facilitation task (identified mutual interest, possibilities future PDC, country strategies, other reasons)?
2. Start-up of the facilitation (time required to start up, country knowledge facilitator, challenges)?
3. Number of matches (total and average per year)?
4. Other outputs?
5. Have the objectives set in the agreements/applications been reached?
6. The effects of the facilitation on the development objectives, perspectives and thematic priorities?
7. Has the facilitation made contributed to – or will contribute to – creating sustainable relations between actors?
8. Total costs and average per year. Other financing than Sida?
9. Has the facilitation been cost efficient and cost effective?
10. Lessons learned? What has worked, what not?
11. Compare yourself to other facilitators?

# Annex 6 List of interviewees

## SWEDEN

| Name                               | Organisation                                    | Project                                                     | Date Interviewed                  |
|------------------------------------|-------------------------------------------------|-------------------------------------------------------------|-----------------------------------|
| Anna George                        | Sida                                            | n/a                                                         | June 10 <sup>th</sup> , 2013      |
| Desiree Bognäs                     | Sida                                            | n/a                                                         | June 10 <sup>th</sup> , 2013      |
| Anna Tjärvar                       | Sida                                            | n/a                                                         | June 11 <sup>th</sup> , 2013      |
| Ylva Sahlstrand                    | Sida                                            | n/a                                                         | June 11 <sup>th</sup> , 2013      |
| Charlotte Eriksson                 | Sida                                            | n/a                                                         | June 11 <sup>th</sup> , 2013      |
| Andreas Johansson                  | Sida                                            | n/a                                                         | June 11 <sup>th</sup> , 2013      |
| Ellen Wettmark                     | Arts Council                                    | n/a                                                         | June 12 <sup>th</sup> , 2013      |
| Alexandra Wachtmeister             | Sida                                            | n/a                                                         | June 12 <sup>th</sup> , 2013      |
| Åsa Hedén                          | Sida                                            | n/a                                                         | June 18 <sup>th</sup> , 2013      |
| Stefan Berry                       | Agency for Economic and Regional Growth         | n/a                                                         | June 18 <sup>th</sup> , 2013      |
| Patrik Klintenberg                 | SusBiz/MDH                                      | Sustainable Abattoir                                        | June 24 <sup>th</sup> , 2013      |
| Mikael Samuelsson                  | Global Business Labs                            | Global Business Labs                                        | June 24 <sup>th</sup> , 2013      |
| Olivia Forsberg                    | Swedish Civil Contingencies Agency (MSB)        | Disaster Risk Management                                    | June 25 <sup>th</sup> , 2013      |
| Göran Lagerström, Claes Hulting    | Spinalis Foundation                             | Spinalis rehabilitation of people with spinal cord injuries | June 27 <sup>th</sup> , 2013      |
| Paul Dixelius, Annakarin Lindberg  | SKL International                               | Various                                                     | July 2 <sup>nd</sup> , 2013       |
| Charlotte Kalin                    | Chamber Trade Sweden                            | Various                                                     | July 5 <sup>th</sup> , 2013       |
| Karin Norlin Bogren, Maria Larsson | ICLD                                            | n/a                                                         | July 10 <sup>th</sup> , 2013      |
| Rune Johansson                     | Geological Survey of Sweden, SGU                | Meetings Points Mining                                      | July 11 <sup>th</sup> , 2013      |
| Vasilis Koulolias                  | Stockholm University                            | Botswana Speaks                                             | July 12 <sup>th</sup> , 2013      |
| Erik Faxgård                       | SKL International                               | LODLOG                                                      | August 13 <sup>th</sup> , 2013    |
| Carin Lann                         | Lann Development Consulting                     | Various                                                     | August 19 <sup>th</sup> , 2013    |
| Mats Jarnhammar                    | SKL International                               | SymbioCity, Indonesia                                       | August 20 <sup>th</sup> , 2013    |
| SymbioCity delegation              | Palu, Probolinggo, Borås, Helsingborg and SKL-I | SymbioCity, Indonesia                                       | September 11 <sup>th</sup> , 2013 |
| Anton Earle                        | SIWI                                            | Various                                                     | September 25 <sup>th</sup> , 2013 |
| Katatrina Veem                     | SIWI                                            | Facilitator, Indonesia                                      | September 25 <sup>th</sup> , 2013 |
| Michael Berwick                    | Sveriges Radio                                  | Sveriges Radio Radio Republik Indonesia pub-                | October 7 <sup>th</sup> , 2013    |

|                          |                       |                                                            |                                 |
|--------------------------|-----------------------|------------------------------------------------------------|---------------------------------|
|                          |                       | lic service apps                                           |                                 |
| Ping Højding             | Naturvårdsverket      | Capacity building and institutional cooperation            | October 9 <sup>th</sup> , 2013  |
| Ylva Rheinard            | Naturvårdsverket      | A national training programme for Environmental Regulators | October 9 <sup>th</sup> , 2013  |
| Ule Johansson            | Kemikalieinspektionen | Chemical Management, Vietnam                               | October 10 <sup>th</sup> , 2013 |
| Bert-Åke Walhgren        | Luftfartsverket       | EcoAirport, Indonesia                                      | October 15 <sup>th</sup> , 2013 |
| Malin Oud                | Track II              | Dialogue food safety and work related rights               | October 18 <sup>th</sup> , 2013 |
| Elsa Håstad<br>Åsa Hedén | Sida                  | n/a                                                        | October 14 <sup>th</sup> , 2013 |

## BOTSWANA

| Name                                                             | Organisation                                             | Project                                                                                         | Date Interviewed               |
|------------------------------------------------------------------|----------------------------------------------------------|-------------------------------------------------------------------------------------------------|--------------------------------|
| Kent Nilson                                                      | Swedish Honorary Consul to Botswana                      | n/a                                                                                             | August 25 <sup>th</sup> , 2013 |
| Dan Neren                                                        | Business Sweden                                          | Meeting Points Botswana                                                                         | August 26 <sup>th</sup> , 2013 |
| Jose Jackson-Malete                                              | University of Botswana, Office of Research & Development | Increasing community awareness and utilization of indigenous grains                             | August 26 <sup>th</sup> , 2013 |
| Lisa Jamu                                                        | Stepping Stones International                            | Engaging men in combating gender based violence                                                 | August 26 <sup>th</sup> , 2013 |
| Gaitsewe Mostewabagale<br>Keneilwe Morris<br>Gaontebale Morapedi | Botswana Unified Revenue Service (BURS)                  | Cooperation within the area of taxation                                                         | August 26 <sup>th</sup> , 2013 |
| Tommy Carlsson                                                   | Skatteverket                                             | Cooperation within the area of taxation                                                         | August 26 <sup>th</sup> , 2013 |
| Isaac N. Mazonde                                                 | University of Botswana, Office of Research & Development | Sustainable Development of Indigenous Peoples- a Sweden-Botswana Collaborative Research Project | August 26 <sup>th</sup> , 2013 |
| Leema Anthony Hiri                                               | University of Botswana, Research Centre on San Studies   | Sustainable Development of Indigenous Peoples- a Sweden-Botswana Collaborative Research Project | August 26 <sup>th</sup> , 2013 |
| Leonard Muthetho                                                 | Ministry of Education                                    | Learning for Democracy: Inclusive Education, South Africa, Namibia                              | August 27 <sup>th</sup> , 2013 |

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|                                                                                                                          |                                     | and Botswana                                      |                                |
| George S. Thabeng                                                                                                        | Department of Water Affairs         | Partner Driven Cooperation on Water Reforms       | August 27 <sup>th</sup> , 2013 |
| Thato S. Setloboko                                                                                                       | Department of Water Affairs         | Flood Forecasting                                 | 27/08/2013                     |
| Tanalaote                                                                                                                | Department of Water Affairs         | Cooperation on Artificial Ground water Recharge   | August 27 <sup>th</sup> , 2013 |
| Uyapo Ndadi<br>Nana Gleeson                                                                                              | BONELA                              | Making Children's rights a Reality in Botswana    | August 27 <sup>th</sup> , 2013 |
| Budzanani Tacheba                                                                                                        | Botswana Innovation Hub             | CleanTech Centre for Expertise in Gaborone        | August 27 <sup>th</sup> , 2013 |
| Nkosiyo Moyo<br>Tebogo Modiakgotla                                                                                       | National Disaster Management Office | Disaster Risk Management                          | August 28 <sup>th</sup> , 2013 |
| Bakumbudzi Othusitse                                                                                                     | Water Utilities Corporation         | Sustainable Sanitation and Waste Water Management | August 28 <sup>th</sup> , 2013 |
| Honorable O. Motlhale<br>Honorable Reina Makosha<br>Honorable Slumber Tsoagwane<br>Honorable Tawana Moremi<br>Kgaoganang | Botswana Parliament                 | Botswana Speaks                                   | August 28 <sup>th</sup> , 2013 |
| Antoine Brasset                                                                                                          | Gov2U                               | Botswana Speaks                                   | August 28 <sup>th</sup> , 2013 |
| Priyanka Handa Ram                                                                                                       | REWA Education Centre               | Young Drive Academy Botswana                      | August 28 <sup>th</sup> , 2013 |
| Tumi Mbaakanyi<br>O. Masire<br>Loatile Seboni                                                                            | Women in Business Association       | Women Entrepreneurs- Botswana and Sweden          | August 28 <sup>th</sup> , 2013 |

## NAMIBIA

| Name           | Organisation | Project                                                                                               | Date Interviewed               |
|----------------|--------------|-------------------------------------------------------------------------------------------------------|--------------------------------|
| Maxi Louis     | NACSO        | Improved Democracy, Governance and Sustainable Economic Development through Rights Based Conservation | August 21 <sup>st</sup> , 2013 |
| Phillip Shiimi | NAMFISA      | Financial Supervision in                                                                              | August 21 <sup>st</sup> , 2013 |

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|                                                                                                   |                                                                                   | Namibia                                                                                                                                      |                                |
| Ted Scott                                                                                         | National Broadcasting Corporation (NBC)                                           | Capacity Building for Public Service Broadcasting in Radio at Namibian Broadcasting Corporation in partnership with Swedish Radio            | August 22 <sup>nd</sup> , 2013 |
| Prof Damas Mashauri<br>Mr Charl-Tom Bayer<br>Dr Kelebogile Mfundisi<br>Ms Karuhumba and Mr Andima | Polytechnic of Namibia                                                            | Centre for innovation and design within water and environment                                                                                | August 22 <sup>nd</sup> , 2013 |
| Patricia Skyer Ronny<br>Dempers Anna Davis                                                        | WWF Namibia                                                                       | Improved Democracy, Governance and Sustainable Economic Development through Rights Based Conservation and Namibia                            | August 22 <sup>nd</sup> , 2013 |
| Petra Dillmann                                                                                    | Namibia Special Needs Network                                                     | Learning for democracy: A Partner-driven North/South collaboration on Inclusive Education, South Africa, Botswana                            | August 22 <sup>nd</sup> , 2013 |
| Cathy Haihambo                                                                                    | University of Namibia                                                             | Learning for democracy: A Partner-driven North/South collaboration on Inclusive Education, South Africa, Botswana and Namibia (AKT-2010-037) | August 23 <sup>rd</sup> , 2013 |
| Dr Shivute                                                                                        | Ministry of Lands and Resettlement                                                | Improvement of Land Administration Procedure and Capacity in Namibia (LAPCAS)                                                                | August 22 <sup>nd</sup> , 2013 |
| James Ithana                                                                                      | Lifeline Childline                                                                | Engaging men in combating gender based violence                                                                                              | August 23 <sup>rd</sup> , 2013 |
| Viviane Kiyaga<br>Solomon Nemaire<br>Andriet van Niekerk                                          | Desert Research Foundation of Namibia (DRFN)<br>Brukarros Meat Processors Pty Ltd | Sustainable Abattoir                                                                                                                         | August 23 <sup>rd</sup> , 2013 |
| Veronica de Klerk                                                                                 | Women's Action for Development (WAD)                                              | Wise Economy (WE) in Namibia Project - PDC between Namibia and Sweden                                                                        | August 23 <sup>rd</sup> , 2013 |

## SOUTH AFRICA

| Name                           | Organisation                                                   | Project                                                                                                                        | Date Interviewed             |
|--------------------------------|----------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|------------------------------|
| Ria Schoeman                   | Embassy of Sweden,<br>Pretoria                                 | n/a                                                                                                                            | August 29 <sup>th</sup> 2013 |
| Embassy team                   | Embassy of Sweden,<br>Pretoria                                 | n/a                                                                                                                            | August 29 <sup>th</sup> 2013 |
| Victor Ramaema                 | Embassy of Sweden,<br>Pretoria                                 | n/a                                                                                                                            | August 29 <sup>th</sup> 2013 |
| Helena Pietersen               | Embassy of Sweden,<br>Pretoria                                 | n/a                                                                                                                            | August 29 <sup>th</sup> 2013 |
| Elize Lourens                  | Department of Labour                                           | Partnership Program<br>2012-2013: Swedish<br>Chemical Inspection,<br>Sweden and the Depart-<br>ment of Labour, South<br>Africa | August 29 <sup>th</sup> 2013 |
| Veena Pillay<br>Sunet Jordaan  | Foundation for Profes-<br>sional Development                   | Support to Cooperation<br>on Gender Based Vio-<br>lence                                                                        | August 29 <sup>th</sup> 2013 |
| Marie Bergström                | Embassy of Sweden,<br>Pretoria                                 | Various                                                                                                                        | August 29 <sup>th</sup> 2013 |
| Susan Preller<br>Judith Bester | South African Business<br>Coalition on HIV & Aids<br>(SABCOHA) | Strengthening workplace<br>HIV/AIDS monitoring<br>and evaluating systems.                                                      | August 30 <sup>th</sup> 2013 |
| Susanne Henne                  | Business Sweden                                                | New Economic Devel-<br>opment Programme                                                                                        | August 30 <sup>th</sup> 2013 |
| Maurÿn Grundlingh              | Swedish embassy, Preto-<br>ria                                 | Various                                                                                                                        | August 30 <sup>th</sup> 2013 |
| Ms Phina Mashilo               | Department of Trade and<br>Industry                            | New Economic Devel-<br>opment Programme                                                                                        | August 30 <sup>th</sup> 2013 |
| David Mwaniki                  | Global Crisis Solution                                         | Climate Change, Natural<br>Resource Governance and<br>Conflict Prevention in<br>Africa                                         | August 30 <sup>th</sup> 2013 |
| Robert Brooks                  | MIAGI                                                          | MIAGI and the Swedish<br>Odyssey – Education<br>through Music                                                                  | August 30 <sup>th</sup> 2013 |

## INDIA

| Name                                                                                    | Organisation                                                                                                             | Project                                                                                                                                                                                                      | Date Interviewed                  |
|-----------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------|
| Dr. A.J.V. Prasad                                                                       | Department of Chemicals and Petrochemicals; Ministry of Chemicals and Fertilizers                                        | Chemical Management                                                                                                                                                                                          | September 23 <sup>rd</sup> , 2013 |
| Dr. Sunil Mehra,                                                                        | Mamta                                                                                                                    | 1. National Training Program on Youth Friendly Health Services and<br>2. District Design for Mainstreaming ARSH and Non-Communicable Conditions in Youth Friendly Health Services in Himachal Pradesh, India | September 23 <sup>rd</sup> , 2013 |
| Dr. Suresh Tiwari                                                                       | Indian Institute of Tropical Meteorology<br>(An autonomous institute of Ministry of Earth Sciences, Government of India) | “Brown Air” in Northern India: evaluation of sources, advise on mitigation options and advocacy for action                                                                                                   | September 23 <sup>rd</sup> , 2013 |
| Dr. (Mrs.) Baridalyne Nongkynrih<br>M.D (Community Medicine)                            | AIIMS                                                                                                                    | Catalysing the Health sector as leader in creating multi-sectoral collaboration to address non-communicable diseases in India                                                                                | September 24 <sup>th</sup> , 2013 |
| Dr. Jayanta K. Das (Director, NIHFV) & Dr. Poonam Khattar ( Associate Professor, NIHFV) | Nat. Institute of Health and Family Welfare                                                                              | National Training Program on Youth Friendly Health Services                                                                                                                                                  | September 24 <sup>th</sup> , 2013 |
| Ravi Agarwal                                                                            | Toxic Links                                                                                                              | Chemical Management                                                                                                                                                                                          | September 24 <sup>th</sup> , 2013 |
| Amita Sahaya & Sunitha Kaistha                                                          | Women, Work and Health Initiative                                                                                        | Gender, Leadership and Health Promotion in Working Life                                                                                                                                                      | September 24 <sup>th</sup> , 2013 |
| Chandra Bhushan; Aditya Batra & Nivit Yadav                                             | Centre for Science and Environment                                                                                       | A national training programme for Environmental Regulators                                                                                                                                                   | September 25 <sup>th</sup> , 2013 |
| Dinesh Ghai & Mr. R. Narayan Moorthy                                                    | CII-SGBC and IPMA (Indian Paper Manufacturers Association)                                                               | 1. Waste to Energy Facilitator<br>2. Facilitator Industrial Clean-Tech - Pulp and Paper                                                                                                                      | September 25 <sup>th</sup> , 2013 |
| Sanjay Seth & Saurabh Diddi                                                             | Bureau of Energy Efficiency                                                                                              | Increased energy efficiency in India through a                                                                                                                                                               | September 25 <sup>th</sup> , 2013 |

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|--------------------------------------------------------------|------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------|
|                                                              |                                          | capacitated Bureau of Energy Efficiency                                                                                                                   |                                   |
| Åsa Heijne                                                   | Embassy of Sweden, New Delhi             | n/a                                                                                                                                                       | September 26 <sup>th</sup> , 2013 |
| Mats Kullander                                               | Embassy of Sweden, New Delhi             | n/a                                                                                                                                                       | September 26 <sup>th</sup> , 2013 |
| SIDA/Embassy team combined meeting                           | Embassy of Sweden, New Delhi             | n/a                                                                                                                                                       | September 26 <sup>th</sup> , 2013 |
| Dr. L.S. Chauhan & Dr. Shashi Khare                          | National Centre for Disease Control      | Prevention and Control of Antibiotic Resistance                                                                                                           | September 26 <sup>th</sup> , 2013 |
| Dr. Arun Gupta and team ( Dr. Shobha, Dr. Dadhich and Radha) | Breastfeeding Promotion Network in India | Using evidence-based advocacy to improve infant and young child health and survival                                                                       | September 26 <sup>th</sup> , 2013 |
| Yasmin Zaveri Roy                                            | Embassy of Sweden, New Delhi             | n/a                                                                                                                                                       | September 27 <sup>th</sup> , 2013 |
| Ravi Behera                                                  | Embassy of Sweden, New Delhi             | n/a                                                                                                                                                       | September 27 <sup>th</sup> , 2013 |
| Dr. Monika Arora and Deepti Singh                            | Public Health Foundation of India        | Centre of excellence on Alcohol control - Collaboration between the Public Health Foundation of India and the Swedish National Institute of Public Health | September 27 <sup>th</sup> , 2013 |

## INDONESIA

| Name                                       | Organisation                                                    | Project                                                    | Date Interviewed                  |
|--------------------------------------------|-----------------------------------------------------------------|------------------------------------------------------------|-----------------------------------|
| Dewi Chomistiana                           | BP Konstruksi (Construction Development Board)                  | Sustainable Construction                                   | September 16 <sup>th</sup> , 2013 |
| Damayanti Ratunanda                        | Ministry of Environment                                         | Kemikaliehantering, KemIplaneringsbidrag                   | September 17 <sup>th</sup> , 2013 |
| Fitri Harwati                              | Ministry of Environment                                         | EcoAirport                                                 | September 17 <sup>th</sup> , 2013 |
| Bugi Hidayat, Ani Hasanah, and Ariza Dinga | RadioRepublik Indonesia                                         | Sveriges Radio RadioRepublik Indonesia Public Service Apps | September 17 <sup>th</sup> , 2013 |
| Ewa Polano<br>Annika Siwertz               | The Embassy of Sweden, Jakarta                                  | n/a                                                        | September 17 <sup>th</sup> , 2013 |
| Darwina Widjajanti and Lisa Savitri        | Yayasan Pembangunan Berkelanjutan (YPB) - Indonesian Foundation | Ecobatik Sound of Green                                    | September 17 <sup>th</sup> , 2013 |

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|                                                 | for Sustainable Development                                                        |                                                                      |                                   |
| Prof. Jatna Supriatna                           | University of Indonesia, ClimateChange Unit                                        | Facilitator                                                          | September 18 <sup>th</sup> , 2013 |
| Sudar Dwi Atmanto<br>Tonny                      | JSDA-Indonesia (Jejaring Sumber Daya Air Indonesia/ Irrigation Management Network) | SIWI Indonesian Water Resources network                              | September 18 <sup>th</sup> , 2013 |
| Willy Sabandar                                  | UKP4 (President's Special Taskforce)                                               | Facilitator                                                          | September 18 <sup>th</sup> , 2013 |
| Kennedy Simanjuntak                             | Bappenas (Indonesian Development Planning Agency)                                  | n/a                                                                  | September 19 <sup>th</sup> , 2013 |
| Endra Atmawidjaja                               | Ministry of Public Works                                                           | SymbioCity Cooperation                                               | September 19 <sup>th</sup> , 2013 |
| Dr. Lutfan Lazuardi                             | GadjahMada University                                                              | AKT-2012-018 (Maria Nilsson): Climate Change Adaptation & Mitigation | September 20 <sup>th</sup> , 2013 |
| Prof Hari Kusnanto                              | GadjahMada University                                                              | AKT-2012-024 (Stig Wall): EPI4 & Klimat                              | September 20 <sup>th</sup> , 2013 |
| Dr. Siti Syamsiah                               | GadjahMada University (Chemical Engineering Faculty)                               | Initiative for Sustainable Energy                                    | September 20 <sup>th</sup> , 2013 |
| Indra Kesuma<br>Nina Tursinah<br>Sofie Wikander | APINDO<br>Chamber Trade Sweden                                                     | APINDO Swedish Indonesian Partnership                                | September 20 <sup>th</sup> , 2013 |

## VIETNAM

| Name                                                                    | Organisation             | Project                 | Date Interviewed               |
|-------------------------------------------------------------------------|--------------------------|-------------------------|--------------------------------|
| Maria Selin                                                             | Swedish embassy, Hanoi   | n/a                     | June 20 <sup>th</sup> , 2013   |
| Programme officers                                                      | Embassy of Sweden, Hanoi | n/a                     | August 12 <sup>th</sup> , 2013 |
| Carol Bäckman                                                           | Embassy of Sweden, Hanoi | n/a                     | August 16 <sup>th</sup> , 2013 |
| Nguyen Thi Phuong Nga,<br>Ngo Thi Phuong Dung,<br>and Pham Thi Ngan Hoa | Embassy of Sweden, Hanoi | n/a                     | August 21 <sup>st</sup> , 2013 |
| Tomas Hertzman                                                          | CENTEC                   | CENTEC                  | August 15 <sup>th</sup> , 2013 |
| Matilda                                                                 | CENTEC                   | CENTEC                  | August 21 <sup>st</sup> , 2013 |
| Prof. Nguyen Thi Kim Chuc                                               | Hanoi Medical University | From Research to Policy | August 19 <sup>th</sup> , 2013 |
| Dr. Tran Dai Nghia                                                      | IPSARD, Ministry of      | Strengthening Policy    | August 19 <sup>th</sup> , 2013 |

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|                        | Agricultural and Rural Development                                                         | Research in ARD Sector                                                                                                                           |                                |
|                        | Vinachemia, Ministry of Industry and Trade                                                 | Improved Chemical Management                                                                                                                     | August 19 <sup>th</sup> , 2013 |
| Nguyen Thi Khanh       | Green ID                                                                                   | Building Energy Alliance and Network for Sustainable Energy Development                                                                          | August 19 <sup>th</sup> , 2013 |
| Nguyen Thi Phuong Thao | VLA                                                                                        | From Prison to Pride                                                                                                                             | August 20 <sup>th</sup> , 2013 |
| Warecod Team           | Warecod                                                                                    | Community Adaptation in Lo Gam River Basin                                                                                                       | August 20 <sup>th</sup> , 2013 |
| Le Quang Binh          | iSEE                                                                                       | Protection of LGBT rights                                                                                                                        | August 20 <sup>th</sup> , 2013 |
| Do Ta Khanh            | VASS                                                                                       | Opportunities for social protection policies in Vietnam: Responses to globalisation, population change and poverty in view of Swedish experience | August 21 <sup>st</sup> , 2013 |
| Le Ba Ngoc             | VietCraft                                                                                  | Handicraft Design Centre                                                                                                                         | August 23 <sup>rd</sup> , 2013 |
|                        | Uppsala University and Hanoi National University of Education                              | Developing teaching and research capacity on climate change education (CCE) and technology dissemination                                         | August 23 <sup>rd</sup> , 2013 |
| Nguyen Tri Dzung       | Hung Viet                                                                                  | Sustainable energy for lighting and electricity                                                                                                  | August 26 <sup>th</sup> , 2013 |
| Nguyen Tung Lam        | Institute of Strategy and Policy on Natural Resources and Environment, (ISPONRE), Viet Nam | SMEs Green Plan in Action                                                                                                                        | August 27 <sup>th</sup> , 2013 |
| Dang Gian              | Action for the City                                                                        | Cityblues                                                                                                                                        | September, 2013                |

## CHINA

| Name                 | Organisation                              | Project    | Date Interviewed                |
|----------------------|-------------------------------------------|------------|---------------------------------|
| Christina Danielsson | Swedish embassy, Kiev, previously Beijing | n/a        | October 1 <sup>st</sup> , 2013  |
| Yang Hua             | Swedish embassy, Beijing                  | n/a        | October 7 <sup>th</sup> , 2013  |
| Anna Kiefer          | Swedish embassy, Beijing                  | CSR Centre | October 15 <sup>th</sup> , 2013 |

## Annex 7 List of references

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Regeringskansliet (2009) Strategy for selective cooperation with China July 2009 – December 2013

Regeringskansliet (2009) Strategy for selective cooperation with India January 2009 – December 2013, Annex to UF2009/46329/ASO

Regeringskansliet (2009) Strategy for development cooperation with Indonesia April 2009 – December 2013, UF2009/44625 44625/ASO

- Regeringskansliet (2009) Strategy for selective cooperation with Namibia January 2009 – December 2013, Appendix to Government Decision 17 December 2009 (UF2009/86808/AF)
- Regeringskansliet (2009) Strategy for the full range of Swedish cooperation with South Africa January 2009 – December 2013, Appendix to Government Decision 009-09-10 (UD 2008/35239/AF)
- Regeringskansliet (2009) Strategy with development cooperation with Vietnam 2009-2013
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Applications for PDC projects

Sida assessment memos for PDC applications

Narrative reports (final and progress reports)

Sida statement on reports/Contribution completions reports

**Webpages**

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## Experiences and lessons learned from Partner Driven Cooperation in the seven selective cooperation countries

This evaluation has looked at the results of Partner Driven Cooperation that has been implemented in Botswana, Namibia, South Africa, China, India, Indonesia and Vietnam. The main finding is that a number of strong partnerships with mutual interest have been created, many of which will continue in some form also after 2013. One observation is that partnerships take a long time to become fully operational and sustainable, and that PDC is therefore not suitable for phasing out development cooperation during shorter periods such as three years. It is recommended that a new type of PDC is considered, where the main objective would be to create sustainable relations based on mutual interests.

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

E-mail: [info@sida.se](mailto:info@sida.se). Homepage: <http://www.sida.se>

