CIVIL SOCIETY AND AID EFFECTIVENESS:
AN EXPLORATION OF EXPERIENCE AND GOOD PRACTICE

A reference document

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for the
Advisory Group on Civil Society and Aid Effectiveness

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**A Reader’s Guide**

1. This document is one of three related documents being made available at the Accra High Level Forum on Aid Effectiveness by the Advisory Group on Civil Society and Aid Effectiveness (AG-CS). The others are the AG-CS’ *Synthesis of Findings and Recommendations*, which is the AG-CS’ main product, and the *Civil Society and Aid Effectiveness Case Book*.

2. This *Experience and Good Practice* paper and the *Case Book* are intended to illustrate the recommendations found in the *Synthesis*. They are thus intended as reference documents for readers looking for empirical material relating to one or more of the AG-CS recommendations. It is intended that readers should familiarize themselves with the *Synthesis of Findings and Recommendations* first, and that they would then turn to this paper and the *Case Book* on a selective basis. It is not suggested to read this paper cover to cover. Readers are encouraged to treat this as a reference paper and to look for the sorts of cases that would most interest them, referring to the *Case Book* for more details.

3. The primary purposes of this *Exploration of Experience and Good Practice* paper are as follows:
   - to illustrate the AG-CS recommendations;
   - to provide a sense of how these can play out in practice;
   - to occasionally supplement these with a reference to existing guidelines; and
   - to provide a base for a forward agenda on civil society and aid effectiveness.

4. Both the *Exploration of Experience and Good Practice* and the *Case Book* are based to a very large extent on case studies submitted to the AG-CS for consideration. In the reference section of this paper are listed 62 such cases, sorted by country, all of which are available on the AG-CS’ extranet site. The *Case Book* contains 26 cases of two and a half to four pages each, while the *Experience and Good Practice* paper contains considerably more references and text boxes, each dealt with in a more summary way, including cases drawn from the literature and the Internet.

5. The three companion documents do not have identical status as AG-CS products. Unlike the *Synthesis of Findings and Recommendations*, which is a formal AG-CS consensus document, the other two documents remain the responsibility of the authors. Although AG-CS members have had the opportunity to review earlier drafts of the *Experience and Good Practice paper*, the paper remains a working draft or “first edition,” and the judgments and views included in it are those of the authors, including those authors of the original case studies. Readers are invited to submit feedback to the AG-CS to help address omissions or errors, or to share additional cases or experience.

6. One of the AG-CS’ recommendations for the forward agenda is that each stakeholder group should commit to individually and jointly explore, adapt and pilot the types of good practices presented here, and to track progress on these practices to inform ongoing learning and dialogue (recommendation 19). Consideration is being given to the establishment of a multi-stakeholder reference group to help move such a process along between now and the next HLF in 2010/11.
STRUCTURE AND CONTENT OF THE PAPER

7. This paper follows the outline of the AG-CS Synthesis of Findings and Recommendations. For ease of reference, the actual recommendations are replicated at the beginning of each corresponding section and are highlighted with a shaded background. Readers can refer back to the Synthesis for the rationale of these recommendations.

8. There are three major chapters in the paper:
   • one on Recognition and Voice,
   • one on Enriching and Implementing the Paris Declaration (focusing on the Paris principles) and
   • one on CSO Effectiveness, which adopts a thematic perspective.

9. Readers will observe some overlap in the recommendations made by the AG-CS due to the inter-relatedness of the various themes. In addition, cases featured in one section usually have elements that fit in other sections. We have slotted each case where it speaks most directly to one of the AG recommendation, occasionally cross-referencing the same cases in other parts of the document.

10. We have complemented this form of presentation with a number of questions, also highlighted in grey shading, to help explain what we attempt to illustrate in each section or subsection. In what follows, we list these questions, and offer some notes on what the reader will find in the paper under each one. This can serve as an Executive Summary of sorts.
WHAT TO LOOK FOR

Recognition and Voice (recommendations 1-3)

What are examples of some of the diverse and distinct roles played by civil society and of the results that ensue from these activities?

11. The paper provides examples of civil society organizations (CSOs) in democratization, service delivery, humanitarian relief, research, advocacy, and public-awareness raising, and shaping social values. CSOs are also important aid actors, raising substantial financial contributions for international development purposes, as well as being recipients or channels for official development assistance (ODA).

What does it mean, operationally, for donors and governments to “recognize” CSOs as development actors in their own right?

12. The paper looks for donor or government “recognition” of CSOs in policy statements or day-to-day practice of collaboration with CSOs. Examples of policy-level recognition of civil society can be found in policy statements at all levels, from local to national to international.

What are some practical examples of “regular and systematic” or of less formal spaces for effective CSO participation in policy dialogue?

13. Numerous examples of such dialogue exist, again from local to national to supra-national level. Examples include the UNDP CSO Advisory Committee, GAVI, or the AG-CS itself. In some cases, the space provided is more ad hoc and may be provided only in response to pressure, as seen in the case of the farmer lobby for smallholder plantation debt relief in Indonesia.

Civil Society and the Paris Declaration (recommendations 4-11)

How does the respect and promotion of “local and democratic ownership” manifest itself in different cases involving CSOs?

14. Evidence suggests that CSOs are having some success in their push for greater involvement in the design, implementation or assessment of development strategies and initiatives whether these are poverty reduction strategies (PRSs), sector strategies, or decentralized development strategies. Sometimes governments and donors actively facilitate this involvement, and support it through capacity development to reinforce different stakeholders’ capacity to exercise ownership.

How does the respect and promotion of alignment broadly understood manifest itself in different cases involving CSOs?

15. Sometimes CSOs’ priorities align with government priorities, sometimes not, yet may still be locally owned and respond to local needs. The paper includes examples of alignment that involve alignment with CSO priorities and non-governmental country systems connected to the individuals and communities who are the intended ultimate beneficiaries of aid.

What are some examples of governments and CSOs engaging together in program-based initiatives? Are there cases that illustrate the combination of more programmatic approaches with approaches that encourage diversity, innovation and bottom-up initiative?

16. We provide examples of CSOs and governments playing complementary roles in program-based initiatives in both the education and rural development sectors of Mozambique and
elsewhere. CSOs can add richness by virtue of the diversity of priorities and approaches that they adopt in response to the diversity of their own constituencies and experience.

**What are the features of “alternative” approaches to results-based management, and how well do they work? What can be cited of efforts by each stakeholder group to promote greater accountability to beneficiaries?**

17. This section points to pockets of practice illustrating new approaches to results-based management that emphasize emergent change and complexity, and increasing concern for “downward” accountability to intended beneficiaries. Other topics covered are efforts at multi-stakeholder monitoring and evaluation, transparency and access to information. Examples are provided of social accountability measures such as participatory budget and expenditure monitoring.

**CSO Effectiveness (recommendations 12-17)**

**What examples can be cited of good enabling environments for civil society or of efforts to improve the enabling environment?**

18. This is a broad subject area, worthy of much more attention than it is accorded in this paper, which relates to: legal and judicial systems; ensuring promotion and protection of human rights; structures and processes for multi-stakeholder dialogue; CSO-specific policies and legislation; and taxation regulations. Examples are provided from Croatia and India amongst others.

**What are some examples of good donorship in terms of its impact on CSO effectiveness?**

19. We were able to exploit numerous examples of donor approaches in support of CSOs by both official donors and CSOs acting in a donor capacity, although more work is needed on the link between the choice of funding models and their impact on CSOs’ ability to fill their roles as development and aid actors while delivering development results.

**What are some examples and features of successful international or country-level CSO partnerships?**

20. These include a number of efforts already cited in other sections, for example the way that CSOs joined forces in the Mali consultations on civil society and aid effectiveness, or the combined CSO effort in Senegal around the agro-sylvo pastoral legislation, as well as some famous cases such as the Jubilee debt relief initiative, and examples of North-South partnerships where the donor-recipient aspect is of lesser importance.
RECOGNITION AND VOICE

ROLES PLAYED BY CSOS

21. In this section we address the following question:

What are examples of some of the diverse and distinct roles played by civil society and of the results that ensue from these activities?

22. Civil society is inherently diverse, and CSOs fill a range of roles in social and economic development in any country, many of which are beyond those supported through Official Development Assistance (ODA). Acknowledging that there are many different ways in which CSOs’ various roles can be sliced, the AG-CS draws particular attention to:

   a) mobilizing grassroots communities and poor or marginalized people;
   b) monitoring the policies and practices of governments and donors and reinforcing the accountability of government and donor bodies through the application of local knowledge;
   c) engaging in research and policy dialogue;
   d) delivering services and programs;
   e) building coalitions and networks for enhanced civil society coordination and impact;
   f) mobilizing additional financial and human aid resources; and
   g) educating the public, and helping to shape social values of solidarity and social justice (AG-CS 2008, pg. 4).

CSOs as development actors in their own right

23. Within their various development and aid roles, CSOs are able to deliver results to varying degrees of efficiency and effectiveness. There is considerable evidence of CSO effectiveness, though most of what is documented is at the project or program level. With a few exceptions, there is little in the way of meta-assessment of civil society’s contribution to development and aid. What this section of the paper seeks to demonstrate through examples is that CSOs, when pursuing their own ideas and agendas in their own ways, fulfill a myriad of roles that clearly contribute to development.

24. Worldwide, civil society has played an integral role in processes of democratization and the pursuit of human rights and good governance. Indeed, it was the high profile of this role in Latin America and in the demise of Soviet-era regimes from the 1980s that earned civil society a place in donor countries’ good governance and democratization plans. In many Latin American countries, civil society became synonymous with democracy and anti-militarism, while in East Europe it was civil society that challenged the totalitarian state. In Poland, the Solidarity trade union of shipyard workers pursued negotiation and dialogue with officials that peacefully challenged their authority. CSOs, academics and the media in Hungary were also central to the “peaceful revolution” that led to reform in Hungary (Miszlivetz and Ertsey 1998, pg. 74).

25. A more recent example is Pakistan in 2007, where the peaceful protests of the Supreme Court Bar Association and other pro-democracy activists made it difficult for the Pakistani leadership to carry on business as usual in its incarceration of key legal and judicial professionals and related anti-democratic actions. Sometimes forceful, sometimes more incremental, the
contribution of CSO activism to democratic development and good governance is evident through history.

Box 1 - CSOs and the election process in Democratic Republic of Congo

In 2007, the Democratic Republic of Congo went through a peaceful and transparent electoral process. Congolese churches, non-governmental organizations and associations were integral providers of civic education that helped to mobilize the populace. Their efforts elicited a high level of participation, with over 25 million individuals registering to vote in the lead-up to the elections. CSOs trained 60,000 civic educators across the country to raise awareness of the stakes surrounding the election, democratic principles, and citizens’ electoral rights, as well as rules and regulations. Supportive tools such as community radio, posters, comics and theatre were also developed by local CSOs. A CSO Cadre de concertation de la société civile pour l’observation des élections (CDCE) was put in place to observe the election process across the country.


26. CSOs can also be effective at delivering services and programs, and are often particularly effective in reaching marginalized populations. They are often recognized for their ability to deliver services effectively at modest cost, although this does not necessarily follow in all cases. Their ability to reach out and cater to populations that might not otherwise be adequately served often justifies the special costs associated with relatively small-scale or decentralized initiatives.

27. Through the programs they deliver to affected populations, CSOs often introduce new agendas or innovative approaches that can then be taken up on a larger scale. For example, it was CSOs’ close contact with people living with HIV and AIDS in Africa and elsewhere that allowed them to develop what are now standard practices in HIV/AIDS prevention and care. Anonymous testing within existing health facilities was identified as a way to increase the numbers of people presenting themselves for testing as it reduced visibility and thus fear of ostracism, while peer education and counseling were developed to establish broad outreach in prevention and support between people of the same background, speaking the same language, living similar experiences.

28. The field of small-scale savings and loans schemes and microfinance similarly demonstrates the creativity and innovation of CSOs. With banks not serving the needs of Africa’s poor, CSOs have been at the forefront of the growing savings and credit movement. Across the continent an estimated 4 million borrowers and 6 million savers benefit from microfinance institutions (Amoako 2008, pg. 5). The example of IBON Foundation’s Partnership in Education for Development illustrates CSO innovation in service provision aimed at societal transformation.
Box 2 - CSO Innovation: The IBON Partnership and Transformative Education

IBON Foundation Inc. is a capacity development organization focused on knowledge building. It was established in 1978 by a group of committed church people and professionals for the purpose of disseminating socio-economic information and analysis during the dark years of dictatorial rule in the Philippines. It was conceived against a backdrop of rampant violations of human rights, in which people were denied their fundamental civil liberties. In the past 30 years, IBON has sought to promote justice and peace locally and internationally through its work in research, education and information.

IBON has a long background in education. Its flagship publication, *IBON Facts and Figures*, which first appeared in 1978, was applauded by progressive educators who saw its value as an instrument for developing formal education at the elementary and secondary levels that could complement the government’s program in social studies, civics and human rights education.

IBON’s program for the formal education sector developed rapidly, and in 1981, it was spun off into a separate NGO, the *Education Forum* (EF), which focused on curriculum development, teacher training and textbook development. In 1994, IBON developed the IBON Partnership in Education for Development (IPED) in response to demands from the formal education sector for transformative education and curriculum revitalization. More than 200 partner schools currently subscribe to IBON publications and textbooks. Most of the partner schools are private schools in urban areas although there are also a handful of major public high schools and some rural private schools.

The IPED program includes a whole range of materials and activities that seek to develop the capacities of students, teachers, and school administrators, for social analysis and social action. Currently there are five monthly and three quarterly publications for student use, aside from a number of textbooks in subject areas such as language, history, civics, and economics. IPED also produces audio-visual teaching aids such as CDs and video documentaries. It is also involved in leadership training for students through lectures and roundtable discussions on current social issues with and for students.

For teachers and educators, IBON produces a bi-monthly journal called “Education for Development Magazine” which contains news and features from the perspective of civil society and grassroots organizations and movements. IBON also assists in the development or upgrading of school libraries, especially in rural areas, by providing them with IBON’s latest research materials and publications on the state of natural resources, industrial and agricultural development, trade, finance, human rights and other issues.

As an accredited service provider with the Professional Regulatory Commission (PRC), IBON conducts teacher-training programs on both content and pedagogy, as well as forums and symposiums for teachers and educators. The IPED program also organizes annual educators’ conferences on different themes such as peace-building, corruption and governance. Teachers and educators attending these activities earn credits with the PRC that are a requirement for their professional advancement.

As the practice of transformative education necessitates a whole school approach, IPED strengthens its partnership with progressive educators by providing assistance in the schools’ review and formulation of their vision and mission statement, curriculum development, and even extension or outreach programs. IBON sees its transformative education approach as the way for formal education to become part of the whole process of social transformation and development.

29. CSOs often play a critical role in the delivery of humanitarian relief in response to natural disasters or socio-political unrest. Because CSOs often combine humanitarian relief and development efforts while maintaining a long-term presence on the ground, they can help to bridge the transition from relief to development through practical programs. This is recognized in the Good Humanitarian Donorship framework that includes principles that specifically address ways to facilitate CSOs fulfilling this role (International Meeting on Good Humanitarian Donorship 2003). CSOs have developed their own humanitarian principles and standards such as the Sphere Humanitarian Charter and Minimum Standards, and are influential in policy discussions to help ensure that the international community is sufficiently responsive to crises around the world (Sphere 2004).

Box 3- Grassroots Development in Democratic Republic of Congo

Butoke is a grassroots CSO founded in 2004 to address problems of hunger and malnutrition in Western Kasai province of the Democratic Republic of Congo. From the start, Butoke combined a humanitarian approach to address immediate needs with a longer-term development approach, by providing food for work, and managing a nutrition centre while introducing new seeds, basic tools, and low-cost agricultural techniques such as row planting and proper spacing to village associations. Beneficiaries tended to be primarily widows and others whose nutritional status was the most precarious, but all village associations contain a mix of members. The approach has been successful in reaching large numbers of people at low cost, using a formula that can be replicated to scale as resources become available. Butoke’s program has filled an institutional void in an area of the DRC in which the economy, the government and even the social fiber of society itself had been devastated by years of war and bad governance.

Butoke’s programs have reached a large population. Starting work in 2004 with 20 village associations on 19 ha, Butoke by 2007 was reaching a population of 19,000 small farmers – with their families, a population of about 120,000 people – whose nutritional levels are thus being improved, albeit marginally, through access to more abundant, more nutritious crops. In 2006, Butoke was supporting the school fees of 665 orphans (up from 278 in 2004), was treating approximately 6,500 cases per year in nutrition and primary health centres, and was rehabilitating approximately 200 severely malnourished children per year. It was providing counselling on responsible sexuality for approximately 5,000 people per year.

The example of service and respect for human rights and dignity that inspire Butoke as basic values and that are demonstrated in its work, provide hope and inspiration for the population, who can see in this a different way of doing things. To a not insignificant extent, the most important results of Butoke’s work may be its work in breaking down the barriers to gender equality and changing attitudes towards the handicapped and downtrodden in a society that tends to blame orphans, widows and the handicapped for their own misfortune as bewitched people to be isolated, shunned and often dispossessed.

Extracted from the Civil Society and Aid Effectiveness Case Book.
### Box 4 - CSOs and Humanitarian Assistance: The ICRC as Protector of Human Rights, Hodi as Service Provider

<table>
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<th>The International Committee of the Red Cross and Red Crescent Societies is the largest international CSO focused on humanitarian relief. It identifies itself as an independent, neutral organization ensuring humanitarian protection and assistance for victims of war and armed violence, though the societies are also active in responding to natural disasters. They provide direct assistance, and are often responsible for the coordination of non-governmental humanitarian response on the ground. They are also active in the protection of civilians, prisoners and detainees by ensuring respect for humanitarian law, minimizing the dangers to which people are exposed, preventing or putting a stop to violations committed against them, upholding their rights, making their voices heard and providing them with support. They also restore family links of people affected by conflict.</th>
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<td>Hodi is a Zambian CSO created to enhance the capacity of community-based and intermediary organizations working in rural Zambia. Its work covers a variety of development and humanitarian initiatives. Hodi’s current humanitarian effort is in two refugee camps hosting approximately 40,000 Congolese refugees. There, the United Nations High Commission for Refugees funds Hodi’s community and education services. Their community services cater to the social needs of refugees with a focus on the special needs of unaccompanied minors, women and children, especially in regards to gender-based violence, and the management of community structures and programs such as income generation and micro-credit schemes. In the education sector, Hodi’s responsibilities are in both formal and informal education and range from pre-school to tertiary education. Hodi facilitates recruitment of teachers and acquisition of school materials, and ensures that the Congolese curriculum is followed.</td>
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*Extracted from: ICRC (2008) and Hodi (2008).*

30. CSOs play a central role in mobilizing communities and individuals toward development ends. The example of CSO involvement in the electoral process in the DRC presented above demonstrates popular mobilization in the pursuit of democracy, while in the *ForoSalud* case further below, a CSO coalition mobilized local voices and brought their message into policy dialogue with government. Membership-based or volunteer-reliant CSOs embody that mobilization as seen in the examples of citizens’ and CSOs’ engagement in schools and education sector dialogue presented here.  

31. CSOs mobilize people to contribute to community development initiatives through financial or in-kind contributions including volunteer time. An example is from World Vision’s ENHANCE program in Ghana, which grew out of recognition of the need to extend government initiatives to address malnutrition and preventable disease among children under five, particularly in remote areas in which World Vision had been working for some time. Together with community members, the organization developed a community-based and integrated approach to managing childhood illnesses, and mobilized community members to implement a volunteer-based program with support of government health staff (World Vision 2008).
Box 5 - CSOs as Community Mobilizers: Citizen Engagement in the Education Sector

CSOs across Africa are vehicles for citizen and community involvement in education, both in terms of their contributions to schooling at local levels, and to policy dialogue locally and nationally. In Burkina Faso, parents contribute to schooling through payment of fees, construction of teachers’ houses, and occasional costs like teachers’ travel. Students’ Parents Associations exist in many areas. Women’s involvement in school has been bolstered by the Associations of Educating Mothers. The National Education Campaign Coalition works closely with the Ministry of Education.

In the Gambia, functional School Management Committees exist in most schools. The Government fully involves civil society in education sector dialogue, and recognizes their role in Education for All implementation. EFANET, the National Education Campaign Coalition, collaborates with the Ministry of Education.

In Kenya, vibrant School Management Committees responsible for the management of resources exist in many areas. Accountability mechanisms include: sub-committees on procurement; the use of public notice boards to show funds received at the school; reporting to parents through annual general meetings and submission of primary school accounts books for audit. Elimu Yetu Coalition is involved in sector dialogues with the Ministry of Education.

In Cameroon, Parent-Teacher Associations mainly participate through financial contributions to school projects. Bureaucratic red tape and centralized decision-making is a major obstacle to dialogue with civil society on education.

Extracted from: Africa Network Campaign on Education for All (no date).

32. CSOs are often at the forefront of advocacy for innovative policy and practice as well. For instance, CSOs have been leaders in advancing a rights-based approach to development. A rights-based approach is grounded in the international human rights framework, using the human rights standards and principles of the international covenants and declarations as the basis for dialogue and action as outlined in the case of ForoSalud and CARE Peru presented below.

Box 6 - CSOs Advancing Innovative Approaches: ForoSalud and a Rights-based Approach to Health in Peru

ForoSalud is a major civil society network in Peru that has been using a rights-based approach since its creation in 2001. Their focus is on sexual and reproductive rights and access to medicines. Since 2003, CARE Peru has been implementing the Health Rights Program funded by the Department for International Development (DFID), most recently through a Partnership Programme Agreement with CARE UK. Over the past 5 years, CARE has partnered with ForoSalud, developing the network’s capacity and working together to advance strategies for making health sector policies and institutions respond to, protect and promote health rights, especially of poor and marginalized people, and to advance the establishment of participatory and inclusive mechanisms for planning, provision and evaluation of health services.

Their work has contributed to establishing a new vision of health policy – coming out of a health sector reform process excessively focused on efficiency and cost recovery – which has meant establishing health as a universal human right. The implications of this stance on health are prioritization of the need for good quality health services that actually reach the most poor and excluded, establishing citizens’ participation in health policy decision-making at national and regional levels, and setting standards for social surveillance of health policies and public health services.
In 2004, the program was able to seize the opportunity of a newly appointed Minister of Health and a visit to Peru of the UN Special Rapporteur on the Right to Health. Through a series of capacity building and cooperative meetings, cross-cutting principles of a rights-based approach were endorsed by the Ministry of Health.

The program, in collaboration with Physicians for Human Rights, has also designed and implemented a citizen and civil society-based accountability mechanism, promoting citizen surveillance on health services and social programs’ quality and effectiveness in the regions. Through this initiative, Quechua and Aymara women community leaders and regional offices of the human rights Ombudsman work together to monitor women’s health rights, particularly their right to good quality, appropriate maternal health services. The findings show some positive results in terms of changing health providers’ attitudes and practices. They also show areas needing improvement, such as reduced hours for health services provision, which deter women from using them, and lead to charges for medicines that should otherwise be free; and unavailability of vertical birth delivery, despite the fact that this is institutionalized by the Ministry. These are the types of issues not detected by traditional monitoring systems. They can now be followed up by the rural women leaders, strengthened by their collaboration with the Ombudsman and ForoSalud.

Extracted from: Improving the Health of the Poor: a Rights-Based Approach Case Study (2008).

33. CSOs’ ability to identify innovative approaches grounded in local knowledge, and their ability to articulate evidence-based policy positions, is a product of the action research they undertake, whether purposefully designed as such or within the realm of monitoring and evaluation of their initiatives. The findings and analysis from non-profit research institutes, universities and colleges and think tanks also bring new policy and program ideas and approaches for uptake by CSOs, donors and governments alike as featured below.

Box 7 - CSOs and Research: Think Tanks Provide the Evidence Base to Support Reform

Independent think tanks are among civil society actors offering data and analysis to advance development. The number of think tanks active worldwide has grown considerably over the past few decades for a variety of reasons, not least of which is growing recognition of the need for timely and pertinent information upon which to make decisions. Examples of successes include:

The Korea Development Institute, which made the case for Korea’s move into the global economy, and for converting the country’s economy from a capital-based to a knowledge-based one.

The Institute of Applied Economic Research in Brazil, which highlighted inequality, recommended decentralization of public services, and then helped design municipally-led education and health programs. Their efforts led to the expansion of food stamp programs and initiatives to widen access to literacy programs for the country’s poorest people.

The Malaysian Institute of Economic Research, which provided the evidence to facilitate Malaysia’s shift from an exporter of natural resources to a processing and manufacturing center, and promoted the establishment of tax allowances and deductions, location incentives and other stimulants for direct foreign investment.

The Consortium pour la Recherche Economique et Sociale in Senegal (CRES), which collaborated with the Ministry of Education in preparation of the second phase Programme décennal de l’éducation et de la formation (PDEF – the education strategy). Their findings and analysis had a significant impact on the way in which the education sector policy is understood, with attention to questions of efficiency and effectiveness, and application of a results-based performance management approach.
34. Public education is also a part of what CSOs do, and through education and direct engagement, they help to develop values of solidarity and social justice that broaden interest and support for development efforts, as the example of the Global Call to Action Against Poverty (GCAP) illustrates below. CSOs are often very effective at working with the media, providing the media with facts and analysis, while the media give voice to CSOs’ positions and publicize their efforts. The Civil Society for Poverty Reduction (CSPR) network in Zambia, for instance, is considered “a vital source of alternative, reliable, factual analysis and informed opinion” for journalists (PANOS 2008, pg. 44). This CSO network provides digestible information to the media, and has taken journalists to visit poverty monitoring sites in rural Lusaka, facilitating journalists’ access to the voices of poor people.

35. The Global Call to Action against Poverty, also known as the Make Poverty History Campaign, provides an example of CSOs’ public education and awareness-raising combined with advocacy.

Box 8 – CSOs in Public Education and Advocacy: The Global Call to Action against Poverty

In September 2004, a group of civil society actors including NGOs, international networks, social movements, trade unions, women's organizations, faith-based groups and other civil society actors met in Johannesburg and launched the Global Call to Action against Poverty (GCAP). GCAP initially targeted 2005 as the year when governments could take decisive action to deliver on their promises of the millennium and make poverty history. GCAP is now a growing alliance of trade unions, community groups, faith groups, women’s and youth organizations, NGOs and other campaigners working together across more than 100 national platforms. What sets GCAP apart from most campaigns is that, in addition to being a coalition of international organizations, it also operates on national and regional levels. In 2005, GCAP members and supporters took more than 38 million actions around the world to put pressure on politicians and world leaders who were attending crucial meetings that could, if the right decisions were made, commit to overcoming poverty. In 2006 on the 16th and 17th of October, 23.5 million people around the world Stood Up Against Poverty and in doing so set a new Guinness World Record and sent out a powerful message to national and global political leaders.


CSOs as aid donors, recipients and partners

36. This section illustrates the importance of CSOs as actors in the aid system as aid donors, recipients and partners. Estimates provided to the AG-CS by the OECD-DAC Secretariat suggest that developed country CSOs raise between $20 to $25 billion annually in contributions to development assistance, while an estimated 10% of total Official Development Assistance (ODA) is channeled to and through these same CSOs (AG-CS 2008, pg. 4-5). Tracking CSO flows is notoriously sketchy due in large part to inconsistencies in reporting to the DAC, and because decentralized flows from CSOs and official donors directly to developing country CSOs tend to not to be captured, but there is no question that CSOs are important aid actors.

37. Figures for funding raised or received by developing country CSOs are available from CIVICUS Civil Society Index country reports, though they do not necessarily distinguish between aid and non-aid sources. A 2004 MásVoces study of 290 NGOs in Chile found that 31% raised funds from “national private organizations”; 69% were partially funded by “international
organizations”; and 74% tendered for grant funding from government (Fundación Soles 2006, pg. 33). In Montenegro, 74% of NGOs receive funds from foreign donations, 35% from local government sources, 34% from “government and public administration bodies”, 31% from Montenegrin citizens, and 25% from corporate donors and the same portion from membership fees. Thirteen percent of these NGOs are partially financed through service fees (check author, pg. 29). In Nicaragua in recent years, CSOs received an average of approximately US$150 million, representing approximately 20% of total ODA flows to the country. Some of this funding flows directly from official donors, some from Northern CSOs, and some is ODA channeled through the Government of Nicaragua (Alliance 2015 2007, pg. 36).

38. A recent study, Key Trends in International Donor Policy on Civil Society, provides figures on a number of donors’ flows to and through CSOs. For example, in their fiscal year 2004, USAID apportioned 25% of their total aid budget, or 32% of the bilateral aid budget, to U.S. private voluntary organizations (PVOs), and an estimated 24% of PVOs’ overseas expenditure is covered by USAID funding (CIS 2007. pg. 14). Norway channels approximately one-third of its bilateral aid to a mix of domestic, international and developing country CSOs, with about one quarter provided for humanitarian purposes (ibid, pg. 28). For Canada, the corresponding figure is about 20%.

39. All of the cases and figures cited above serve to illustrate that CSOs do indeed fill important roles as development actors in the aid system.

**RECOGNITION**

**RECOMMENDATION 1: THE AG-CS RECOMMENDS THAT ALL DEVELOPMENT ACTORS**

**RECOGNIZE:**

A) THE IMPORTANCE AND DIVERSITY OF CSOs AS DEVELOPMENT AND HUMANITARIAN ACTORS IN THEIR OWN RIGHT (RECOMMENDATION 1A);

B) THAT CSOs HAVE DISTINCTIVE AND LEGITIMATE CONTRIBUTIONS TO MAKE TO DEVELOPMENT AND AID EFFECTIVENESS, AND THAT THEIR EFFORTS COMPLEMENT THOSE OF OTHER DEVELOPMENT PARTNERS (RECOMMENDATION 1B); AND

C) THAT A STRONG CIVIL SOCIETY IS AN ASSET THAT WORTH DEVELOPING AS PART OF A SOCIETY’S EFFORT TO TRANSFORM ITSELF AND DEEPEN DEMOCRATIC PRACTICE IN A WAY THAT INCLUDES ACCOMMODATION AND SUPPORT FOR COMPETING VISIONS AND DISSENT (RECOMMENDATION 1C).

40. In this section we provide examples in answer to the question:

**What does it mean, operationally, for donors and governments to “recognize” CSOs as development actors in their own right?**

41. A growing number of countries in both the developed and developing world are explicitly recognizing the role of CSOs in policy statements of various sorts. This type of policy is often developed in collaboration with civil society.

42. Occasionally, governments and CSOs work together to develop a statement of shared values and ways of working together. In Canada, an Accord between the Government and the Voluntary Sector was elaborated in 2001. This accord articulates shared values and guiding principles including independence, interdependence, dialogue, collaboration, and accountability to the
43. Recognition of civil society in policy happens at various levels. An example of how the issue is addressed supra-nationally can be found in a Ministerial Resolution of the Niger Basin Authority’s (NBA). The Authority is the joint management institution inclusive of 10 countries in the West and Central Africa region sharing interest in sustainable development in the Niger River basin. As part of the process of implementing the NBA’s 2002 Shared Vision, civil society and CSOs have been recognized as “partie prenante du développement durable du basin.” This involves official recognition in ministerial resolutions of civil society and adoption of civil society participation mechanisms, including the institutionalization of civil society seats in the steering committee along with decentralized participation mechanisms (Bazie 2008, pg.2).

44. Recognition by international bodies is often grounded in existing international or other legal frameworks elsewhere. For example, the Council of Europe’s Recommendation on the legal status of non-governmental organizations in Europe (2007) draws from the Statute of the Council of Europe and the European Social Charter, as well as from the United Nations Convention for the Protection of Human Rights and Fundamental Freedoms, recognizing that “the existence of many NGOs is a manifestation of the right of their members to freedom of association...and of their host country’s adherence to principles of democratic pluralism” (CoE 2007, pg. 1). The Recommendation asserts “the essential contribution made by non-governmental organizations (NGOs) to the development and realization of democracy and human rights….and the equally important contribution of NGOs to the cultural life and social well-being of democratic societies” (ibid).

45. Four examples of official recognition of civil society as important development actors, and as partners of governments, are presented below. The first box features examples at national level, and the second an example from the Canadian province of Quebec. The examples in the first box are elaborated in greater detail in the Case Book.

Box 9 - Recognizing Civil Society’s Autonomy and Voice in National Policy: Croatia, India and Colombia (Recommendation 1)

Croatia’s National Strategy for the Creation of an Enabling Environment for Civil Society Development from 2006 to 2011 is strongly values-based, noting that the foundation for relations between the state and civil society is respect for civil society autonomy. It also supports pluralism and freedom of action and speech for civil society. Further, the strategy acknowledges the role of civil society as active participants in public policy making and implementation as well as in helping to guarantee the values enshrined in the constitution, including freedom, democracy, equality, peace, social justice, respect for human rights, conservation of nature, rule of law and private property.

India’s National Policy on the Voluntary Sector is a commitment to encourage, enable and empower an independent, creative and effective voluntary sector, with diversity in form and function, so that it can contribute to the social, cultural and economic advancement of the people of India. The policy emphasizes that all laws, rules and regulations relating to voluntary organizations should safeguard their autonomy, while simultaneously ensuring their accountability.

In Colombia, the G24 group of donors, and government, have come to recognize the importance of the participation of CSOs as fundamental actors in the aid and development agenda, giving them full voice and representation in various policy dialogue processes. In particular, CSOs have been
given full recognition as participants in the London-Cartagena-Bogota process in which the International Cooperation Strategies for 2003-2006 and 2007-2010 have been developed.

Extracted from: Croatian National Strategy for the Creation of an Enabling Environment for Civil Society Development Case Study (2008); India’s National Policy on the Voluntary Sector Case Study (2008), Government of India (2007); London-Cartagena-Bogota Process Case Study (2008).

Box 10 - Quebec’s Policy on Community Action (Recommendation 1)

Since 2001, the government of the province of Québec in Canada has in place a policy entitled “L’action communautaire: Une contribution essentielle à l’exercice de la citoyenneté et au développement social du Québec” translated to “Community Action: A crucial contribution to the exercise of citizenship and the social development of Québec”. The policy was developed in partnership between an interdepartmental committee made up of representatives from twenty government departments and agencies and a body comprised of 16 community organizations, the Réseau québécois de l’action communautaire autonome (RQ-ACA), through a broad-based consultative process with community organizations.

The policy places community organizations at the heart of Québec’s social practices and recognizes their role in the province’s social and economic development while allowing them to maintain their independence and freedom of action. It is accompanied by a guide to support uniform application and the harmonization of funding mechanisms and accountability requirements, the latter to respect the mandates of government bodies as well as the autonomy of community organizations. The policy puts forward three funding approaches: project support, service agreements, and core support for the overall mission of the organization. Government bodies are encouraged to prioritize the latter option in order to support autonomous community action.

Extracted from: Ministère des Relations internationales du Québec, Direction du développement international Case Study (2008).

46. Of course, official recognition in policy cannot be considered sufficient to ensure that recognition is borne out in practice. In the Nigerian Basin Authority case, civil society’s views are starting to be taken into account in policies and planning, such as in the design of the Water Charter. However, in the recent democratic culture of some of the countries participating in the Nigerian Basin Authority, CSOs are still seen as adversaries rather than allies, and their contributions are seen as suspect rather than adding value, indicating that sensitization is required (Bazie 2008).
47. CSOs will find many different ways to carve out space in which to articulate their voice. Through letters to officials, one-on-one meetings, the media, or demonstrations, when CSOs have something to say, they will find a way to say it. However, the AG-CS recommendation suggests that there is merit in establishing regular and systematic spaces for CSOs to engage in dialogue with development and aid policy makers as standard practice. Facilitating the articulation of CSO voice contributes indirectly to development results, in that it can strengthen accountability, democracy and human rights. Viewed from a different perspective, its absence is part of the experience of poverty and its root cause, particularly for systemically marginalized groups such as women (O’Neil, Foresti and Hudson 2007).

**RECOMMENDATION 2: THAT REGULAR AND SYSTEMATIC SPACES BE PROVIDED FOR THE VOICE OF CSOS OF DIFFERENT PERSUASIONS AND ORIENTATIONS TO BE HEARD AT ALL STAGES OF THE DEVELOPMENT PROCESS (PLANNING, NEGOTIATION, IMPLEMENTATION, MONITORING, AND EVALUATION), AND THAT THIS BE RECOGNIZED AS STANDARD PRACTICE THAT NEEDS TO BE ACTIVELY PROMOTED AT ALL LEVELS FROM LOCAL TO INTERNATIONAL.**

48. Here we seek to answer the question:

**What are some practical examples of “regular and systematic” or of less formal spaces for effective CSO participation in policy dialogue?**

49. Illustrations of spaces for the voice of civil society are provided below, followed by examples of practical guidance. Additional examples are available in the section on local and democratic ownership, where they speak to the AG-CS’ recommendation that the pursuit of local and democratic ownership requires civil society’s engagement in the design, implementation and assessment of development strategies, programs and initiatives.

50. There are many models for systematic dialogue between CSOs, donors and governments. Ebrahim and Herz (2007: 19) distinguish three approaches:

- Policymakers can unilaterally convene a consultation with CSOs.
- They can create an independent, multi-stakeholder body.
- Or they adopt a collaborative approach, in which CSOs and policy-makers share responsibility for the dialogue process and monitoring its outcomes.

51. Any one of these approaches may constitute good practice, though experience suggests that CSOs’ voices are more likely to be heard under the independent and collaborative models than under a unilateral approach. However, CSO positions are often politically more ambitious than policy-making institutions can accept in terms of policy outcomes. The World Commission on Dams is an example of a thorough independent model of consultation from which an ambitious forward agenda for sustainable dam development emerged, but was ultimately rejected by its creator, the World Bank (Ebrahim and Herz 2007).

52. For many CSOs seeking to influence policy, formal dialogue mechanisms can be risky. Fear of co-optation can undermine CSOs’ willingness to engage in policy dialogue in formal forums with governments and donors – indeed, there are members of civil society who are adamantly against close dialogue with the institutions they wish to influence. Maintaining a critical stance from the outside is one tactic to foster reform. Engaging in dialogue from “inside the tent” in another. All parties in policy dialogue benefit from being aware and frank about the risk of co-
option, and need to understand the shift in approach which is entailed when moving from outside to inside the tent and back (Brown and Fox 2001).

**Box 11 - The Platform on Economic, Social and Cultural Rights in Mali (Recommendation 2)**

In Mali, the *Platforme des droits économiques, sociaux et culturels* (DESC – the Platform on Economic, Social and Cultural Rights) produced a report on the status of economic, social and cultural rights in the country. In response to this alternative report, the Malian authorities asked DESC to help produce the state’s official report by joining an inter-ministerial unit set up for that purpose. DESC turned down this invitation, asserting its position as independent advocate. However, the platform agreed to assist the government in terms of awareness and training for state officials to support them in writing the official report.


53. The AG-CS’ own process of multi-stakeholder dialogue is another interesting example, since one of the objectives of the AG-CS process was precisely to facilitate space for CSO voice to be heard in discussions on aid effectiveness. The AG-CS process has spurred widespread multi-stakeholder dialogue, some of which is ongoing. As seen in the case of Mali below, in some instances this has led to the establishment of more systematic forums for multi-stakeholder dialogue. In some cases it has also spurred greater collaboration within stakeholder groups. Turning again to Mali, one of the dialogue outcomes was a Joint Declaration prepared by the national consultation organizing committee, made up of eleven Malian and Mali-based international CSO, which was brought to the AG-CS International Forum as one concrete element of their contribution to the dialogue.

54. For the most part the impetus for dialogue has come from CSOs themselves, though in some cases donors have taken the lead. The Global Donor Platform for Rural Development (GDPRD) for example organized a thirteen-country consultation on civil society and aid effectiveness focused on rural and agricultural development (GPRD 2008, Ahmed and Langenkamp 2008).

**Box 12 - The Advisory Group on Civil Society and Aid Effectiveness (Recommendation 2)**

The Advisory Group on Civil Society and Aid Effectiveness (AG-CS) was created in January 2007 to advise the OECD-DAC’s Working Party on Aid Effectiveness (WP). It is a multi-stakeholder body that brings together donors, developing country governments, and CSOs from both developed and developing countries. Its creation was possible due to a convergence of interests and changing attitudes making this type of formalized dialogue possible. It emerged due to growing interest among CSOs to engage with donors and developing country governments on issues of aid effectiveness, and to a growing recognition on the part of donors that the discussions and agreements on aid effectiveness had until then not been inclusive of, nor sensitive to, the particularities of civil society.

In the lead-up to the Accra High Level Forum (HLF) the AG-CS can claim success in achieving its mandate. In particular, the AG-CS has catalyzed the inclusion of CSOs in dialogue with the WP and its steering committee, and in the HLF itself, thus carving space for civil society voice. It has also worked assiduously, through a wide international consultation process and its own analysis, to elaborate recommendations on issues related to civil society and aid effectiveness that represent a multi-stakeholder consensus. These recommendations have been submitted to the WP in the form of the *Synthesis of Findings and Recommendations*, and will form the basis of the message the AG-CS will bring to the wider audience at the HLF.
The AG-CS has been enabled to fulfill its mandate due to the high level of commitment from its members, and their ability to negotiate their positions in good faith based on early establishment of a common understanding of key principles. At times over the 18 months since the AG-CS’ inception, diverging standpoints have been prominent and hotly debated. CSOs have been concerned, for example, with deepening and enriching the aid effectiveness agenda to address issues such as conditionality, human rights, and accountability to the ultimate beneficiaries of aid. Donors and governments have in turn raised concerns over CSOs’ own accountability.

However, the common basis of belief in the critical importance of civil society as development and aid actors, and the acknowledgement from all parties that there is room for improvement to maximize civil society’s full potential, has always served to move the AG-CS’ position forward in a creative and constructive manner.

Independent of the AG-CS process, CSOs launched the International CSO Steering Group (ISG) that developed a position paper, Better Aid, and is hosting a parallel forum in Accra prior to the HLF. The existence of this group is one factor that has allowed CSOs to negotiate within the formal multi-stakeholder dialogue process of the AG-CS, while maintaining the possibility of putting forward non-negotiated positions to the HLF.


Box 13: National Consultations on Civil Society and Aid Effectiveness in Mali (Recommendation 2)

In support of the international consultations organized by the Advisory Group on Civil Society and Aid Effectiveness, Mali organized a national consultation process from June to September 2007. Led by Canada and France, the process culminated in a national synthesis workshop on the findings of nine regional consultations, and tripartite dialogue between government, donors and civil society.

The consultations were organized by a National Consultation Steering Committee comprised of the main CSO umbrella organizations. To inform the tripartite dialogue, it was agreed that CSOs would consolidate results of the regional consultations into a report, while donors and government would report on what had been done and what was planned to implement the Paris Declaration.

The consultation process provided an opportunity for CSOs to increase their coordination, and to raise government’s awareness of the vibrancy and diversity of Mali’s civil society. The organizing committee intends to transform itself into a national umbrella organization for all CSOs in Mali in order to improve representation of civil society in the country. The consultation also provided momentum for further tripartite dialogue among all partners. Although no permanent mechanism was established for government-CSO dialogue beyond annual consultations, there is an increased representation of CSOs, and more comprehensive inclusion of their concerns, in regular forums such as donor roundtables and PRSP reviews.

Donors also undertook to reorganize their thematic groups to respond to some of the issues raised in their report on implementing the Paris Declaration, including establishing a new 14-member Thematic Group on Civil Society in February 2008. This group’s mandate is to coordinate and facilitate dialogue between government, donors and civil society and to coordinate and harmonize dialogue with and support for CSOs among donors.

Extracted from: National Consultations on Civil Society and Aid Effectiveness in Mali Case Study (2008).
55. Additional examples that illustrate space for CSO voice in international or regional-level forums are provided below.

**Box 14 - UNDP’s CSO Advisory Committee to the Administrator (Recommendation 2)**

UNDP’s CSO Advisory Committee to the Administrator was established in 2000. Its overarching purpose is to advise and guide UNDP’s Administrator and senior management on UNDP’s directions. It plays a role in monitoring select policy implementation and advocacy efforts, as well as piloting CSO-UNDP initiatives. The committee provides a principal forum “for frank dialogue between civil society leaders and the UNDP Administrator and senior management on key development issues” (UNDP 2006, pg. 31). In addition to providing advice, committee members also participate in UNDP-led missions on substantive issues, such as one to Bangladesh on indigenous peoples, and co-sponsor events such as roundtables at the World Social Forums in 2002 and 2003.


**Box 15 - The Economic, Social and Cultural Council of the African Union (Recommendation 2)**

Established under the provisions of Articles 5 and 22 of the African Union’s Constitutive Act, ECOSOCC – the Economic, Social and Cultural Council of the African Union – is the vehicle for building a strong partnership between governments and all segments of African civil society. The Statute of ECOSOCC, adopted by the Heads of State and Government at the Third Ordinary Session of the Assembly in July 2004, defines it as an advisory organ of the African Union composed of different social and professional groups of the Member States of the African Union [Assembly/AU/Dec.42 (III)]. The composition of ECOSOCC, launched in 2005, is intended to include African social groups, professional groups, non-governmental organizations (NGOs), and cultural organizations. ECOSOCC elects one hundred and fifty CSOs from national, regional and diaspora bodies to its General Assembly, reflecting the principles of gender parity and youth representation.

Observers from African civil society laud ECOSOCC as “a[n] historical opportunity for the formulation of a new social contract between African Governments and their people...a positive move and...a way of involving ordinary citizens of Africa in decision and policy-making processes of issues that concern their daily lives” (Mutasa nd).

Based on: African Union (no date), Mutasa (no date).

**Box 16 - The GAVI Alliance and Civil Society (Recommendation 2)**

The GAVI Alliance is a global partnership of public and private sector resources with a shared focus: to improve health in the poorest countries by extending the reach of quality immunization coverage within strengthened health services, providing long-term, predictable support.

Within the GAVI Alliance, CSOs are important partners in improving access to immunization and child health, also contributing to reaching internationally agreed Millennium Development Goals. CSOs include nongovernmental organizations, community-based groups, academic institutions, professional organizations, faith-based organizations, women's organizations as well as technical and research institutions.

CSOs have had a seat in the Alliance Board from GAVI’s inception and are also represented in a number of GAVI task teams and advisory bodies. In developing policy and deciding on new investments, CSOs are increasingly consulted. To strengthen the voice of civil society in the GAVI Alliance and to have a more representative input from civil society into GAVI governance, policy development, and other processes, the GAVI Alliance is currently in the process of building a civil
society constituency. This work is guided by GAVI's civil society task team, which includes CSOs involved in both advocacy and service provision at global and national levels.

At country level, CSOs play key advocacy and service provision roles. In countries' implementation of current GAVI support civil society is often involved, both in shaping health services through advocacy and participation in health plan development, and directly in service provision.

To support CSOs in performing these roles, the GAVI Alliance Board has decided to invest US$ 30 million in CSO support. Funds are available (a) to strengthen coordination and representation of CSOs in each of the 72 countries currently eligible for GAVI support, and (b) for civil society involvement in health system strengthening. More details are available in the guidelines and other supporting materials at:
http://www.gavi alliance.org/support/how/guidelines/index.php

The first disbursement of GAVI CSO support was made in early 2008, and GAVI aims to learn from experiences to further develop support for civil society.

Extracted from: The GAVI Alliance Case Study (2008).

56. The World Bank, subject to no small amount of civil society critique and protests over the years, has given some thought as to how it can engage more effectively with CSOs. The Bank organizes forums for staff to learn about the roles, nature and perspective of CSOs and constructive ways to engage with them. Joint training with CSOs, staff exchanges and secondments are suggested ways of “building mutual understanding and more constructive relations” (World Bank 2005, pg. 32). However, experience suggests a shortage of serious commitment to engage, particularly with CSOs that challenge the Bank’s policy influence in developing countries.

57. Policy dialogue spaces that are conducive to effective CSO participation feature a few key characteristics. Guidance suggests that such spaces:

- are regular and systematic – to allow all those engaged in the dialogue to have adequate advance notice of upcoming dialogue in order to sufficiently prepare their analysis and positions;
- take place at and/or cover all stages of the policy process – issue identification, agenda setting, policy design, implementation, monitoring and evaluation;
- are designed in a transparent manner that is inclusive of CSOs – so the process is responsive to CSO methods and capabilities, and that all stakeholders are clear on the rationale for the dialogue process that is negotiated, including the process for selecting CSO participants;
- begin with the establishment of shared principles – such as the value of each stakeholder group’s voice, mutual respect, inclusiveness, accessibility, clarity, transparency, responsibility, accountability (VSI 2002);
- are accessible to participants – accessible in terms of geography, language and physical ability;
- are inclusive of a broad range of CSOs – so that a broad range of people that CSOs serve or represent are present;
- have internal and external feedback mechanisms – to inform CSO participants and those inside the agencies responsible for policy-making, whether and how CSOs’ inputs influenced policy development; and
are adequately resourced – including resource allocations for both policy-makers and the CSOs with which they wish to engage, as well as incentives for dialogue outcomes within which CSOs’ views are taken up.

58. Our emphasis so far has been on formal spaces for CSO engagement in policy dialogue. However, there are many other avenues through which CSOs articulate their voices to influence policy. CSOs are “policy entrepreneurs” whose voices derives not only from advocacy, but also from their work as service providers from which they often gain legitimacy to articulate their views (Najam 1999). An example of CSOs’ voice being heard outside of formal structured spaces for dialogue is provided from Indonesia.

Box 17 - Farmers Lobby for Smallholder Plantation Debt Relief in Indonesia (Recommendation 2)

Marhendi – Serikat Tani Bengkulu (STAB) was an Asian Development Bank (ADB)-funded rubber cultivation initiative involving small landholders in Indonesia. In the project, the government committed to providing high quality crops to the farmers for planting and care, while the farmers were required to sign a debt contract with their land certificates as collateral. Farmers were also provided with fertilizer, guidance and drainage over the seven years of the project between 2000 and 2007. The initiative was financed through a loan agreement between the government and the ADB.

Issues arose during the project’s implementation that put the farmers’ livelihoods at risk. Instead of being provided with high quality crops, the farmers received local rubber plants with false certification labels. A myriad of other issues of mismanagement arose, and two of the project heads were jailed in 2002.

In that same year the people, through the farmer’s union and with the assistance of a lawyer, filed a complaint to the Department of Agriculture. They formed a strategic alliance of farmers, the Faculty of Agriculture of the University of Bengkulu, and the governor of the province to elaborate specific recommendations to the department backed by research and analysis of the farmers’ experience. In addition to attempts at dialogue with the government, the farmers and CSOs frequently resorted to demonstrations to advance the cause.

In 2006, the farmers went to the capital to push the Department of Agriculture, and to the Minister for Finance, to respond to their requests. The farmers were eventually successful in lobbying for the government to respond to their three recommendations for return of their land certificates, payback of Rp 15 million per family, and debt cancellation.


RECOMMENDATION 3A – F: MORE WORK SHOULD BE UNDERTAKEN BY ALL STAKEHOLDERS TO DEFINE THE CONDITIONS REQUIRED FOR THE VOICE OF CIVIL SOCIETY TO BE EFFECTIVE AND TO MAXIMIZE THE VALUE OF THEIR CONTRIBUTIONS TO POLICY DIALOGUE.

59. A considerable body of case study literature has been produced by CSOs themselves, independent observers, and multilateral bodies that have sought to increase their engagement with CSOs in dialogue. Key success factors that emerge from these studies affirm that CSO effectiveness in policy dialogue is a combination of CSOs’ own attitudes and practices as well as the attitudes and practices of those with whom CSOs seek to engage. Of course, not all of the factors influencing CSO effectiveness in policy dialogue come down to practice; they also include the political context, cultural influences, and the socio-economic environment (Young 2006).
Two cases of CSO attempts at policy influence at international levels are described here, that of the Jubilee 2000 campaign and the World Commission on Dams previously referenced. While the latter case demonstrates some success in terms of civil society’s influence in the creation of the World Commission on Dams, there has been less success in terms of actual influence on the World Bank’s dam-related policies and programs.

Box 18 - The Global Jubilee 2000 Campaign (Recommendation 3a-f)

Jubilee 2000 was a global campaign launched in the UK in the early 1990s. A decentralized country-based coalition of non-governmental development organizations, faith-based organizations and labour groups, the Jubilee 2000 campaign saw considerable success in its call for debt cancellation to make more resources available for poverty reduction in debt-burdened countries. The Jubilee 2000 campaign in Uganda, for example, not only saw results in terms of debt cancellation for that country; it also carved out a role for CSOs in dialogue and monitoring of government spending of the newly freed financial resources. Key success factors identified by CSO activists engaged in the campaign include:

- expertise and sophistication of policy analysis and proposals;
- use of the Internet, facilitating wide, inexpensive and timely communications;
- popularization of a complex issue, and use of moral claims;
- strategic seizing of opportunities such as the approaching millennium; and
- mobilization of media attention and popular personalities to champion the cause.

The campaign is noted for its broad base and deep reach internationally, including into the developing country CSO community. Still, one of Jubilee 2000’s key challenges has been to address the imbalance between Northern and Southern CSO members in terms of access to resources, information and decision-makers.


Box 19 - The World Commission on Dams (Recommendation 3a-f)

The World Commission on Dams (WCD) was arguably the most innovative success of the transnational campaigns to reform the World Bank in which the transnationally allied civil society efforts to transform big dam building practices were a centerpiece. The Bank had been the central international aid agency (and thus motivated and supported many other aid agencies) promoting big dam building as a development strategy from the 1950s through the 1980s. As part of the broader multilateral aid campaigns of the 1980s and 1990s, these groups compelled the Bank to quite dramatically alter its lending for these projects as well as adopt extensive policies and mechanisms on resettlement, indigenous peoples, environmental management, information disclosure, monitoring and grievance appeals.

The World Bank did not conduct a systematic assessment of its support for big dam building until the mid-1990s, and then again only as a result of the pressure of transnationally allied civil society groups. The coordinated and sophisticated criticism of that self-assessment led to the creation of the World Commission on Dams (WCD). Despite the challenges ultimately faced in terms of the World Bank taking up the consensus-based recommendations of the WCD, establishment of the WCD was the first time that civil society groups and, for that matter, private sector interests, directly engaged the issue of big dam building in the context of sustainable water resources development alongside governments, international organizations, and other stakeholders.

61. Some of the factors that condition the effectiveness of CSOs’ voice in policy dialogue include:

- clarity of objectives – clarity on where opportunities for negotiation exist and a willingness to be flexible as the goalposts change and understanding evolves;
- a diversity of approaches – there is no single best strategy or tactic; much depends on context and on the diverse views and experiences of the CSOs engaged. A combination of “inside the tent” and “outside the tent” tactics is worthwhile to cover the range of less to more transformative positions (Khagram 2008);
- strategic alliances – that are linked vertically between local, national, regional and international levels, and horizontally, between CSOs and other actors;
- sound evidence and analysis – that is grounded in and inclusive of the voices of those the policy will impact;
- proposals for solutions – that are positive and creative alternatives; and
- CSO legitimacy – evidenced in CSOs’ accountability and transparency (adapted from Gaventa 2001, Khagram 2008).

62. Two of the most oft-cited challenges for CSOs to effectively influence policy are their capacity to do so, and perceptions of their accountability and thus legitimacy to speak for the people they claim to serve or represent. Practice and experience related to these two subject areas are covered in more depth in the discussions of local and democratic ownership (capacity), and mutual accountability and CSO partnerships respectively (accountability).
ENRICHING AND IMPLEMENTING THE PARIS PRINCIPLES

63. In this section we highlight experience and practice that illustrate possible directions for the implementation of enriched Paris principles.

64. The AG-CS over-arching recommendations on the subject of enriching and implementing the Paris principles are that all stakeholders:

**Recommendation 4A:** Recognize the character of the Paris Declaration as a historic agreement between donors and developing countries at a particular point in time, to address a particular set of issues and mutual obligations;

**Recommendation 4B:** Deepen understanding and application of the Paris Declaration principles in ways that emphasize local and democratic ownership, social diversity, gender equality, and accountability for achieving results of benefit to poor and marginalized populations as essential conditions of effectiveness.

65. While it is important to include these recommendations here, we have found that the cases available to us are better used to illustrate more specific recommendations, and we do not present any cases that broadly illustrate these two recommendations.

LOCAL AND DEMOCRATIC OWNERSHIP

**Recommendation 5:** A return to basics regarding the ownership principle, including a change of vocabulary away from the commonly used expression “country ownership”, which the AG-CS considers misleading. More accurate would be an expression such as “local and democratic ownership” which emphasizes ownership not just by central government agencies, but also by parliaments, local governments, citizens, communities and CSOs.

**Recommendation 6A:** Significantly broadening the range of stakeholders engaged in the design, implementation and assessment of development strategies, programs and initiatives, including parliaments, local governments, citizens, communities, and CSOs.

66. The examples available to us focus primarily on recommendation 6a. We seek to answer the following question:

*How does the respect and promotion of “local and democratic ownership” manifest itself in different cases involving CSOs?*

67. We focus first on civil society engagement in what have been government-led national development plans, embodied in PRSPs (Poverty Reduction Strategy Papers) and accompanying sector strategies.

68. According to a seven-country study of African PRSPs, processes of public engagement in PRSP development have, on the whole, opened democratic space for domestic policy dialogue (Booth 2003). Yet various civil society critiques of PRSP processes suggest that more progress is needed in this regard (e.g. Christian Aid 2001, Whaites 2002). The World Bank has acknowledged that “significant constraints to meaningful participation remain in many countries” (World Bank 2005, pg. 26).
69. A key challenge in broadening national development agendas lies in making this policy
development process inclusive of a broad range of CSOs, from national and sub-national levels,
as well as representatives from traditionally marginalized sectors such as women’s groups, and
more amorphous forms of civil society such as social movements.

70. This challenge reflects the reality of civil society where diversity is a strength, not a
weakness. As summarized in the report from the AG-CS’ International Forum, “individual CSOs
are not representative [of the population]—they draw their legitimacy from the way they
represent the interests and values of their constituencies, and from their expertise and credibility.
Civil society as a whole is marked by diversity, complexity, and a broad representation of social
interests...[those of] poor and remote communities, women and children, indigenous peoples,
people with disabilities” (Saxby 2008, pg. ii).

71. Having in place transparent processes for the selection of civil society participants in
dialogue on national and sector strategies can help to foster broad coverage, especially if civil
society is part of that selection process. However, issues of exclusion due to the practicalities of
geography, or to social, cultural or economic factors, of capacity, and of political can all
influence how participation plays out in practice. Networks and coalitions can play a role in
harnessing and synthesizing the inputs of many stakeholders, but further exploration is required
to identify effective methods to tap into the voice of a broad range of civil society actors.

72. The example of FEMNET shows how one CSO coalition representing a marginalized
community was able to engage in the PRSP process in Kenya, bringing to bear some influence
and as such, increasing their constituency’s ownership of the PRSP. Additional examples of CSO
and citizen engagement, ownership and influence are provided at the sector level in education in
Burkina Faso, in Senegal’s Loi d’Orientation Agro-Sylvo-Pastorale du Sénégal, and in the
UNDP-led ART Initiative. Each of these cases also speak to the recommendations to create an
enabling environment for civil society, particularly that of establishing mechanisms for multi-
stakeholder dialogue.

Box 20 - Engendering Kenya’s PRSP (Recommendation 6a)

As part of the PRSP development process in Kenya, the government, in response to lobbying from
women’s organizations, established the Gender Thematic Group (GTG) with participation from
FEMNET and other actors. The aim of the GTG was to ensure that gender concerns were clearly
and adequately addressed in the PRSP and Medium Term Expenditure Framework (MTEF)
process through women’s effective participation at all levels.

The GTG managed to influence the PRSP both in process and content. For the first time in Kenya,
gender issues were identified as crosscutting, and concerted efforts were made to engage women
and women’s organizations in the dialogue. The GTG mobilized women’s participation and
inclusion of gender issues in Sector Working Groups at the national level. They mobilized women’s
participation in district-level consultations where they put forward concerns and measures that
should be taken to improve their status. At the community level, participatory poverty assessments
(PPAs) were carried out in 10 districts, with guidelines to strive for equal participation of women
and men, and to work in local languages to ease access. The PPA reports captured the voices of
poor women and their experiences of poverty, particularly lack of access to and control of land,
resources and benefits accruing from land, and included a section on gender.

Overall, the role played by CSOs in the consultative process, including at grassroots level, added
value and legitimacy to the exercise, and contributed significantly to its eventual success. A broader
ownership of the PRS has resulted, though women’s organizations draw attention to the need for
better effort in future to involve women and their organizations from the initial stages of such a process rather than as an add-on. They also draw attention to the need for capacity development both of women’s organizations in monitoring and evaluation of the budget, and of government officials in integrating gender. At the policy level they call for adoption and implementation of a national gender and development policy to provide the legal framework for the integration of gender perspectives in all government policy and planning.


Box 21 - Cadre de Concertation en Éducation de Base in Burkina Faso (Recommendation 6a)

In Burkina Faso, CSOs were initially marginalized in the policy discussions that led to the formulation of the education sector plan in 2002. Teachers’ unions in particular were excluded because of the government’s recognition of their opposition to aspects of the plan. Burkina Faso has since developed a national education CSO coalition, the Cadre de Concertation en Éducation de Base (CCEB), which is relatively cohesive and effective. CCEB is especially active at the regional level, which now is the location of much education decision-making. Its members work cooperatively and effectively to generate civil society voice on issues of gender, curricular reform and regional planning. CSO consultation at the national and regional levels in Burkina Faso is now routine, with CCEB playing a role in relating regional to national levels of decision-making.

However, in contrast to many other civil society coalitions, CCEB has not made universal free access to primary education a central part of its mobilization efforts. Some critics argue that CSO participation is a form of co-optation because it has essentially strengthened the legitimacy of educational policies that have been determined by central government and a cohort of international donor agencies. Still, there is evidence that through the formal and informal mechanisms that have been put in place since the education strategy was launched in 2002, the role of civil society in educational governance is gradually increasing. A unique feature of the Burkina sector program has been the formalization of space for CSO initiative through the establishment of a CSO-government governed pooled fund for non-formal education projects.

The CCEB still faces some challenges, such as a limited capacity for monitoring national educational quality and equity issues, and a limited ability to engage a wider public on education issues, but they, along with other CSOs, are attaining space to articulate demands that may have a long-run influence on education policy and modalities.

Extracted from: Education SWAps in Africa: Lessons for CSOs Case Study (2008).

Box 22 - Rural and Peasant CSOs Involvement in the Loi d’Orientation Agro-Sylvo-Pastorale du Sénégal (Recommendation 6a)

The Loi d’Orientation Agro-Sylvo Pastorale du Sénégal (LOASP) was designed with widespread popular participation. In March 2003, the government made public a first version of the legislation, which met considerable opposition. In response, the government put in place a collaborative process toward elaboration of a policy engaging rural and peasant organizations, NGOs, elected officials and donors. To help inform this process, the Conseil National de Concertation et Coopération des Ruraux (CNCR), a CSO of Senegalese agriculturalists, organized a dialogue with its members involving 3,000 agricultural producers in all regions of the country over a four-month period. Their goal was to develop a counter-proposal to the draft legislation.

While the legislation has yet to be implemented, there is evidence that through their counter-proposal and ongoing participation in the consultation process, the CNCR was able to influence the revised legislation as were other CSOs engaged in the process. Elements of their success include the following:
Agricultural reform will target increasing competitiveness and productivity with the objective of ensuring food security, rather than the objective of rivaling production in other countries.

All rural economic activities are addressed in the legislation, not simply agriculture.

Small-scale household economic activities, such as animal husbandry, are addressed and distinguished from industrial and commercial activities.

The participatory manner in which LOASP was developed represents a first in West Africa. Other countries, Mali and Burkina Faso in particular, have followed suit. Of note in the CNCR’s approach was the extensive, nation-wide nature of their consultation process. They began with village level meetings at which representatives were appointed to participate in departmental meetings, where representatives were in turn selected to attend regional meetings and then proceeded up to the national committee. Also noteworthy is that the CNCR demanded more time for consultations than initially proposed by the government, allowing for capacity development for key players as well as for evidence gathering and the elaboration of a sound counter-proposal.

The large-scale mobilization and consultation with rural dwellers has reinforced the power of this sector of the population, and the legitimacy of the CNCR as “porte-parole des paysans”. The government has benefited from a participatory process inclusive of more than simply the representatives of CSOs, networks, and donors.

Extracted from: Processus national de définition et d’application d’une politique publique sectorielle: le cas de la Loi d’Orientation Agro-Sylvo-Pastorale du Sénégal Case Study (2008).

Box 23 - Defining a Shared Vision for Local Development (Recommendation 6a)

The ART Initiative is a multilateral cooperation initiative that brings together programs and activities of several United Nations Agencies and other donors in specific countries (Albania, Colombia, Cuba, Ecuador, El Salvador, Guatemala, Indonesia, Lebanon, Morocco, Nicaragua, Dominican Republic, Sri Lanka, and Uruguay, with preparations under way for implementation in Bolivia, Mozambique, Senegal and Serbia).

The country programs associated with ART adhere to a vision of ownership which goes beyond that of national governments to include a wide democratic and public process that includes national and local governments, and the spectrum of organized civil society, which ART refers to as “social actors” – women’s and community organizations, producers’ associations, professional associations, trade unions, cooperatives, independent media, universities and research centers, youth groups, faith-based organizations and development NGOs.

One of the most important elements of the initiative is the creation of an operational mechanism for planning in which local institutions and all social actors present in the given territory (municipality, province, etc) come together to define a shared vision of their territory and set the priorities that the program will address locally. As part of this process, that program helps put in place a methodology for participation to analyze needs, potential resources, problems and priorities involving even the most marginalized people. Several tools have been used, including community needs and resource mapping (www.yorku.ca/hdrnet). This analysis leads to the determination of priorities for international cooperation. It is seen as a complement to other public policy processes, such that the priorities should reflect and contribute constructively to these.

As the priorities are articulated they are reflected in a “territorial marketing document”, or “lignes directrices”. With these documents, which are more than a mere shopping list, the UNDP and its partnership, through the international networks that ART works with, facilitate the identification and contact with potential development partnerships, which may be other municipalities or regional government and elected bodies, or CSOs. In this way, the developing country partner has
the opportunity to learn about different ways of addressing a specific challenge they are facing, and are able to establish a wide range of partners to resolve these challenges.

Extracted from: The ART Initiative (UNDP and other participating UN agencies) Case Study (2008).

73. Broadening the range of stakeholders involved in implementing development strategies, programs and initiatives is demonstrated in the Burkina Faso case, where a CSO-government pooled fund has been established to create space for CSO initiatives in non-formal education. CSOs are enabled to contribute to meeting broad national development objectives in a way that is complementary to -- though perhaps not completely under -- the rubric of a national development plan. This approach makes room for innovation, and for adaptation to local contexts and to priorities and approaches that CSOs can define with their constituents.

74. Another example stems from World Vision’s Fight TB program in Indonesia. Tuberculosis control was a component of the government’s health strategy; however, the free TB services available through the local government health centres were not being used. Communities did not trust government health services, and preferred to go to traditional healers when faced with health problems. World Vision began to sensitize communities and found them receptive to learning about TB and treatment. The organization set up a system of “treatment partners”, with two volunteers from TB-affected communities paired, through the local Ministry of Health, with newly detected TB patients to ensure they followed treatment correctly. Over time, with sensitization and increasingly successful incidence of treatment, community members’ confidence in the government’s TB services, and in some ways therefore their ownership of it, grew. Fewer patients with full-blown TB were being seen in hospitals; instead, they were receiving treatment from community health clinics. World Vision’s observation from the Fight TB program is that “ownership must be simultaneously a top down and bottom up process” (World Vision Case Study 2008, pg. 9).

75. Engaging a broad range of stakeholders in assessing development initiatives means involving them in monitoring how these are being implemented and whether implementation is delivering results.
RECOMMENDATION 6B: RECOGNIZING THAT OWNERSHIP OF SPECIFIC INITIATIVES AND PROGRAMS MAY INVOLVE LEADERSHIP BY DIFFERENT ACTORS, INCLUDING NATIONAL GOVERNMENTS, DECENTRALIZED GOVERNMENT BODIES, OR CSOs.

76. This recommendation suggests that the ownership principle can be applicable to civil society’s own initiatives. This subject is elaborated with examples in the final section of this paper on good donorship.

RECOMMENDATION 6C: REINFORCING DIFFERENT STAKEHOLDERS’ CAPACITY TO EXERCISE OWNERSHIP THROUGH CAPACITY DEVELOPMENT INITIATIVES AND SUPPORT FOR DEMOCRATIC PROCESSES.

77. There is a vast body of literature on capacity development written for and by CSOs and capacity development providers. More on the subject and on mechanisms that donors can put in place to strengthen civil society and CSO capacity are discussed in the section on good donorship. A couple of examples specific to capacity development of civil society to pursue local and democratic ownership are provided here, while other examples are found elsewhere in the paper, such as that of CARE Peru and ForoSalud previously seen, or of Concerned Citizens of Abra for Good Government featured in the section on accountability. The examples previously provided of broadening the range of stakeholders involved in development strategies and programs demonstrate the type of democratic processes that can be supported in keeping with this recommendation.

78. One area for further exploration is that of reinforcing government capacity to facilitate CSOs’ pursuit of local and democratic ownership. In much of the world the relationship between government and civil society is dynamic, wavering between suspicion and collaboration, and often characterized by convenience rather than commitment to true inclusion. Reinforcing government capacity therefore needs to address more than systems or processes to enhance ownership, but also understanding and attitudes with regard to CSOs’ roles and voice.

Box 24 - The Rights and Voices Initiative in Ghana (Recommendation 6c)

The Rights and Voices Initiative (b) in Ghana is a five-year DFID-funded granting program that brings together grantees for mutual training and learning. RAVI is targeted at strengthening the voices of people living in poverty and marginalization to engage with government on fundamental human rights issues. It supports the organizations of these populations and the civil society organizations that work with them to advocate and dialogue with government with confidence. It is about citizens engaging with their government on issues of importance. RAVI does this by providing financial resources and capacity building support to CSOs. Both large and small CSOs are eligible for support, but small community-based organizations will be reached and supported through larger intermediary organizations. RAVI works with its grant partners on a wide range of rights-based capacity building needs in financial accountability and planning, rights-based approaches, monitoring and evaluation, people-centred advocacy and citizen-government engagement.

Box 25 - Access to Information for Strengthening Civil Society’s Capacity to Influence Policy with PACT Tanzania (Recommendation 6c)

Pact is a U.S. NGO focused on strengthening the capacity of local organizations and leaders to address critical social and economic needs of vulnerable groups. One component of their USAID-funded work in Tanzania is on access to information as a way to increase CSOs’ organizational effectiveness. Through this initiative, Pact produces a number of plain-language user-friendly resources, such as the Legislative Roadmap: A Guide for Civil Society Organizations in Tanzania. The guide, produced in collaboration with their partner, the Lawyers’ Environmental Action Team, addresses many aspects of the policy and legislative framework in the country, such as the distinction between civil and criminal law, rights and responsibilities enshrined in the constitution, and the policy-making process. Another example is their Media Guide: A Handbook for Tanzanian Civil Society, developed in collaboration with the Tanzania Media Women’s Association, which aims to enable CSOs to understand the media and its channels in order to better promote the visibility of their work and bring out their public voice.

For more information visit: http://www.pactworld.org/cs/institutional_strengthening

Extracted from: Pact (no date a), Pact Tanzania (no date).

RECOMMENDATION 6D: A NEW APPROACH TO CONDITIONALITY IN WHICH DONORS EMPHASIZE THEIR ROLE IN FACILITATING POLICY OPTIONS THAT ARE DEMOCRATICALLY DEVELOPED AND DISCUSSED, AND INVEST IN STRENGTHENING THE CAPACITY OF GOVERNMENTS, PARLIAMENTS AND CSOS TO DEVELOP LOCALLY-OWNED POLICY SOLUTIONS.

79. Experience and practice related to this recommendation has not been readily available at the time of writing this paper. Further exploration is required to determine what this can look like, though steps to strengthen local and democratic ownership begin to pave the path toward a new approach to conditionality.

ALIGNMENT

RECOMMENDATION 7: THAT ALIGNMENT BE UNDERSTOOD BROADLY TO MEAN ALIGNMENT WITH THE PRIORITIES OF DEVELOPING COUNTRY COUNTERPARTS AND EMPHASIS ON THE USE AND STRENGTHENING OF COUNTRY SYSTEMS BROADLY UNDERSTOOD. EFFORTS TO DEVELOP AND USE COUNTRY SYSTEMS SHOULD EXTEND BEYOND CENTRALIZED GOVERNMENT MECHANISMS TO OTHER PARTS OF GOVERNMENT, DECENTRALIZED AUTHORITIES, AND CSOS.

80. This recommendation follows from those on the subject of local and democratic ownership. It suggests that governments and donors need to align their efforts with a broader base of counterpart priorities.

81. In this section we seek to answer the question:

How does the respect and promotion of alignment broadly understood manifest itself in different cases involving CSOs?

82. Extending efforts to develop and use CSOs means supporting them to implement initiatives that are locally owned by CSOs and their constituents. It is necessary to acknowledge that such initiatives may themselves not align fully with a government’s development priorities, and by extension, with a donor’s areas of focus. Supporting country systems in the form of CSOs thus requires a responsive and flexible approach to meet needs identified by CSOs, often but not always in a decentralized fashion.
83. To emphasize the rationale for developing and using CSO systems and priorities it is worth returning to examples of CSOs’ roles and results as laid out in the section on recognition and voice. When it comes to CSO voice for example, the gender equality message that FEMNET brought to the PRSP dialogue was not among the government’s initial priorities, but was certainly aligned with the priorities of FEMNET’s membership. It added value to the PRS development process and to the substance of the final document, increasing its likelihood of targeting development results to women and children. In another example, the Jubilee 2000 campaign’s debt cancellation message was not likely to have been among donor country priorities. Though it may well have been a topic of priority interest to aid recipient countries, they may not have felt in a position to pursue the message in such a forthright manner as their CSO allies. Initiatives such as that of Butoke successfully address needs identified at a decentralized level, and do so from a holistic perspective, some aspects of which may align with the government’s PRS priorities and others not. In each of these cases, the key feature of alignment was with priorities identified by CSOs.

84. While efforts to develop and use host country systems in the form of CSOs can thus mean support to CSOs’ priorities, it can also mean working with CSOs as partners in implementing national development plans and priorities. The example of the Aga Khan Foundation’s Coastal Rural Support Program (CRSP) in Mozambique featured in the section on coordination and harmonization demonstrates this well. CRSP is a multi-sectoral, integrated rural development initiative that is targeting priorities articulated in the government’s PRSP and sector strategies in agriculture, health and education. It is doing so in a way that is decentralized and caters to the particularities of the region of intervention - the Cabo Delgado province, which is one of the poorest in the nation. One of CRSP’s strategies is to strengthen local government and local CSOs, particularly the 400 community groups the program reaches, including agricultural associations, savings groups, water committees and village development organizations.

85. Two additional cases from Mozambique are illustrative of how CSOs’ work can add value by feeding into (though not necessarily fully align with) government plans and priorities, while also being responsive to the priorities and context of their constituents.

**Box 26 - Setting the Course for the Education Sector in Mozambique (Recommendation 7)**

_Associação Progresso_ and CODE have been working to increase the quality of education in the two Northern provinces of Mozambique for over 15 years. The strategy of their joint program, PLEM (Promotion of a Literate Environment in Mozambique), encompasses the provision of reading and learning materials in Portuguese and local languages, including the publication of local titles; creation of school libraries and resource centres; skills development for primary teachers and adult literacy agents on improved teaching methods and bilingual teaching; and training of education officers on planning, in-service training and monitoring of teaching/learning. Funded by CIDA, PLEM is aligned with the government’s education plan. It complements CIDA’s investment in the education SWAp in Mozambique, and builds on previous support and dialogue between CIDA, CODE and _Progresso_ through its Canadian Partnership funding mechanism.

The close and active participation of provincial and decentralized levels of the education system, and of _Progresso_’s membership in both provinces, has allowed this initiative to build on the specifics of each province, and the needs of the different socio-cultural groups found within them. As a CSO, _Progresso_ has had more flexibility, and the experience, knowledge and capacity to experiment with new education approaches in a way that is not viable for national government structures. They have been able to test initiatives such as bilingual education, and share what they
have learned with government and with other CSOs. Indeed, the Mozambican Ministry of Education and Culture’s decision to implement bilingual primary education was informed by the CSO experience. In this case, donor funding of CSO programs clearly complements and enriches government programs.

Extracted from: Lessons of a CSO Project and the SWAP in Education in Mozambique Case Study (2007).

Box 27 - The Cost of Marginalizing Indigenous Organizations in the Fight against HIV/AIDS (Recommendation 7)

Salama, a local public health NGO in Mozambique addressing HIV and AIDS, has developed a national reputation for innovative awareness-raising programs. These involve popular theatre, puppet theatre, skits on trains, debates and the showing of films pertaining to HIV and AIDS in neighbourhoods and schools, radio programs designed by teenagers for youth, talks at schools and during halftime at soccer games. SALAMA also runs a homecare program that trains local people as volunteer caregivers to build the capacity of families to look after their chronically ill family members. In addition to providing training in the care of the chronically ill, the program also develops capacity in sustainable agriculture, food security, and better nutrition aimed at complementing the needs of families affected and infected with HIV and AIDS.

SALAMA and other similar NGOs with extensive local knowledge were not included in a meaningful way in the country’s national health programming.

In Mozambique, targets in the public health sector, including programs addressing HIV and AIDS, have not been reached despite rising donor funding to the government. The approach taken has marginalized Mozambican public health NGOs with specialized local knowledge and experience. A significant result has been failure to read the local context and culture and thus not correctly diagnosing a key driver behind HIV transmission, that of long-term concurrency (i.e. maintaining a small number of simultaneous, long-term partners). This has resulted in less effective programs and campaigns, that provide confusing messages, and complicate the work of local NGOs whose messaging is based on an understanding of the moral rules of the game in Mozambique rather than associating the transmission of HIV with ‘reckless’ behaviour (beer drinking, prostitution).

Donors and governments would get greater traction in the AIDS struggle by investing in more locally designed and controlled programs run by indigenous NGOs such as SALAMA. These programs feature a variety of local media that make the time to provoke discussion and discuss the complexities of long-term concurrency in a way that is culturally acceptable and in the local language.

**COORDINATION AND HARMONIZATION**

**RECOMMENDATION 8: A BALANCED APPROACH TO COORDINATION AND HARMONIZATION THAT EMPHASIZES THE VALUE OF MORE COMPREHENSIVE APPROACHES TO DEVELOPMENT PROGRAMMING, WHILE ALSO ACKNOWLEDGING THE VALUE OF DIVERSITY AND INNOVATION.**

86. This over-arching recommendation is multi-faceted with five specific sub-recommendations as follows:

- **RECOMMENDATION 9A: RECOGNITION BY ALL ACTORS OF THE COMPLEMENTARY ROLES PLAYED BY GOVERNMENTS AND CSOS AND THE IMPLICATIONS OF THIS FOR ENHANCED COORDINATION AND HARMONIZATION OF GOVERNMENT AND CSO EFFORTS;**

- **RECOMMENDATION 9B: GREATER EFFORTS BY GOVERNMENTS AND DONORS TO SUPPORT THE PARTICIPATION OF CSOS IN GOVERNMENT-LED SECTOR PROGRAMS (INDEPENDENTLY OR UNDER CONTRACT), AND GREATER EFFORTS BY CSOS THEMSELVES TO ENGAGE IN THESE PROGRAMS.**

- **RECOMMENDATION 9C: GREATER EFFORTS BY CSOS TO COORDINATE AND HARMONIZE THEIR ACTIVITIES WITH THOSE OF OTHER CSOS;**

- **RECOMMENDATION 9D: RECOGNITION OF CIVIL SOCIETY STRENGTHENING AS AN OBJECTIVE THAT IS ITSELF WORTH PURSUING IN A MORE COMPREHENSIVE WAY BY ALL DEVELOPMENT STAKEHOLDERS;**

- **RECOMMENDATION 9E: RECOGNITION THAT RESPONSIVE FUNDING FORMULAS CONTINUE TO HAVE AN IMPORTANT ROLE TO PLAY FOR TAPPING INTO THE ENERGY AND INNOVATIVE IDEAS OF CITIZENS AND CSOS AS AGENTS OF CHANGE AND DEVELOPMENT.**

87. The emphasis of this section is primarily on the first two of these specific recommendations (Recommendations 9a and b). Recommendations 9c, d and e are mainly dealt with in the section on good donorship but are also relevant to this section, in particular recommendation 9e regarding responsive funding. Experience and practice related to efforts by CSOs to coordinate their activities with other CSOs is presented in the section on CSO partnerships later in this paper. Recommendation 9d is covered in the section on good donorship.

88. In this section we focus on the following questions:

**What are some examples of governments and CSOs engaging together in program-based initiatives? Are there cases that illustrate the combination of more programmatic approaches with approaches that encourage diversity, innovation, and bottom-up initiative?**

89. CSO engagement in PBAs in roles that are complementary to governments is an important aspect of a comprehensive approach to development as it acknowledges the advantages of diversity, and the value of focused and specialized efforts by different actors. In Mozambique, CIDA contributes to budgetary support and to Sector-Wide Approaches (SWAs) in education and agriculture. Still, they and other donors invest in “a balanced combination of contributions to pooled funds with other donors, and support to decentralized projects that target the most vulnerable” (CIDA 2004 in AKFC 2007, pg. 2).

90. This approach allows donors to support CSO-led initiatives that are outside of but complementary to the relevant government-led PBAs, creating synergies between different aid delivery channels and actors. The *Progresso/CODE* example seen previously in the section on
alignment is illustrative of the benefit of this type of division of labour, as is the example of the Aga Khan Foundation Canada’s (AKFC) Coastal Rural Support Program (CRSP) in Mozambique featured below. Both the Progresso/Code and AKFC examples also demonstrate the value of being responsive to CSOs’ program ideas in keeping with recommendation 72e, and to the innovations they derive within their programs.

91. Additional examples of CSO engagement in government-led PBAs have already been seen such as in the ‘Cadre de Concertation en Education de Base’ in Burkina Faso, or World Vision’s Fight TB Program in Indonesia. While not all of civil society’s programming can or should be aligned with government’s PBA plans, when CSOs are working in a sector covered by government, it is important that they be aware of those plans, and share information and coordinate with government where relevant and possible.

Box 28 - Complementing the National Poverty Reduction Strategy in Mozambique (Recommendation 9a & b)

In the late 90s, the Aga Khan Foundation Canada (AKFC), in collaboration with the government of Mozambique, began the development of a long-term rural development program in the northern region of Mozambique. This initiative was funded through a program grant to AKFC from the responsive Canadian Partnership Branch of CIDA. Based on strong results, support from Mozambique officials, and the constructive dialogue and exchange of ideas emanating from AKFC’s funding relationship with CIDA, the program became the basis for a six-year AKFC program funded by CIDA’s Mozambique program and other donors.

The CRSP takes a long-term, multi-sectoral approach to address the multiple dimensions and causes of acute rural poverty converging at household and community level in the region. Overall, CRSP contributes to the government’s poverty reduction strategy and to relevant SWAPs by building government capacity particularly at provincial and district levels, supporting government’s efforts in enhancing service delivery, developing the capacity of grass roots civil society structures and linking them to local government, and supporting program and policy reforms. As such, the program is not only in line with country priorities but allows government to extend the reach and deepen its programs in ways that are aligned with the needs and realities of local communities. The program has fostered an array of innovative models from community-managed early childhood development to block farming aimed at improving farming practices and preventing animal attacks. The AKFC distils lessons from CRSP and disseminates them to key stakeholders, to inform policy and positively influence practices of government, other civil society actors, and donors.

Of critical importance is the responsiveness and creativity that this model inserts into the framework of the PBAs, harnessing the best assets of government and civil society initiative to enhance the effectiveness and deepen the impact of aid.


92. The Microfinance Investment Support Facility in Afghanistan (MISFA) offers another example, though with the distinction that CSOs are working under contract to implement a PBA on behalf of government. MISFA is a PBA established under the Government of Afghanistan’s Ministry for Rural Rehabilitation and Development as a vehicle through which the government and donors channel technical assistance and funding to build up microfinance and the lower end of the financial sector. The facility funds 15 local microfinance institutions, a combination of CSOs and private sector bodies, to provide financial services including small loans, to poor
Afghans – people who would normally be denied access to such services, particularly women (MISFA Case 2008).

Box 29 - Pooled Funding for Microfinance in Afghanistan (Recommendation 9a & b)

The Microfinance Investment Support Facility for Afghanistan (MISFA) is a multi-stakeholder national program launched by the Government of Afghanistan in June 2003. MISFA is now one of the world’s largest microfinance programs, incorporated as a government-owned company. It is a wholesale facility enabling donors to pool their resources to build the micro-finance sector of Afghanistan by involving international, regional and local civil society and private sector organizations acting as microfinance institutions. MISFA has been providing investment funds to a wide range of these institutions that are committed to providing large-scale financial services to the poor and vulnerable, as well as to building institutional capacity in the microfinance sector and among participating community-based organizations.

MISFA now has over 400,000 active clients, 70% of whom are women, across 23 of the 34 provinces in Afghanistan. Research concludes that the microfinance sector in Afghanistan has led to increased business activity, employment opportunity and assets, as well as improved socio-economic status for women. Weakening security is an ongoing major challenge in the further development of a sound microfinance program and the achievement of sustainable economic development.

The success of MISFA can be attributed to many factors. These include: strong leadership by the government in the beginning, evolving to arms’ length involvement; high quality staff; a flexible, pooled donor funding mechanism that offers capacity building support and funding for microfinance institutions; close alignment with local and national priorities; and a growing local Afghan involvement. The role of local civil society and private sector organizations as delivery agents, and agents of change, is noteworthy, in that they are successfully assisting the poor to access financial services to better their lives.

Extracted from: Microfinance Investment Support Facility for Afghanistan (MISFA) Case Study (2008).

MANAGING FOR RESULTS AND ACCOUNTABILITY

93. The AG-CS makes seven specific recommendations on results management and accountability that can be categorized into three levels: results management models (Synthesis 80a and b); systems of accountability, and emphasizing accountability to beneficiaries (Synthesis 80c to e); and, standards of openness, transparency and access to information regarding aid flows (Synthesis 81a and b).

RECOMMENDATION 10A: ADOPTION OF RESULTS-BASED APPROACHES AND RESULTS-MONITORING MECHANISMS INTENDED AS MANAGEMENT TOOLS TO PROMOTE ITERATIVE LEARNING AND ADAPTATION, WHILE EMPOWERING THE ULTIMATE BENEFICIARIES OF DEVELOPMENT PROGRAMS;

RECOMMENDATION 10B: ADOPTION OF A MORE MEANINGFUL APPROACH TO RESULTS THAT INCLUDES GREATER ATTENTION TO INDICATORS OF INSTITUTIONAL AND SOCIAL CHANGE AND TO SEX-DISAGGREGATED DATA OF IMPORTANCE TO CSOS OPERATING AS AGENTS OF CHANGE.

94. Here we seek to answer the question:

What are the features of “alternative” approaches to results-based management, and how well do they work? What examples can be cited of efforts by each stakeholder group to promote greater accountability to beneficiaries?
Pockets of practice exist that pursue results management to promote iterative learning and adaptation, while empowering the ultimate beneficiaries of development. Such methods are conducive to ongoing reflection to learn from results achieved or not achieved so that programs can be adapted to reflect knowledge gathered, unintended results, and changing realities, while being inclusive of and accountable to the ultimate beneficiaries of aid. Often these same models seek to reconcile the more rigid demands of traditional results-based management with results management that accommodates “soft” indicators of social change, often developed with program participants.

One such example is that of outcome mapping (OM) developed by the International Development Research Centre in collaboration with partners in West Africa, India and Latin America to better track research results. The emphasis of outcome mapping is on behaviour change, based on the recognition that development is ultimately “done by and for people” (CCIC 2008b, pg. 5). Outcome mapping abides by the four principles of flexibility, complementarity, participation, and evaluation (ibid). An applied case of outcome mapping in the Secondary Teacher Training Environmental Education Programme (StEEP) in Zimbabwe is featured in the box below, as is a description of approaches to monitoring within the World Conservation Union (IUCN) in Asia. One aspect of the emerging Keystone methodology, featured in greater detail in the case book, is comparative constituency feedback that captures the perceptions of an organization’s work by its constituents. The story-based most significant change (MCS) method in which testimonials of change from people directly involved in development programs offers another example. MSC can be implemented without the need for advanced technical capabilities in data collection and analysis. By giving people a role in defining the changes that occur and their significance to them, MSC “helps organizations to understand the effects emerging from their activities, and how and why they are occurring” (Morgan and Baser 2008, pg. 103).

Box 30 - Outcome Mapping in Zimbabwe (Recommendation 10a & b)

The Secondary Teacher Training Environmental Education Program (StEEP) in Zimbabwe, funded by the Flemish Office for Development Cooperation and Technical Assistance, began in 2003 with the aim of integrating environmental education into teacher training. As with most international development programs, the original proposal as well as the planning, monitoring and evaluation (PME) strategies were based on the LFA (logical framework approach). However, as the program progressed, it became clear that the LFA had certain shortcomings and challenges for this program.

- Accountability was directed mainly towards the head office.
- The framework did not address the issues of sustainability of the program.
- The PME systems seemed divorced from the actual program on the ground as local partners did not contribute their perspectives or participate in decision-making and planning.

Overall, the LFA did not allow for the identification and reflection of many other types of results that the program was seeking, nor was it conducive to collective learning.

In responding to these challenges, the program turned to outcome mapping, a framework based on self-assessment and team building, with a participation and process orientation, to allow them to better accommodate the complexity and specific content of the program.

Although it took considerable effort to implement, outcome mapping has made the program’s PME systems more endogenous, exciting, useful, relevant, and transformative. It is proving to be a functional and use-oriented system, facilitating opportunities to allow incorporation of emerging
lessons, new responses to the environment, examination of intended and unintended results, and actively refining the program’s implementation strategies as a result. Rather than focusing on inputs or activities, outcome mapping has allowed St2eep to focus on behaviour change results, and to look beyond achievement of results to how the results have been achieved.

The program has integrated the two approaches, LFA and OM, using them in different ways. LFA is used mainly for accountability requirements and OM for monitoring and at the operational level.

For more on outcome mapping see: http://www.outcomemapping.ca

Extracted from: IDRC (no date) Learning the Way Forward: Adapting St2eep’s planning, monitoring and evaluation process through Outcome Mapping Case Study (2008).

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Box 31 - IUCN’s Parallel Capacity Monitoring Systems (Recommendation 10a & b)

The World Conversation Union (IUCN) in Asia has two capacity monitoring systems. A monitoring and learning officer manages the official system, which reports to donors. It is seen as the cost of doing business with the international community but provides little of interest or value to the management of the organization or to its planning for the future. The unofficial system, on the other hand, is managed by the executive director, who follows it closely. It is mainly informal, personal and collective, with a focus on what is going right and what needs fixing. It also includes spaces for learning where power relationships are suspended – regular management and program reviews, retreats to examine and self-evaluate programs and financial achievements, and regional program coordinators’ meetings. All of these subsystems feed into collective strategic thinking and into the real decision-making processes of the organization. The various mechanisms in the unofficial system help both to build the capabilities of managers to address issues and to encourage their ‘buy-in’ to decisions made. They create capacity through an upwardly rising spiral that benefits from interplay among activities.


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97. A useful step in monitoring progress toward social changes such as increased equality and non-discrimination is disaggregation of data as much as possible – by gender, by socio-economic group or by age, for example. In contexts of weak statistical capacity – whether of government or CSOs – the practice of disaggregation is fairly rare. The report World’s Women 2005: Progress in Statistics found that in 90% of the developing world even basic statistics such as the number of births and deaths are not disaggregated by sex (UNIFEM 2007). Still, some progress is being made in this regard as seen in the example below from Nepal. Where disaggregation is not yet a feasible option, other methods such as the use of qualitative data to capture people’s perspectives on their situations, or stories and case material, are useful ways to track social change (Ferguson 2008).

Box 32 - Capturing Social Exclusion through Data Disaggregation in Nepal (Recommendation 10b)

In Nepal, a World Bank/DFID collaboration on social exclusion identified six categories of data disaggregation which capture “the key axis of differentiation in Nepal, without taking disaggregation to a level that would not be practical for monitoring purposes. DFID is now cooperating with line ministries in Nepal to apply the disaggregation framework to monitoring results in different sectors.

-features of good practice that have emerged from this exercise include:

-investment in research to identify appropriate and relevant categories for disaggregation;

-long-term commitment on the part of funders and implementers; and
98. Beyond the challenge of data disaggregation, the types of indicators that can be used to track institutional and social change are not often prioritized because they tend to demonstrate intangible, often qualitative or process results rather than more easily measurable results that are also more readily communicable to the public and to parliaments.

99. The following general guidance on “alternative” results-based approaches can be offered:

- be sensitive to local contexts and conditions;
- be sensitive to local workloads and timeframes, and the place of the initiative relative to people’s other tasks and priorities;
- seek to measure results of value to participants, with participants;
- be participatory and inclusive;
- take a long-term perspective;
- allow for uncertainty;
- leave room for non-linear forms of causality;
- value qualitative and process results, though these are often intangible; and

100. The AG-CS also recommends:

**RECOMMENDATION 10C: AN APPROACH TO ACCOUNTABILITY THAT EMPHASIZES A REBALANCING OF ACCOUNTABILITY FOR RESULTS IN FAVOUR OF BENEFICIARIES;**

**RECOMMENDATION 10D: REINFORCEMENT OF ACCOUNTABILITY SYSTEMS IN COUNTRY FOR ALL DEVELOPMENT ACTORS (DONORS, GOVERNMENTS, CSOs);**

**RECOMMENDATION 10E: A MULTI-STAKEHOLDER APPROACH TO MONITORING AND EVALUATION THAT INCLUDES THE EFFECTIVE AND TIMELY ENGAGEMENT OF CSOS AND BENEFICIARY POPULATIONS, INCLUDING REPRESENTATION FROM WOMEN’S RIGHTS ORGANIZATIONS AND OTHER SOCIALY MARGINALIZED GROUPS;**

**RECOMMENDATION 11A AND B: ALL STAKEHOLDERS SHOULD ADOPT THE HIGHEST POSSIBLE STANDARDS OF OPENNESS, TRANSPARENCY AND ACCESS TO INFORMATION: DONORS AND INTERNATIONAL FINANCIAL INSTITUTIONS SHOULD COMMIT TO DELIVERING TIMELY AND MEANINGFUL INFORMATION TO OTHER STAKEHOLDERS ON THEIR AID FLOWS AND POLICIES, INCLUDING ODA FLOWS TO CSOS; DEVELOPING COUNTRY GOVERNMENTS SHOULD WORK WITH ELECTED REPRESENTATIVES AND CSOS ON HOW TO ACHIEVE INCREASED TRANSPARENCY OF BOTH OFFICIAL AND NON-OFFICIAL AID FLOWS AND IMPROVED ACCOUNTABILITY FOR DEVELOPMENT RESULTS.**
101. These recommendations are inter-related. Rebalancing accountability in favour of beneficiaries and greater openness and transparency are two ingredients for reinforcing accountability systems, as is a multi-stakeholder approach to monitoring and evaluation.

102. The types of results management approaches featured above such as outcome mapping, most significant change, and Keystone offer ways in which this set of recommendation can begin to be implemented, particularly with an emphasis on accountability within the context of programs and projects.

103. Sound data management with regard to official aid flows, including aid to and through CSOs, is one important dimension of transparency. Sida has put in place a database to track and make public their funding to and through Swedish CSOs (www.sida.se/ngodatabase). Information is available on the country or region of the CSOs’ work, what projects CSOs are running by sector or theme, who their local partners are, and total project budget figures.

104. There have been a number of innovative developments in recent years in the field of what is sometimes called “social accountability” that tend to be used by governments and CSOs to strengthen accountability to beneficiaries in the spirit of openness and transparency. Participatory budgeting, gender budgeting, public expenditure tracking, citizen monitoring and evaluation of government service delivery are examples of mechanisms through which the people living in a country and the CSOs that represent them can take action to hold their governments to account.

105. Evidence of the potential for social accounting to influence behaviour and decision-making of local authorities and government officials emerged from the right-to-information movement in India. The Mazdoor Kisan Shakti Sangathan (MKSS), a CSO in the state of Rajasthan, took up the issue of state failure to enforce the minimum wage on drought relief work projects, or to ensure the availability of commodities through the Public Distribution System, among a myriad of other issues of citizen concern in the region related to corruption, diversion and inefficiency. The MKSS found means through which to obtain and analyze official expenditure information, and through public hearings at which local people give testimony to highlight discrepancies between the official records and their experiences (Jenkins and Goetz 1999). Due to the success of a number of similar initiatives, CSOs in India ultimately pressured the government to instate a Right to Information Act referenced later.

106. Other examples of accountability mechanisms in which CSOs work with governments to access information and monitor the sources and expenditures of financial resources, including but not necessarily limited to aid, are featured below. The cases of the Institute for Democracy in South Africa (IDASA) and the Social Enterprise Development Foundation of West Africa (SEND) in Ghana are featured in the case book and summarized below, as is that of Concerned Citizens of Abra for Good Government (CCAG-CSG) in the Philippines, and findings from gender budgeting experiences documented by One World Action.
Box 33 - Budget Analysis in South Africa (Recommendation 10c, d & e)

The Institute for Democracy in South Africa (IDASA) is an NGO working to support the consolidation of democracy in South Africa by building civil society and governance institutions. The Budget Information Service (BIS)—a major program within IDASA founded on the basis of ensuring “budgets for the poor”— was founded in 1995 in order to provide timely and accessible public policy information on the impact of the budget on poor South Africans. BIS is divided into the following units: the Children’s Budget Unit, the Women’s Budget Unit, the AIDS Budget Unit, the Sector Budget Unit (covering health, welfare, and education budgets), and the Africa Budget Unit.

Women’s Budget Initiative: This initiative researches the link between gender, poverty, and budgets, by illustrating the differentiated impact government expenditure has on women and men, girls and boys. The Women’s Budget project has been operating since 1995, and has had a wide-ranging impact on the creation of similar initiatives in over fifty countries around the world.

BIS is one of the most experienced budget groups around the world. It has played an active role in defining the concept of civil society budget work in developing countries, and has contributed substantial methodological and conceptual innovations to the field. BIS has served as an inspiration to many other groups and has helped develop their potential by lending support, advice and technical capacities.


Box 34 - Holding Government Accountable to Poverty Reduction Strategies with Ghana HIPC Watch (Recommendation 10c, d, and e)

In 2001, the Government of Ghana challenged civil society organizations to serve as watch dogs to the Ghana Poverty Reduction Strategy (GPRS). However, there was no operational framework, guidelines or resources given to civil society to engage with the GPRS processes. It became the responsibility of interested civil society organizations to develop an engagement framework that could enable them to meaningfully influence the government in the implementation of poverty reduction programs.

One of the civil society responses, led by the Social Enterprise Development Foundation of West Africa (SEND), was the Ghana HIPC Watch. The goal of HIPC Watch is to maximize the impact of GPRS on the poor. In 2002, Ghana HIPC Watch covered the 24 poorest districts, but by 2005, it was scaled up to 42 districts. Ghana HIPC Watch uses Participatory Monitoring and Evaluation (PM&E) to promote good governance, accountability and equity in the implementation of the Poverty Reduction Strategy. PM&E involves three components that are planned and implemented in an interrelated manner. These are:

Economic literacy and training, which focuses on mobilizing civil society groups and District Assemblies, and orienting them to the GPRS and its pro-poor policies and programs. The training focuses on building awareness on the core principles of the GPRS which are partnership, participation, good governance and equity. At the end of each district-level sensitization workshop, a multi-stakeholder District HIPC Monitoring Committee was elected. Members of the committee represent farmers, women, youth, persons with disability and local government.

District Monitoring Committees were then trained on the principles of and how to conduct Participatory Monitoring and Evaluation. They developed three monitoring indicators to assess GPRS performance in reducing poverty: accountability, good governance and equity and began to implement PM&E.
The findings and the policy recommendations generated by the Monitoring and Evaluation activities are used by the lobby teams to influence Parliament, ministries, donors and international NGOs. The lobby teams are organized based on priority interest groups: women, persons with disability and Northern Ghana. Lobby events are planned and conducted for each of these groups once every year. The lobbying activities include television appearances, radio programs, newspaper articles and face-to-face meetings. Also the HIPC Update newsletter and Policy Brief serve as platforms for policy makers to access district data and alternative perspectives on the performance of the GPRS.

A key result of this initiative is that for the first time, civil society and government collaboration has been institutionalized at district and regional levels. PM&E has also democratized the implementation of the GPRS because through it, previously excluded groups have become active participants in holding government to account.


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**Box 35 - Monitoring Infrastructure Projects in the Philippines (Recommendation 10c, d & e)**

Concerned Citizens of Abra for Good Government (CCAG-CSG) is a CSO that monitors government infrastructure projects in Abra Province, Philippines. It was formed in 1987 in response to the new government policy to increase community participation in development programs and it received training in project monitoring from the National Economic Development Authority. CCAG-CSG works from government documentation, including approved plans and drawings, work programs, financial information and technical specifications and it holds community meetings to inform citizens about projects in their area. Using local volunteers, experts and staff, CCAG-CSG visits construction sites and documents progress, comparing it against the reports submitted by the contractor upon project completion. CCAG-CSG then submits an audit report, with recommendations, to the appropriate authorities. The government has acted on these recommendations, including ordering a contractor to replace poorly constructed sections of a roadbed at his own expense, and recovering overpayment from another contractor.

CCAG-CSG’s growing expertise in monitoring led to a partnership with the National Commission on Audit (COA) in 2001 to conduct participatory audits. They assessed road repair projects, interviewing project officials, examining available records, making site visits, and holding group discussions with local residents. Community involvement played a key role in verifying the accuracy of expenditures; they were able to prove that early completion of work on one project was due to poor quality construction. COA incorporated lessons from the audit process into its *Manual on the Conduct of Participatory Audits*, including the use of social impact analysis. Unfortunately, the participatory audit exercise was terminated after a change in COA administration, which illustrates the vulnerability of such informal initiatives to shifting priorities.

Extracted from: Ramkumar (2008).
Public Expenditure Tracking Surveys (PETS) are a mechanism for pursuing transparency and accountability from governments. These surveys “track the flow of public funds and material resources from the central government, through the administrative hierarchy, and out to the frontline service providers. The aim is to improve the quality of service delivery at the local level, and the key question that a PETS sets out to answer is: do public funds and material resourced end up where they are supposed to?”, and if they don’t, why not? (Sundet 2007, pg. 2).

In Uganda, PETS formed part of a larger initiative involving publication of financial transfers to local government in newspapers, awareness-raising campaigns and capacity development of local-level stakeholders to understand their rights and empower them to demand them. In Tanzania, the implementation of PETS was not part of such a comprehensive initiative, and due to the absence of political-level acceptance of the findings, CSOs and communities have been limited in their ability to use the results to pursue improved services (Sundet 2007).

Box 36 - Gender-responsive Budgeting in Africa (Recommendation 10c, d & e)

Just Budgets, a program of One World Action, aims to support civil society organizations, Southern governments and donors to track donor and government commitment to gender equality through gender-responsive budgeting (GRB). They have partnered with civil society organizations in four African countries to research and analyze gender budget initiatives (Gender Institute for Democracy, Leadership and Development in Mozambique, Institute for Democracy in South Africa, Tanzania Gender Networking Programme, Forum for Women in Democracy in Uganda).

Gender-responsive budgeting (GRB) analyzes the implications of public spending and revenue-raising for women relative to men and can assist in advocating for changes or shifts in public expenditure to match gender policy commitments. GRB can play an important role in enabling women and other poor citizens to exercise their human rights and to increase government accountability on delivery of public services. It can also help ensure that development assistance, increasingly flowing into partner countries as general budget support, becomes more responsive to gender inequalities in society.

Their preliminary research suggests that while the new aid modalities present entry points for effective gender analysis and mainstreaming, they are not followed through in design, implementation and performance monitoring.

The Just Budgets project has identified key components of a framework to ensure that gender analysis is systematically integrated into budget planning processes. The framework identifies a series of key questions/actions that donors and civil society organizations should consider.

Highlights include:

**Questions for donors:**

- Are the poverty reduction strategies and national poverty plans gender-sensitive? Has allocation for specific gender projects and programs been made? Does the budget show increased allocation for gender-sensitive sectors?

- Is gender monitoring a part of the periodic review process of such instruments as the PRSP and the Joint Assistance Strategy?

- Is the national women’s machinery adequately funded to carry out its mandate?

**Actions for CSOs:**

- Provide input to budget guidelines; engage with budget committees; collect disaggregated data; identify key entry points in the aid budgetary process (power mapping).
- Prepare proposals based on budget guidelines; channel information and data to budget officers; build skill and capacity of budget officers.

- Identify points of entry in various forums such as gender coordination groups; monitor and keep track of global, regional and national aid flows.

- Produce shadow reports assessing performance based on budget monitoring; advocate strategies for effective utilization of aid.

- Produce qualitative studies that show impact; advocate for gender-sensitive impact assessment; advocate for better use of existing gender-disaggregated data.

Extracted from: Just Budgets: Increasing Accountability and Aid Effectiveness through Gender Budget Analysis Case Study (2008).
CSO EFFECTIVENESS

108. The subject of CSO effectiveness both as development actors and as aid donors, recipients and partners and how that effectiveness can be enhanced, evokes challenges for developing country governments, donors and CSOs alike. The forward agenda to address issues related to civil society effectiveness is clearly a multi-stakeholder agenda.

109. An important first step for all stakeholders in seeking to address CSO effectiveness, at least at the country level, is to understand the civil society landscape. A distinction can be made between three forms of civil society “mapping”, the parameters of which depend on how civil society is defined: by organizational form, by function, or by the space they occupy (INTRAC 2008). Mapping has mostly been used by Northern CSOs and by official donors to make programming choices, and can be used too for baseline and assessment purposes (ibid).

110. When the main purpose of civil society mapping is to identify potential CSO partners, an inventory approach is often used to produce a list of CSOs active in different geographic areas and sectors, their activities and capacities. If the design of an inventory, or of any civil society mapping tool, is informed by in-depth knowledge of the local civil society context, it should be able to identify a broad base of diverse CSOs beyond those most active and visible. The UNDP for example has undertaken inventory exercises with the oversight of national-level Civil Society Advisory Committees so that the inventory design is inclusive and contextually appropriate, and findings can be validated (UNDP 2006).

111. To pursue a comprehensive approach to civil society, donors must begin from an understanding of a whole range of aspects. These include the formal and informal linkages between CSOs and with international or regional counterparts; their linkages with government and the private sector; the enabling environment created by government, including attitudes toward civil society; the history of civil society; and local incarnations of civil society, including the informal and sometimes amorphous groupings of individuals or organizations that form in response to specific issues and needs.

112. One way for scoping the civil society landscape in a given country is through collaboration with Northern and international CSOs who have a history of partnerships with local CSOs. In some instances these relationships pre-date bilateral relationships between donors and developing country governments. In countries having experienced conflict, these relationships often endure even while the government-to-government relationship is suspended.

113. USAID has developed an NGO Sustainability Index, used primarily to assess the results of their civil society programming (INTRAC 2008). This index looks at CSO organizational capacity, financial viability, advocacy, service provision, infrastructure, public image, and the legal environment (ibid).

114. The CIVICUS Civil Society Index is a CSO-led and implemented method of civil society landscaping. Donors such as the UNDP and Sida are turning to CSI results to help them formulate programming, whether civil society-specific programming or otherwise.
Box 37: The CIVICUS Civil Society Index (Recommendation 14 & 15)

Since 2003, CIVICUS has developed and piloted a Civil Society Index (CSI) to provide a contextual assessment of the state of civil society in a given country, which also allows for cross-country comparability of its findings. As an action-research tool, the CSI seeks to provide data that can be easily translated into policy recommendations and action by civil society stakeholders. The CSI uses 74 indicators that measure important parts of the civil society landscape, grouped into four dimensions: structure, environment, values and impact.

The primary objective of the tool is to enhance and strengthen civil society’s ownership in identifying and developing strategies for its own development. The tool is implemented by civil society at the country level, led by a National Coordinating Organization which forms a National Index Team with two other partners to help carry out the main tasks of the project, with support from the CIVICUS CSI team. The team is encouraged to adapt and modify the toolkit provided to better reflect their local context, with the help of a National Advisory Group composed of stakeholders from civil society, government, the media, academia, donors and the private sector.

The CSI reports produced in 50 countries by the end of 2006 provide all stakeholders with a comprehensive and inclusive picture of the civil society landscape. The CSI has provided evidence and impetus among CSOs, donors and governments to take action to strengthen civil society and enhance CSO effectiveness.

- In Fiji, the CSI initiative contributed to the establishment of the “Social Leadership Training Institute” by bringing civil society stakeholders together to find solutions to address the leadership gap in Fijian civil society.

- The European Union in Cyprus is drawing from the CSI findings in developing a framework for their engagement with civil society.

- International CSOs are using CSI findings to inform their program investments, including civil society capacity development by the Aga Khan Development Networks in Uganda to better implement a CSO quality assurance mechanism.

- In Bulgaria, CSI partner organizations and other CSOs lobbied government to implement a 1% tax law to secure greater financial sustainability for CSOs.

- In Macedonia, the government adopted the ‘Strategy for Cooperation with the Civil Society Sector’ in January 2007 based on CSI findings and the diligent follow-up of the CSOs involved in the CSI project.

Extracted from: CIVICUS Civil Society Index Case Study (2008), communication from Sue Le-Ba, Research Fellow, CIVICUS (2008).
ENABLING ENVIRONMENT FOR CIVIL SOCIETY

RECOMMENDATION 12A: RECOGNITION THAT THE CREATION OF AN ENABLING ENVIRONMENT FOR VIBRANT, DEMOCRATIC, AND DIVERSE CIVIL SOCIETY IS A BASIC REQUIREMENT FOR CSO EFFECTIVENESS.

115. In this section we seek to answer the question:

What examples can be cited of good enabling environments for civil society or of efforts to improve the enabling environment?

116. The first over-arching recommendation establishes that for civil society to flourish, a favourable enabling environment is required. This often involves aspects of governance. Government decentralization, for instance, can increase opportunities for dialogue and collaboration between CSOs and local governments. Democratic parliamentary systems can be conducive to alliance building between CSOs and Members of Parliament to advance agendas of joint interest. A well functioning legal and judicial system can provide the assurance and means for just settlement of conflicts arising from within CSOs, or between CSOs and the state.

117. The AG-CS’ recommendations prioritize a particular set of conditions for an enabling environment for civil society. Policy recognition of is also a contributing factor to the enabling environment. Among these conditions are:

the general legal and judicial system and related mechanisms through which CSOs can seek legal recourse;
mechanisms to ensure the promotion and protection of the rights to expression, peaceful assembly and association, and access to information;
structures and processes for multi-stakeholder dialogue between and among CSOs, government, elected representatives, donors, and the private sector;
CSO-specific policies such as CSO legislation;
taxation regulations, including charitable status provisions and tax benefits to promote individual or corporate philanthropy; and
regulations and norms to promote CSO transparency and accountability to their constituencies.

RECOMMENDATION 12B: SYSTEMATIC ASSESSMENT OF THE ENABLING CONDITIONS REQUIRED FOR CIVIL SOCIETY TO MEET ITS POTENTIAL IN DIFFERENT COUNTRIES, WITH A VIEW TO IMPLEMENTING IMPROVED PRACTICES BY ALL STAKEHOLDER GROUPS.

118. Systematic assessments of this nature have already taken place in a number of countries, particularly in countries in Central and Eastern Europe with the support of USAID for which civil society development has been a priority of governance programming in the region. The CIVICUS Civil Society Index includes indicators to assess a country’s enabling environment for civil society. Systematic assessment of enabling conditions could be an area of joint effort as part of a multi-stakeholder forward agenda, as could support to implementing improved practice in this area.

119. Significant literature exists on the first three enabling environment conditions presented above, though not in a way that brings these elements together specifically with a civil society focus. Numerous publications from the International Centre for Not-For-Profit Law (ICNL and
its European counterpart ECNL) and the Open Society Institute have been produced with a focus on the enabling conditions for civil society to flourish.

**Legal and judicial systems and the promotion and protection of human rights**

120. An enabling legal and judicial system is one that can function with efficiency, is impartial, and to which all members of society, including those who are traditionally marginalized, and the CSOs that represent them, have access. The legal and judicial system is often used by CSOs to pursue specific human rights as contained in international human rights law, and further enshrined in domestic policy, as seen in the case of South Africa’s Treatment Action Coalition (TAC) featured below. Other enabling means for the promotion and protection of rights include bodies such as human rights commissions and ombudsman’s offices.

**Box 38 – Court Action and Policy Change in South Africa to Promote and Protect Human Rights (Recommendation 12b)**

In 2002 in South Africa, the legal system was able to process a case of public interest litigation pitting the Treatment Action Coalition (TAC) against the Ministry of Health. In a court challenge targeting the government’s health policy, the CSO coalition referred to rights enshrined in the country’s constitution to assert the right to anti-retrovirals (ARVs) for pregnant women. The coalition’s position was that the government, in limiting ARVs for the prevention of mother-to-child transmission to only 18 pilot sites, was being “unreasonably prohibitive”, and argued further fault in the absence of a comprehensive national program to address mother-to-child transmission of HIV. The High Court and Constitutional Court found that the government was not complying with its constitutional obligations, and ordered the government to roll out a nation-wide program.

Based on: Ferguson (2008, pg. 31).

121. One of the critical features of an enabling environment for CSO effectiveness is the right of access to information. The right to seek, receive and impart information is enshrined in the Universal Declaration of Human Rights, the International Covenant of Civil and Political Rights, and in various charters such as the African Charter on Human and People’s Rights. The recent United Nations Convention against Corruption “calls on all states to ensure that the public has effective access to information” (Carter Center 2007, pg.1). Some states have gone the distance in enacting policies and backing legislation concerning the right to information, such as India’s Right to Information Act.

122. Influenced by the demands and innovations of CSOs over two decades, the government of India enacted the Right to Information (RTI) Act in 2005. Civil society observers note that the RTI Act is one of the most significant legislations enacted by the Parliament of India and enables the establishment of an unprecedented regime for the right to information by citizens of India. The Act has been unevenly applied across India. Consequently, the Indian CSO PRIA has launched a study of its implementation in 12 states and is raising citizens’ awareness of the Act (PRIA 2008b).
Box 39 - India’s *Right to Information Act* (Recommendation 12b)

The Right to Information Act 2005 gives citizens of India access to records of central government and state governments. Under the provisions of the Act, any citizen may request information from a "public authority (a body of Government or "instrumentality of State") which is required to reply expeditiously or within thirty days. The Act also requires every public authority to computerize their records for wide dissemination and to proactively publish certain categories of information so that the citizens need minimum recourse to request for information formally. Information disclosure in India was hitherto restricted by the Official Secrets Act 1923 and various other special laws, which the new RTI Act now relaxes.

For more information see the Right to Information Community Portal of India [http://www.rtiindia.org/](http://www.rtiindia.org/)


123. There is increasing evidence of the link between press freedom, popular participation and political pluralism (M’boge and Gbaydee Doe 2007). South Africa and Ghana are two countries with the guarantee of press freedom enshrined in legislation and upheld in practice, with high incidences of active, independent media bodies. The Ghanaiian constitution guarantees the right to freedom of speech and expression, including for the press and other media, with an additional chapter dedicated to media freedom and independence. There is a National Media Commission in place made of up various representatives from civil society, the private sector, parliamentary appointees and two presidential appointees. Established by an Act of Parliament, its mandate is to ensure that the media’s constitutional rights are fulfilled (ibid).

*Structures and processes for multi-stakeholder dialogue*

124. The enabling environment component of structures and processes for multi-stakeholder dialogue is discussed in this paper’s section on voice as well as on local and democratic ownership. The examples and guidance provided in those sections apply here as well.

125. One component of dialogue is seen in policies and institutions that governments put in place to foster citizen participation in policy making and program planning. Senegal, for example, has had a system of elected *communauté rurale* (CR) councils responsible for development programs in rural villages in place since the early 1970s (ibid). However, it is said that these CRs have come to be dominated by local elites, especially those linked to the ruling party, and thus are not as inclusive as they could be (ibid). South Africa again provides a positive example.

Box 40 - Multi-stakeholder Dialogue in South Africa (Recommendation 12 b)

The closeness of the ANC to CSOs during the apartheid struggle and the movement of key civil society leaders to the ANC government make civil society participation in public affairs a natural process in South Africa. The constitution makes provisions on how public participation in the National Assembly, the National Council of Provinces and the provincial legislatures must be facilitated. South Africa has a national fund in place to support citizens’ participation. In addition, the government employs affirmative action to increase women’s participation in political affairs, and has various structures in place with roles that include the advancement of women’s participation, such as the Parliamentary Committee on the Improvement of the Quality of Life and Status of Women, the Commission on Gender Equality, and the Office on the Status of Women.

**CSO-specific policy and legislation**

126. Policy and legislation governing CSOs is considered by many as a double-edged sword. It can help secure basic rights for CSOs to exist and operate. It can put in place measures on registration, monitoring and reporting to help advance CSO transparency and accountability for public resources. However, it can also be put in place to control CSOs, particularly a risk in contexts where governments may fear that CSO actions significantly challenge government policies (Mayhew 2005, Moore 2006). Legislation governing CSOs should be treated as a complement to, but not a substitute for, CSOs’ own accountability mechanisms.

127. One example of an enabling policy was seen in the case of Croatia’s *National Strategy for the Creation of an Enabling Environment for Civil Society Development* previously referenced.

**Box 41 - Croatia’s National Strategy for the Creation of an Enabling Environment for Civil Society Development (Recommendation 12b)**

The *National Strategy for the Creation of an Enabling Environment for Civil Society Development from 2006 to 2011* and Operational Implementation Plan (adopted by Croatian Government in July, 2006) delineates the policy framework for the development of the civil society sector in the Republic of Croatia, and represents a broad consensus among civil society and government representatives on strategic priorities.

The objective of the strategy is to create conditions for community development in which citizens and CSOs, in synergy with other sectors of society, actively, equally and responsibly, on the basis of the principles of sustainable development and acting for the public benefit, participate in the building of a society of well-being and equal opportunities for all.

The strategy sets strategic priorities to improve the enabling environment including: strengthening capacities and participation of CSOs in the development and monitoring of public policies; improving mechanisms and standards for better multi-stakeholder consultation in policy processes in line with EU standards; drafting and adopting the *Code of Good Practice on Consultation* (minimum standards); and establishing an Economic and Social Forum. Planned improvements to the current legal framework include adopting a new law on foundations, encouraging institutional, fiscal and social incentives for individual philanthropy and corporate investments in social development partnerships, and introducing public benefit status, by revisiting tax benefits regulations.

Extracted from: Croatian National Strategy for the Creation of an Enabling Environment for Civil Society Development Case Study (2008).

128. The Government of India’s NGO legislation offers another illustrative example of NGO-specific policy.

**Box 42 - India’s National Policy on the Voluntary Sector (Recommendation 12b)**

In 2007 the Government of India, responding to calls to recognize civil society organizations as development actors in their own right, approved a *National Policy on the Voluntary Sector*. This was developed over a three-year period through a participatory process with representatives from various levels of government as well as civil society. It has provided much-needed legitimacy and voice to the voluntary sector, while ensuring autonomy and independence of voluntary organizations/CSOs.
In order to expand the reach and impact of the policy, state governments have been asked to prepare similar policies and state and central ministries dealing with the voluntary sector have been requested to take appropriate steps towards the national policy’s implementation.

CSOs recognize that while the passing of the legislation is an important milestone in the recognition of their roles, monitoring of implementation is required to assure its effectiveness. To that end the Voluntary Action Network of India (VANI) has organized state consultations of CSOs to disseminate the message of the policy and to mobilize civil society efforts to impress upon respective state governments the need for similar policies.

For a copy of the policy see [www.planningcommission.gov.in/data/ngo/npvol07.pdf](http://www.planningcommission.gov.in/data/ngo/npvol07.pdf)

Extracted from: India’s National Policy on the Voluntary Sector Case Study (2008).

129. The case of India highlights that the enabling environment includes not just NGO policies but also, for example, regulations related to aid flows. India’s Foreign Contribution Regulation Act is currently undergoing amendment to address the government’s concern that funds are being used by some CSOs for purposes other than their stated objectives. From COSs’ perspective, the current legislation contains problems related to registration criteria and procedures and reporting requirements. CSOs have mobilized campaigns to review the Act and dialogue is ongoing.

130. Drawing from the ICNL’s 2004 Guidelines for Laws Affecting Civic Organizations and from the Council of Europe’s Recommendation CM/Rec (2007)14 of the Committee of Ministers to member states on the legal status of non-governmental organizations in Europe, some guidance in terms of the content and implementation of CSO legislation can be offered.

- Acknowledge CSOs’ independence to pursue their own objectives, “provided that both the objectives and the means employed are consistent with the requirements of a democratic society” (CoE 2007 pg. 2).
- Provide for independent and impartial decision-making for granting legal status to CSOs, with dedicated financial resources and expertise.
- Do not require frequent (or any) application to renew legal status.
- Allow for CSOs to solicit and receive funds from multiple sources not limited to “public bodies from their own state but also from institutional or individual donors, another state or multilateral agencies, subject only to the laws generally applicable to customs, foreign exchange and money laundering and those on the funding of elections and political parties” (CoE 2007 pg. 5).
- Include allowance and mechanisms to assist CSOs in soliciting and receiving funds e.g. “exemption from income and other taxes or duties on membership fees, funds and goods received from donors or governmental and international agencies, income from investments, rent, royalties, economic activities and property transactions, as well as incentives for donations through income tax deductions or credits” (CoE 2007 pg. 6).
- Potentially require submission of reports on funds received and disbursed, but not necessarily.

131. A recent publication from the World Movement for Democracy and ICNL put forward six International Principles Protecting Civil Society, all of which are aligned with international human rights law:
• the right to entry (freedom of association);
• the right to operate free from unwarranted state interference;
• the right to freedom of expression;
• the right to communication and cooperation;
• the right to seek and secure resources; and
• state duty to protect (WMD/ICNL 2008).

**Taxation regulations**

132. Taxation regulations are a determinant of CSOs’ ability to maintain a level of financial sustainability. There are primarily three types of taxation legislation that affect CSOs’ financial base and their ability to expand it. The first is tax exemption, whereby CSOs are exempt from paying sales tax or taxes on their varied sources of income (grants, donations, member fees, or income generated from economic activities). The second is the system of tax benefits to those individuals or corporations who make financial contributions to CSOs. A third possibility exists in the Hungarian, Polish and Slovakian “1% provision” by which individual or corporate taxpayers can designate a percentage share of their tax payments to non-profit organizations (ICNL 2003, pg. 36). Regulations can also be put in place to encourage volunteerism, such as tax exemption on reimbursement for volunteer expenses such as travel, shelter and food (Hadzi-Miceva 2007).

**Box 43 - Tax Incentives in Eastern Europe (Recommendation 12b)**

| The percentage tax allocation mechanism in Hungary provides a means through which the government can support CSOs, specifically their institutional or core costs. The mechanism was introduced in 1996 through Act CXXVI on the Use of a Specific Portion of the Personal Income Tax (the “one-percent law”). This law allows taxpayers to designate 1% of their income tax payments to a qualifying NGO, and another 1% to a church. Taxpayers make the anonymous designation on forms submitted with their tax return, and the tax authority transfers the amounts designated after the beneficiary proves its entitlement. |
| Lithuania, Poland, Slovakia and Romania have since enacted similar legislation. |
| The 1% mechanism is seen to have a number of advantages as it: |
| - allows for de-politicized distribution of state funding to CSOs; |
| - enables local and small CSOs to access funds by mobilizing local support; |
| - creates competition among CSOs, increasing professionalism and their communication with their constituencies; and |
| - raises awareness among taxpayers about the importance of CSOs and lets them decide which they would like to support. |


133. While the percentage tax allocation has proven a useful mechanism since its instatement in Hungary, there are outstanding questions regarding the degree to which it meets its key objectives of a) increasing the pool of resources available to local CSOs and b) developing a philanthropic culture among taxpayers. First, it limits the pool of donors to individual taxpayers, though in some countries corporate taxpayers can also donate. Second, it designates a ceiling on the contribution amount, rendering the total funds available finite with the risk that these funds
will end up in the hands of those CSOs with the best marketing campaigns. Finally, no comprehensive study has been undertaken to assess the mechanism’s influence on the culture of philanthropy (ibid).

**Recommendation 12C:** Measures be put in place by all development stakeholders to ensure that CSOs are transparent and accountable first and foremost to their constituencies and stakeholders, while accounting to donors and governments for the use of public funds.

134. For governments, equally important to addressing the various enabling environment issues is that CSOs have in place their own regulations and norms for transparency and accountability to their constituencies, and to donors and governments.

**Good Donorship**

135. Though not all of civil society funding comes from official donors, many CSOs are recipients of ODA, while CSOs are often donors of aid in their own right or act channels for ODA. The AG-CS’ first over-arching recommendation on this subject is:

**Recommendation 13A-E:** Both official donors and CSOs in their capacity as donors, recipients and channels of aid should take measures to implement the enriched aid effectiveness principles identified in the section on enriching the Paris principles.

136. There follow three other recommendations.

**Recommendation 14:** That donors consider the overall strengthening of civil society at the country, regional and international levels as an objective worth in its own right.

**Recommendation 15:** Donors, including Northern and International CSOs should identify and implement a range of better coordinated and harmonized support mechanisms including core or program support, capacity development, a long-term perspective, responsive funding mechanisms of various sorts, and the harmonization of contracting, funding and reporting modalities.

**Recommendation 16:** To the extent that official donors channel funds through Northern CSOs, donor procedures and regulations should be put in place that enable these CSOs to take on their responsibilities for implementing the enriched aid effectiveness agenda and recommendations proposed in the AG-CS synthesis.

137. In this section, we address the question:

**What are some examples of good donorship in terms of its impact on CSO effectiveness?**

138. In practice, the material focuses mainly on the application of enriched principles by official donors, specifically with regard to: a balanced approach to coordination and harmonization, comprehensiveness and investing in civil society strengthening. While the Paris Declaration has gone a long way to address the aid relationship between donors and recipient governments, a similar effort specific to the donor-CSO relationship has not yet taken place. Within the context of the shift to more aid-effective bilateral investment modalities, and within the context of rising ODA and static operations and management budgets, many donors are investigating options,
individually and jointly, to render their civil society support more effective (Pratt and Wright 2008).

139. Donors exert an important influence on CSO effectiveness through the type of support they do or do not provide. This issue could be the subject of an ongoing multi-stakeholder dialogue that would include an effort to further identify and elaborate good practice options and explore their effectiveness through implementation and monitoring.

140. The concept of comprehensiveness is first about being holistic – about understanding and addressing the big picture of development goals and needs in a country rather than narrowly focusing on one aspect, and seeking to understand the broader implications of one’s aid investment. Coordination is one means through which to pursue comprehensiveness, to help achieve broad coverage of development needs, while avoiding duplication of effort. Taking a more comprehensive and inclusive perspective means seeking to understand civil society’s roles and needs, and including donors’ civil society support, both country and headquarters-based support, in their discussions on their respective areas of comparative advantage and focus.

141. One aspect of comprehensiveness is recognition that strengthening civil society in a more systematic way is an important development goal in and of itself, because they are important development actors alongside the public and private sectors. Such strengthening can be approached as the primary or secondary goal of a program, through distinct civil society strengthening-specific initiatives, or by incorporating civil society strengthening into a donor’s support to specific CSOs.

142. Coordination among donors can contribute to a comprehensive approach to CSO support and to civil society strengthening, though it is not equivalent to it. Indeed, coordination to the extreme, for example if all donors pooled their civil society support into one basket mechanism, can undermine comprehensiveness, if it limits the roles that CSOs can play or their diversity. As previously discussed, a balanced approach to coordination is needed, which suggest a range of support mechanisms and formulas.

143. A donor’s ability to take a more comprehensive and inclusive perspective to civil society can contribute to, and is in turn helped by, a clear conceptual understanding of what civil society is, its roles in development, and what the donor wishes to achieve in its civil society support. In order to pursue a more comprehensive and inclusive approach to CSO support and strengthening in a given country, donors need to start from a point of understanding of the civil society landscape, helped by tools such as the CIVICUS Civil Society Index.

144. Clarity of goals in civil society support is a key step to taking a comprehensive approach to civil society. The Nordic + study of donor models of support includes among its criteria clarity of goals for support to CSOs and civil society strengthening as the starting point around which a division of labour, coordination and harmonization should take place (Scanteam 2007). Some donors have such clarity at the policy level while many others are in the process of policy development or revision (CIS 2007). The following example from Sida is illustrative, though they are planning for a policy revision in 2008.
Box 44 - Sida’s Policy on Civil Society (Recommendation 14 & 15)

The Swedish International Development Agency (Sida) adopted a policy to specify the grounds for, the objective of and the modalities for cooperation with civil society, and to clarify Sida’s view of civil society. The aim of the policy, adopted in 2007, is to serve as a guide for everyone at Sida working with support to, and in cooperation with, civil society. The ambition is to provide a consistent, coordinated and over-arching regulatory framework for different forms of Sida support to civil society, regardless of the source envelope or operational area. The policy’s objective is to promote the development of a vibrant and democratic civil society that improves the possibilities for poor people to improve their living conditions.

Within this context, the civil society policy views civil society as both formal and informal in organization, dynamic, diverse, multi-faceted, and an expression of society’s values, customs, needs and interests. Underlying the policy is an appreciation of the diversity within civil society as it reflects different perspectives, ideologies and interests. This pluralism of organizations offers constructive energy for change, development and poverty reduction.

The policy outlines different forms of Sida support to CSOs:

- directly through contributions: to the CSO as an implementing agency; to strengthen CSO capacity; and to organizations and networks to strengthen civil society as a whole as an arena for citizen engagement; and
- indirectly by fostering a positive enabling environment, including promoting opportunities in developing countries for CSOs to influence the design and implementation of poverty reduction measures.

Across the board, Sida’s support aims to strengthen civil society, without undermining legitimate state and democratic institutions.

Based on: Sida (2007); Brundin and Mast (2008); CIS (2007).

Box 45 - A Range of Civil Society Support at Sida (Recommendation 14 & 15)

In total, around 27% of Sida’s appropriation is channelled to and through NGOs. Sida co-funds framework agreements with 14 Swedish NGOs (anticipated to increase to 16 in 2009). Six of these organizations administer grants to smaller organizations as well as implement their own programs, while the other 8 simply implement their own programs. The philosophy behind Sida’s support to its domestic NGOs is that they are well-placed to support CSOs in the South based on common values that they are deemed to share. In addition to framework agreements, Sida provides 100% funding to Swedish, international, national or local CSOs via other funding envelopes. This is done either through Swedish or international organizations, or directly to local organizations, through its thematic or regional desks at Sida headquarters, including through the Division for Humanitarian Assistance, and from the Swedish embassies in cooperation countries. Most of these contributions...
are approved within the framework of country and regional cooperation strategies and are therefore subject to greater control by Sida. At the same time, these support measures recognize that civil society’s varied roles may call for complementarity and synergies with government and donor programs rather than a narrow approach to alignment.

In addition to direct support to civil society, Sida established a Civil Society Center for Swedish CSOs and their partners in the South and East that provides training and other resources focused on the role of civil society in development issues. Sida also manages a database of their support to Swedish NGOs through which members of the public can obtain information about these organizations’ initiatives (www.sida.se/ngodatabase).

Sida’s civil society programming in Kenya provides a snapshot of their mix of funding modalities. The Swedish embassy in Kenya has programs of support to local NGOs that work with human rights, including gender equality, and the rights of women, children and the disabled (Gunnarrson 2006). The programs are joint initiatives with other donors and are implemented through intermediaries, which include Swedish NGOs and UN organizations.

An example of this approach is the National Civic Education Program (II), which provides civic education geared to enhancing human rights and good governance. Forty-two CSOs grouped around four consortia are implementing the program. Eight international development partners (IDPs) provide funding through a basket mechanism. There is a separate forum for IDPs, which has the final word on funding.

In addition, a variety of Swedish CSOs from large-frame organizations to small solidarity groups carry out their own development programs in Kenya where their primary objective is to strengthen relevant Kenyan efforts and local counterparts.

Based on: Sida (2007); Brundin and Mast (2008); Pratt (2006); Wamugo and Skadkaer Pedersen (2007); NCEP II (2008); Sida (2008a, b).

Box 46 - Norway’s Civil Society Support Mechanisms under Review (Recommendation 14 & 15)

Norway’s current support to Norwegian, international and developing country NGOs is being delivered through a complex system shared between the Ministry of Foreign Affairs (MFA) and its development agency, Norad. The MFA and Norad each manages 50% of the budget for NGO funding, which accounts for approximately 27% of Norway’s total bilateral assistance.

Norad is responsible for the Norwegian NGO support scheme for long-term development work, which supports organizations’ specific projects and programs aimed at developing civil society and reducing poverty. A partnership ideology has been fundamental since the early 1990s, gradually supplemented by a rights-based approach. Activities are planned and implemented by local counterparts, with the respective Norwegian partners in various support roles. Empowerment through popular participation in planning, implementation and evaluation, gender equality, environmental awareness and conflict sensitivity are other common values characterizing their work. The support scheme comprises multi-year cooperation agreements (also known as framework agreements) and individual agreements for smaller NGOs. Around 100 Norwegian NGOs receive support, with most of the resources being provided as core funding to around 30 Norwegian NGOs with 3-5 year frameworks. There are smaller grant schemes for Norwegian CSOs working with cultural activities, oil-for-development activities, or with environmental issues, human rights and democracy support. There is also a budget line for NGOs working in Norway on information and development education. Finally, there is a small ‘solidarity pot’ for single-project annual support that goes to very small organizations without previous aid experience. Norad also supports around 30 international NGOs and networks, preferably with headquarters in the South.
In addition, Norwegian embassies have strategic partnerships with Norwegian NGOs to assist in country programs, as well as direct support to civil society in partner countries.

The Ministry of Foreign Affairs (MFA) supports NGOs in the field of humanitarian work, peacebuilding and reconciliation and transitional assistance to bridge the gap between humanitarian and long-term development aid. Direct implementation by NGOs is more common in these program areas.

This system is under review, with the intention that all the modalities can interact through a joint approach that is both more flexible and more goal-oriented. A new Norad strategy for support to civil society is expected to be finalized by the end of 2008. It will emphasize local ownership also when it comes to building civil society, where national social forces must take the lead in setting the action agenda, supported by international partners. Key elements will include better country analysis, renewed emphasis on poverty reduction and on how civil society can be more effective change agents. The rights-based approach will remain fundamental, but more will be required from partners in terms of knowledge on poverty, working with vulnerable groups, linking to grassroots-oriented social movements and achieving sustainable development. This also implies stricter demands when it comes to documentation of roles, relations and results and measures against corruption. Meanwhile, in addition to the recently introduced framework agreements, which will eventually be brought into program-based framework agreements, NGOs are being encouraged to form umbrella organizations, harmonize and align their initiatives with both Norwegian and developing country priorities, and reduce the number of countries in which they work.

A separate initiative was taken by Norway in 2006 to improve direct support mechanisms. As the lead member of a Nordic + Group, Norway undertook a comparative study of funding modalities in six partner countries. More on this initiative is described below.


Box 47 - DFID’s Partnership Programme Arrangements and Other Civil Society Envelopes
(Recommendation 14 & 15)

The UK’s Department for International Development (DFID) supports CSOs through country offices and HQ-managed funds, including the Civil Society Challenge Fund, the Development Awareness Fund, and Partnership Programme Arrangements (PPAs). PPAs were established in 2000 to provide unrestricted funding to CSOs with which DFID has a significant working relationship, a common ethos and vision, and a strong match in priority areas. PPAs typically run for six years. Currently, DFID has 26 PPAs running with UK and non-UK organizations.

Long-term unrestricted funding is very welcome to the PPA partners. It allows them to focus on developmental impacts instead of constantly chasing funds. PPA funding can underpin many of the activities of the organization, including strengthening its own capacity and supporting learning and adaptation. It provides many opportunities to the organizations to increase developmental impacts on the ground, do research, take calculated risks and fund small community-based organizations to develop their own capacity and voice. Ultimately, this type of funding allows a more holistic approach to poverty reduction and achievement of the MDGs.

PPAs are more than just funding arrangements and proving impact on the ground. They are true partnerships with DFID which allow a better policy dialogue and exchange of ideas and sharing of information.

Entry to the PPA scheme is based on a range of criteria, including:
- sufficient consistency between CSO and DFID priorities;
146. In all three of the cases presented above support is provided to and through donor countries’ domestic CSOs alongside their direct support to developing country CSOs. Studies suggest that the bulk of donors’ civil society funding goes to their domestic and international CSOs (Pratt 2006, CIS 2007). The benefits often cited by donors of working with their domestic CSOs include capacity to uphold accountability requirements, and the political constituency in support of ODA that domestic CSOs represent. Other donors cite a somewhat more developmental rationale, such as USAID’s stance that their CSOs are the principal actors in civil society strengthening given the experience and expertise gathered from long-standing relations with CSOs in aid-recipient countries (CIS 2007). The position of Nordic countries such as Norway tends to be that domestic CSOs “are firmly rooted in Norwegian tradition and social life, [and] are well qualified to communicate values fundamental to civil society building to CSOs in developing countries” (CIS 2007, pg. 26). DFID cites civil society as being “the public face of development and…a conduit for the UK public expression of solidarity and personal commitment to communities worldwide” (CIS 2007, pg. 20).

147. The benefits of support to North-South CSO relationships may appear to donors to be by-products, yet from the CSOs’ perspective, it may be integral to their mandate and values. Bonds of solidarity, moral and political support, and building awareness of development issues in the North are some areas of value-added.

148. Civil society support programs, particularly those looking to engage CSOs in advocacy and accountability, are often noted to be accessible to “the usual suspects” of urban-based, professional CSOs. Increasing recognition of the diversity of civil society actors, and of the strength that lies in such pluralism, is leading donors to express their intent to reach a wide range of civil society actors (e.g. Nordic+ 2007a & b, DFID 2006), particularly beyond NGOs to organizations with what some call a “natural constituency” (e.g. professional associations, etc.) (MFA Norway 2006). A bigger challenge still is the question of how to reach non-formal social movements or small-scale community organizations, when donors are administratively and legally unable to fund them directly (O’Neil, Foresti and Hudson 2007). The only strategy for such outreach so far seems to be the use of intermediary organizations. However, given that intermediaries would be subject to donors’ legal restrictions, this strategy can only go so far.

149. If a balanced approach to coordinating and harmonizing civil society support mechanisms is to be pursued, an important starting point is an understanding that there is a spectrum of options for coordination and harmonization that do not necessarily translate into a PBA. The spectrum ranges from information sharing to pooled basket funds, each having its place depending on the goals of support to CSOs, CSO roles, the gamut of civil society funding mechanisms available, and donors’ ability to participate in joint mechanisms.

150. At one end of the spectrum, the practice of information sharing among donors (including Northern CSOs) and governments with regard to civil society funding is fairly straightforward. It
could involve regular forums such as meetings or workshops, use of the media, and use of information technology to establish web-based information sites or databases. The World Bank/European Commission Donor Exchange, Coordination and Information Mechanism (DECIM) offers one example of information sharing to facilitate coordination.

Box 48 - Range of Measures for Support to CSOs and Civil Society Strengthening (Recommendation 14 & 15): DECIM in Central and Eastern Europe

| The World Bank/European Commission-sponsored Donor Exchange, Coordination and Information Mechanism (DECIM) is a process that informally associates, on a voluntary basis, private and public actors who hold financial resources, and/or expertise and analytical capacity, and who actively support the development of civil society in Central and Eastern Europe by working with civil society organizations and/or public sector entities that have an impact on civic space. |
| The purpose of DECIM is fourfold: |
| - to share information on the operational programs of the respective DECIM participants; |
| - to identify synergies and joint initiatives at the country and sub-regional level involving other development actors; |
| - to engage other agencies and development partners in policy discussion on civil society development across Central and Eastern Europe; and |
| - to embark on and support joint initiatives to accelerate civil society development where opportunities arise. |

151. A group of donors in Tanzania have collaborated in developing guidelines to inform their individual and joint support to CSOs working to influence policy (see case book). One result of this initiative to date has been the establishment of a web-based database for tracking participating donors support to civil society, including such information as size of budget, geographic coverage and sector of operation (www.civilsocietysupport.net). The database is not quite comprehensive as it does not contain information on support to Tanzanian CSOs via their Northern CSO partners, but still has potential as an information sharing tool.

152. These Guidelines for Support to Civil Society have specific commitments related to donors’ civil society support that can serve to strengthen CSOs, such as through increased core funding and longer-term commitments. While providing a basis for greater coordination, the guidelines appear sensitive to the distinct nature of CSOs and their roles in development. One of the guideline’s twelve principles, for example, is to encourage diversity and transparency of funding strategies, “to contribute to a stronger civil society for social transformation in Tanzania”; donors need to “respond to CSOs’ need for a variety of funding opportunities” (Ingelstam and Karlstedt 2007, pg. 8). Another principle calls for donors’ CSO support to encourage innovation, results, and learning, the latter both within CSOs and between CSOs and donors. A final highlight is the principle of mainstreaming civil society support - integrating it into programs through support to CSOs in the same sectors as donors are supporting governments, and integrating the theme of civil society issues into the broader donor-donor and donor-government dialogue (Based on Touchette 2008).
In 2007, the Nordic+ group of donors, led by Norway, launched a joint study on country-based models of donor support to civil society. Resulting from the study is a Nordic+ set of criteria and principles for their support to civil society in the South, which members will begin to pilot in a selection of countries in 2008. Based on the study’s findings and lessons learned from the pilots, the group intends to elaborate joint guidelines for country-level civil society support. A key driver behind the initiative is to coordinate members’ civil society support through joint funding initiatives. As such, the initiative is not aiming to enhance CSO effectiveness per se. Still, some of the principles and criteria that have emerged to guide the Nordic+ forward in its support to civil society in the South demonstrate awareness of potential pitfalls in joint approaches, and again of civil society’s distinct nature.

Box 49 - Guiding Principles for Nordic + Support to Civil Society at Country Level
(Recommendation 14 & 15)

The guiding principles for Nordic + support to civil society in the South are:

- increase core/program support, joint support and indirect support/use of intermediaries while upholding requirements for mutual accountability, results achievement and transparency;

- increase donor coordination of country-based support to civil society in the South (i.e. at country level). A rights-based approach and poor people’s perspective will form the basis for the support;

- utilize existing aid effectiveness principles - the Paris Declaration, OECD/DAC criteria for work in fragile states and situations, Principles of Good Donorship - as the basis for country-based discussions geared towards strengthening relations and dialogue between Ministries of Foreign Affairs and donors/headquarters/embassies and civil society;

- operationalize the diversity principle through greater outreach and accessibility, in close dialogue with representatives of civil society; and

- include risk analysis and management as a central component throughout all phases.

Among the criteria for civil society support is the imperative to formulate clear strategic goals for support to civil society. These goals could be related to a strong and diverse civil society, or to other development objectives (poverty reduction, participatory democracy, non-discrimination, equitable distribution, conflict prevention, gender equality, environment and sustainability and rights-based development) to be achieved through civil society. Support channelled through CSOs must also be designed in such a way that civil society is strengthened.


At the other end of the coordination spectrum, pooling financial support to CSOs and civil society strengthening in a PBA-like manner generally involves three options:

- multi-donor core funding (akin to direct budgetary support) to individual CSOs that responds to their organization’s strategic priorities; extends over a multi-year period (minimum three years); and relies on one set of accountability procedures (e.g monitoring, reporting, audit);

- multi-donor program funding (akin to sector-wide support) to individual CSOs that responds to the strategic priorities of one (or more) of their programs; extends over a multi-year period (minimum three years); and relies on one set of accountability procedures (e.g. monitoring, reporting, audit); and
pooled basket funds that are clear in their goals; pay attention to outreach, accessibility and diversity; maintain flexibility and responsiveness to CSO priorities; and are conducive to CSO accountability to their primary constituents.

155. Donors are increasingly finding ways to pool their support to civil society using one of the above methods as the examples below illustrate. The Organization of Rural Associations for Progress (ORAP) is a case of multiple donors providing core support to a CSO to enable the organization to pursue its own self-defined mandate.

Box 50 - Program-based Support for ORAP Zimbabwe (Recommendation 14 & 15)

ORAP is a grassroots cultural movement in Western Zimbabwe that emerged out of a process of participatory research in 1980. It was created out of a quest to improve the quality of life of rural marginalized people and to establish support for rural communities that had been stifled under the colonial and minority-rule regimes prior to independence, to enable them to develop according to their own priorities. ORAP was a membership organization serving 1.5 million people. It was a network of community-based associations whose basic building block is the family unit.

In order to implement its programs more efficiently, ORAP decided to use a program-based approach and in 1990 called all its funders to a meeting to develop a memorandum of understanding. Seven Northern organizations pulled together funds to support an ORAP budget of approximately $5 million over three years. Each agency signed a separate memorandum of agreement with ORAP and they received regular reports, but they all received the same report which did not designate how the funds of the individual organization were spent. This was an early example of a program-based approach implemented by a Southern CSO.

ORAP always operated in geographic areas dominated by opposition political parties. This brought various allegations against the organization, depending on events in the country. The status of ORAP at the time of writing this paper is unknown.


156. An oft-cited, if somewhat exceptional, example that is a combination of program support and a pooled fund is that of funding for BRAC’s Non-Formal Primary Education and Challenging the Frontiers of Poverty Reduction initiatives. As detailed in the case book, six donors finance these, through separate agreements, but pool the funds and use the mechanism of a donor consortium/donor liaison office to handle project management and facilitate information flow.

157. Multi-donor pooled funds to support multiple CSO initiatives and/or civil society strengthening are increasingly being used, including the Foundation for Civil Society in Tanzania, Enhancing Interaction and Interface Between Civil Society and the State to Improve Poor People’s Lives in Sierra Leone, or the Manusher Jonno Foundation (MJF) in Bangladesh and the Agencias de Cooperación-PRSP (ACI-PRSP) Fund in Honduras described below. Of particular interest with the Honduras case is the involvement of INGOs as contributing donors and members of the steering committee, suggesting new models of cooperation between Northern and Southern CSOs.

Box 51 - Establishing a Local Funding Mechanism in Bangladesh – the MJF Foundation (Recommendation 14 & 15)

The Manusher Jonno Foundation (MJF) started out as a DFID-funded project in 2002. Initially named Human Rights and Governance (HUGO), it was deliberately designed as a local funding
mechanism to support work on human rights and governance in Bangladesh. The fund was managed by a consortium led by CARE, and also included Deloitte and Touche (D&T) and the Bangladesh Legal Aid and Services Trust (BLAST). In 2006, MJF became an independent, locally-led institution and in 2007 it began to secure funds from additional donors (Royal Netherlands Embassy, Sweden, Norway).

MJF aims “to make poor women, men and children more able to achieve their civil, political, economic and social rights and to improve their security and well-being”. It aims to achieve this goal by working through NGO partners, through which it channels funding as an intermediary funding organization. It also facilitates and provides technical support to networking and advocacy, monitors the human rights and governance outlook in the country, and publishes information for public use. MJF is unique in combining a traditional donor or funding role with that of an NGO in capacity development and in mobilizing civil society toward specific development ends.

Based on: Tembo and Wells (2007); Scanteam and ODI (2007); Wiseman (2007).

Box 52 - A Locally Managed Fund to Support Participation in the PRSP Process in Honduras (Recommendation 14 & 15)

The Agencias de Cooperación - PRSP Fund (ACI-PRSP) in Honduras is a multi-donor initiative dedicated to strengthening the participation of civil society in pro-poor policy making, using the mechanism of the national poverty reduction strategy (PRSP). The fund has 13 donors, including bilateral and multilateral donors as well as INGOs. It represents a model of cooperation between Northern and Southern civil society organizations that is conducive to local ownership. The strategy consists of an operational structure that explicitly and actively commits to a power sharing arrangement between INGOs and representatives of Honduran civil society in the joint management of the fund.

A key priority for the fund is the engagement of the poorest people and marginalized groups who have been excluded until now because of their lack of capacity, geographic isolation or vulnerability. These include women, children, young people, ethnic groups and the disabled. Given that over 70% of the poor live in rural areas, there is a strong rural focus. The building of links is encouraged among civil society groups to develop alliances and share experiences, and between civil society and government at all levels—local, municipal, regional and national.

The fund’s objectives are: development of civil society capacity to engage in policy dialogue and monitoring; access to information; mechanisms for dialogue among CSOs and between CSOs, local and national government, and donors; and assumption of positions in advocacy processes related to the PRSP by excluded groups.

Among the lessons learned from the fund to date are that:

- excluded groups are interested in and committed to becoming involved in political processes and citizen participation towards poverty reduction;
- it is possible for citizens to carry out social audits;
- donors are interested in funding civil society and will do so if there are mechanisms in place; and
- local funding mechanisms can be designed so that the procedures themselves promote alliance building, solidarity and strengthened capacity within civil society.


158. While these examples illustrate some successes in donor coordination of civil society support, observers from within and outside of civil society suggest caveats that need to be taken
into consideration. A study commissioned by Swedish NGOs on consequences of the Paris agenda for civil society in Kenya states CSOs’ view that “the creation of thematic baskets was largely a donor-driven initiative. Lack of consultation was cited as a factor leading to delays in the implementation of these basket funds and in diluting overall ownership of the programme being funded through baskets” (Wamugo and Skadkaer Pedersen 2007, pg. 24). Another study reflecting on the Enhancing Interaction and Interface Between Civil Society and the State to Improve Poor People’s Lives (ENCISS) fund in Sierra Leone points to heavy procedural arrangements, including complicated logical framework procedures (Eurodad 2008 and Hayes 2008).

159. The case of ENCISS and other examples draw attention to the way in which these new pooled funding mechanisms are changing the donor-civil society relationship. ENCISS for instance, though a funding intermediary, is viewed by many donors as a CSO, and thus as a CSO representative, resulting in reduced space for actual direct civil society engagement in dialogue with donors and governments. Concerns are also raised about the possibility of such pooled funds replacing donors’ other support mechanisms, potentially leaving those CSOs whose priorities or performance standards do not meet the fund’s requirements “out in the cold” (ActionAid/CARE 2006, pg. 43)

160. A final example of coordination of civil society support involves CIDA’s investment in the work of four international CSOs involved in HIV/AIDS programming, the Canadian Coalition for Youth and HIV/AIDS. This coalition is involved primarily in more service-oriented and capacity development activities. Its members have collectively been implementing a type of program-based approach involving coordination and collaboration among the member CSOs and the local CSOs with which they partnered.

Box 53 - The Canadian Coalition for Youth and HIV/AIDS (Recommendation 17a)

The Canadian Coalition for Youth and HIV/AIDS in Africa was a coalition of four Canadian NGOs working collectively in four African countries. The focus of the alliance was on building the capacity of local community-based organizations, faith-based organizations and NGOs to engage in comprehensive HIV programming. Its goal was to strengthen capacity to reduce negative impacts of HIV/AIDS upon children and youth using a ‘continuum of care’, rights-based, and multi-sectoral approach. The coalition reached hundreds of CSOs and thousands of individuals living with HIV/AIDS, increasing access to services. It also increased levels of collaboration among participating community-based organizations, and helped raise understanding of and dialogue with governments regarding their responsibilities toward the population.

A number of lessons emerged from the coalition’s experience:

-a coalition can be an effective means of sharing knowledge, expertise and other resources;
-a coalition can be an effective platform for advocacy, e.g. for provision of ARVs;
-shared interest is the key to success;
-collaboration requires time and attention to process; and
-resources are required for effective information sharing.

Based on: Canadian Coalition (2008).

161. Though the following example is not a pooled fund, it is worthy of note due to the leadership role CSOs played in the program, and to joint management by Northern and Southern
CSOs that was conducive to local ownership of this funding mechanism. The emphasis here is on the mechanism itself, though the North-South CSO relationship was much richer than simply a funding one, originating from solidarity in a common cause of democratization and development in the Philippines.

Box 54 - The Philippines-Canada Human Resource Development Program (Recommendation 17b):

| The Philippines-Canada Human Resource Development Program (PCHRDP) was a five-year program launched in 1990, funded by the Canadian International Development Agency (CIDA). The PCHRDP was considered “the first ODA program for the Philippines that was formulated, planned, implemented and monitored by a broad-based consortium of Canadian and Philippine development NGOs.” The PCHRDP’s governance structure was one conducive to local ownership as it was composed mainly of internal stakeholders, with a regionalized and decentralized structure. Its highest policy-making body was the Philippine-Canada Joint Committee made up of nine Filipino representatives and four Canadians. Management of the Philippine program was the responsibility of the Philippine National Committee made up of nine Filipino networks, while a Canadian Coordinating Committee managed the Canadian component. Regional committees were composed of regional representatives from the nine Filipino CSOs on the joint committee. The PCHRDP supported a total of 1,066 CSOs and the establishment and strengthening of enduring CSO coalitions, as well as the production of studies, manuals and tools. Ultimately, the PCHRDP suffered from challenges in part related to the difficulty of managing multiple stakeholder interests, and was subject to changes in the socio-political landscape in the Philippines and in Canada. Perhaps the PCHRDP was an overly ambitious initiative, though it continues to be touted today as a model of local ownership and demand-driven development from which much can be learned. 


162. Another example of a North-South CSO funding relationship that was conducive to local ownership also stems from the Philippines.
Management Advancement Systems Association, Inc. (MASAI) and the Ecumenical Institute for Labor Education and Research (EILER) are Philippines service support organizations founded to work with marginalized groups – MASAI with NGOs and peoples’ organizations and EILER with workers. In the 90s, they were able to pilot a new form of partnership with a Northern CSO, Cordaid. Through this partnership they spearheaded the establishment of funding mechanisms, which also provided capacity building of partner organizations. The management committees of these two funds were made up of representatives of local groups and other experts who oversaw the granting process from appraisals to final evaluations.

MASAI had a similar relationship with Caritas-Neerlandica in the field of early childhood education in which much of the decision-making for the program was put in the hands of an Early Childhood Care and Development Committee (ECCD).

There were many advantages to the Northern CSO in terms of more relevant programming, efficiency and accountability, including accountability towards constituents of the Filipino organizations. The Filipino CSOs also took a lead in information sharing and coordination around the themes of the funds – children’s education and training for labour leaders.

The programs ran for many years but ended when the Northern CSO was no longer able to provide funding due to organizational changes and financial constraints, yet a number of the initiatives launched under these programs carried on. For example, the ECCD Committee had seen this coming and had recommended that a sustainability plan be part of all the proposals submitted to it. It proved to be the blueprint to help the implementers continue their programs beyond the Northern CSOs’ support.

Extracted from: The Masai-CARITAS Neerlandica Partnership: Where Communities Spearhead Early Childhood Care and Development Programs - MASAI Case Study (2008), On CSO Accountability and CSO National Coordination MASAI and EILER Case Study (2008).

163. The pursuit of a comprehensive perspective to civil society through a range of funding mechanisms needs to apply not just to support mechanisms, but to monitoring and evaluating the results of support. Tracking the overall impact of support to CSOs and to civil society strengthening, whether individually or jointly, is a challenge. Donors note the need for “effective, institution-wide, outcome-based monitoring and evaluation systems” in relation to their engagement with CSOs, but little experience is documented on how this can be implemented (World Bank 2005, pg. 14).

164. This challenge arises in part due to the tendency for CSO funding to be relatively small-scale and often project-based. Yet even when a donor’s support to CSOs is more program-based, such as through core support, program agreements such as DFID’s PPAs, or through pooled funds, aggregation is a consistent difficulty. A pooled fund may be billed as a program-based approach, when in fact it is funding a series of activities in project format of short duration, the collective results of which are not easy to pull together to demonstrate such a program’s outcomes. Accountability for results in core support presents a different but related challenge, as by nature core funding is linked not to specific results but to an organization’s broad strategic objectives, with challenges too of attribution among donors for results achieved. Clearly further work and experimentation is needed to identify means for aggregating the results of civil society initiatives, building on the AG-CS recommendations on managing for results in terms of
measuring social and institutional change, in an iterative and learning manner that empowers the ultimate beneficiaries of aid.

**Box 56 - A Comprehensive and Inclusive Perspective of Support to CSOs and Civil Society Strengthening (Recommendation 14 & 15)**

In Ghana, the knowledge and sense of ownership amongst civil society stakeholders generated by the CIVICUS Civil Society Index (CSI) project fed into a dialogue with UNDP, which ultimately led to the establishment of a UNDP-funded Civil Society Resource Centre.

The Centre was established as a mechanism for capacity development of individual CSOs and the sector as a whole. The rationale came in part from the UNDP’s own studies of the sector alongside findings of the CSI, both of which identified general and specific gaps in civil society capacity.

The Resource Centre seeks to respond to CSOs’ information and capacity needs with myriad offerings: resource materials; access to computers and internet; a training and conference space. It also offers training services, and organizes forums for exchange and collaboration among CSOs, and facilitates coordinated research on civil society issues. The centre aims to provide a platform for coordination and collaboration among CSOs, including for the development of a common approach to codes of ethics and quality standards.

The process through which the centre was established demonstrates good practice in a number of regards:

- A UNDP team was dedicated to the planning and preparatory tasks with consultancy support.

- Considerable investment went into planning and preparation of the centre, including an information needs assessment and nationwide consultations with CSOs. Particular effort was made to reach out to rural-based grassroots CSOs based on the desire for the centre to help bridge these organizations, which often have the evidence needed to influence policy based on their constituents, and the larger, often urban-based CSOs that tend to have the capacity and linkages to influence policy.

- Partnerships were established with NGO regional networks and the main umbrella organization which, from their strategic positions in the civil society community, assist the centre’s work such as with the selection of trainees and resource persons, and evaluation of the centre’s activities.

- A Steering Committee of CSO representatives was established for the centre.

In staffing the centre, consideration has been given to the profile and credibility of candidates with the civil society community in Ghana.

Early intentions were to house the centre in the offices of the country’s main NGO umbrella. Capacity constraints made this unadvisable in the immediate term, so the centre was housed in the relatively neutral location of the UN flats (versus the UNDP’s head office), while investing in capacity development of the umbrella.

Extracted from: CIVICUS Civil Society Index Case Study (2008), CIVICUS (2007).

165. A closing note on the pursuit of civil society strengthening is that the intangibility of civil society strengthening and the capacity development that it can entail is sometimes an obstacle for donors under pressure to achieve large-scale and tangible results. Yet experience suggests that good practice for sustainability requires that capacity development be a strategy integrated into all development initiatives. Capacity development of CSOs and other democratic institutions can also be a programming theme in and of itself as highlighted with the example of the Ghana Civil Society Resource Centre and PRIA’s work in Bangladesh below.
Box 57 - PRIA’s Focus on CSO Capacity Development in Bangladesh (Recommendation 14 & 15)

The growing importance of civil society organizations and citizens in catalyzing social change makes it imperative for us to find ways to strengthen the capacity of CSOs. Capacity building of CSOs needs to be located in this context. PRIA recognizes capacity building as a gradual and cumulative process. Therefore, initiatives aimed at building the capacity of a voluntary organization are expected to result in improved effectiveness in pursuit of its purposes and mission. In this sense, capacity for continuous organizational learning, reflection and systematization are the bases on which new capacity building occurs.

PRIA employs a wide variety of methods to enhance and strengthen capacity at individual, institutional and sectoral levels. Besides structured training of short and long durations, there are exposure visits, field placements, apprenticeships, project work, library work and a systematic reflection of experiences. Innovations in capacity building themes and methods are a guide to PRIA's efforts in future. Through spreading information about its capacity building efforts, PRIA aims to engage more and more people in the exercise. The information is disseminated through means of the Internet and through media, including print and electronic media, journals, conferences and academia.


166. Increasingly, practitioners and members of the donor community that support civil society capacity development stress that “good practice capacity building is not a blueprint, but a tailor-made process (Hailey and James 2006, pg.4 referencing UNDP 2006, DAC 2006, Lipson and Warren 2006, James and Wrigley 2006). Highlights from the literature offer a few guidelines for capacity development methodologies:

- respond to capacity gaps identified by CSOs themselves, such as through organizational self-assessment tools;
- start where the organization is at, including acknowledging and building on its strengths rather than merely addressing weaknesses (e.g. appreciative inquiry);
- build on local or regional knowledge and experience through peer learning;
- extend over time versus one-off so that the CSO has time to absorb the lessons learned into its organization, and can be supported to adjust to the changes, and to address emerging capacity needs that may result;
- offer accompaniment rather than merely training; and
- cater to the organization versus using generic and mass-delivered approaches.

167. Practice to address recommendation 16 requires further exploration in dialogue between donors and CSOs, and piloting of practice both individually and jointly. The subject is raised in the section on CSO partnerships as regards the challenges to CSO coordination and harmonization of their reporting requirements when faced with multiple reporting requirements from their donors. Another challenging area concerns CSOs’ ability to nurture their relationship of accountability with their primary constituents for local ownership, which can be positively or negatively influenced by the accountability requirements a CSO can negotiate with donors. In the following closing example we see how a CSO operating in an emergency context was able to put in place an extensive mechanism for accountability to the ultimate beneficiaries of aid (Recommendations 10c and d), facilitated by a more programmatic approach to funding and flexibility within the budget allocation. This case is covered in greater depth in the case book.
CARE Peru put accountability towards disaster-affected people into practice following the earthquake of August 15, 2007. They developed an accountability framework, which set out principles and standards, the purpose (to help strengthen the consistent quality of CARE’s response) and the desired outcomes (to contribute to the well-being, empowerment and protection of the rights of women, men and children affected by the earthquake). An accountability system evolved with four linked components:

- Public information to the affected populations including through direct communication by CARE staff in one-on-one meetings, public meetings and workshops, national and local radio, flyers and posters;
- Mechanisms for participation of affected people in decision-making;
- Mechanisms for systematic feedback from affected communities, including through a free telephone line, and adaptation of CARE’s response accordingly; and
- Application of Sphere humanitarian standards in their program.

All these aspects helped to ensure that the response was based on genuine needs as expressed by the affected populations.

That CARE Peru was able to establish this system was facilitated by the fact that DFID has incorporated a section on ‘accountability to beneficiaries’ into its humanitarian funding guidelines. This gave CARE Peru an entry point for explaining accountability and justifying the costs. Donors can support organizations to become responsive organizations. Budget flexibility is needed in order to incorporate the costs of accountability mechanisms, such as the use of communications and monitoring and evaluation line items. Flexibility is also needed to respond fully to some of the suggestions raised by beneficiaries.

Extracted from: Making accountability to disaster affected people a reality: Learning about accountability in CARE Peru’s emergency response Case Study (2008).

**CSO PARTNERSHIPS**

168. Central to CSOs’ effectiveness is the nature of the partnerships they forge – partnerships among CSOs, partnerships between Northern and Southern CSOs, and partnerships between CSOs and their primary constituents. This section focuses on these three relationship sets as well as coordination among CSOs, local ownership of CSOs’ initiatives, and CSO accountability. These topics all speak to the AG-CS’ recommendation 13 regarding the possibility of CSOs applying the enriched Paris principles.

**Recommendation 17A:** CSOs should be supported in their efforts to coordinate their efforts through umbrella organizations, working groups, networks or coalitions.

**Recommendation 17B:** Northern and Southern CSOs should work together to define their respective areas of comparative advantage and appropriate division of labour to encourage Southern CSOs to thrive and strengthen their place in society over time.
What are some examples and features of successful international or country-level CSO partnerships?

On the whole in this section we seek to answer the question: What are some examples and features of successful international or country-level CSO partnerships?

The benefits of coordination for CSO effectiveness are akin to those that form the rationale behind the principle of donor coordination. Coordination is one way to seek comprehensive coverage of the collection of development initiatives under way in a given geographic area, or on a given theme. It can reduce duplication of effort, and reduce transaction costs for partners – for Southern CSOs in the case of North-South CSO partnerships, and for communities affected by CSOs’ interventions. Coordination offers opportunities for learning and sharing approaches and evidence. And when policy dialogue is an objective, civil society voice can be strengthened through coalitions, which can be inclusive of multiple voices, and can stretch across borders.

Yet, while there are similarities in the rationale for coordination, the differences between donors and CSOs suggest that coordination in networks and umbrellas is not the only, nor necessarily the best, way for CSOs to operate. As we’ve seen, diversity is one of civil society’s strengths. Their relationships based on shared values, beliefs and objectives with their different primary constituencies is the primary consideration in the effectiveness of their contributions to democratic practice and to development impacts.

As with donor coordination and harmonization therefore, a balanced approach is needed. One step in taking a balanced approach is to understand the spectrum of coordination options available – from information sharing to the formation of umbrellas to CSO-led program-based approaches. Intra-CSO meetings and workshops can be used for the purposes of information sharing, as can web-based technologies. A coalition of CSOs in Vietnam, the Civil Society Inclusion in Food Security and Poverty Elimination Network (CIFPEN), produces an e-newsletter in which information on funding and training opportunities, updates on policy developments in the country, and features on CSOs’ initiatives and approaches are all provided. In its early days, the intention had been to establish an inventory of CSO projects and programs in a web-based format. However, both network members and organizers were challenged to find sufficient time to feed and maintain the system in the face of competing priorities such as implementation of their activities and fundraising (Paterson 2007).

A number of examples of CSO umbrellas or coalitions have already been seen throughout this paper, particularly coordination for policy dialogue such as with Jubilee 2000, the Global Campaign Against Poverty, the Cadre de Concertation en Education de Base in Burkina Faso, and FEMNET in Kenya, amongst others, or the Canadian Coalition for Youth and HIV/AIDS working in service delivery and capacity development.

In an era of competition for resources, and where CSOs need to be able to demonstrate results they can attribute to their own individual actions, incentives are needed to foster coordination. Donors’ experience with coordination under the rubric of Paris and CSOs’ experience with networks attest to the fact that coordination comes with its own costs. Resources are needed, both for specific coordination initiatives, and for inclusion of allocations for coordination in CSO budgets. Further exploration is required to identify obstacles to and find creative means to foster coordination in the CSO community so that donor procedures and regulations do not impede CSO efforts to pursue this principle. As donor requirements for planning and reporting become increasingly rigid, CSOs’ ability to respond to the planning and
reporting framework of a particular developing country counterpart organization becomes increasingly difficult.

175. There are questions surrounding North-South CSO partnerships that have been the subject of long-standing debate. As with the questions surrounding the donor-developing country government relationship, at the core is the issue of unequal relationships of power that, despite the best of intentions and efforts, remain and will persist for some time due to the very power imbalances that are a feature of today’s world.

176. Yet Southern CSOs are increasingly making legitimate demands for a rebalancing of the relationship so that they can have greater say for and responsibility in their own forward agendas, even in collaboration with their Northern CSO partners. Many are not looking to opt out of the partnership, but to change its dynamic so that those features they most value in their relationships with Northern CSOs can be reinforced, such as:

- opportunities for networking and dialogue;
- sharing and providing access to information not easily accessed by Southern CSOs;
- providing channels for Southern CSO voices in policy dialogue in the North or internationally;
- bonds of solidarity, moral and political support;
- building awareness of development issues in the North;
- influencing development-relevant policy issues in the North;
- sharing specific competencies or information; and
- occasional policy work in the South when it may be difficult for local CSOs to speak (Chapman and Wendoh 2007, pg. 8).

177. What then do more equitable, demand-driven and effective North-South CSO partnerships look like? Two examples are presented below, each of which offers lessons learned with regard to characteristics of sound North-South CSO partnerships. Other cases have been seen in previous sections of the paper such as ForoSalud-CARE Peru, the Jubilee 2000 coalition, Progresso-CODE, the ACI-PRSP Fund, and PCHRD amongst others. The discussion later in this section on principles and codes of conduct offers some further guidance.

Box 59 - Capacity Enhancement as an Indicator of an Effective Partnership (Recommendation 17b)

The Canadian Hunger Foundation (CHF) sees partnerships as the foundation of its approach to strengthening the capacity of community organizations to design and deliver poverty reduction programs, and to engage in dialogue and collaboration with local government. In their Building Community Capacity project in Guyana, three main categories of capacity building support are used, particularly with rural and isolated Guyanese CSOs: technical assistance through training, study and exchange visits or other forms of learning; organizational support, which includes program and sub-project funding for learning-by-doing; and organizational development. CHF has learned that successful partnerships for capacity development:

- rely to the greatest extent possible on the capacities of the local organization and engaging local expertise;
- understand that capacity building occurs with both partners;
- use participatory methods to determine what type of capacity building assistance is required and desired;
- use a coaching and mentoring approach so that capacity development is tailor-made rather than generic; and
- balance short-term capacity development within the longer term goals of project support.

CHF sees capacity enhancement derived by the Southern partner as one indicator of the effectiveness of North-South civil society partnerships and of the value-added of the Northern partner.

Extracted from: Building Community Capacity: Key to enhancing Southern incipient CSO performance in delivering effective aid Case Study (2008).

Box 60 - Relationships of Solidarity between CSOs: Indonesia Since the 1960s (Recommendation 17b)

The social and political changes in Indonesia over the last four decades have been influenced by the cooperation between Northern and Indonesian CSOs.

CSOs in Indonesia emerged as part of the struggle against the colonizers. NGOs working on development and advocacy started during late 1960s when the military took power. While the military imposed a top-down economic development model, the main rationale for the emergence of NGOs in Indonesia was to promote alternative development thoughts and practices. The donor countries and institutions officially supported what CSOs considered to be a repressive government, whereas the Northern NGOs began cooperating with their newly emerging NGO counterparts in Indonesia.

In the post-Suharto era, almost all Northern NGOs working in Indonesia were involved in democratization programs. Northern and Indonesian NGOs also contributed significant efforts to peace-building processes. With the emergence of a more stable political situation in Indonesia, many Northern NGOs have changed their approach, and as a result, relations of solidarity have diminished. Some Northern NGOs have become implementing agencies, creating competition for funding with local NGOs.

Given the current challenges, Indonesian NGOs hope that northern NGOs and Indonesian NGOs can in fact strengthen the cooperation much as they did when they jointly faced the dictatorship regime in the past.

Extracted from: INFID Case Study (2008).

Box 61 - The Uniterra Program

Uniterra is both a development program with operations in 13 African, Asian and Latin American countries and a public engagement program in Canada. The program was designed and is being implemented by two Canadian NGOs: Centre d’étude et de coopération internationale (CECI) and World University Service Canada (WUSC). It is co-funded by CIDA’s Partnership branch, by the volunteers and partners, and by CECI and WUSC.

Uniterra’s goals are, on the one hand, to build the capacities of local development actors in targeted sectors and in gender equality. On the other hand, it aims to enhance the support of individual Canadians for development cooperation efforts, by informing the Canadian public through networks of partners and volunteers, and providing opportunities for tangible engagement in international solidarity work.
A five-year program, each year Uniterra mobilizes more than 400 Canadian and Southern volunteers to directly support over 120 local partners, who in turn strengthen the capacities of more than 800 grassroots organizations. The program also helps to bring together Canadian and Southern partners in relationships of mutual exchange and reciprocity.

Uniterra’s implementation strategy is based on the principles of aid effectiveness which it has adapted to take into account the perspectives and contributions of Southern and Northern civil society to development. Highlights include:

- Local ownership and coordination - A five-year sectoral action plan is developed by local program partners (5–10 organizations per sector/country). The plan lays out priority activities and methods for capacity building within the sector and the organizations. A sectoral program management committee is formed through which partners set annual goals and allocate program resources (volunteers, exchanges, sectoral funds) to attain these goals each year. The sectoral committee also monitors progress and reports on results with the support of Uniterra field staff and volunteers. The sectoral committee represents a genuine forum for dialogue and coordinated action between CSOs in a given sector, thus contributing to mutual capacity building and development of synergies. The committee members are supported in their analysis of the relevant policies and programs, and their capacity for policy dialogue is strengthened. In many cases, national authorities assist with and participate in the work of these committees.

- Managing for results - Uniterra has set up a performance measurement and reporting system based on quantitative and qualitative indicators to track its targeted development results (not, for example, volunteer placement targets). Uniterra is in a position to determine how many people developed skills; the types of organizational capacities developed (management, governance, marketing, advocacy, mobilization, etc.) and by how many organizations; and the number of women who benefit. Local partners are supported to measure the results of their activities for the populations they serve, making an effort to disaggregate the results by sex.

Extracted from: The Uniterra Program Case Study (2008).

178. As the examples above demonstrate, along with those related to CSOs acting as donors in the good donorship section, central to North-South CSO partnerships is the concept of local ownership by Southern CSOs. Equally important is that CSOs’ initiatives be locally owned by their constituents. This is in keeping with the AG-CS’ recommendation 6b, that ownership of specific initiatives and programs may involve leadership by different actors, including CSOs.

179. CSO programs are more likely to be locally owned when their approaches are participatory, inclusive and responsive to the needs and realities of the people they seek to serve or represent. Participation and inclusion have been fundamental principles in the CSO community since the 1970s, as CSOs learned from their experience on the ground that higher impact and sustainable outcomes require local ownership. Not all CSOs operate in a way that can be considered locally owned and demand-driven, but CSO initiatives that involve the people they work with in priority setting and decision-making, and initiatives that promote empowerment, are not difficult to identify. In many respects this is a question of CSO accountability to their primary constituents.

180. The examples provided here address the AG-CS’ recommendations 10c, 10d, 11 and 12c: accountability that emphasizes a rebalancing of accountability for results in favour of beneficiaries; reinforcement of accountability; adopting the highest possible standards of openness, transparency and access to information; and measures to ensure that CSOs are transparent and accountable first and foremost to their constituencies and stakeholders, while accounting to donors and governments for the use of public funds.
181. Myriad additional efforts by CSOs to exercise accountability for the use of public funds to their constituencies and to donors and governments have been or are being pursued at country level and beyond, including the establishment of and commitment to standards of transparency and accountability, as seen with the International NGO (INGO) Charter featured below. In Colombia, the ONG por la Transparencia (Transparency and Accountability of NGOs) is an initiative led by NGO associations and networks to develop and implement minimum standards of information sharing with the public, individually and on a common web page. Through this initiative, described in greater detail in the case book, NGOs describe who they are, what they do, how they do it, what resources they use, who the beneficiaries of their actions are, and what they are achieving.

**Box 62 - The INGO Accountability Charter (Recommendation 10d, c and 12c)**

<table>
<thead>
<tr>
<th>The INGO Accountability Charter is a voluntary charter signed by 17 international NGOs. Among the Charter’s nine principles is transparency, whereby signatories commit to openness, transparency and honesty about their structures, mission, policies and activities, and to communicating actively to stakeholders about themselves, making information publicly available. Some of the practical implications of this principle include:</th>
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<tr>
<td>-reporting – compliance with relevant governance, financial accounting and reporting requirements in the countries in which they are based and operate, along with minimum annual reporting on activities, financial performance and sources of funds;</td>
</tr>
<tr>
<td>-audit – compliance with relevant laws and practices in annual financial reports, and audit of these reports; and</td>
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<tr>
<td>-accuracy of information – adherence to generally accepted standards of technical accuracy and honesty in presenting and interpreting data and research.</td>
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<tr>
<td>Another of the Charter’s principles is that of good governance, under which signatories commit to:</td>
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<tr>
<td>-a governing body that supervises and evaluates the chief executive, and oversees program and budget matters;</td>
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<td>-written procedures on the appointment, responsibilities and terms of members the governing body, and a regular general meeting to appoint and replace its members; and</td>
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<tr>
<td>-listening to stakeholders’ suggestions on how to improve the INGOs’ work, and encouraging input from people whose interests may be directly affected.</td>
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<td>The charter also contains principles on ethical fundraising, professional management, non-discrimination, effective programs, responsible advocacy, independence, and respect for universal principals, grounded in the <em>Universal Declaration of Human Rights</em>.</td>
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<td>A suggestion emerging from the AG-CS’ consultation process is that this charter, while addressing key elements of INGO accountability, could be expanded to address the increasing presence of large INGOs in developing countries.</td>
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<td>More information on the Charter is available at: <a href="http://www.ingoaccountabilitycharter.org/">http://www.ingoaccountabilitycharter.org/</a></td>
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182. A number of civil society umbrella organizations have put in place principles to guide their work with their civil society partners and the individuals and communities that make up their primary constituents. Principles are often accompanied by or form part of codes of conduct that address the practicalities of CSO behaviour in these partnerships. The establishment of *Ethical*
Principles and Minimum Standards initiated by and for Cambodian CSOs is featured below. Also featured is the example of the Canadian Council for International Cooperation’s (CCIC) Partnership Principles designed to guide its member CSOs in their relationships with their developing country partners, along with a Code of Ethics to which its members are bound.

183. The International Planned Parenthood Federation's (IPPF) accreditation system is featured in the case book. It is essentially a process of reviewing sexual and reproductive health CSOs against a set of criteria and standards that they must reach in order to become an accredited member of the federation. This accreditation offers a "consistent seal of quality". An interesting aspect of the IPPF case is that for CSOs that do not at first meet the standards, the organization will support and assist them to address areas needing to be strengthened.

184. Also noteworthy is the Code of Good Practice for NGOs Responding to HIV AIDS developed by NGOs, for NGOs, to help guide their work by providing a framework to which they can commit and be held accountable. Drawing on 20 years of knowledge and experience, this code sets out key principles, practice and evidence base required for successful responses to HIV (extracted from http://www.hivcode.org/search-the-code/). Further examples of international agreements, charters, declarations on legitimacy, transparency and accountability adopted or recognized by CSOs in a specific country or worldwide is available via CIVICUS at http://www.civicus.org/lta/lta-guidelines/5/283-lta-guidelines.

Box 63 - An NGO Code of Ethical Principles and Minimum Standards in Cambodia (Recommendation 10d, c and 12 c)

In 2004, the Cooperation Committee for Cambodia (CCC) established the NGO Good Practice Project (NGO GPP) as a result of growing pressure, from both within and outside the NGO sector, for NGOs to be more accountable. A working group of representatives of the NGO community developed the Code of Ethical Principles and Minimum Standards for NGOs in Cambodia incorporating feedback from a wider audience of NGOs and other development stakeholders. This code aims to maintain and enhance standards of good organizational practice and to ensure public trust in the integrity of the individuals and organizations that make up the NGO sector, and the effectiveness of NGO programs. Nine ethical principles have been established: partnership, independence, cooperation, transparency, accountability, non-political affiliation, non-discrimination, non-violence, respect for human rights and communities.

The initiative is developing a system of self-certification and also provides opportunities for NGOs to come together to learn about best practices in accountability.


Box 64 - CCIC’s Code of Ethics and Partnership Principles (Recommendation 10d, c and 12 c)

In the early 1990s, members of the Canadian Council for International Co-operation (CCIC) recognized the need and went on to conceptualize and develop a membership-wide Code of Ethics. Ratified and adopted in 1995, the Code of Ethics delineates the minimum ethical standards that CCIC's members must observe in the areas of governance, organizational integrity, management/human resources, financial management, and fundraising communications. It is based on a philosophy of self-certification and peer accountability and supported by a broader ethics program.
In 2004, CCIC added a set of principles and standards regarding North-South partnerships to the code. While the topic of partnerships had been discussed for many years it was the new political climate following September 11th that pushed CCIC to develop the principles, as the new security legislation seemed to threaten many of the traditional partnerships of CCIC members. The principles, developed over a two-year period through a reflective process which included Southern CSO participation, address many issues, including unequal North-South power relations. One of the principles explicitly states that “Partnerships should embody equity. Acknowledging that inequalities often exist as a result of power dynamics, especially in funding relations, partners should strive for equitable partnerships”. Another principle stresses that “Partnerships should be vehicles for long-term accompaniment that support the right of peoples to determine and carry out activities that further their own development options, through their civil society organizations” (CCIC 2008, pg. 11).

CCIC supports its membership in implementing the code and principles through workshops on ethical practice and publication of supporting documentation on such issues as managing conflict of interest situations, and addressing tensions in choosing fundraising images.

The code and principles are available at [http://www.ccic.ca/e/002/ethics.shtml](http://www.ccic.ca/e/002/ethics.shtml)

Extracted from: CCIC (2008a).

185. There are various ways in which donor and government support can be provided to CSOs’ independent processes of establishing principles of CSO effectiveness beyond moral support and enthusiasm. Some CSOs may be able to draw from their private fund base, or they may seek a co-funding arrangement with donors or governments. Funding specific to the project is an option, as was the case for the Cambodia code, or as part of core financing.

186. Principles and codes of conduct for CSO effectiveness could seek to address the following areas, amongst others:

- desire for more equitable partnerships based on a philosophy of local empowerment and following participatory and inclusive practice;
- pursuit of shared or mutual accountability;
- long-term and comprehensive approaches that include core funding, capacity development and a long-term commitment;
- design, implementation and monitoring of initiatives by CSOs with their primary constituents to ensure they are driven by and aligned with local priorities and thus locally owned (including Northern CSO alignment with Southern CSO partner priorities, and Southern CSO alignment with constituents’ priorities);
- responsibility of donor CSOs to advocate for inclusive policy dialogue that provides equitable and appropriate space for their CSO partners to influence debates and decision-making processes;
- reduced duplication of efforts and appropriate coordination and harmonization of efforts, within a framework of respect for different approaches to human rights, social change and advocacy; and
- means for adherence/membership, monitoring and compliance.
THE FORWARD AGENDA

187. In June 2008 CSOs announced the launch of their ambitious CSO-led global process to raise awareness and develop guidelines related to CSO effectiveness, inviting other stakeholders to engage with them in this process, the multi-stakeholder modalities of which are to be developed (CONCORD 2008). The AG-CS proposes as part of the forward agenda that CSOs be encouraged in this process of dialogue and consensus building to develop CSO effectiveness principles, guidelines and good practices. CSOs are invited to consider the AG-CS recommendations as a starting point.

188. The AG-CS further recommends that each stakeholder group commit to individually and jointly explore, adapt and pilot the type of good practices presented here, and to track progress on these practices to inform ongoing learning and dialogue. Consideration is being given to the establishment of a multi-stakeholder reference group to help move such a process along between now and the next HLF in 2010/11. Until such a group is established, readers interested in participating in such a piloting exercise are invited to contact the AG-CS to express their interest via the AG-CS extranet site.

189. The purpose of this paper has been to point to some initiatives and directions for good practice. It is meant to serve as a reference document that can assist stakeholders to identify areas of good practice from which they may choose to learn, and point them to resources that they can turn to for additional information.

190. In addition to providing a resource, this paper reinforces, through practical examples, the AG-CS’ position that issues related to civil society and aid effectiveness are the issues of each stakeholder group; the relationships, policies, modalities, and attitudes of any one of the four stakeholder groups – Northern CSOs, Southern CSOs, governments and donors – influence those of the others.
CASE STUDIES CONSULTED

Cases submitted to the AG-CS, sorted by country. Cases marked with an arrow are included in the Civil Society and Aid Effectiveness Case Book. Additional cases included in the paper are mentioned in the bibliography.

Afghanistan: Microfinance Investment Support Facility for Afghanistan (MISFA) – submitted by Afghanistan Task Force, CIDA

Africa: Education SWAps In Africa: Lessons for CSOs – submitted by OISE

- Africa: Impact Planning and Learning through Constituency Voice: Keystone’s accountability method links funders, implementers and primary constituents – submitted by Keystone

- Africa: Just Budgets: Increasing Accountability and Aid Effectiveness through Gender Budget Analysis – submitted by One World Action

Bangladesh: BRAC – no formal submission

Cambodia: NGO Accountability: Code of Ethical Principles and Minimum Standards – submitted by NGO Forum on Cambodia

Canada: L’action communautaire : Une contribution essentielle à l’exercice de la citoyenneté et du développement social du Québec – submitted by Government of Quebec

- Canada: Uniterra Program - Centre d’étude et de coopération internationale (CECI) and World University Service Canada (WUSC) – submitted by CECI

- Colombia: London – Cartagena – Bogota Process – submitted by Government of Colombia

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- Croatia: National Strategy for Creating an Enabling Environment for Civil Society Development – submitted by Government of Croatia

- Democratic Republic of Congo: Butoke: Grassroots development with a heart – submitted by Butoke
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- India’s National Policy on the Voluntary Sector – submitted by Government of India


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- Indonesia: North-South CSOs Cooperation: Indonesian Context – International NGO Forum on Indonesian Development (INFID) – submitted by IBON/Reality of Aid Network


- International: CIVICUS Civil Society Index – submitted by CIVICUS


- International: The GAVI Alliance – submitted by GAVI Alliance


- International: UNDP ART Initiative – no formal submission


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Mozambique: Complementing Program-based approaches through civil society-led projects: The Experience of the Coastal Rural Support Program (Mozambique) – submitted by Aga Khan Foundation Canada

Mozambique: Consequences of Public Health Policies on Aid Effectiveness and Civil Society Organizations in Mozambique: The Case Study of SALAMA – submitted by Primates World Relief and Development Fund (PWRDF), Cooperation Canada-Mozambique (COCAMO) and SALAMA Mozambique

Mozambique: Lessons of a CSO Project and the SWAP in Education in Mozambique: Case Study on Issues in Alignment with Government Sector Strategies for CSOs – submitted by Progresso/CODE

Nordic+ Study of Support Models for CSOs at Country Level – submitted by Norad

Peru: Improving the Health of the Poor: a Rights-Based Approach Program – submitted by CARE Peru

Peru: Making accountability to disaster affected people a reality: Learning about accountability in CARE Peru’s emergency response – submitted by CARE UK

Philippines: IBON Partnership in Education for Development (IPED) – submitted by IBON Foundation Philippines

Philippines: On CSO Accountability and CSO National Coordination – submitted by Management Advancement Systems Association, Inc. (MASAI) and Ecumenical Institute for Labor Education and Research (EILER) – Philippines

Philippines: The Masai-CARITAS Neerlandica Partnership: Where Communities Spearhead Early Childhood Care and Development Programs – submitted by MASAI

Philippines-Canada Human Resource Development (PCHRD) – submitted by CIDA

Senegal: Création d’un centre de recherche indépendant en analyse des politiques économiques et sociales – Consortium pour le recherche économique et sociale (CRES) Sénégal – submitted by CRES

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