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INTERVIEWS

Vitalice Meja, Director, Africa Reality of Aid Network, based in Kenya; author of several consultation reports on government–NGO relationships relating to the issue of national ownership of development strategies.

Richard Ssewakiryanga, Executive Director, Uganda National NGO Forum, an independent and inclusive national platform for NGOs in Uganda (<http://www.ngoforum.or.ug>).

- 1 UNDP, 2013.
- 2 UNDP, 2013: v.
- 3 UNDP, 2013: 2.
- 4 Saudi Arabia, Turkey and the United Arab Emirates account for much of this increase. The increase for Turkey is likely the consequence of growing needs for support to refugees from the Syrian conflict in 2012. There are no up-to-date statistics for development assistance by China, India and Brazil. For these countries, estimates for SSC, equivalent to aid reported by other countries to the DAC, is based on research for 2008 and 2010. UNDP China recently published an estimate for China for 2012. See Table 1 Notes for a list of sources.
- 5 The Bandung Conference, hosted by Indonesia, brought together 29 Asian and African nations to promote economic and cultural cooperation and oppose colonialism.
- 6 Chaturvedi, 2012.
- 7 CPM, 2012. This study, commissioned by UNDP, provides an overview of the evolution of development cooperation in Central and Eastern Europe. It maps the development assistance of selected new EU Member States, mainly in the Eastern Europe and CIS region with a particular focus on sharing knowledge and transitional experience. The paper analyses the territorial focus and the thematic priorities, as well as modalities used by various donor countries in the region.
- 8 John, 2012: 9; Chin, 2012; and UNDP, 2013.
- 9 While many Southern governments and other development stakeholders, including civil society, have welcomed these principles, there is also a debate about the degree to which actual practices in SSC are guided by and truly reflect these principles (See Vaes and Huyes, 2013: 38–39; and Dreher, 2011).
- 10 Vaes and Huyes, 2013: 34–35.
- 11 See the following section and Table 2 for references for this calculation.
- 12 Vaes and Huyse, 2013: 45.
- 13 Vaes and Huyse, 2013: 61, 66; UNDP, 2013: 110–111; and John, 2012: 14, 23.
- 14 A scan of 110 case studies in SSC compiled by the Task Team on South–South Cooperation for an SSC High-Level Event in Bogota in 2010, for example, revealed only two that even mention NGOs and civil society. See the case studies in OECD, 2013a.



- 15 INESC, 2012: 39 and 43; and Vaes and Huyse, 2013: 59. The Brazilian case study in this e-publication, however, points to several other more substantial involvements of Brazilian CSOs in SSC in innovative social policies led by the Ministry for Social Development.
- 16 People's Republic of China, 2011.
- 17 The BRICS include Brazil, Russia, India, China and South Africa.
- 18 Vaes and Huyse, 2013: 40.
- 19 The study has commissioned case studies of the USA, Sweden and Australia as traditional donor countries, alongside cases of Brazil and Turkey and a short review of the Czech Republic, India and the Republic of Korea. The study includes also an annotated bibliography of secondary literature.
- 20 The study's methodology has its limitations in that it focuses on drawing attention to positive approaches to well-defined issues and problems for both donors and CSOs, when considering civil society in aid delivery. It also looks at 'good practice' in terms of overall conditions that strengthen CSOs as aid actors in the context of social solidarity (see endnote 9). It does not address, for the most part, the technical issues for both donors and CSOs in elaborating donor-CSO partnerships (such as, for example, structuring NGO sections of aid agencies for programme management, structuring administrative processes for making decisions on which CSOs to support, or setting out the scope for financial and programmatic CSO/NGO reporting for fiduciary and programmatic accountability to the donor). Further research and case study investigation of individual donors and their administrative practices for CSOs would be required to make recommendations in these areas.
- 21 These figures might significantly underestimate private resources raised in developing countries. For example, one estimate is that US\$20 billion is donated by 1.5 billion Muslims as a moral duty embedded in Islamic values, which is not captured by the figures above. Quoted in Morvaridi, 2013.
- 22 ODA channelled through CSOs is included as bilateral aid under the DAC reporting system, and its share of bilateral ODA is, therefore, a more accurate measure (than total ODA) of the degree of importance that a donor gives to this channel in its ODA. Bilateral aid in this calculation does not include donor expenditures for debt cancellation, support for refugees and students in donor countries. While the DAC rules allow them to be counted as ODA, these latter flows are excluded because they do not directly benefit developing-country partners. See the note on Country Programmable Aid above.
- 23 Pratt et al., 2006.
- 24 See the US Case Study.

- 25 Using both the DAC numbers and the Center for Global Philanthropy, it is possible to provide a range for the total amounts raised by CSOs (funds channelled by donors plus privately raised funds). In 2010 NGO/CSOs disbursed between US\$50.8 billion and US\$76 billion, when these ODA flows and private flows are combined. These amounts are calculated as follows: DAC official funds (\$20 billion) + DAC estimate of private funds raised (\$30.6 billion) = \$50.6 billion, and using the Center for Global Philanthropy's estimate of private funds raised (\$56 billion), the total is \$76 billion (20 + 56). It is interesting to note that the six INGO families above would make up 17 percent of this US\$50.6 billion. See Center for Global Philanthropy, 2012: 3.
- 26 The US Case Study points out that USAID reports that, in 2010, NGOs registered with USAID received US\$20.9 billion from private sources and US\$6.8 from USAID and other government departments, for a total of US\$27.8 billion that year. As noted above, the Center for Global Philanthropy reported that the USA accounted for \$39 billion in privately raised funds. It is not clear from the methodology of the Center's report what is included in this figure in comparison to the amount reported by the US government.
- 27 See the Sweden Case Study.
- 28 See the Australian Case Study.
- 29 DAC, 2011: 11.
- 30 The DAC Creditor Reporting System is a database maintained by the OECD DAC to which each DAC donor annually reports its aid activities for each project. The donor provides information on sector coding, recipient partner country, implementing agent (e.g. by CSOs or multilateral institution etc.), special purpose markers (such as for gender equality or climate change) and types of aid (budget support, projects, technical assistance etc.). The database can be accessed and information constructed according to the needs of the user of this information. See <http://stats.oecd.org/Index.aspx?ThemeTreeId=3>
- 31 A limitation of this study is the fact that the documentation of the experience of CSOs in aid delivery is quite unbalanced. The vast majority of documented experience and assessments of CSOs in aid delivery have been produced in the North, primarily in DAC countries. See the annotated Bibliography for a list of sources examined by the study.
- 32 World Economic Forum, 2013: 5.
- 33 Brass, 2012: 1.
- 34 Fafchamps and Owens, 2009.
- 35 US Case Study.
- 36 Australian Case Study.

- 37 See OECD, 2013b.
- 38 For example, see the summary of CSO concerns about partnership arising in some recent CSO consultations in Open Forum, 2010a.
- 39 US Case Study.
- 40 Sweden Case Study.
- 41 CIVICUS, 2011.
- 42 World Economic Forum, 2013: 9; and Open Forum, 2011a.
- 43 See Gibson, 2013.
- 44 World Economic Forum, 2013: 6.
- 45 The Paris Declaration, which has been endorsed by countries, was agreed at the second High-Level Forum on Aid Effectiveness held in Paris in 2005. A third High-Level Forum in 2003 in Accra resulted in the Accra Agenda for Action to further implement and expand these principles. See OECD, 2013b.
- 46 See the US and Sweden Case Studies and their discussion of issues in partnerships.
- 47 OECD, 2011: paragraph 22a.
- 48 See the US Case Study, 60–61, for the complexity of the US situation.
- 49 See for example the Canada chapter in CIVICUS, 2013.
- 50 Ribeiro, 2013: 7.
- 51 Ribeiro, 2013: 1.
- 52 Brazilian Case Study; and Ribeiro, 2013.
- 53 See the INGO Case Study.
- 54 See the description of the work of platforms in the US Case Study, the Australia Case Study, the Sweden Case Study and the Brazil Case Study.
- 55 See the Australian Case Study.
- 56 As a CSO framework coalition, Forum Syd, for example, received US\$30 million in 2010 through its framework agreement with Sida for projects implemented by its members; it also received US\$9 million for its own projects. Forum Syd makes recommendations to Sida for the allocation of its framework grant, and Sida retains the final approval for each project. Each organization that receives funds for its project must provide a minimum of 10 percent of the project costs. Forum Syd maintains offices in countries where its members have significant numbers of projects, to facilitate project monitoring, particularly on behalf of smaller Swedish CSOs. (Sweden Case Study; Billing, 2011: 21–23).
- 57 See the CPDE website, <http://csopartnership.org>
- 58 <http://www.concordeurope.org/>
- 59 <http://www.piango.org/>

- 60 <http://www.alop.org.mx>
- 61 <http://www.civicus.org>
- 62 See the US Case Study.
- 63 Jordan, 2006; Brown, 2008.
- 64 Examples of voluntary codes of conduct and standards for CSOs include InterAction (US) 'Private Voluntary Standards' covering financial, operational and ethical code of conduct for its member agencies (www.interaction.org/sites/default/files/PVO%20Standards%20%20%20March%20%2C%202013.pdf); Canadian Council for International Cooperation's 'Code of Ethics', which includes a set of standards (http://www.ccic.ca/about/ethics_e.php); or Cambodia's 'Code of Ethical Principles and Minimum Standards for NGOs' implemented by the Cooperation Committee for Cambodia, a platform of approximately 140 Cambodian NGOs (<http://www.ccc-cambodia.org/ccc-program/voluntary-certification.html>) One World Trust maintains a database of civil society self-regulating initiatives at <http://www.oneworldtrust.org/csoproject/>
- 65 Only Australia is known to use an NGO-managed code of conduct for determining eligibility for government funds. Other donors refer to these codes but manage their own eligibility criteria.
- 66 For a discussion of the issues of voluntary self-reporting codes and standards, see Lloyd, 2010.
- 67 Referenced in the US Case Study.
- 68 DAC, 2012: 47. For an example of an alternative approach that is sensitive to beneficiary interests, see the example of ActionAid's Accountability, Learning and Planning System (ALPS). <http://www.actionaid.org/publications/alps-accountability-learning-and-planning-system>
- 69 Sphere Project, 2011.
- 70 For a good summary discussion of issues in a common humanitarian standard, including the issue of certification of humanitarian actors, see IRIN, 2013.
- 71 See Open Forum, 2011a and [2013a](#), for an overview of activities relating to the implementation of the Principles.
- 72 See CRS data at <http://stats.oecd.org/Index.aspx?QueryId=33364>
- 73 See the IATI website at www.aidtransparency.net/ and the initiatives by CSOs to adhere to IATI at <http://support.iatistandard.org/forums/20317313-for-ngos> and <http://support.iatistandard.org/forums/20584603-iati-cso-working-group>
- 74 See the list of more than 150 stakeholders publishing to the IATI Standard at <http://www.iatiregistry.org/publisher>

- 75 <http://openforchange.info/>
- 76 For an overview of these initiatives and issues for CSOs in improving their own transparency, see Tomlinson, 2012.
- 77 The IATI Standard will come together with the DAC's Creditor Reporting System at the end of 2013 to form a common standard for aid transparency. It will contain all of the current dimensions of the IATI Standard, particularly those related to narrative information on project objectives, implementation and results.
- 78 The CSO IATI Working Group has published a protocol that both encourages CSOs to publish to the IATI Standard and sets out some issues arising from the unique position of CSOs as development actors in their own right. See IATI, 2012.
- 79 Open Forum, 2011a: 14–17; and Tomlinson, 2012.
- 80 See Annex A of DAC, 2011, for the most current policy for each DAC donor.
- 81 DAC, 2011: 15.
- 82 DAC, 2011: 16.
- 83 NORAD, 2012: 6–8.
- 84 DAC, 2011: 18.
- 85 NORAD, 2012: 6.
- 86 See also NORAD, 2012: 11.
- 87 Donors take different approaches to the institutional mechanisms and policies to answer this question. Their mechanisms continue to evolve. In early 2012, agencies working with CSOs in Switzerland, Ireland and the Netherlands were actively reforming their support mechanisms.
- 88 US Case Study.
- 89 Australia Case Study.
- 90 Sweden Case Study.
- 91 DAC, 2011: 19.
- 92 DAC, 2012.
- 93 DAC, 2009: 29–38.
- 94 While there may be some specific donor-country studies reviewing the design of administrative structures to manage CSO programmes, there is no accessible secondary or primary literature available to the author. This paragraph is based on the author's own experience working with Canadian CSOs in their relationship with CIDA over the past 30 years. Further research into donor agencies would be required to draw lessons on the best practices in the donors' institutional management of their CSO programming.

- 95 See DAC, 2011: 26–31; the Case Study Overview of Selected Aid-Providers; and CPM, 2012.
- 96 See DAC, 2011: 21–29; and the US, Sweden and Australia Case Studies.
- 97 For a short discussion of some issues in volunteers for development, see Joyce, 2013.
- 98 See the discussion of volunteers in the Australia Case Study.
- 99 DAC, 2012.
- 100 See, for example, CSO concerns expressed in Open Forum, 2010a.
- 101 See DAC, 2011: 22–23. Consultations with CSOs in the Open Forum from 2010 to 2011 identified a number of areas where donors’ modalities of funding could strengthen the capacities of CSOs to implement the Istanbul Principles: “CSO development effectiveness will be enabled through funding modalities undertaken by official donors [and other middle-income aid-providers] with 1) a long-term results-oriented perspective, which includes core institutional support, based on the notion that CSOs provide public goods; 2) responsiveness to CSO initiatives; 3) access for a diversity of CSOs, including support for different-sized CSOs; 4) predictable, transparent, easily understandable and harmonized terms; 5) the view to promoting the mobilization of local resources; and 6) support for the full range of CSO programming and innovation, including policy development and advocacy.” See Open Forum, 2011a: 24.
- 102 Nijs and Renard, 2009.
- 103 According to the US Case Study, USAID in the 1980s and 1990s provided grants intended to strengthen the administrative and programmatic capacities of US CSOs. Well-established US CSOs today were often the recipient of these grants in those years. These funds were also available for strengthening the institutional capacities of organizations in developing countries.
- 104 The call-for-proposals mechanism is often seen as cumbersome and highly demanding, often requiring major upfront investments by the NGO and its partners, and with significant losses if the bid proves to be unsuccessful. Only the largest organizations can afford regular bidding in calls-for-proposals. The system strongly favours Northern CSOs with access to information and consultants skilled in putting proposals together. The system works against collaboration and coordination, encouraging intense competition among CSOs at global, national and local levels. The system is not well adapted to sustainability for long-term initiatives whose achievement of outcomes will likely be beyond the limited funding period. See PARTICIP, 2008; See Volume 1 of PARTICIP, Box 5, 42.

- 105 See an important discussion of results frameworks and value-for-money considerations in various resources prepared for 'The Politics of Evidence Conference,' 23–24 April 2013 sponsored by Big Push Forward, <http://bigpushforward.net/resources>
- 106 Karlstedt, 2010.
- 107 Working Party on Aid Effectiveness, 2011; Open Forum for CSO Development Effectiveness, 2010b.
- 108 Glennie et al., 2013: 67.
- 109 Glennie et al., 2013: 81.
- 110 See examples in the Australian Case Study.
- 111 Glennie and colleagues note that “core funding may be important for NGOs in terms of how responsive and demand-led their work with local partners is. Two NGOs interviewed in Uganda highlighted how the core funding they received allowed them to engage in a close and open dialogue with their partners on their needs and to deliver more bespoke support, including on organizational development issues other funders neglect.” They also point out, however, that core funding has been a marginal type of support for local CSOs, often biased towards the large INGOs that do not necessarily pass the benefits of core support to their partners on the ground. See Glennie et al., 2013: 78.
- 112 DAC, 2011: 25; Giffen and Judge, 2010; and Fallman, 2012.
- 113 DAC, 2011: 11, 25.
- 114 Glennie et al., 2012.
- 115 See a case study in DAC, 2009: 82.
- 116 DAC, 2011: 26; NORAD, 2008; and Kabuchu et al., 2013.
- 117 See Mackinnon, 2012; Harcourt, 2012; Darnton, 2011; O’Loughlin et al., 2007; Irish Aid, n.d.; Stephens, 2009; and Debelyak, 2012.
- 118 See, for example, the work of Southern-based and Southern-led CSO policy-oriented networks: ThirdWorld Network (<http://twinside.org.sg/>) and Third World Network Africa (<http://twnafrica.org/>), Social Watch (<http://www.socialwatch.org/>), Via Campesina in food sovereignty (<http://viacampesina.org/en/>) or IBON International (<http://iboninternational.org/>) and its work within the Global Partnership for Effective Development Cooperation, among others.
- 119 See for example, China Development Brief, 2013; Dubochet, 2011; and profiles of members of the Brazilian NGO Platform, Abong, (in Portuguese) at <http://abong.org.br/> and Ribeiro et al., 2013. John, 2012, is a review of NGO policy engagement with the meetings of the BRICS, including IBAS.
- 120 Ribeiro and Lopes, 2013.
- 121 Laite, 2013: 18; and Brazil Case Study.

- 122 See the brief discussion of the Forum for Indian Development Cooperation at PRIA (a major Indian policy-oriented NGO) at <http://www.pria.org/events/general-events/details/168-indias-global-development-presence-and-engagement-of-indian-civil-society> See also Vaes and Huysse, 2013: 40–41.
- 123 See the Turkey Case Study.
- 124 ITAD and COWI, 2012: 11–17.
- 125 ITAD and COWI, 2012: 13, 15.
- 126 Elbers and Arts, 2011. While this section focuses only on developing-country government funding of CSOs, there is a growing literature and attention on the role of philanthropic financing in developing countries, particularly some of the middle-income SSC aid-providing countries. See for example, Dulany and Winder, 2001; and Fabiani, 2013.
- 127 Brass, 2012: 5.
- 128 CSOs in Uganda that receive external funding have very different characteristics from those that do not: they are much more likely to be managed by educated, professional, well-connected leadership and be part of national or international networks. Many local CSOs disappeared when they were formed and received no external grants. See Fafchamps and Owens, 2009: 296–97, 307, 310; and Kabuchu et al., 2012: v.
- 129 Gouveia and Daniliauskas, 2010.
- 130 Vielajus, 2008.
- 131 ITAD and COWI, 2012: viii; and Batley et al., 2011.
- 132 No written documentation could be located to confirm the extent of this reliance on NGOs by various African governments. This section relies on interviews with knowledgeable African NGO representatives and a series of case studies relating to Bangladesh, India and Pakistan in a special issue of the *International Review of Administrative Sciences*.
- 133 Kabuchu et al., 2012: iv.
- 134 USAID, 2003.
- 135 See the elaboration of these cases in the special 2011 issue of the *International Review of Administrative Sciences*.
- 136 Batley et al., 2011; McLoughlin, 2011; and Nair, 2011.
- 137 Jupp, Sultan and Costa, 2012: xi.
- 138 Batley, 2011: 314.
- 139 Banks and Hulme, 2012.
- 140 These conditions are compiled from the commentary of authors in the special issue of the *International Review of Administrative Sciences* and from interviews.

- 141 Nair, 2011.
- 142 See, for example, the introductory chapter (CIVICUS), the chapter on India (VANI) and the ICNL chapter on different country contexts for current legal conditions in CIVICUS, 2013.
- 143 For example, the Indian education plans recognize the role of NGOs in supporting government objectives and in deepening the reach of the government towards out-of-school children. In this case, “the government provides a broad framework of policy and funding within which state and local governments negotiate with NGOs their own form of collaboration. ...Many NGOs bring to these relationships their own additional funding” (Batley, 2011).
- 144 Kabuchu et al., 2012.
- 145 Batley, 2011: 317, 318.
- 146 See the INGO Case Study.
- 147 See Moore and Zenn, 2013.
- 148 See the INGO Case Study, the US Case Study and the Sweden Case Study.
- 149 See, for example, InterAction (US NGO Platform) ‘NGO Aid Maps’ for background on data mapping and a map of InterAction members’ work in food security and in humanitarian assistance in Haiti and the Horn of Africa (<http://www.interaction.org/work/ngoaidmap>). See also background for a case study of new uses of aid information from IATI in Nepal at AidInfo, <http://www.aidinfo.org/case-studies/better-information-better-aid-nepal-country-study>
- 150 People’s Republic of China, 2011.
- 151 See the Brazilian Case Study for references to the current limitations in the Brazilian context.
- 152 Vaes and Huyse, 2013: 64, 66.
- 153 Advisory Group on Civil Society and Aid Effectiveness, 2010.
- 154 Quoted in the US Case Study.
- 155 See the INGO Case Study.
- 156 See a comprehensive list at <http://www.oneworldtrust.org/csoproject/>
- 157 Available for download at <http://www.sphereproject.org/resources/?category=22&subcat=22=23>
- 158 See the website <http://www.jointstandards.org/>. The other initiatives are the Active Learning Network for Accountability and Performance in Humanitarian Action (<http://www.alnap.org/>), the Humanitarian Accountability Partnership (<http://www.hapinternational.org/>) and People in Aid (<http://www.peopleinaid.org/>).

- 159 See Joint Standards Initiative, 2013.
- 160 For details on the ‘INGO Accountability Charter’ see <http://www.ingoaccountabilitycharter.org/>). The original signatories were ActionAid International, Amnesty International, CIVICUS World Alliance for Citizen Participation, Consumers International, Greenpeace International, Oxfam International, International Save the Children Alliance, Survival International, International Federation Terre des Hommes, Transparency International and the World YWCA.
- 161 See <http://www.icscentre.org/>
- 162 The Charter is available at http://www.ingoaccountabilitycharter.org/wp-content/uploads/INGO-Accountability-Charter_logo1.pdf
- 163 See the members and terms of reference of the Independent Review Panel at <http://www.ingoaccountabilitycharter.org/reporting-monitoring-compliance/independent-review-panel/>
- 164 Members’ annual reports in compliance with the Accountability Charter are accessible at <http://www.ingoaccountabilitycharter.org/list-of-signatories/members-reports/>
- 165 The International Framework is available at <http://www.cso-effectiveness.org/InternationalFramework>. The process through which the Framework has been developed and agreed by CSOs can be found at http://www.cso-effectiveness.org/home_091
- 166 The Global Partnership for Effective Development Cooperation will bring together every 18 months ministers and other stakeholders committed to implementing the Busan outcomes. This will be an occasion for all stakeholders to assess progress with regard to the Istanbul Principles.
- 167 See Open Forum, 2013b.
- 168 See the list of country-level activities in Open Forum, 2013a.
- 169 These proposals for good practice in the legal and regulatory framework for CSOs are adapted from Open Society, ‘Guidelines for Laws Affecting Civic Organizations’, Open Society, New York, 2004, accessed July 2013 at http://www.icnl.org/research/resources/assessment/guidelines_en.pdf. They also take into account extensive research on the part of the International Center for Not-For-Profit Law (www.icnl.org) and the World Movement for Democracy, (www.wmd.org).

