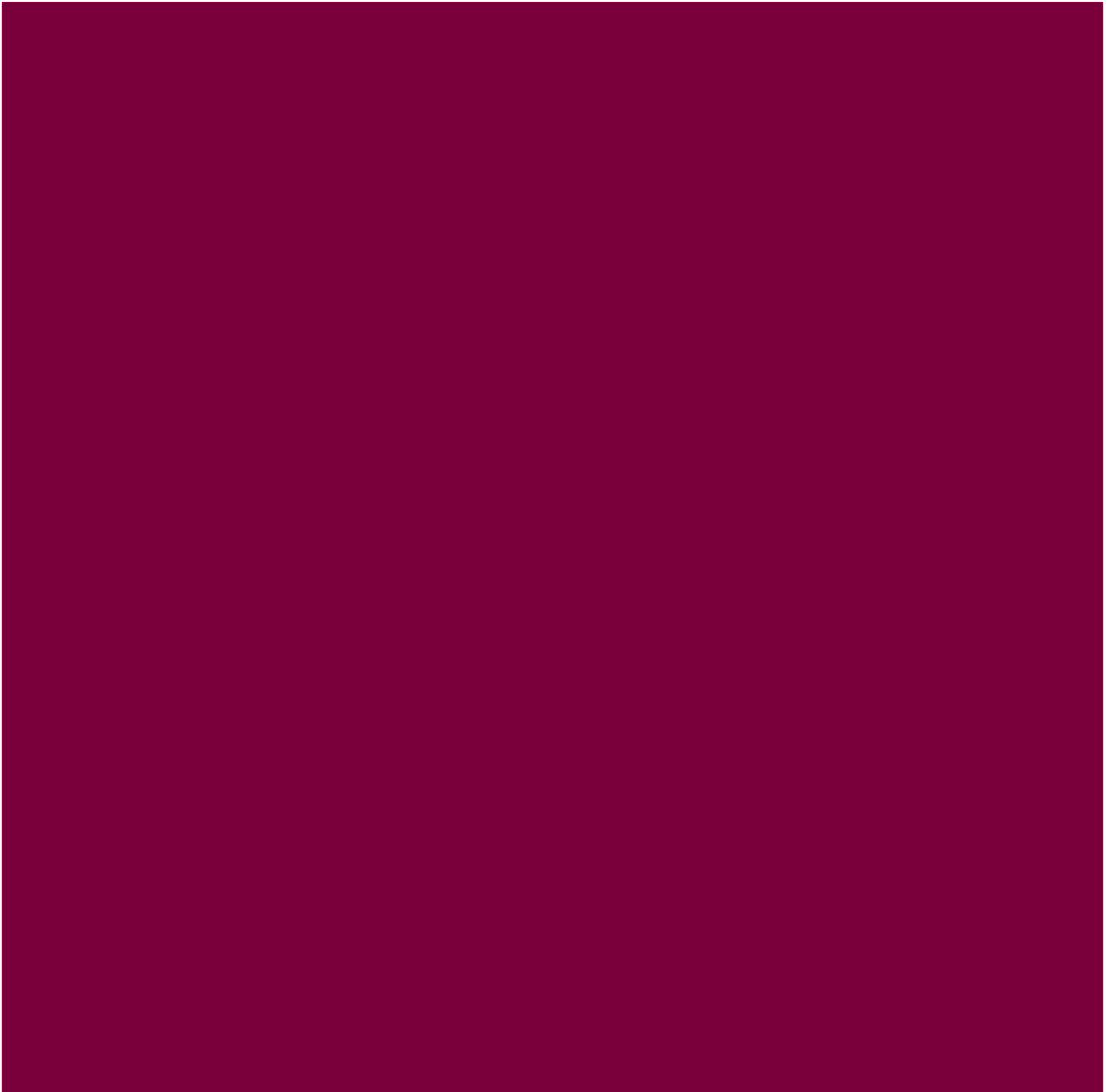


# Review of Five Assessments for Sector Programme Support





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# 1. Executive Summary

## **What is written in Sida's assessment memos for SPS?**

DESO:s Project on Sector Programme Support has made a review of five assessment memos for Sector Programme Support in order to define a baseline on how some areas (results-based management, the perspectives of the poor on development and the rights perspective, gender, capacity development and communication) are handled in the assessments today.

The assessment memos reviewed were Tanzania, Rwanda, Mozambique, Zambia and Mali, all written in spring 2006. One memo stood out as a good example regarding all areas, which can be interpreted as a sign that all issues are interconnected; e.g. if you have a good results-based approach this will make it easier to integrate the two perspectives into the assessment. It is clear that when the author has made his/her own judgement and analysis rather than just cutting and pasting from different sources of information, it shows in the memo and all areas benefit from it. The memo in question does not follow the exact structure in "Sida at Work", which implies that it is difficult to follow a manual too rigorously.

The demands made on Sida officers in the new context of aid are high and since one cannot be an expert on everything most programme officers have one specialist area which is easiest to focus on. But the different issues are interconnected and must be looked upon simultaneously. Those interviewees who have written an assessment memo for budget support or sector programme support agree upon one thing: this task should not be done by one officer alone. It is much work and it is almost impossible for one person to be able to cover all areas that has to be included in the assessment. If more people would participate in a good and concrete way (like writing parts of the memo) the assessment would benefit from it. But reality often throws a spanner into the work; the assessments are mostly made under time pressure and organizational issues within Sida might further obstruct this kind of cooperation.

In this review, by looking at all issues simultaneously an improved understanding of the assessment process has been created. The expectation from the SPS project group when undertaking the review and starting a discussion on assessments for sector programme support was that this would lead to methods development that will help future assessments.

One conclusion drawn from the review is that results should be the entry point for dialogue on all crosscutting issues in the sector pro-

gramme. By basing the analysis on the perspectives the dialogue is sharpened. The main entry-point for Sida's work is through close presence in on-going planning and budgeting processes, reviews and follow-up in the programmes. In order to have a qualified dialogue in these processes it is important to analyse the programmes from different angles in the assessments. However, it is urgent that these analyses are used as concrete input into the dialogue in the programmes and are not put in the memo just to pass Sida's Quality Assurance Committees.

# 2. Introduction

The Paris Declaration and new aid modalities put new demands on Sida and raises new questions. One area that is changing is sector programme support: previously it was mostly channelled as pooled funding but today sector support is in many cases provided as Sector Budget Support (SBS) or General Budget Support (GBS) instead.

What does this imply for Sida's work and overall priorities? Do some issues become more important and others less as the aid modality changes? Or is the changed focus an unintended and unfortunate misconception, due to the confusion between the programme and the contribution?

Several Sida officers and external consultants have participated in reviewing assessments for sector programme support from different angles. Those who have looked at the two perspectives of PGD are: Bo Hammarström, Anders Emanuel, Esse Nilsson, Lisa Fredriksson, Jenny Thunberg, Marja Ruohomäki, Ewa Westman, David Wiking, Birgitta Jansson. Gender has been looked at separately by Carolina Wennerholm (consultant from Kvinnoforum). The analysis of results-based management in the assessment memos was made by Martin Schmidt and Anna Schnell (consultants from SPM Consultants and Melander Schnell Consultants). Camilla Salomonsson and Kristin Sinclair (the latter is consultant at Sipu International) have made the review of capacity development. Hillevi Ekberg and Pia Hallonsten have looked at the communication aspect in the memos.

The different groups have had different points of departure and to some extent different tasks, so the chapters of this report are varied. In order to put the separate analyses into one common framework the authors gathered and discussed preliminary conclusions during a one-day workshop. This was seen as an important learning opportunity since Sida officials and consultants with different areas of expertise then looked at all issues in a comprehensive manner.

The main methodology has been qualitative text analysis of the five assessment memos and complementing documents. Furthermore, in order to learn more about the process, selected interviews were held with the Sida officers who have written (parts or all of) the assessment memos. The persons interviewed were Christina Larsson, Hans Persson, Karin-Anette Andersson and Pär Eriksson.

The aim of the exercise was to define a baseline on how some areas (results-based management, the perspectives of the poor on development and the rights perspective, gender, capacity development and communi-

cation) are handled in the assessments today. A further aim was to develop new methodological thinking on how the handling of these issues could be improved in future assessments. Work is ongoing to create a comprehensive list of issues that should be included in an assessment memo on sector programme support (see appendix 1), that could serve as a quick reference when doing an assessment.

# 3. What are GBS, SBS and SPS?

Both internationally and within Sida there is an ongoing discussion regarding definitions. The definitions used by donors are not consistent with each other; the support that one donor defines as Sector Programme Support is by another donor defined as Sector Budget Support. The main difference lies in differing views on earmarking and additionality.

Following the Swedish definitions for GBS, SBS and SPS, the support included in the review on assessment memos are GBS with focus on a sector (Rwanda, Tanzania, Mozambique) and sector programme support (Zambia, Mali). Sida provides only one pure sector budget support today: it is the support to Uganda.

An initial review was done during August 2006 on how some issues had been treated in the minutes from the Local Project Committees, DESO:s Quality Assurance Committee, AFRA:s Quality Committee and the Project Committee. The initial analysis concluded that some issues were treated in one committee, but not in the other. The Local and the Department Committees focused more on content issues and the Project Committee more on the structure of support. The initial review identified three issues that were basically neglected in the discussions in the different Committees; the issues were Results-Based Management, the perspectives of the poor and the rights perspective and capacity development. In addition communication and dialogue were identified as important issues.

A common experience from the field is that it is difficult to get time for discussions on the contents since the programme approach, harmonisation and alignment requires so much consolidation work with other actors, and hence a lot of time is spent on discussions regarding aid modalities. It is important to remember that the method is there to make the implementation of the programme's content more effective. Content and method complement each other.

Sweden has always made a clear distinction between the project and the contribution. The idea is that we contribute to something which our cooperation partners do. This distinction is valid not only in programme support but in all kinds of support and "Sida at Work" is clearly organized around this principle.

Project	Contribution
Programme	Sector programme support
PRS	Budget support

What Sida should assess is the left column: it is the project, programme or PRS that is in focus. With the new aid modalities external factors are becoming more and more important. This implies a change in roles for Sida staff, as an expert in health you like to focus on health issues and leave “the rest” to someone else, but that is not feasible today when “the rest” is the method, i.e. the key for the programme to succeed.

# 4. Results-Based Management

Results-Based Management moves the attention from the method to the content of the programme. The new development agenda puts new demands on the people working with programme support:

- From bilateral relationships to cooperation with several donors and recipients (“inter-agency dialogue”).
- Need to be able to cooperate, dialogue and reprioritize resources.
- Ability to make a result oriented analysis and focus more on follow-up.

## **What role do performance indicators play in the memos?**

There is no comprehensive overview of results. Lack of identification of key performance indicators. Not possible to discern a separation of performance and process indicators.

Results are rarely the point of departure in the memo analyses. Difficult to prioritise most effective support without overview of results. Lack of analysis of links between performance indicators. Lack of analysis between policies. Lack of analysis of links between policies and performance indicators.

## **Are performance indicators used to influence decision- and policy making?**

Weak analysis of how performance information shall influence decision making.

## **What importance is given to monitoring mechanisms?**

Monitoring mechanisms is the least developed part of the memos.

General conclusions:

- “Sida at Work” does not facilitate result based memos
- Memos with strongest RBM approach made up own headlines
- The authors’ knowledge of RBM vary
- Sida’s role in RBM remains unclear

Do you need to have results before you start? The answer is that the start of departure for Sida’s contribution is an analysis of the development trend.

Regardless of whether Sida provides money to a sector or not, there is always an ongoing development in the sector. What should a programme officer do in the case when there is no basis for a results-based assessment? At least you should note that it is missing.

# 5. The Two Perspectives of the Policy for Global Development

The *Policy for Global Development* (PGD) is the Swedish Government's policy instructing Sida to take the two perspectives – the poor people's perspectives on development and the rights perspective – as point of departure for all Swedish-supported programmes. Sida has elaborated a paper, "Current thinking on the two perspectives of the PGD", which suggests *how* Sida can apply the perspectives in more concrete terms. It stresses the importance of an increased quality of the *processes* as well as *results* characterising the development programmes with which Sida is engaged, guided by the four principles *non-discrimination*, *participation*, *transparency* and *accountability*. The analyses of the five SPS assessments have, therefore, been based on the four principles, and how these have been mentioned and assessed in the Sida memos.

## General conclusions

*PGD is not seen as the key Swedish policy* defining Sida's involvement in sector programmes. Sida's ambition to put greater focus on 'results for the poor', and maintain capacity development as a profile issue for Swedish development cooperation, calls for a more systematic balance between the PGD and Paris Declaration as the guiding points of reference.

The principle of *participation* is the one of the four principles *most clearly and explicitly reflected* in the assessments. In several countries, an improvement in the quality of planning processes has been noted. In general, however, more attention is paid to participation on national/central levels than on local levels.

*Transparency*, too, is *fairly well assessed*, either directly or indirectly, by commenting on e.g. the need for civil society pressure on governments, press freedom, the quality of government audits, accessibility to the state budget, or the capacity in ministries for a communication strategy as part of a sector development plan. It is less clear, in the case where negative observations were made about lack of transparency (e.g. Mozambique), how this should affect Sida's dialogue or assessment of support. Only in one case (Zambia), a concrete conclusion was to create a special fund for supporting the role of civil society in screening Government's implementation.

Regarding *non-discrimination*, none of the assessments have made use of existing observations or recommendations for the country made by any of the UN's human rights committees. Although the memos often note something about gender equality or cross-cutting issues, most assessments

*could have scrutinised in some more depth* how the sector plans/PRSP's will affect the poorest and most vulnerable groups or regions of the country, and whether specific measures have been planned, and budgeted for, on how to avoid discrimination.

The weakest part, in general, is the assessment of *accountability* aspects of the supported programmes. In some cases reference is made to the role of Parliament, or the general need for more pressure from below (civil society, CBOs, media), but *very little in terms of concrete mechanisms*, especially on sub-national and local levels, for poor people to demand accountability in direct connection to the supported sector programmes.

# 6. Gender

## **More gender in background documents than in Sida memos**

A finding is that there is more information on gender-related issues in background documentation, including national plans, policies or appraisals of donors in the country (Tanzania, Zambia) than there is in Sida documentation. This is an interesting finding as it is commonly argued by Sida staff that it is difficult to highlight gender issues in the dialogue as the counterparts are hesitant to the topic.

## **Gender – issues of women**

The overall tendency is that gender relates to women's affairs almost exclusively. There is very little, if any, reference to men's and boy's gender needs.

## **Gender – a separate issue as well as mainstreamed**

There is a tendency to include separate sections on gender and not to mainstream it. Separate sections on gender tend to give an "alibi" that gender is included, however it obscures gender dimension in central issues like for instance economy, agriculture, rural development, infrastructure etc. An exception is found in some of the Tanzanian documentation, where gender is to some extent mainstreamed in the national PRS and PAF matrix and also includes gender as a cross-cutting issue.

## **Limited aspects of gender**

As mentioned there is a tendency to address only particular issues of gender, such as women's rights, equal rights legislation, or in education or health, but not gender throughout the sectors. Mozambique is an example where gender appears in the PAF matrix for education, health and as a sector in itself, however it is not considered for agriculture, rural development and infrastructure.

## **Lack of gender perspective in poverty analysis**

Surprisingly many of the poverty analyses do not integrate a gender perspective, either by disaggregating by gender throughout the sectors, or mentioning "women and men" at all. That is, the different impact poverty has on women and men is not made visible, despite that poverty throughout is referred to as a multidimensional phenomenon where lack of power, choices and resources is very different for women and men,

girls and boys. In most cases the statistics referred to is the Human Development Index, HDI. However, since 1995 the UNDP also reports the Gender Development Indicator (GDI) as well as the Gender Empowerment Measure (GEM) but these are not referred to in any of the documents reviewed.

To sum up, there is more reference to gender in the background documentation than in Sida's assessment memos and in the Project Committee Minutes, and gender issues tend to be referred to as a women's concern as well as limited to social and human rights issues.

# 7. Capacity Development

The Sida memos *cover many areas related to capacity development* and take a rather broad view on the issue, in line with the existing policy. The analysis related to capacity development is integrated in many different sections of the assessment memo, rather than under a separate headline. At the same time the analysis of capacity gives the impression of being somewhat fragmented and different areas related to capacity are not analysed in a coherent, inter-related manner.

Capacity development is to a great extent viewed as the *ability to produce results*, i.e. showing results is equal to capacity development having taken place.

The analysis of capacity is often focussed on the weaknesses, which can be listed in endless lists of bullet points. However, the (relative) strengths, i.e. the *positive aspects that exist to build on are rarely mentioned*. This may reveal an expectation that systems should ideally look like and function the way we (Sida/other donors) are used to seeing them, rather than in the way adequate and possible in the cooperating country context. A different approach to assessing capacity, taking its starting point in the local context and conceptual framework constitutes a challenge in this respect.

In the analysis a lot of *emphasis is placed on formal documents* such as plans, laws, manuals and strategies, and much less on mechanisms, human development, and ownership (real – not just on paper) of the cooperating partner to implement these plans and documents. There seem to be a belief that “as long as there is a document dealing with an issue, the problem is close to solved”.

The emphasis in the memos is clearly at the *individual and organisational levels*, whereas areas such as institutional development and especially its sub-category relating to *informal rules* are hardly reflected at all.

There seems to be a great belief that *grand, central-led comprehensive reforms will achieve wonders* in terms of service delivery and poverty reduction, not least in the sector. Experience shows that this is not always the case. The small scale development perspective has almost completely disappeared, and little is said about the own reform ambitions of the sector, which should be important when giving support with a “sector focus”.

The *capacity issues related to “staying away”* from the sector/country are too rarely discussed. It is often assumed that being involved (or at least giving more money) is always good for the sector, whereas the opposite

might actually hold true. Linked to this discussion is the issue of amount of funds. Is there a point beyond which international cooperation is giving too much to a sector/country? Is it only a matter of absorption capacity, and avoiding the Dutch disease, or could there also be situations where capacity development is undermined through too much (or too little in relation to the additional administrative burden) support?

Although the assessment memos raise a lot of issues related to capacity development, there is *far too little of own analysis* regarding the key problems and possible solutions. For instance, one often simply refers to reform programmes for the solution of problems x, y and z. However, rarely any analysis of these reform programmes is included. For instance, what is the feasibility and relevance of the reform plans? What is the balance between different measures, what are the results achieved so far more than just concluding: “some progress has been made”?

Few of the memos mention anything regarding the *role of national organisations and individuals* in developing capacity, and say little about the approach to training and technical assistance (apart from the fact that it should be harmonised). Local actors in the education systems (not least higher education and vocational training) at different levels are important, but it is not clear to what extent these organisations play a role.

In the case where the memo concerns a *delegated partnership* (Mali), the partner does not assess capacity issues in the same thorough way that Sida normally does, and hence much information in this respect is lost. What influence this has on the actual implementation of the contribution, for instance regarding the dialogue, is unclear but important to follow-up on. Preparatory sessions, where we agree on certain principles with our delegated partners may be a way of solving this problem.

The *top down perspective* of capacity development (organisations and institutions) is much more analysed than the bottom-up perspective of the poor individual. Methods of how to give them a voice should ideally be included.

At the same time there are some positive signs regarding capacity development in the memos. For instance, they manifest a high level of understanding of the fact that reform and capacity development take time, that certain central reforms are necessary to be able to enhance development results, and of always taking a joint approach to all initiatives at the sector and GBS dialogue levels.

# 8. Communication

Planned communication is a tool that can be used for a more efficient SWAp. There are several reasons why communication is important: it is a way to concretise the rights perspective, it leads to increased participation, transparency and accountability.

Planned communication can be divided into four phases:

- Communication Audit
- Strategy and Plan
- Implementation
- Monitoring and Evaluation

## **The questions that should be addressed in the assessment regarding communication capacity are:**

Does the Ministry have the necessary communication capacity? Does the Ministry have the capacity to work strategically with communication in all four phases, or can this capacity be acquired or built? Has a communication audit been done? Is there a communication strategy or plan? Does the strategy/plan support the principles of participation, transparency, non-discrimination and accountability?

It is easy to understand that Sida staff say “not another thing that has to be done” when they hear about a communication plan. A communication plan is not something that should be compulsory to do in every assessment, it has to be on the side, and one could also hire someone to do this. However, much research has shown the importance of communication in development cooperation, i.e. an evaluation made by WHO in 2000: *Sector Wide Approaches for Health Development: A Review of Experience* by Mick Foster, Adrienne Brown and Tim Conway.

There is a misconception within Sida that as long as we throw in inputs we believe that something magic will happen that will give us measurable outputs and outcomes. This process in the programme is often explained by “the dialogue” which is a vague concept. Especially people working at the embassies keep saying that this – communication and dialogue – is what is needed. They are faced with the difficulty of making the cooperation work (also within the donor group).

# 9. Discussion

## **What is good enough?**

Having read the different chapters of the review, one starts to wonder what is actually written in the assessment memos; from the different analyses there does not seem to be anything in them. The question is what we can demand from an assessment memo; after all, what matters is the sector programme. And will there be a change in the programme if we write more about a certain issue in the assessment memo?

It is not only about the documents, what matters is what we do in the cooperation.

There is a gap between what is there in the cooperation countries and what we do. How can we build on what is already existent in the countries and how do we make our issues (the perspectives, capacity development, results-based management) more adjusted to reality?

## **Point of departure for the assessment**

Analysis of results can be a way to approach all the issues. We should start by asking: “what is the main obstacle that hinders the development for poor people to take place?” It is also important to look at the soft issues when being results-orientated and not only use the figures that are easily found.

Capacity development is another good entry point that leads us to tackling other issues. Not only the capacity of the state is important, but also the capacity of civil society. There should be a balance between different actors; if you give much money to the state you should also give money to civil society to facilitate participation.

## **Implications of the Paris Declaration**

Many donors are struggling with the same issues as Sida, hence the discussion has to be held at an international level. The new aid structure and harmonization between donors has many positive implications, but at the same time harmonization does have an inherent risk; if a donor would do a mistake the effect is multiplied since everyone is doing the same today.

# 10. Conclusions

When analysing different areas several groups considered the same memo to be a good example. This can be interpreted as a sign that all issues are interconnected; one example is that if you have a good results-based approach this will make it easier to integrate the two perspectives in the assessment. It is clear that when the author has made his/her own judgement and analysis, rather than just cutting and pasting information, it shows in the memo and all areas benefit from it. This good example memo does not follow the exact structure in “Sida at Work”, which implies that it is difficult to follow a manual too rigorously. This was the explicit conclusion drawn from the analysis of RBM in Sida memos; “Sida at Work” does not facilitate results based memos.

The demands made on Sida officers in the new context of aid are high and since one cannot be an expert on everything most programme officers have one specialist area which is easiest to focus on. But the different issues are interconnected and must be looked upon simultaneously. Those interviewees who have written an assessment memo for budget support or sector programme support agree upon one thing: this task should not be done by one officer alone. It is much work and it is almost impossible for one person to be able to cover all areas that has to be included in the assessment. If more people would participate in a good and concrete way (like writing parts of the memo) the assessment would benefit from it. But reality often throws a spanner into the work; the assessments are mostly made under time pressure and organizational issues within Sida might further obstruct this kind of cooperation.

In this review, by looking at all issues simultaneously, an improved understanding of the assessment process has been created. The expectation from the SPS project group when undertaking the review and starting a discussion on assessments for sector programme support was that this would lead to methods development that will help future assessments.

One conclusion drawn from the review is that results should be the entry point for dialogue on all crosscutting issues in the sector programme. By basing the analysis on the perspectives the dialogue is sharpened. The main entry-point for Sida’s work is through close presence in on-going planning and budgeting processes, reviews and follow-up in the programmes. In order to have a qualified dialogue in these processes it is important to analyse the programmes from different angles in the assessments. However, it is urgent that these analyses are used as

concrete input into the dialogue in the programmes and are not put in the memo just to pass Sida's Quality Assurance Committees.

# Annex 1

## List of Issues to be included in Assessments of Sector Programmes

*Sida at Work* is the main document when writing an assessment memo on sector programme support. The following are some issues concerning the sector that arise when preparing sector programme support. They should be included in the structure of the assessment memo as stated in *Sida at Work*:

### **1. The sector plan and the planning framework**

How is the sector defined? What is the basis for support? What is included in the sector plan (which might be a PRS or NDP)? Legal framework for the sector and how is this consistent with International Conventions on Human Rights etc.? How are cross-cutting issues (HIV/AIDS, equality, gender and environment) included in the planning framework? How will poor people and marginalised groups be affected? Who participated in the formulation of the planning framework?

### **2. Communication**

Does the ministry have the infrastructure and the capacity to work strategically with communication? How is the quality of the communication audit and the strategy/plan? Do the strategy and plan support the principles of participation, transparency, non discrimination and accountability? Does it increase public awareness and public support?

### **3. Institutional capacity**

Is there adequate leadership in the sector to lead and steer the sector programme over time? Is there adequate capacity in the institutions to effectively implement the programme? Does the sector ministry have capacity to negotiate with the Finance Ministry for allocation of funds to the sector?

### **4. Budget framework for the sector**

Analysis of the entire sector budget (including salaries) and implications of budget analysis from a human rights and poverty perspective. Are cross-cutting issues reflected in the budget? Are the budget allocations broadly consistent with the MTEF and the PRS? Is the budget process transparent and democratic?

### **5. Funding flows at macro and sector level**

Do funds reach the sector and are they transformed into service delivery? How is the absorption capacity of funding flows at decentralized levels?

**6. Financing modality for the sector programme**

What is the rationale for choosing the modality? How will the step-wise change towards more aligned modalities be managed (if parallel mechanisms have been created)?

**7. Result orientation within the sector**

What indicators will be followed-up in the programme? Are there indicators for cross-cutting issues? Are they realistic? How are statistics collected?

**8. Conditionality**

How are disbursements linked to achievement of results?

**9. Commitment of donors to harmonization**

Is there broad consensus between the partner government and donors on key policy and management issues? Are donors willing to provide support within an agreed framework to harmonize practices?

## Annex 2

# Results-Based Management in Sector Programmes

### 1. Results Based Management (RBM)<sup>1</sup> terminology

Moving towards results-based management in development assistance is part of a larger agenda with a common objective of making development assistance more effective. Since the Millennium declaration and the formulation of the Millennium Development Goals, a large part of the development community advocates that development assistance should be increasingly managed from the results-side. A focus on results means that development assistance should be managed by first “focusing on the desired outcomes and impacts ... and then identifying what inputs and actions are needed to get there” rather than “starting with the planned inputs and actions and then analysing their likely outcomes and impacts”.<sup>2</sup> The opposite of a focus on results is often called a focus on measures. Traditionally, a focus on measures has prevailed in development assistance. This means that management has operated with pre-conceived inputs and outputs, assuming rather than asserting a link between such indicators and performance on the ground. This “performance on the ground” is what is normally referred to as outcome.

#### 1.1 Performance indicators

Performance indicators serve to monitor the outputs, outcomes and impacts (the results) of inputs or activities being implemented. These indicators of performance can be recorded at any point time and only become an input to decision-making if presented as trends and in comparison with one another. Multiple factors both internal and external to development programmes and projects, which have to be analysed, influence their development.

#### 1.2 Indicator results chain – inputs, (activities), outputs, outcomes and impacts

Below is an explanation of the indicator results chain and the DAC definitions of input, output, outcome and impact.<sup>3</sup> The results chain

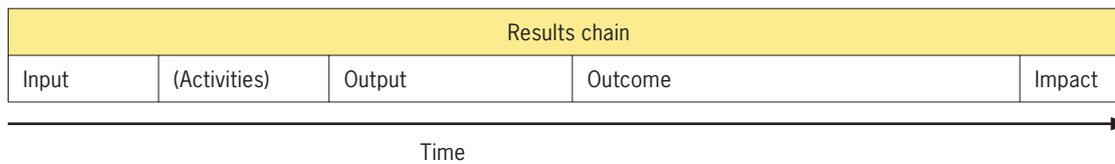
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<sup>1</sup> This text is a modified excerpt from Schmidt & Haas (2006), *Supporting guidelines for joint Education sector programme reviews*.

<sup>2</sup> OECD/DAC (2005); *Managing for development results principles in action: Sourcebook on emerging good practice*, principle 4 p. 12–13.

<sup>3</sup> This text is a modified excerpt from Haas and Schmidt, 2004; *Monitoring for Education results – a study on results orientation and the use of indicators in education sector programmes*, Sida DESO/UND, pp. 5–6.

represents both a causal relationship and a time dimension.<sup>4</sup> It can be illustrated in the following way:



*Indicators of input* measure the financial, administrative and regulatory resources provided by the government and donors. *Example: Share of the budget devoted to education expenditure, number of classrooms available.*

*Indicators of output* measure the immediate and concrete consequences of the measures taken and resources used. Output indicators are primarily, but not always, quantitative and a fairly straightforward measurement of tangible immediate results. *Example: Number of schools built, number of teachers trained.*

*Indicators of outcome* measure the intermediate results or consequences of output at the level of beneficiaries. *Example: school enrolment, percentage of girls among the children entering in first year of primary school, completion rate, learning achievement.*

*Indicators of impact* measure the long term and aggregated results or changes in a segment of society targeted by an operation. *Example: Literacy rates, portion of the population with tertiary education.*

The four monitoring levels – input, output, outcome and impact – are closely linked together and can work as a guide to decision and policy making as long as these links are made explicit. They should hence be looked upon as covering a logical chain from first input to final impact that cannot be broken lest critical information, that may determine what actions produce a particular result, is lost.

For instance, looking only at output, such as the *number of schools built*, may give the impression of a highly effective programme since so many schools were built in a certain year. The indicator may say that 200 schools were built in the northern province, but without information about what resources were used to build the schools (input), nor about how many children actually attended these schools (outcome), for all we know it could have been a disastrous programme.

## 2 Introduction

This review of a results-based management (RBM) perspective in Sida assessment memos has to be put in perspective. A few fundamental circumstances, which can be attributed to the *modus operandi* of Sida rather than to individual capacities of programme/project officers, contribute to its findings.

For RBM to work, there is a need for both a supply<sup>5</sup> and a demand for performance information<sup>6</sup>. Sida management structures and operational guidelines are weak in the sense that they do not provide the proper *demand* for performance information against which the analysis of an intervention can be set.

<sup>4</sup> OECD (2002), *Glossary of key terms in evaluation and RBM*.

<sup>5</sup> This *supply* needs to be articulated in terms of results chain logic; i.e. the causal relationships between input, output, outcome and impact. See Annex 2A for definitions and explanations of these concepts.

<sup>6</sup> This report makes a distinction between *performance indicators* and *performance information* which is common and noteworthy. Performance information is the result of an analysis linking performance indicators on different levels together.

First, operational guidelines – such as *Sida at Work* – does not provide guidance on how to piece together a results-based analysis; where to start, what to think about, and so on.

Secondly, leadership structures do not whole-heartedly (but clearly unintentionally) encourage and support a results based perspective on interventions. There are several aspects to this. One is that formulated demands on the memos are perceived as a composite of many unrelated topics ‘to cover’, in which monitoring is one of many. Another is that officers in general spend a disproportionately small amount of their time on monitoring as opposed to preparation. This is reflected in memos avoiding topics such as *how* Sida will be engaged in monitoring, follow-up and analysis of performance (development) patterns.

On another note, the environments in which operations are set are complicated. Available performance indicators (supply) often have multiple and unrelated origins, and policy frameworks are seldom clear-cut. Finding a way through the background information on which the memos are founded is difficult, and guiding principles are scarce.

So, it is against this introductory remark that the findings of this review should be understood. There are systemic factors beyond the control of individual officers that contribute to the relative absence of RBM perspectives in the memos.

### **3 RBM review of the assessment memos – findings**

This review is based on eight memos provided by Sida/DESO, and selected interviews with responsible Sida officers. A set of questions were used to analyse the memos. In summary, they address four main areas:

- a) What role do performance indicators play in the memos?
- b) Are performance indicators and their links to policies the point of departure of the analysis
- c) What importance is given to monitoring mechanisms?
- d) Are performance indicators used to influence decision- and policy making?

#### **3.1 The role of performance indicators**

The purpose of the first set of questions is to assess to what extent performance indicators are being formulated and used by the partners in development cooperation. A so called “key” set of indicators is a logical starting point because it provides managers with a performance related overview of the intervention area. Of course, and especially in larger programmes, key indicators will have to be disaggregated for different social strata, geographical areas and so on, but it is the key set that should be the primary focus of the partners.

So, the development patterns targeted by an intervention can be captured by a key set of performance indicators. Using a key set of indicators in this way provides the analytical foundation for motivating and monitoring the intervention.

The review provided the following general findings:

- *No comprehensive overview of performance indicators*

Most of the memos do not give a comprehensive overview of performance indicators. Performance indicators of different kinds and levels are scattered over different parts of the memos. The memos tend to have completely separated sections for the different kinds of indicators – e.g. macroeconomic, human rights, gender, poverty, and education.

- Lack of identification of key performance indicators  
Most of the memos do not identify key performance indicators to be monitored. Some of the memos present indicators in appendices, but do not make use of them in the analysis. Most of the memos do not provide information on how the indicators will be used in dialogue with the stakeholders of the intervention.
- Not possible to discern a separation of performance and process indicators  
The memos have not been designed to make a difference between performance and process indicators. The memos do not make a clear difference between the two different kinds of indicators:
  - Performance indicators of the development in the area/sector to be supported.
  - Process indicators of cooperation between stakeholders (meetings to be held, reports to be produced etc.), and institutional development in the country to be supported (laws, decentralisation, transparency, etc.).

### 3.2 Performance indicators and policies as the point of departure

The second set of questions is looking for in what way policy and performance, and the linkages between them, are used as a point of departure for analysis. This is a key aspect of RBM.

Spelling out the linkages between performance indicators, and between indicators and policy, is central for an understanding of the relevance of operations. It is important because using performance indicators in isolation, or separated from their policy context, can and will create skewed images of what is happening. Making the linkages explicit, on the other hand, will help to clarify on what grounds an operation is carried out and how it relates to government and Sida policies. In this way, a sound basis for analysis and institutional learning is created.

The review provided the following general findings:

- *Performance indicators are rarely the point of departure of the memo analyses*  
The lack of a comprehensive overview of performance indicators makes it very challenging to use results as a point of departure of the analysis in the memos.
- *Difficult to prioritise most effective support without overview of performance*  
Without a comprehensive overview of performance indicators it is difficult to prioritise what kind of support would be the most effective – which in turn should be the basis for a discussion and prioritisation of what inputs and outputs would be the best.
- *Lack of analysis of links between performance indicators*  
Only a few of the memos use input, output and outcome indicators to make a comprehensive analysis, where links between indicators are made visible. Indicators tend to be scattered and presented in isolation – such as those related to economic growth, HIV/AIDS, education, and poverty.
- *Lack of analysis of links between policies*  
In addition to an overview of indicators an overview of policies is important. All of the memos present relevant policies, but only a few of them include an analysis of what the links are between them. The memos that make the clearest analysis of policies also provide an analysis of links between those policies and national budgets.

- *Lack of analysis of links between policies and performance indicators*  
Most of the memos do not provide an analysis of how identified policies and performance indicators are linked together. It is therefore difficult to see how the programme/project rationale fits with national policy and strategy, and other relevant interventions in the same context. The memos that do make these links have selected a few key performance indicators to focus on.

### **3.3 Importance given to monitoring mechanisms**

In RBM, a monitoring mechanism is the main service of the planning cycle. It is the mechanism that collects, organises, processes and analyses performance information for the purposes of evidence based decision and policy making.

The way in which this mechanism is set up, what weaknesses it has and how it is supported (resources used, technical strengthening), and what role it ascribes for Sida and its partners is therefore important from a results-based management point of view. This is the subject of the third set of questions.

The review provided the following general finding:

- *Limited presentation and analysis of monitoring*  
Most of the memos present monitoring mechanisms more in passing than as a key element to the planning cycle of the partners. This includes issues on how the partners take part in the mechanism, and what institutional arrangements and resources are there to maintain the mechanism. There is a tendency to pay more attention to monitoring mechanisms in programme support than in project support memos.

### **3.4 Performance indicators to influence policy-making**

The final building block of RBM is the analysis of performance and how that analysis affects/influences decision and policy making. In development co-operation, decisions are taken both on the level of donor/recipient co-operation, and on the national level (recipient institutions, government). The question is whether, when and how this is being done. Preferably, a memo should make institutionally explicit how the main governing bodies of the intervention shall be fed with, and use, performance information to guide their decisions. This is the essence of the fourth set of questions.

The review provided the following general finding:

- *Limited analysis of how performance information shall influence decision making*  
The memos are weak in analysing how well monitoring mechanisms are being used and how reliable they are. Perhaps in consequence, an institutional analysis of how information is processed and made available to key decision and policy makers is brief (non explicit) or absent. This is true both on the level of the recipient(s), and on the Sida level. How will Sida be put in a position to react to performance information?

## **4 Brief review of individual memos**

### **4.1 General Budget Support (Rwanda, Mozambique)**

*Assessment of General Budget Support for Poverty Reduction in Rwanda 2007–2008*

The author of this memo follows the logic of RBM to a large extent, and does so by not strictly sticking to the suggested headlines in *Sida at Work*.

Key outcome indicators in areas related to poverty (education, health, and water) are highlighted at the outset, and clear links are made to relevant national sector specific policies and inputs. Other poverty outcome indicators and policies are also presented and discussed throughout the memo, but in a more scattered way and without clarifying the links between them.

Four main issues of the general budget support are identified: education, poverty reduction, macro-economy, and public finance management. The analysis of the links between these areas, and their performance indicators, are not very strong in the memo. Out of the four issues the most attention is paid to output indicators related to public finance management, based on the assumption that successful implementation of the PRSP and budget support requires efficient, transparent and accountable public service institutions. Outcome indicators related to the remaining three areas get little attention. However, at the end of the memo policies and outcome indicators related to education in Rwanda are discussed in a section separated from the rest of the analysis.

The author of the memo makes an assessment of the existing system for consultation, follow-up and monitoring, saying that it does not always work as outlined, but it follows the Rwandan Government's own planning, PRSP and budget processes. The memo recognises the need to develop performance indicators to monitor by identifying the development of a Performance Assessment Framework as an urgent issue for Sweden to take forward in the dialogue with other stakeholders.

#### *Extended General Budget Support for Poverty Reduction in Mozambique 2007*

This memo was written under time pressure and sticks very closely to the structure of *Sida at Work*. Many output and outcome indicators are presented in different places in the memo. The author has turned to many different sources to find the information. However, key outcome indicators are not the point of departure of the memo, and it makes it difficult to discern the main motive behind the support and what needs to be monitored. A Performance Assessment Framework (PAF) and an assessment of performance in the education sector are enclosed in appendices to the memo, but they are not very visible in the memo analysis.

National and Sida policies of relevance to the support are discussed – including the government ownership and intent to locate the PRSP within the policy and budget processes of the country. Links are made between policies, to some extent between policies and indicators, but not really between indicators.

The memo makes its own assessment of the existing PRSP monitoring and evaluation system for implementation by saying that it is fairly ambitious and that national systems are used. The PAF is followed-up in regular Government reporting, and in relation to monitoring Swedish support to civil society and local government and parliamentarians are mentioned. The memo identifies a range of working groups related to the PRSP as opportunities to promote effective PRSP implementation in the dialogue, but does not specify in what way.

## **4.2 Sector Programme Support (Zambia, Mali, Tanzania)**

### *Contribution to the Zambian Health Sector 2006–2011*

The memo proposes that Sweden act as vocal partner of the Netherlands in the future.

The assessment memo is interesting from a RBM point of view. The author is clearly aware of the basics of an analysis made from the results

side. Several structural liberties are taken with the *Sida at Work* guidelines and especially, an initial overall analysis of the programme setting is made arriving at four “key strategic issues” or concerns. The four issues are then discussed in RBM oriented terms including a development pattern, factors contributing to current status, and a response on policy and operational level. This approach makes the memo unique in the sample.

As the memo comes closer to the programme (called NHSP) action plan, however, priorities and expected result patterns become increasingly obscure. What the memo does not do, then, is basically to follow through on the issues brought up in the overall analysis answering questions about how, by what means, and whom in the programme setting.

Symptomatically, there is no description of how the monitoring mechanism is operating and on what level information is being fed into decision and policy making processes. Nor is it described how Sida and other donors are being part of the mechanism.

In conclusion, the memo is but a few inches away from the type of analysis that can be expected from a RBM perspective. It can become particularly interesting for the purposes of developing guidelines for results orientation in the assessment stages of Sida management. It is contextualised, flexible, and it deals autonomously with its subject recognising the need to base operational priorities (and policy) on an analysis of real performance and its consequences for the priorities of the programme.

*Sector programme support to Mali for the PRODESS II in a delegated partnership with The Netherlands during 2006–2009*

Sweden Act as silent partner to the Netherlands and the memo is founded on their assessment (which, in turn, seems determined to view the programme from the results-side).

The Swedish memo is written with a results oriented perspective in mind. In part, the memo is a needs assessment for results management in PRODESS II, identifying several areas of programme management in need of a clearer focus on results. Conclusions (2.8) and key areas of dialogue (3.2.3) have a clear results focus and even discuss what performance indicators are key to that dialogue. However, key aspects of programme logic are assessed in a “spread-out” fashion in various sections of the memo and it is difficult to get an overview. *Sida at Work* guidelines probably contribute to a lack of focus here. Summarising the memo on RBM would turn out something like this:

- Central aspects of the programme logic, and the main motivations for Swedish support, are discussed. This is done from an overall view of intentions and direction, rather than a view of priorities in relation to programme objectives and sector performance patterns.
- The memo also identifies the Annual Review as the key dialogue point and the centre of the annual planning cycle of PRODESS II, and the necessity to have the planning cycle centred on sector performance.
- The monitoring mechanism is dealt with in passing. No strategic consideration for how the Dutch/Swedes will act as part of the mechanism is offered. Perhaps in consequence, the Swedish memo identifies follow-up and RBM as one of three key points of dialogue.
- A strategy for improving the monitoring mechanism is absent. The main fault lines of the mechanism described in the Dutch memo, although the resource requirements are absent.

- A discussion of performance indicators is present and seems ok (indicators are measurable, conceptually simple and possibly reflective of programme logic), but neither the Swedish nor the Dutch discuss their relevance for PRODESS II operational priorities.

In conclusion, if something is lacking it is a point of departure from a RBM perspective; i.e. an analysis of recent and medium term sector performance in light of the operational priorities made by the Government of Mali and the programme. Against such a background, the priorities of the current programme could have been analysed from the results side.

*Support to the Legal Sector Reform Programme (LRSP) Medium Term Strategy (MTS) in Tanzania 2006–2008*

Contextual events in the legal sector and performance indicators are described at the outset of the memo. The memo takes its point of departure in human rights and Tanzanian policies. The memo says that poor people rarely know their legal rights and have few opportunities to participate in decision-making affecting their lives. However, the policies and indicators of human rights (which are scarce) are treated quite separately in the memo analysis.

The shared mission of all the institutions in the legal sector is to achieve social justice, equality, and rule of law through quality and accessible legal services, and the vision of the MTS is “Timely Justice for All”. Six key result areas are identified in relation to the vision. The key results are described as output and outcome indicators, but are almost exclusively outputs. The outputs are presented and discussed thoroughly – and there is an underlying assumption that they will lead to desired human rights and mission outcomes. No such outcome indicators are presented, however. The memo refers to evaluations done in the areas of gender, a strategic plan for fighting HIV/Aids, and to documents in the appendix reference list – these may include outcome indicators which could have been used in the analysis.

The memo says that monitoring mechanisms and stakeholder fora in LSRP are being designed to include the voice of poor men, women, girls and boys. There is a future dialogue structure foreseen in the MTS, which includes different kinds of reviews and committees. There is also a Terms of Reference between donors in relation to the LSPR to build the dialogue on. Outcome indicators in relation to human rights and poor people’s views on their timely justice are not presented as part of the monitoring mechanism or as an issue to bring to the dialogue.

#### **4.3 Project support (Cambodia, Congo, Tanzania)**

*Support to Institutional Capacity Building of the National Institute of Statistics (NIS) in Cambodia, 2006 and 2008, through Statistics Sweden (SCB)*

This memo recognises that more precise benchmark indicators are needed for monitoring of the project. Links to, and between, national policies related to the project (in the shape of plans, strategies, systems, reforms, etc.) are presented and discussed. The objective of the project is to strengthen the capacity of the Government of Cambodia to monitor the development, and to formulate policies and strategies to combat poverty through data and analyses. However, the memo does not take its point of departure in outcome indicators related to the Government’s monitoring of programme developments, and efforts to reduce poverty. The memo does refer

to a 2004 evaluation of previous Sida support to statistical development in Cambodia. The evaluation pointed to positive outcomes in relation to the poverty reduction agenda of the country. It could have been interesting to include the outcome indicators used in that evaluation in the memo analysis.

The purpose of the project, as formulated in the memo, is to strengthen the NIS in executing and monitoring national statistical activities in Cambodia. The indicators provided in the memo relate to this purpose. A set of inputs, activities and outputs of the project are presented in a LFA matrix appended to the memo. The indicators are to be further refined during the inception phase of the project.

The memo describes the planned monitoring mechanism. Sida has set aside funds to develop a monitoring function of the project implementation, and evaluating the project at the end. There will be a Project Management Group to monitor activities through regular meetings, based on evaluations and reports. Key areas to for dialogue have been developed which primarily relate to outputs and not to outcomes.

*Support to the electoral process in the Democratic Republic of the Congo; The second prolongation of the support via the UNDP*

This memo is based on very few output and outcome indicators. Its point of departure is events and contexts of importance for the development of democracy in the DRC. National policies are not mentioned, and the lack thereof is not discussed. Policies discussed in the memo are the Strategy for Swedish Support to African Great Lakes Regions and the Swedish Policy for Global Development. The UNDP is the major owner of the project (the DRC has no functioning institutional election system that stands on its own), together with the DRC Government and the CEI.

The assumption of the memo is that attainment of peace and security is an absolute condition for reducing poverty, and that there is an obvious connection between reduced poverty and democracy characterized by transparency and respect for human rights. No indicators to follow-up on in relation to this assumption are presented.

Throughout the project bilateral and multilateral discussions will be held to discuss and suggest alternatives to the solutions and activities undertaken by the CEI and UNDP. This memo is one of the few that in this way mentions in what way the monitoring system will be used. Key areas of dialogue identified by the memo are the peace and reconciliation process, and the formulation and implementation of a poverty strategy – including the safeguarding of democracy and human rights, particularly the rights of women and children.

*In-depth assessment of the project proposal “Transforming Dar Es Salaam Museum into a House of Culture”*

Out of the eight memos reviewed this one stands out as the most project oriented (and it is also the only one not written in 2006 – it was written in 2004). It is difficult to identify the key reasons behind this project, since it does not take a stand based on key performance indicators. The memo points to different Tanzanian (PRSP and Cultural Policy) and Sida policies (Swedish Country Strategy, Swedish Policy for Global Development), but does not make clear the links between them and the project. The memo presents a set of nine outputs to be accomplished by the end of the project, in 2008, and many activities to be carried out are outlined throughout the memo.

The memo says that the House of Culture should be available to marginalized groups such as children, youth, people with HIV/Aids, unemployed and people with special needs. A link is made between youth unemployment, crime and violence, and meeting places where young people can meet and engage in meaningful activities. Performance indicators are, however, not provided in relation to this and the links are not analysed further. The memo also says that through an open and visible forum for information, communication, art, free speech and debate for the development of civil society the project will empower stakeholders to act as catalysts in socio-economic issues such as HIV/Aids, poverty reduction, corruption and gender. However, no performance indicators are provided to follow-up on.

The memo recognises that indicators and procedures for monitoring are weak and that there is a need to develop outcome indicators. A participatory monitoring system will be developed. A baseline study is planned to estimate changes in attitude, partnership thinking, inclusion of marginal groups, capacity development, institutional changes etc. The main areas of dialogue identified are very project oriented and linked to the survival of the project.

## 5 General conclusions

In closing, a few overall conclusions based on the findings of section 3 are offered. These are forward looking and pointing towards the formulation of a manual or guidelines<sup>7</sup> for making assessment memos more performance/results oriented. It should be clear that the intention is to use these considerations as a point of departure for that process.

- *Sida at Work does not facilitate RBM oriented memos*  
It is hard to make a results based memo based on the structure prescribed in *Sida at Work*. It demands very good RBM skills of the author.
- *The authors' RBM knowledge vary*  
The RBM knowledge and awareness of the authors of the memos vary in relation to RBM concepts and terminology, and different kinds of existing and possible monitoring mechanisms.
- *Memos with strongest RBM approach made up own headlines*  
Two of the memos (Rwanda and Zambia) stand out in terms of taking a RBM approach. The authors of those memos have added headlines of their own, particularly in the introductory parts, and do not fully follow the structure of *Sida at Work*.
- *Sida's role in RBM remains unclear*  
Sida's role in results-analysis, monitoring and follow-up remains mostly unclear. Aside from at times identifying RBM as a key issue for dialogue (e.g. Mali), the memos rarely outline how Sida intends to act, bilaterally or in a larger groups of donors, to monitor and respond to performance information.

In our conception, what is needed in a manual are ways to address (a) an increasing need for guidelines on how to conduct a results oriented analysis using (b) results chain logic and (c) available information in a systematic way. This also involves a need for training on the RBM concept and

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<sup>7</sup> The authors of this paper favour the word "guidelines" over "manual" because a *manual* has a less flexible ring to it. Whatever guidelines are produced, they will probably have to allow for great liberties on matters of content, context, and proposed measures.

dealing with instructions that take a point of departure in project mode co-operation. The last point is not least important. Current guidelines have a tendency to orient the analysis towards the interior of interventions, rather than to position them in a larger context including national policies and the contributions of other actors. In this way, the approach predominantly taken obscures what is most important in results-management; overview.

## Annex 3

# Integration of the two perspectives in Sector Programmes

### Introduction

The *Policy for Global Development* (PGD, 2003) is the Government's policy instructing Sida to take the two perspectives – the poor people's perspectives on development and the rights perspective – as point of departure for all Swedish-supported programmes. During 2005 and 2006, Sida has elaborated a working paper, "Current thinking on the two perspectives of the PGD", which suggests *how* Sida can apply the perspectives in more concrete terms. It stresses the importance of an increased quality of the *processes* as well as *results* characterising the development programmes with which Sida is engaged, guided by the four principles *non-discrimination, participation, transparency and accountability*.

While the rights perspective is clearly based on the international legal and normative framework of human rights (HR), poor people's perspectives on development lack an equivalent framework. The link to the HR framework is important, since it makes government obligations to actually apply these principles very clear – they can never be seen as mere 'welfare services' which are voluntary. The obligations, not least with regard to the rights to health and to education, have both an immediate and a long-term aspect: the obligation *to respect* means to avoid state action/behaviour which by itself is a violation of a HR – e.g. that a school or a health clinic directly discriminates a certain individual or group. The obligation *to protect* means that the state must ensure that individuals and groups are not violated against by a 'third party', e.g. a private school or hospital, or a private company which may cause environmental destruction affecting the drinking water of a village. The obligation *to fulfill* is finally the more 'programmatic' obligation – it means the Government must take steps gradually (with the maximum use of available resources) to realise the rights, e.g. allocating a growing amount (as proportion of GDP) to the implementation of the national health or education sector plans.

On the other hand, the poor people's perspective on development is based on the poor person's *perception* of poverty and the multitude of conditions deciding his or her possibilities to escape poverty. In a sense, the UN's Millenium Declaration and Millenium Development Goals constitute a framework in which the poor peoples' perspectives are taken into account. The key point, however, is that the two perspectives overlap and reinforce each other, which is why the four principles can effectively bring them together in one single analysis for Sida's various assessments.

The analysis of the five SBS assessments have, therefore, been based on the four principles, and how these have been mentioned and assessed in the Sida memos. The group has tried to apply a recent draft of “Reading instruction”, designed on the basis of the “Current thinking on the perspectives of the PGD” as well as the structure of Sida at work.

### Some general conclusions

- *PGD is not seen as the key Swedish policy* defining Sida’s involvement in GBS and/or SBS. Sida’s ambition to put greater focus on ‘results for the poor’, and maintain capacity development as a profile issue for Swedish development cooperation, calls for a more systematic balance between the PGD and Paris Declaration as the guiding points of reference.
- The principle of *participation* is the one of the four principles *most clearly and explicitly reflected* in the assessments. In several countries, an improvement in the quality of planning processes has been noted. In general, however, more attention is paid to participation on national/central levels than on local levels. Too little attention is paid to women’s participation.
- *Transparency*, too, is *fairly well assessed*, either directly or indirectly, by commenting on e.g the need for civil society pressure on governments, press freedom, the quality of government audits, accessibility to the state budget, or the capacity in ministries for a communication strategy as part of a sector development plan. It is less clear, where negative observations were made about lack of transparency (e.g Mozambique), how this should affect Sida’s dialogue or assessment of support. Only in one case (Zambia), a concrete conclusion was to create a special fund for supporting the role of civil society in screening Government’s implementation.
- Regarding *non-discrimination*, none of the assessments have made use of existing observations or recommendations for the country made by any of the UN’s HR committees. While something is often noted in the Memos about gender equality or cross-cutting issues, most assessments *could have scrutinised in some more depth* how the sector plans/PRSP’s will affect the poorest and most vulnerable groups or regions of the country, and whether specific measures have been planned, and budgeted for, on how to avoid discrimination.
- The weakest part, in general, is the assessment of *accountability* aspects of the supported programmes. In some cases reference is made to the role of Parliament, or the general need for more pressure from below (civil society, CBOs, media), but *very little in terms of concrete mechanisms*, especially on sub-national and local levels, for poor people to demand accountability in direct connection to the supported sector programmes or GBS.

### Summary of findings

References to the PGD are made only briefly in the Zambia assessment. Neither the Mali, Rwanda, Mozambique nor Tanzania assessments mention the PGD.

Of the four principles, *participation* is most frequently addressed in the assessments. However, of the five assessments only the *Mali* assessment mentions that women’s participation must be improved on all levels. In the *Zambia* case, structures for participation in the health sector are said to have been improved through the new sector plan, and Sida decided to

support civil society's role as watch-dog through parallel support. In *Rwanda*, the PRSP is said to have been fairly well consulted with poor people and well anchored in the domestic political processes, but whether both women and men have participated is not commented, neither if participation has taken place on local and/or central levels (an especially important aspect of participation in Rwanda). In *Tanzania*, governance and political participation is named as a key area of the PRSP, while nothing is mentioned on women's participation. People's exercise of citizenship has increased through political parties, media and CSO, but still the citizens' capacity and voices are weak. It is clear, though, that the second poverty reduction strategy in Tanzania, NSGPR, and the process which lead to the formulation and decision on the strategy was much more inclusive and has learned from the criticism and lessons drawn from the first PRSP process. The *Mozambique* Memo has a brief discussion of the role of Parliament and civil society, which needs to increase as compared to today's 'lack of public interest' in the budget issue.

Transparency is analysed to some extent in the *Zambia* case, where the health sector plan does address the need to spread information and promote transparency, but fails, according to the Memo, to suggest how this can be done and be institutionalised in the sector. In the *Rwanda* Memo, too, transparency is discussed a little, mainly linked to the recent improvement in press freedom, civil society activities and the government institutions working on anti-corruption, including the Ombudsman office and Auditor General's office, and which report to Parliament. The opponent in the Project Committee discussion had commented that more analysis on the role of media and Parliament could have been made. The *Mali* assessment refers to transparency only when describing planned activities. Indirectly, it includes the transparency aspect when commenting on weaknesses in the Dutch Memo with regard to feasibility in the PISE (education) support, identifying a need for a communication strategy as well as strong acceleration of the decentralisation process.

In *Mozambique*, the Memo comments on the need for strengthening civil society's role as pressure groups. Also, Parliament is said to be weak, hampering effective oversight of budget formulation and execution. Government audits are assessed as improving in terms of internal audits, but remaining critically limited in terms of external audits. Combined with the fact that the state budget still does not cover all public expenditure (due to both lack of transparency on sub-national levels and the huge ODA volumes still off-budget), it points to serious problems of transparency and accountability. The human resource situation in Mozambique's public administration in general also has negative results as 'bottle-necks' e.g. with regard to communication capacity in Government. In *Tanzania* the assessment memo states that the process of preparation of NSGPR has made the policy formulation in Tanzania more participatory, and that deficiencies mentioned in the Monitoring Master Plan, such as lack of transparency (information to citizens), participation and accountability are clearly addressed.

Regarding *non-discrimination*, none of the assessments have made use of existing observations or recommendations for the country made by any of the UN's HR committees. The *Rwanda* assessment does not analyse specific problems of any vulnerable or special groups. While gender is included as a cross-cutting theme for the PRSP, the Memo fails to mention specific gender as well as child's rights issues. Since almost 20 percent of children in Rwanda have lost both parents, and the country strategy singles out these groups as having special priority, this is a

considerable weakness. In the *Mali* case, gender equality is fairly well assessed by the Dutch Memo, and acknowledged in Sida's Memo, especially for the education sector. The *Mozambique* assessment does not mention non-discrimination among objectives for the support, but it is argued that Sweden has influenced the new PRSP to include gender and human rights and that gender and HIV & AIDS are issues high on the dialogue agenda. In the *Tanzania* assessment, it seems several aspects of discrimination, which are included in the PRS, fail to be mentioned in the Memo. However, brief mention is made of crosscutting issues to be mainstreamed, including gender, elderly, persons with disabilities, pastoralists, and persons with HIV & AIDS. The needs of these groups are described in rather general terms. It seems that there is data available in Tanzania for better analysis. It is not clear how the discriminated will participate in resource allocation decision-making and results monitoring processes. For the *Zambia* case, reference is made to overall distribution of resources as the basis for understanding the non-discrimination aspect of the programme. Focus is on removing fees on health services for the poor in the remote rural areas and poorest urban areas.

*Accountability* is the principle mentioned least by the assessments. None of the cases has consulted what, if any, comments/recommendations might have been issues by the UN's HR committees. Some of the findings for transparency above are relevant for accountability as well, e.g. the comment on the *Mozambiquean* Parliament, or reference in *Zambia's* sector plan for health to accountability, but they are brief comments, without analysis or conclusion. The *Rwanda* Memo mentions the problem of low implementation capacity and political commitment ("never again genocide" said to be sometimes of superior priority to poverty reduction) as a risk factor for the GBS. The *Mali* assessment, too, discusses the crucial need for support to public administration reform, in parallel to the health/education sector-programme support, to ensure implementation. It also mentions the lack of strategy, in the health/education programmes, to support the poorest families' demand for education and health, as complimentary to the 'supply strategy' now dominating the sector plans. But no further conclusion is drawn than to make it a dialogue issue with the delegated partner, the Netherlands.

Finally, in the *Tanzania* case, it is unclear from the Memo if the actors within political parties and Parliament, NGOs, CBOs and media or poor people themselves will be able to develop the capacity to fully participate and demand accountability from the executive in Tanzania. It is positive, however, that the local government and the local level is mentioned as important arena for providing services and demanding accountability. Further, it is stated that "the design of GBS seeks to address the issues of ownership and domestic accountability". This is done through building Performance Assessment Framework (PAF) around national processes (budget guidelines, budget process, sector reviews, PER, MTEF, and the different monitoring mechanisms of the NSGPR). There will be an annual review on GBS with the Government of Tanzania. The Office of Auditor General is mentioned as one important actor demanding accountability. Sweden supports OAG to strengthen its capacity. However, doubt is expressed about the political will to address irregularities, fraud or corruption found.

# Gender in Sector Programmes

## 1. General overview

### 1.1 Introduction and methodology

The present document is a review of key documents in the assessment and preparation of budget support and sector programs to five African countries commissioned by Sida/DESO as part of a project on methods development on budget support and sector program support.

The assignment included the reading of related documentation, focusing on project committee minutes, assessment memos and other key documentation identified as important. The list of reviewed documentation is presented at the end of chapter 1.<sup>8</sup>

The scope of the work has been to review to what extent gender and gender related aspects are reflected and referred to in the documents, as well as to review the process as such and identify possible entry points where gender aspects could be addressed and included.

Within the review the following aspects of “gender” have been looked at:

- Whether “gender” is referred to at all, as a topic in itself or as a crosscutting issue
- Whether gender is given a special section
- Whether the target group, or people, are desegregated and referred to as men and women, girls and boys
- Whether gender roles and division of labour, condition and position are used as analytical tools when describing poverty
- Whether statistics are sex desegregated
- Whether references include gender (i.e. HDI vis-à-vis GDI)
- Whether specific aspects of the genders, ie women’s particular needs in health or education, are highlighted
- Whether gender aspects and differences are described throughout the descriptions of different sectors
- Whether specific measures and strategies related to gender needs are assessed and/or planned
- Whether gender expertise is present and/or visible in the documentation and the process
- Whether gender is used meaning women and men, or only women

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<sup>8</sup> The review does not include reading of any review from Sida Gender Help Desk as this was not included in the TOR nor known to the author.

- Whether men's and boys gender aspects are referred to
- Any other aspects of gender

The comments and analysis of each country document are included as separate chapters as follows. The documentation varies between the countries and each review per country varies in scope and detail.

The work has been carried out by Kvinnforum through Carolina Wennerholm in October 2006

## **1.2 Comments to the documents**

### *More gender in background documents than in Sida memos*

An interesting finding is that there is more information on gender related issues in background information, including national plans, policies or appraisals of donors in the country (Tanzania, Zambia) than there is in Sida documentation. There is little, if any, information on gender in the Sida memos and assessments, and even less in the presentations to the project committees. It is an interesting finding as it is commonly argued by Sida staff that it is difficult to highlight gender issues in the dialogue as the counterparts are hesitant to the topic. Here, it is observed that the national documents give gender more attention to it than Sida itself. Obviously this can be the result of international pressure (for instance in the PRSPs), but not only. There is a clear trend of "evaporation" of gender issues in the documentation along the process, which is important to observe.

### *Gender issues of women*

The overall tendency in the reviewed documentation is that gender issues relate to women's affairs almost exclusively. There is very little, if any reference to men's and boys gender needs. And there is limited reference to different types of women (ethnic, cultural and class differences) as well as regards to age, where the specific situation of girls and boys, adolescent girls and boys (apart of some reference to adolescent pregnancy), or the elderly tend to be left out.

### *Gender – a separate issue as well as mainstreaming*

There is a tendency in the documents to include separate sections on gender and not to mainstream it. Separate sections on gender, under for instance HR and governance aspects, tend to give the "alibi" that gender is included, however it obscures gender dimension in central issues like for instance economy, agriculture, rural development, infrastructure etc. An exception is found in some of the Tanzania documentation, where gender is to some extent mainstreamed in the national PRS and also includes gender as one of cross-cutting issues. The Zambia case (health sector) is also interesting where focus is on sexual and reproductive health and rights, and HIV/AIDS and where gender is seen as a central element, both in terms of dialogue as a mainstreaming component.

### *Limited aspects of gender*

As mentioned there is a tendency to address only particular issues of gender, such as women's rights, equal rights legislation, or in education or in health, but not gender throughout the sectors. Even in the Tanzanian PRS the scope is rather limited to reproductive health issues, employment and education, that is the social sectors. There is for instance nothing on governance and political participation despite this being a

key area. Mozambique is another example where gender appears in the PAF matrix for education, health and as a sector in itself, however not considered for agriculture, rural development and infrastructure.

It may well be a strategic choice to give particular emphasis to gender in some selected sectors. However if so, it would improve the analysis to highlight that this is a strategic choice.

#### *Lack of gender perspective in poverty analysis*

Surprisingly many of the poverty analysis, or summaries or references to poverty analysis do not integrate a gender perspective, either by desegregating by gender throughout the sectors, or discussing, or mentioning “women and men” at all. That is, the different impact poverty has on women and men is not made visible, despite that poverty throughout is referred to as a multidimensional phenomenon, where the lack of power, choices and resources is very different for women and men, girls and boys. In most of the cases there are statistics referred to and the HDI is a well-established and used indicator. However, since 1995 the UNDP also reports in the same Human Development Report the Gender Development Indicator (GDI) as well as the Gender Empowerment Measure (GEM) which are not referred to in any of the documents reviewed.

### **1.3 Comments to the process**

It is difficult from the reviewed documents to have full insight into the process of preparing a budget support. Yet, some aspects have been noted in the desk study and are presented as follows.

#### *Evaporation of gender*

There seems to be an evaporation of gender initiatives taken and described in initial documents, particularly within the national documentation, but the issue tends to be omitted in Sida’s assessment memo and less at the time for presentation at the project committee. At the project committee meetings it has in most cases only been brought up after questions in the group.

#### *Presence of gender expertise in the process*

It has not been possible to assess whether there has been gender expertise along the process of preparing the supports. In the case of Mozambique it is argued in Sidas assessment memo that Sida has been active in the process of the PRS as regards stressing gender. Whether this has had an impact has not been possible to see. General experience tells that gender expertise and presence is important to ensure a gender perspective along the process. Yet, in Sida’s project committee there is only one meeting when one of Sida’s gender advisors was present. However, the minutes from the meeting was so short so it is not know if her participation made a change. On the other hand, at another project committee meeting there was no gender advisor present, but another committee member posed relevant gender questions thus highlighting the issue.

### **1.4 Recommendations and entry points**

The review indicates that gender is an aspect, which is referred to in the process of preparing a budget sector support. The main findings are however that 1) there is more reference to gender in the background documents than in Sida’s Assessment Memos and in the Project Committee Protocols and 2) gender tends to be referred to as a women’s concern as well as limited to social or human rights issues.

It is thus recommended that:

1. Gender is given its adequate proportion in the assessment memos so that it is made visible. If there is information on it in background documents it should be referred to, if there is nothing, this should be commented and complemented. Gender aspects should be referred to in the summary, in the background and poverty analysis as well in the implementation sections of the document.
2. That gender expertise is included in the process as well as consulted in the elaboration of key documents, including the assessment memo. A special heading could state what different expertise that has been consulted.
3. That Sida in the SPS process commits to apply a gender perspective not only to social or HR issues, but also in “hard core” sectors.
4. That Sida in the SPS process commits to address gender relating to women *and* men, boys and girls as well as differences within the genders. And also that “population” or “people” is as often as possible replaced by “women and men”
5. Lastly a number of possible entry points have been identified in the reading of the documents, which could be analysed and used for further integration of a gender perspective.

#### *Possible entry points in the process*

A number of possible entry points have been identified and are presented as follows:

- In the national poverty reduction strategy (PRS) (Tanzania good practice)
- In the sector development plan (Mali)
- In the Assessment Memo (Mali, Tanzania, Zambia)
- Include as guiding principles for the co-operation (Zambia)
- Include in Technical and Monitoring Committee (Mali)
- Environment Gender Assessment is made, why not a Gender Impact Assessment?
- In MOU between donors, governing principles (ex Tanzania)
- In Mid-Terms Expenditure Frameworks
- In the MOU with a co-funder (Mali)
- In “Arrangement Specificque” and in its annex on indicators (nr 4 for education) (cannot find anything on gender, not a French reader) (Mali)
- In the Annual Meetings Report (Mali)
- On the agenda of the Annual Meetings (Mali)
- Annual Review meeting (Tanzania)
- Include in the Minutes of the Annual Meetings (Mali)
- As key issue or mainstreamed in the dialogue (Zambia)
- In the PAF matrix (indicators) (Mozambique)
- The Performance Assessment Framework (Tanzania)
- Outcome indicators (Tanzania, good practice in the annex of the Monitoring System Master Plan) To what extent is it ensured in the appraisal and assessment that there is gender expertise included? (general)
- Who attends in the joint appraisal mission? Is there gender or socio-cultural expertise included? (General)
- Gender expertise in the project committee (General)

- Agreement, could include a reference to *women and men, girls and boys in Tanzania*.
- Decision of contribution: As above, a reference that it is about women and men, human beings.
- Checklist with gender in the project committee?

## 2. Mali

### 2.1 General comments and process

Gender is on the agenda, especially as regards the education sector, and less but more targeted to some reproductive health indicators in the health sector. *Improved equal chances in education, particularly for girls and women* is included in the overall objective for the education sector support. Gender is rather well integrated in the Dutch assessment, which also Sida recognises in its' comments of the Dutch assessment. However it is not reflected in Sida's presentation at the project committee or in the summary therein. Thus, it does not follow the full chain up to Sida's decision and made visible there. In the poverty assessment the HDI is referred to throughout the documents, however not the GDI nor the GEM.

There is an overall tendency to refer to women and girls as if it were gender. There is no reference to men's or boys gendered needs in terms of health or education. There might possibly be more information in background documents. There is more evidence of gender in the earlier documents of the process, for instance gender is identified in the Mali Education Policy Letter, brought up in the appraisal memo of the Netherlands, in the assessment memo and identified by Sida as an issue to bring up in the dialogue. However, in the final documents at Sida, the project committee meetings protocols gender has evaporated, including so that it has disappeared from the objective itself.

### 2.2 Documents

*Memorandum of assessment of the PRODESS II of the 10 year Health and Social Development Program 1998–2003 to facilitate finance contribution between Sweden and the Netherlands 2006–2009*

Findings in:

Summary

- Some women aspects included
- Impact indicators related to reproductive health (fertility rate, maternal and child mortality) but no gender on other health indicators such as vaccination rates, quality of health services, malaria prevalence, etc. (p4)
- Mentions monitoring system, statistics, but nothing on disaggregated data

Poverty situation

- Women mentioned in population data (fertility rate)
- Economic situation-% of women in public sector, but nothing on the key variables such as agriculture sector which is 47% of GDP.
- FHH specially vulnerable, but no reference to why or how
- Export trade dominates by gold mining, no gender aspects are made.

Human development

- HDI is referred to, but not the GDI or the GEM
- Literacy rate is disaggregated
- Child mortality, not disaggregated

- Other health issues: malaria, diarrhoea, anaemia, etc no gender desegregation
- FGM highlighted (92%), but no reference to consequences and links to health consequences
- Lacking gender legislation mentioned
- HIV gender disaggregated

#### Quality of strategy in PRSP

- It is argued it is not comprehensive on gender

#### Political commitment

- Describes the Modernisation and Institutional Development program. No gender reference, however a gender perspective herein could be very strategic
- A final paragraph on women's position and the First Lady's initiative on FGM, as a political risk taking of the government

#### Poverty and health

- Reference is made to health and poverty component in PRSP (p7), yet it is not known if a gender perspective is used, it is not questioned nor referred to.

#### Achievements in sector policy implementation

- Reference is made to the Dutch assessment which argues that tradition, environment and socio-cultural values including the role of women is important for indicators such as maternal mortality, child mortality and fertility rate. It argues for more intersectoral work.

#### *Appraisal Memorandum, PISE II 2006–2008, by the Netherlands 060523*

- Cover page, only boys
- Improved equal chances in education, particularly for girls and women

#### Poverty

- A special section on gender under the poverty situation (similar to the one in health)

#### Results of PISE I

- Gender is well integrated (p8), even in the indicators

#### PISE II

- Girls mentioned in the objective
- Priorities: women and girls included in the Mali Education Policy Letter (Good practice!)
- Activities: gender and HIV described as crosscutting issues, but also included as special components to increase visibility
- Donor coordination: gender and HIV included on the agenda for the thematic committees
- Monitoring: statistics, reports, surveys, could be made explicit with gender desegregation
- Conclusion: gender is considered

*Project Committee Meeting 060522, Sector Budget Support to Health and Education in Mali*

Findings in:

Assessment Memo 2005 05 19 (Sidas comments to the Dutch Assessment)

Summary

- HDI referred to but not GDI or GEM
- Gender not mentioned despite visibility in background data in for instance Appraisal Memo

Background

- Some data on women
- Women and girls mentioned in relation to power structures

Opinion of Dutch assessment memo (p4)

- HR is highlighted, specially women's rights
- Environmental assessment- couldn't there be a Gender assessment?

Relevance

- High profile on women's situation, Sida agrees

Feasibility

- Concrete gender efforts are mentioned

Sustainability

- No gender, but environmental impact, EIA. Would a GIA be possible?

Risks and management

- Sida questions lack of discussion on gender and poverty and argue it will be brought up in annual meetings of the PISE. It is not discussed in the same way for the PRODESS

Concluding opinion (p10)

- The assessment concludes that poverty is well analysed but that Sida wish more precise on how the Netherlands will monitor critical factors, including gender related factors and a gender perspective as such needs to be strengthened in both programmes.

Design of the Swedish contribution

- Key areas of dialogue: three main topics are identified. Within the first are the equal rights of women, men, boys and girls. In terms of education is the acceleration of girls education, thereafter the measures to reduce the repetition rates in first cycle of primary education and third element is the poorest access to health care services. The second relates to results management including indicators. These could be gender disaggregated as an entry point.

*Decision on Contribution 2005-4110, no date*

Nothing in the document on gender. See possible entry points identified among others herein.

- Accord entre la REpublicque du Mali e la Suede.....: no gender identified

- Agreement spécifique...: no gender identified (no french reading)
- Annexes, among others on indicators, no gender identified

*Minutes Project Committee 2006-06-16, Education*

No documented gender expertise in the committee, yet questions on gender are made in the discussion after the presentation and the critique in relation to how to ensure that gender issues are pursued by Netherlands within the education sector.

*Minutes, Project committee 2006-05-16, Health*

Gender aspects are not included either by the presenter nor by the opponent. However, it is asked for as a concern in the following discussion where it is asked how gender equality as an important Swedish issue, where Sweden wants to results, whether the Nederland pursue this enough in the education sector.

*Decision on contribution, Sida, 2005-003486, PISE II 2006–2008*

There is no reference whatsoever to gender. The aim is that children complete school and receive education of good quality. Reference could have been made to girls and boys in order to make them visible. (as in assessment memo of the Netherlands)

*Protokoll 2006-05-11, Sektorprogramstöd till utbildnings- och hälsosektorn i Mali (300 MSEK och 140 MSEK)*

Short protocol, does not reflect the full discussion. Gender advisor was present, but is not reflected in issues discussed.

*Possible entry points identified in the documents:*

- PRODESS I and II sector development plan (not included in the reading herein)
- In Mid-terms Expenditure Frameworks
- In the MOU with the Netherlands
- In “Arrangement Specificque” and in its annex on indicators (nr 4 for education) (cannot find anything on gender, not a French reader)
- In the Annual Meetings Report by the Netherlands to Sweden, based on the PRODESS report (suggested in Sidas assessment memo)
- On the agenda of the Annual Meetings between Sweden and Netherlands (suggested in Sidas assessment memo)
- Include in the Minutes of the Annual Meetings
- Include in Technical and Monitoring Committee of PISE (identified as crosscutting issues in the Dutch appraisal)
- In the Assessment Memo, could include a section on key issues to highlight in the Swedish Dutch collaboration, in a more explicit way.
- Environment Gender Assessment is made, could a Gender Impact Assessment be made?
- To what extent is it ensured in the appraisal and assessment that there is gender expertise included?
- Who attends in the joint appraisal mission? Is there gender or socio-cultural expertise included?

### 3 Mozambique

#### 3.1 General comments and process

Gender seems to have been on the agenda in the dialogue and in the process of elaborating the PRS PARPA II, both as highlighted in the Assessment MEMO as in the structure of the G -18. However, as the PARPA itself has not been reviewed, the impact on it cannot be assessed. Yet, gender is on the agenda on the social sectors in the PAF, though not in the “hard” sectors such as agriculture and infrastructure despite that gender is an important aspect of these sectors as well.

What is interesting to note is that the further in the process there is less presence of gender, without even being mentioned at presentation at the project committee meeting, but discussed to some extent thereafter.

#### 3.2 Documents

*Minutes, Project committee, 2006-05-10, Generellt Budgetsstöd för fattigdomsbekämpning i Mozambique 2007, 2006-04-28*

No gender advisor, nor other documented gender expertise in the meeting.

Presentation of the support does not include any gender aspects, despite a presentation of a poverty analysis.

Recently a socio-economic advisor has been contracted to the Embassy, does this person have gender expertise?

The opponent asked among others how HR and environmental aspects have been highlighted, however does not ask about gender issues

Responding to this the presenter argues that within the HR area there has been progress as regards gender, however not specifying in the protocol in what sense.

Further on there are questions on the key issues to bring up in the dialogue, where gender is brought up as one. However, again without specifying in what sense.

*Extension and amendment of agreement between Sweden and Mozambique on direct budget support for 2007, 2006-04-11*

Nothing on gender.

*Decision on contribution, Extension of Budget support agreement with Mozambique 2007,*

Short description of what the budget support aims at (governance, infrastructure, HIV/AIDS, civil society, private sector). However, no reference to gender aspects.

*MEMO, Assessment for Extended General Budget Support to Mozambique during 2007, 2006-03-17*

Summary

- No reference to gender

Background

- No reference to gender

Assessment

- Aim is to support the PARPA (PRS) in terms of economic growth, human capital and governance. No reference to gender.
- Poor people are not desegregated

- However, main difference between PARPA I and II is among others the importance given to cross-cutting issues.
- Reference is made to PARPA II poverty analysis, however with no reference to gender nor questioning the lack of it, if it is lacking.
- Gender is referred to in terms of that the MDGs are not met among others as regards gender.
- The MEMO highlights that Sweden contributed to the PARPA II with among others improving the integration of gender and human rights concerns. The degree of realisation remains to be seen it is argued.
- Gender and HIH/AIDS has been issues that Sweden has had high on the dialogue agenda and Sweden participates in working group on gender.

*Annex 2, Fakta blad, Makroekonomisk situation*  
No gender disaggregated data.

*Memorandum of understanding between the Republic of Mozambique and the Programme Aid Partners for the provision of Direct Budget and Balance Payment Support*  
No gender reference identified.

*G-18 structure*

Organisation scheme over G-18 structure, where gender, environment and HIV/AIDS are included as cross-cutting issues in a box

*Annex 5: PAF 2006–2008*

The matrix includes some gender disaggregated data (Education girls completion rate, health (reproductive health), HIV/AIDS, not in infrastructure, not in agriculture and rural development, nor in macro-economics nor governance)

The matrix includes gender as a sector in itself, implementation of gender policy.

## **4. Rwanda**

### **4.1 General Comments and process**

Gender is one of the crosscutting issues in the national PRSP, yet Sidas assessment of the PRSP does not rescue this, apart from mentioning it as an aspect of Human Rights and governance. Thus it is fragmented as only a HR issue (not considered in the other areas such as for instance economy or reconciliation and peace building), and as such only in limited terms. One of the key poverty problems indicated in the report is the lack of arable land, which obviously also has gender dimensions.

Gender is thus made a “separate” issue and not considered related to the main and big issues. There is also a tendency to perceive it as women’s issue only and in terms of women’s vulnerability, thus lacking and empowerment perspective.

It is observed that there are elements of gender in the countries original documents, but little of it is referred in the Sida documentation. It disappears along the process.

### **4.2 Documents**

*BPM, Project Committee Meeting, Budget Support to RWANDA 2007–2009*

Who where involved in *writing the document*? Was there any gender expertise? Not possible to deduce from the document

There is no reference at all to gender issues in the *Summary*, not even in relation to HR as a cross cutting issue were improvements are mentioned, or in relation to participation which is given a whole para. *It could for instance include the” participation of women and men”, or something.*

There is no gender desegregation in the overview of the *poverty situation* (1.3). HDI is mentioned but not the GDI.

There is no reference to gender in the chapter on the *assessment of the PRS* (2). Yet, gender is included as a cross-cutting theme for the PRSP as such together with Technology, HIV AIDS, Environment, inequality, capacity building and employment. In the *relevance* of the PRSP vulnerable groups are identified of which one group is women. Main correlates of poverty are mentioned to be described where lack of arable land and large households sizes are major factors associated with poverty. However gender aspects of these two factors are not presented in the assessment of the PRSP apart from that female-headed and child-headed households are identified to be poorer than male headed ones. The assessment further highlights that the PRSP shows differences in terms of geography, rural urban, but gender differences are not mentioned. A high level of participation is praised by the assessment. However whether both men and women have participated is not known nor questioned. *It is not known whether the PRSP as such has a gender perspective. However the assessment of it does not bring up gender aspects, if there where such, nor does it question that there is a lack of it.*

*Gender is mentioned as an aspect in the assessment of Human Rights and Governance* (3), in terms of implemented training of sexual violence, abuse of women’s rights and legal assistance given to women. Reference is here made to an Annex on the assessment of Economic development, PFM, Anti-Corruption, Peace-Building and Reconciliation, Democracy and Human Rights. Within the Human Rights chapter there is, at the end, a short section on gender with a few data on women’s participation, women’s participation in the work force, education and a discussion on the HDI and GDI. *Thus, it is fragmented as only a HR issue (not considered in the other areas such as for instance economy or reconciliation and peace building), and as such only in limited terms. One of the key poverty problems indicated in the report is the lack of arable land, which obviously also has gender dimensions.*

*Gender is thus made a “separate” issue and not considered related to the main and big issues.*

In the section on *key issues of Sida and areas of dialogue* (4.5) the embassy’s annual Human Right report is mentioned as an entry point for dialogue on HR. *The Human Right Report is an excellent opportunity to include women’s rights as well.* Further, in the discussion on the measurement of the commitment to poverty reduction, indicators are mentioned for the PRS matrix where gender dimensions perfectly could be included. *Observe that in the annex to the MOU between Sweden and Rwanda, the Agreed JRES/PRSP Table of Performance and Process indicators, as well as the verification targets require gender desegregation.*

*Another entry point could be the annual Development Partners Meeting where it is recommended that HR are discussed. This could also be for gender. (p 24)*

*Minutes Project Committee 2006-05 21*

No gender expertise explicitly present at the meeting.

Gender aspects are with two exceptions only, not integrated in the protocol, even though there are clear entry points for it:

- When arguing that there is a lack of economic and power analysis needed for analysing ownership issues (p4)

- When presenting good results regarding increased resources to health and education, as regards HR and governance. Gender are integral parts of these themes but are not mentioned.(p4)
- When arguing that the poverty analysis is too poor (p6)
- When AFRA reconsiders the need in the future for deeper assessments.

Gender is mention as an issue where Sida's role is to strengthen other donors or where there are no other donors (p4) where gender is one example. The other opportunity is when the presenter of the paper argues that there are environmental and gender assessments in annex to the BPM. *As noted above this cannot be considered as a serious gender assessment.*

*Possible entry points:*

- There was gender expertise present at Project Committee Meeting
- Participation of gender expertise in writing key documents, as for instance the BPM, the PRSP, in assessing the PRS
- In developing ToR for assessing PRS and background documents
- Dialogue opportunities in annual Development Partners Meeting
- When developing the Annual Report on Human Rights- or require an Annual report on Gender issues (not only women's rights aspects)
- When HDI is used, so should GDI
- The use of gender desegregated statistics.
- Include gender as a crosscutting issue in the ToR of assessments of PRS

## **5. Tanzania**

### **5.1 General comments and process**

It is interesting to note that gender is present in the PRS MKUKUTA, along with other cross- cutting issues and is particularly present as regards the strategy and even includes indicators (though it is restricted to education). The monitoring system can even be regarded as good practice. However the Swedish strategy documents it is argued that gender should be mainstreamed, but there is no gender perspective in the poverty analysis. In the Swedish assessment memo there is no gender perspective. There is nothing at the project committee.

Gender aspects evaporate along the process.

### **5.2 Documents**

*National Strategy for growth and reduction of poverty, NSGRP or MKUKUTA, June 2005*

No special chapter on gender

Poverty Status

- However gender to some extent integrated and mainstreamed in chapter II Poverty Status and Challenges and to a better extent in the Framework of the Strategy in chapter IV.
- The Strategy as such intends to pay greater attention to mainstreaming cross-cutting issues such as gender, HIV/AIDS and other (p3).
- There is an effort to make explicit reference to disparities in terms of rural-urban, regional, gender, income inequalities as regards poverty. (p4)
- Yet, the analysis as such could do a deeper gender assessment than is done, and as seen in the strategy chapter, the information is there.

- Importance is given to on-income poverty, where explicit gender related problems for women are given importance such as within education and literacy (retention, early pregnancies, sexual abuse), the reduction of infant and maternal mortality, malaria, HIV/AIDS and other.
- Interestingly the section on vulnerability does not include gender as one variable for impoverishing factors even though socio-cultural and life –cycle are two of them (p14)
- But the following section on cross-cutting issues, where gender is one, does stress how such factors tend to impact differentially in terms of poverty, income and non-income poverty.

#### Consultation process

- The chapter on the consultation process describes the extensive process of consultation with society at all levels, including as broad representation as possible. It is concluded that there were clear differences among the groups in terms of what the priorities were (p 21). However there is no presentation of these differences per group, rather the issues are presented at an aggregated level.

#### Framework of the strategy

- In the chapter on the framework of the strategy a section on equity is presented in broad terms (no reference to gender), and also a section on mainstreaming cross-cutting issues.
- For each of the three clusters of poverty reduction outcomes: growth and reduction of income poverty, improve quality of life an social well-being and good governance and accountability, there is a set of goals and operational targets. Many of those have a gender perspective and are gender disaggregated, including targeted planned interventions.

*MKUKUTA Monitoring System, Master Plan, Ministry of Planning, Economy and Empowerment, March 2006, Final draft*

#### Challenges:

- includes among others participation which goes beyond popularization, *which could include gender. But does not. And revised indicators, that also could include a gender perspective.*

#### 5 Principles

- Includes mainstreaming of cross cutting issues, the same as the MKUKUTA, which includes gender.

#### Institutional arrangements

- Technical working groups, composed of broad membershio, central and local government, development partners, academic institutions, CS and private sector. No mention of gender though

#### Main products

- Number of products and reports, including briefs. No reference to content. *All could include a gender perspective*

#### Indicators

- Outcome oriented. No reference to gender desegregation.

#### Technical working groups

- Persons representing cross-cutting issues like gender, HIV/AIDS are included.

#### Annexes: various TOR

- No gender
- MKUKUTA indicators. Gender and age desegregation in most of the goals where it is possible. Not all though. Good practice!

#### *Joint Assistance Strategy, Revised Third Draft, March 2006*

- JAS- a single guiding framework for effective aid management
- No reference to gender issues in the document
- Dialogue matrix on forum, actors and issues to discuss: cross-cutting issues in relation to assessment of progress of implementing NSGRP is the only possible reference to gender or social issues.

#### *Partnership Framework Memorandum governing General Budget support for implementation of MKUKUTA, January 2006*

##### Principles

- iv. continuing peace and respect for human rights, the rule of law, democratic principles... is what comes the closest to gender issues.
- PAF matrix: outcome indicators criteria, *could include gender desegregation*, but does not
- PAF matrix, indicators of education are disaggregated, others not for instance access to clean water

#### *Cooperation strategy for Tanzania 2006–2010, Revised proposal 2005-12-01*

##### Poverty situation

- No gender perspective with exception to mentioning the enrolment rates of girls and boys.
- Poor description of poverty from the poor persons' perspective. Limited analysis of poverty in general

##### National strategy for growth and reduction of poverty

- Critique is made that the underlying poverty analysis is not deep enough, as is not the rights based approach.

##### Joint assistance strategy

- Large number of donors. The JAI developed since 2004, based on MDGs. Focus of areas of cooperation based on bilateral advantages. For Sweden the rights perspective and the perspective of the poor is important. An important component herein is that of capacity building of domestic institutions. *Gender dimension could be included.*

##### Concentration to fewer areas of cooperation

- Five areas of cooperation, energy, trade related Private Sector Development, Education, reform programs for local government and public financial management and human rights and democracy. Gender is presented to be mainstreamed in the cooperation programmes, aiming at gender aware dialogue and targeted interventions. Whether this also relates to the GBS is not crystal clear.

### Summary

- No mention to gender or gender related issues in the summary.

### Background

- No mention to gender, however the poor are named as *poor women and men*. There is a thorough presentation of the situation at macro level in terms of economy and politics. Human rights abuses are briefly mentioned, however it is difficult to argue there is either a perspective of the poor or people centred perspective.

### Assessment, main features

- The planned general budget support is planned to support the second PRS which is outcome based and structure around three clusters: growth and reduction of income poverty, improvement of quality of life and social well-being and governance and accountability *which all three have a clear gender perspective*, but which is not reflected in the document.
- However reference is made to that the PRS (MKUKUTA) that a number of crosscutting issues should be mainstreamed, including gender, HIV/AIDS, environment, elderly, disabled and settlements.
- Experience and results of GBS: A box with results in social sectors indicate progress, however it is not gender disaggregated which it probably could have been. Reference is further made to an evaluation of earlier GBS, however there is no reference to that social issues and less gender issues have been considered.
- Relevance: no reference to social issues or gender (could be)
- Effectiveness and cost-efficiency: nothing related to gender (could be)
- Sustainability: nothing (could be)
- Coordination and consultations: nothing on gender. Yet, reference made to a new MOU between donors with principles governing the support, among them the MDGs and respect for human rights. Whether the MOU further specifies gender issues is not known. *A possible entry point*. Further is mentioned the Annual Review meeting, the Performance Assessment Framework and outcome indicators *as possible gender entry points*.
- Risks and risk management: nothing on social, or gender related risks. (could be), nor risks of losing the crosscutting issues in general.
- Monitoring: a new monitoring system is being developed with a broader scope on growth, well-being and governance. No reference to social or gender issues is made. A power analysis is referred to, no mention whether gender aspects are integrated (*would be essential*)

### Design of Swedish contribution

- No reference to gender or crosscutting social issues.
- Sweden has chairmanship in the joint donor dialogue, which gives greater possibility to raise Swedish priorities, *gender could be one*
- Key areas of dialogue: Policy dialogue is structured through thematic working groups following the clusters of the PRS. The MEMO highlights that the rights perspective and the perspective of the poor should be advocated for. No specific reference to gender or other cross-cutting issues though.

- Sweden shall focus on education and HIV/AIDS, *both where gender is a key*, however no reference to it.

#### Draft agreement

- The draft agreement: does not refer to gender at all, could include a reference to *women and men, girls and boys in Tanzania*.

#### Decision of contribution

- As above, a reference that it is about women and men, human beings.

*Minutes Project Committee, 2006-05-30, Generellt Budgetstöd 2006–2008, 2006-05-05*

- No gender advisor present
- Gender aspects not presented by the present but asked for by the discussant in terms of whether the gender analysis of the MKUKUTA has been assessed by the Embassy. According to the presenter the gender analysis has improved vis-à-vis the earlier PRS, particularly as regards the education sector. The rights based approach remains weak though.
- The question on gender is written in the discussant notes.

## **6. Zambia**

### **6.1 General comments and process**

The NSHP includes a chapter on gender, which means that the topic is on the agenda. However, it is not mainstreamed throughout the plan, despite the fact that most of the priorities set would benefit from a gender perspective. The Assessment MEMO prepared in Lusaka also integrates and highlights gender issues, particularly as regards HIV/AIDS and maternal mortality. Interestingly the poverty analysis presented at the beginning of the document lacks a gender perspective. SRHR and gender are key issues on the dialogue agenda, and it is even agreed that these are priorities as a general principle in the partnership.

Yet, it is interesting that in the presentation of the plan at the Sida Project Committee there is

### **6.2 Documents**

*National Health Strategic Plan, 2006–2011, Republic of Zambia, Ministry of Health, November 2005*

The NHSP is prepared when the health sector is facing challenges in terms of high disease burden, compounded by HIV/Aid epidemic, critical shortages of health personnel, deteriorating infrastructure, significant legal reforms, on-going restructuring of the health sector, a weak economy and inadequate funding to the health sector. The situation calls for prioritisation. The external environment brings up political, economic, socio-cultural and technological factors. The vision is equity of access to assured quality, cost-effective and affordable health services as close to the family as possible.

Gender aspects are brought up at two points. As a section within the chapter on Sector organisation and management, and in the Health System Management. In the later chapter it is given its own agenda with vision, strategy, expected results and indicators. (p59)

The plan presents 7 key principles, of which the first relates to equity of access to healthcare services regardless of their location, gender, age, race, social, economy, cultural and political status.

However, in the presentation of the public health priority interventions gender is not mainstreamed. Among the priorities there are various which are directly linked, and to which it seems highly inefficient not to apply a gender perspective: child health and nutrition, integrated reproductive health, HIV/AIDS, TB and STI, Malaria, health surveillance and control, environment health and food safety. In fact, also the priorities related to support systems priorities interventions also would benefit from a gender perspective.

The plan presents a situation analysis on each priority, clear objectives, strategies, expected results and indicators. There is no reference to gender within those presentations.

#### *Assessment Memorandum Zambia Strategic Health Plan 2006–2011*

##### Background

Poverty: no gender desegregation

- HIV Aids identified as one of four major challenges (the other are maternal mortality, human resources crisis in the sector and funding of the sector)
- A special section on HIV/AIDS and gender

##### Rights perspective

- Reference is made to international conventions (women's rights)

##### Perspective of the poor'

- No explicit reference to gender

##### Effectiveness and cost efficiency

- Under a special section of maternal mortality is it argued that gender power structures are not on the agenda and needs to be strengthened.

##### Key areas of dialogue

- SRHR and gender equality are priorities in the dialogue, as the first of three (the others are disease specific programs and health systems strengthening and HIV/AIDS)

##### General principles of partnership

- The MoH and CPs agree that mainstreaming gender, environment and HIV /AIDS should be given priority.

#### *Minutes, Project Committee 2006-06-08, Stöd till Hälsosektor och till*

#### *implementering av HRH –strategiplan i Zambia, 2006–2011, 2006- 05-19*

There was no gender advisor nor other documented expertise present in the meeting.

Gender aspects are not included in the initial presentation.

The opponent asks about the relevance of SRHR. In the opponents memo it is also asked about gender, where he lacks an analysis of gender-based power structures which he does not find on the agenda. However, the question presented in the memo is not documented as part of the dialogue at the meeting.

However, the presenter argues that SRHR is presented in the National Strategic Health Plan, and the goals are defined there. The problems are to be found in the implementation. Sweden should be better in maintaining the dialogue on the issues and link to regional projects.

## **Abbreviations**

BPM	Beslutspromemoria (Decision Memorandum)
EIA	Environment Impact Assessment
FHH	Female Headed Households
HDI	Human Development Index
HR	Human Rights
GDI	Gender Development Index
GEM	Gender Empowerment Index
GIA	Gender Impact Assessment
MDGS	Millenium Development Goals
MKUKUTA	Mkakati wa Kukuze Uchumi na Kuondoa Umaskini Tanzania
MSEK	Million Swedish Crowns
MOU	Memorandum of Understanding
MTEF	Mid Term Expenditure Framework
NHSP	National Health Strategic Plan
NSGRP	National Strategy for Growth and Reduction of Poverty
PAF	Performance Assessment Framework
PISE	Programme d' Investissement setoriel de l'Education
PRODESS	Programme de Developpement Socio-Sanitaire
PRS	Poverty Reduction Strategy
SBS	Sektor Budget Stöd (Sector Budget Support)

## Annex 5

# Capacity Development in Sector Programmes

### **Introduction – scope and methodology**

This desk study has taken its starting point in the assessment memos of the five sector-related contributions. It has to some extent been complemented with other information such as programme documents, steering documents and minutes from the Sida project committee.

The purpose of the study has been to investigate how Capacity Development is being approached by Sida in the preparation of a new support agreement, to identify weaknesses as well as good practices that need to be addressed and shared respectively, in order to improve the way Sida approaches capacity development. Some suggestions on how to handle different problems regarding capacity development should also be presented.

The study has been guided by the broad Sida definition of capacity development and Sida's policy and manual in the area. It uses the same levels of analysis as these documents, namely:

- Individual/professional;
- Organisation;
- Systems of organisations; and
- Institutional context

The findings of the review of assessments memos are hence divided roughly into these categories. There are however aspects that cut across these areas, which can be found in the first section called conclusions.

The approach taken when looking at the memos has not simply been to make a word search for the words “Capacity Development”, but more to look at all aspects dealt with in the memo and seen to what extent these are analysed from a capacity development point of view.

### **Some general conclusions**

The Sida memos *cover many areas related to capacity development* and take a rather broad view on the issue, in line with the existing policy. The analysis related to capacity development is integrated in many different sections of the assessment memo, rather than under a separate headline. At the same time the analysis of capacity gives the impression of being somewhat fragmented and different areas related to capacity are not analysed in a coherent, inter-related manner.

Capacity development is to a great extent viewed as the *ability to produce results*, i.e. showing results is equal to capacity development having taken place.

The analysis of capacity is often focussed on the weaknesses, which can be listed in endless lists of bullet points. However, the (relative) strengths, i.e. the *positive aspects that exist to build on are rarely mentioned*. This may reveal an expectation that systems should ideally look like and function the way we (Sida/other donors) are used to seeing them, rather than in the way adequate and possible in the cooperating country context. A different approach to assessing capacity, taking its starting point in the local context and conceptual framework constitutes a challenge in this respect.

In the analysis a lot of *emphasis is placed on formal documents* such as plans, laws, manuals and strategies, and much less on mechanisms, human development, and ownership (real – not just on paper) of the cooperating partner to implement these plans and documents<sup>9</sup>. We seem to reason that “as long as there is a document dealing with an issue, the problem is close to solved”.

The emphasis in the memos is clearly at the *individual and organisational levels*, whereas areas such as institutional development and especially its sub-category relating to *informal rules* are hardly reflected at all.

There seems to be a great belief that *grand, central-led comprehensive reforms (and/or systems) will achieve wonders* in terms of service delivery and poverty reduction, not least in the sector. However in the cases where *budget support “with a sector focus”* is provided, hardly any analysis of the capacity situation in the sector is included – it is just assumed that all the needs of the sector will be addressed by the central reforms. Experience shows that this is not always the case. The small scale development perspective has almost completely disappeared, and little is said about (perhaps because it does not exist) the own reform ambitions of the sector, which should be important when giving support with a “sector focus”. It is perhaps more important to build upon the efforts and ambitions which really exist, rather than impose a lot of new ambition. *Can we live with the cooperating partner choosing other reform priorities than the ones we as development partners (or the international community through the Paris declaration) perceive as priority?*

The *capacity issues related to “staying away”* from the sector/country are too rarely discussed. It is often assumed that being involved (or at least giving more money) is always good for the sector, whereas the opposite might actually hold true. Could capacity analysis and development also include what we chose *not* to do (related to Paris declaration discussion below)? Linked to this discussion is the issue of amount of funds. Is there a point beyond which international cooperation is giving too much to a sector/country? Is it only a matter of absorption capacity, and avoiding the Dutch disease, or could there also be situations where capacity development is undermined through too much (or too little in relation to the additional administrative burden) support?

The development agenda around the MDGs, the Paris declaration and the increasing use of budget support and other forms of coordinated support, seems to *primarily emphasise the results to be achieved in relation to poverty reduction and economic development*. Key central reforms in the areas of

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<sup>9</sup> By *ownership* is here meant the Paris declaration definition, i.e. that “partner countries exercise defective leadership over their development policies and strategies, and co-ordinate development actions”. By human development is meant the individual/group/organisational development of knowledge, skills, competence, values and attitudes necessary for achieving development results.

PFM, procurement and civil service are also included. However, this massive focus on results for poor people (in itself naturally a very good ambition), seems to have led to *less of a capacity development perspective* in the plans and in the process of implementing these plans. Little consideration is also given to the need for time and space to develop human, organisational and institutional capacity, developing real ownership, and the principle of building on already existing capacity, rather than creating completely new models and systems.

Although the assessment memos raise a lot of issues related to capacity development, there is *far too little of own analysis* regarding the key problems and possible solutions. For instance, one often simply refers to reform programmes for the solution of problems x, y and z. However, rarely any *analysis* of these reform programmes is included. For instance, what is the feasibility and relevance of the reform plans? What is the balance between different measures, what are the results achieved so far more than just concluding: "some progress has been made"? And "considering the slow progress so far", what is different this time that will make sure reform is implemented? Is the reform plan adequately sequenced, operational and implemented with a basics-first approach? What simple ways of improving the day-to-day operations *within the existing structures* exist? Another important related question is how the different reforms fit together, and what the process of implementation looks like. Have the decentralised levels and the sectors been involved or is it a mere top-down exercise? The assessment memos say very little about these issues, though these must be crucial for the implementation of both the reforms and the actual poverty-reduction programmes.

Few of the memos mention anything regarding the *role of national organisations and individuals* in developing capacity, and say little about the approach to training and technical assistance (apart from the fact that it should be harmonised). Local actors in the education systems (not least higher education and vocational training) at different levels are important, but it is not clear to what extent these organisations play a role.

In the case where the memo concerns a *delegated partnership* (Mali), the partner does not assess capacity issues in the same thorough way that Sida normally does, and hence much information in this respect is lost. What influence this has on the actual implementation of the contribution, for instance regarding the dialogue, is unclear but important to follow-up on. Preparatory sessions, where we agree on certain principles with our delegated partners may be a way of solving this problem.

The *top down perspective* of capacity development (organisations and institutions) is much more analysed than the bottom-up perspective (the two perspectives) of the poor individual. Methods of how to give them a voice should ideally be included.

At the same time there are several positive aspects raised in the memos (see good practices under each section in the chapter "Analysis" below). For instance, they manifest a high level of understanding of the fact that reform and capacity development take time, that certain central reforms are necessary to be able to enhance development results, and of always taking a joint approach to all initiatives at the sector and GBS dialogue levels.

## **Analysis**

### **Definitions**

The memos all include several aspects of capacity development (CD), and cover nearly all of the analysis levels listed in the Sida policy (although not explicitly). It is rather clear that the persons having drafted

the memos have a rather good idea of the conditions that need to be in place in order to enhance results for poor people in the countries we work in.

However, regarding definitions, in the same memos capacity is used to mean anything from development at all four levels, to training and technical assistance, depending on the context. Sometimes it is used interchangeably with *capacity building*. It is sometimes used in a rather sloppy way, perhaps sometimes as an escape path from having to enter into a deeper analysis of how things fit together. In the overall analysis, CD is used more broadly (as in Sida's policy) whereas, once you get down to financing a plan for capacity development (or similar) CD is often reduced to technical assistance and sometimes training, i.e. things that can be put in a plan and be financed. *Is there a risk that the eagerness of donors to spend money on this kind of plans, encourages a way of working where reform is made equal to activities with external input and that cost money, which risks not being sustainable?*

With the move towards budget support, where more emphasis is placed on overall cross-cutting reform in areas such as PFM, civil service and the legal sector, the definition of capacity development has moved closer to the governance concept. One example of this (valid for both Tanzania and Mozambique) is that performance of Government institutions with a role to play in enhancing domestic accountability, such as the parliament, the national audit office and civil society, is included. The same goes for the PFM-reform much emphasised in all memos. An interesting question in this respect is who feels most responsible for the capacity development issues related to sector performance at the embassies – the sector programme officer, the economist or the governance adviser? Has this definition meant a closer collaboration between these functions? Who for instance feels responsible for PFM performance in the sector?

### **Capacity development at individual/professional level**

Systems (not just IT) and mechanisms for Human Development and/or HRM (Human Resource Management) are in general much less emphasised in the memos than for instance the PFM-systems. Does this reflect a conscious choice of PFM as more important than HRM in the sector/country context, or from Sida's point of view? Or is it merely a reflection of the Paris agenda strongly influencing the local agenda?

Incentive systems are raised as an important issue in all the memos, although in most cases only partial solutions are presented. The problems of brain-drain (also within the sector to private actors as in the case of Zambia) and low motivation (Tanzania, Rwanda) of staff are highlighted.

A lot of reform initiatives and HR-development continue to be funded separately outside the joint financial arrangement, although as part of the overall budget. This seems to indicate that the country itself is not sufficiently interested in investing funds in this area. Is the solution to this problem to continue this parallel financing, and what does this do to ownership of reform?

In the Zambian case, a parallel funding is provided for hiring more health workers, at the same time as there are internal inefficiencies in the distribution of actual health care staff. There is a risk that this kind of parallelism undermines ownership and the capacity to take unpleasant decisions. The MoH/MoF is bailed out from this unformfortable situation by the development partners.

Overall, training is very little referred to. Has all the criticism regarding training put it out of fashion, or is it merely embedded in all of the reform programmes (hence not visible at this aggregated level)? Analysis

of internal/external short-term/long-term training programmes, as well as competence mapping and competence provision strategies can be very important aspects of capacity development. However, this is given little weight in the context.

When referring to training and Technical Assistance (TA), these programmes are rarely referred to in terms of quality, the effectiveness of training, and the measurement of improvements based in training. The same goes for technical assistance. It is often mentioned that technical assistance must not be providing backstopping, but should play more of an educative and advisory role.

There seems to be an imbalance between the focus on IT-systems (and other formal systems and institutions) in relation to the importance given to professional human development. Further, intangible or soft-side capacity development aspects such as leadership, communication, different social skills and organisational culture etc are rarely mentioned.

*Some interesting practices related to the individual/professional level include:*

- Connecting financial incentives to the teachers training (Mali)
- Including the “private actors” in the health sector in the same planning framework, attempting to harmonise the incentive and salary schemes of the two parts of the sector (Zambia);
- Joint financing of technical assistance (pooling), with the intention of making the TA more demand-driven and less bound to individual donors/creditors, which should increase ownership (Mali); (do selection criteria & process enhance the Paris principles in practice?);
- A way of ensuring ownership for all activities, including reform, is to include all activities in the budget, but agree on adequate resource allocation criteria including for capacity development activities. These criteria should also include staff allocation, even if salaries have a separate central budget allocation;
- Encourage the ministries to review the incentive systems (not only financial but also living conditions etc), especially for teachers or health workers in the more remote parts of the country;
- Have flexible (but transparent and professional) rules regarding contracting of TA. Development-related TA can sometimes benefit from being complemented with backstopping TA, to allow enough time for the persons to be “trained” to concentrate on this during a certain period. Avoid taboos or dogmatic rules related to TA, but be clear on what is the purpose of each CD intervention.

## **Organisation**

### **Financial resources/budget allocations**

The memos reveal a rather high level of understanding of how the budget process and budget allocations relate to the capacity to produce results.

However, in some areas, such as the MTEF (medium term expenditure framework) there is a lack of own analysis regarding its possibility to support sector development. The MTEF is mostly referred to as something “that exists”, as were it merely a matter of having or not having one (except in Rwanda and Mozambique). Nothing is said about the MTEF’s reliability, whether it is able to effectively define resource ceilings related to Government policy on poverty objectives, international commitments etc. At the same time in several of the memos is mentioned that the resources are currently not sufficiently allocated based on poverty and equality criteria.

The importance of predictability in *levels* and *timing* of financing is raised in almost all the memos, and it is understood that this enhances the capacity of the country/sector to produce results. At the same time criteria for disbursements is in several cases very unclear, based on “underlying assumptions” and “overall satisfactory achievement of results” such as in the cases of Tanzania and Mozambique. This risks undermining ownership and predictability of the support, since the interpretation of these wordings to a great is in the hands of the donor.

In relation to delegated partnership, it is not clear whether Sida shares views on these issues (disbursement criteria) with its partners, which may mean that the partnership may actually result in undermined ownership rather than the opposite.

*Some good practices that might be applicable in this context include:*

- Agree on criteria for distribution of resources which are predictable, (but not without flexibility), rather than immediately going for a separate funding mechanism which might risk undermining capacity (because the partner country then avoids making difficult decisions);
- In the dialogue around resource allocations it may be good for the donor representatives to encourage the use of visualised information on results and resource distribution (maps and easy-accessible statistics), since this tends to be a very powerful tool in relation to simply listed numbers.

### **Paris declaration/ownership**

In several aspects the memos show a good connection between the Paris declaration and capacity, in the sense that the adherence to the Paris declaration is essential for enhancing the capacity in the country/sector. Staying away may be just as important as being present in the sector, depending on the local context and the individual contribution.

At the same time the problem of the Paris declaration promoting mainly the central institutional and top-down perspective, and creating a focus on major reform, is not raised.

In several of the memos a very simplistic, non-critical and dogmatic view is taken in relation to the Paris declaration. It is assumed that for instance sector budget support will automatically strengthen the dialogue with the donors, improve the relation between the sector ministry and the cross-cutting institutions etc. The need to adapt its implementation to local conditions is not sufficiently raised.

*Some good practices found in the memos include:*

- The development of a locally owned Paris declaration (example: Rwandan Aid Policy) which is based on the international declaration but adapted to local circumstances and more specific/operational;
- Specific mentioning of the donors’ submission to the national planning framework (Mozambique and others);
- Clearly identify what documents, timings, assessment tools and reporting formats that need to be valid for all (Tanzania, Mozambique). *Is there a risk that these documents and tools are too much influenced by all the different donors’ agendas and therefore end up being too comprehensive (problem of least common denominator principle)?*

### **Structure and mandate**

Although the memos dealing with sector programme support are somewhat more specific than the GBS ones, they all lack analysis regarding

the mandate of the Ministry (or organisation in charge of the budget support), and role division between different levels or departments of the organisation (also in decentralisation terms). One exception can be found in the Tanzanian case where it is mentioned the increased mandate the ministry of education has in terms of management and distribution of funds (an essential issue since the MoE is the expert in its area and no other institution – MoF included – can be better equipped to effectively allocate its resources). Another issue of importance is to what extent the sector ministries are the ones that define their own policy.

A brief discussion regarding how the donor community influences power relations and the actual (rather than formal) structure of the ministry, as well as its mandate, would also be interesting to analyse (but perhaps only touch upon in the assessment memo).

### **Focus on results**

The increased focus on results, which in several countries has inspired the introduction of result-based management systems, mainly concerns the actual indicators to be measured (one often strives for a mix of outcome and process indicators). Often weak capacity of monitoring and evaluation (M & E) is referred to, including weak statistics collection systems. Improvement of statistics management and major “M & E systems” seem to be viewed as the highway to heaven regarding results achievement. The importance of minimizing the number of indicators is often referred to, which is very good (at the same time the amount of indicators remains high). However, from a capacity perspective an interesting question is whether we start by “measuring the indicators that can be measured” or by introducing a comprehensive information management system.

*Experience shows that the introduction of RBM as a tool in the budget dialogue is often a failure. Poor results could be due to several alternative problems, such as poor management, need for more resources, wrong incentive structures etc. The important part – to focus on results in the local management, and to reward and learn from good as well as bad results – is often forgotten.*

In some cases reform programmes in this area are introduced. However, the actual *process* and *mechanisms* of assessing and analysing results, of monitoring progress, and of having a constructive dialogue around it in the organisation, is hardly mentioned at all. Since monitoring and evaluation ideally includes a strong element of learning, the process of going about results evaluation is very important, as is the way dialogue and feedback within the organisation take place. Getting this process working may be just as important as defining the perfect indicators or designing the perfect statistics system, since this *learning process* is then likely to improve planning and management of activities, and eventually refine the indicators and process of collecting these. RBM needs to be seen as an internal management approach, and not merely a system for producing indicators.

The linking of disbursements to achievement of planned results (outcome and process) is risky and needs to be carefully analysed. Zambia has a good example of where the conditions for disbursement are clearly stated. In the Zambian memo the outcome indicators do not form part of the basis for disbursement since “it is not merely in the hands of the Government to achieve these outcomes”. However, the view on the link between results and disbursements differs substantially between different programmes. The memos describe that different actors approach conditionality in different ways in relation to the GBS, but Sida does not draw any

conclusions from this (does it affect capacity when every actor makes his/her assessment of the results achievement in the country?).

In terms of results, it is interesting to see what is considered results regarding capacity development. Few of the memos are able to give specific examples of capacity improvements, outside the areas of PFM. As mentioned above, the production of results is often viewed as equal to the organisation having improved its capacity. Would it also be worthwhile having more of process and outcome indicators relating to capacity development of the organisations we are supporting? Are adequate result indicators – both soft and hard – in place to measure the development of capacity?

*Some good practices in this area include:*

- Encourage use of the national planning, budgeting and reporting cycle and instrument of the Government as the *starting point* for M & E, and from the assessment of these documents and processes gradually refine the M & E process;
- Start by measuring what can be measured and focus just as much on developing the *process* of result based management;
- Define results measurements also for capacity development, to have a clearer focus on this within the programme framework. Include also the soft side of capacity, including participation, dialogue etc;
- The Tanzanian memo refers to client (citizen?) evaluation systems regarding public services, which may be a good way of combining the rights' perspective with the need for the sector to evaluate its performance.

#### **Administration/budget execution**

No assessment of whether the sector plans (or PRS) are really feasible, i.e. operational, is usually made. The feasibility of the plan, including considerations on prioritisation at different financing scenarios, is rarely mentioned. Not having clear priorities may delay the implementation substantially, due to long processes of renegotiation of resource allocations, when actual funding turns out to be less (or more) than planned.

The actual management and human capacity, as well as general bureaucracy, are often referred to in very general terms as killing factors or major risks what regards implementation of the plan. However, apart from major reform initiatives, little is said about how these risks should be mitigated. It seems as if we do not have a clear idea of what *exactly* is missing regarding capacity, but just assume that in general staff competence and the organisation are weak.

*Some good practices in this area include:*

- Strive to maintain a balance between input control (PFM) and output control (RBM/results measurement). If the development partners try to be everywhere and measure everything all the time, no space is left for the cooperating partner to implement the plan;
- Analyse the planning documents more in detail, from an operational point of view, and preferably combined with studies of the competence of the organisation's staff, as an input for the dialogue around these issues. Put more effort in accompanying (while respecting Paris) the implementation phase of the programme and not merely the planning phase.

## Systems of organisations

### *Relation to cross-cutting institutions*

The issue of the relationship between the sector ministry and the Ministry of Finance is raised in all the memos. The difficulty of the sector to negotiate its budget allocations with the MoF is raised as a major concern, which is the reason why in Zambia the choice has been to continue supporting the sector through a basket modality, rather than as budget support (which is still provided in parallel). However, this is obviously not a sustainable solution. It would be advisable to have a transition plan from basket funding to budget support, which included support to the Sector Ministry to strengthen its negotiation power through various measures.

At the same time there is a need for donors to take a balanced approach to support and dialogue at sector and central level respectively. There exists a risk that donors “line up” with the sector ministry to drive its interests in the general budget dialogue in relation to the MoF, without considering the overall resource allocation picture. This can lead to severe distortions. There is a need for Sida to engage and analyse also the overall allocation picture, i.e. the allocative efficiency of the country.

Another area of inter-institutional character is public sector reform. The shape and content of reform plans vary between countries and sectors. However, there are important links to be considered between the cross-cutting institutions managing the overall reform programme and the sector ministries (or decentralised entities). Some questions that are normally not sufficiently reflected in the memos, but might be worthwhile considering include:

- Have the sectors been involved in design of the reforms?
- What does the process of implementing the reform look like? Does each sector have its own reform plan coordinated with the central level overall reform plans (ownership)?
- Are there institutional mechanisms in place where reform-related issues and inter-organisational matters can be discussed?
- Have the more soft sides of reform been taken into consideration (“change management strategy”)
- Is Public Sector Reform unnecessarily centralised? Do sectors have room for manoeuvre regarding own reform initiatives?

Some *additional good practices* in this area (apart from the transition plan described above) include:

- To influence the Governments approach to central level reform (through the GBS or other central reform dialogue), by raising the issue of the sectors’ needs.
- Provision of untied (pooled or in other ways) TA for these processes, ensuring the sector gets support to develop and implement the reforms it views as a priority and develops its analytical, negotiation and planning skills, and thereby becomes a competent speaking partner to other parts of Government and other actors.

### *Decentralisation*

Decentralisation is rather schematically and sloppily handled in most of the memos. The relevance of decentralisation reform is not questioned, nor is the concept as such (what is meant by it – de-concentration? self-government? etc). Decentralisation is viewed as something that is by

nature good and always leads to improved performance. In two of the memos it is expressed that “funds spent locally are funds well spent”. This seems to reflect a somewhat naïve and thoughtless way of approaching the issue. There is naturally nothing that guarantees funds to be more efficiently spent locally than centrally, the contrary may well hold true. A good point made in a couple of the memos though, is the development synergies created by using local markets rather than handling all procurement centrally. However, more of an *analysis* of these interdependencies needs to exist and be referred to.

The actors involved in the decentralisation and their capacity to manage this reform is also very insufficiently dealt with. Decentralisation requires different kinds of capacity at central level to support the process. The memos just simply refer to the rather vague “decentralisation reform” and assume this reform will solve most problems.

The capacity at local level is always described as weak, fragile etc, but without any details of what it is that is weak (competence, influence, infrastructure, central regulations?). Little is mentioned regarding the actual strengths of local governance or decentralised levels.

In the area of decentralisation, more of a critical analysis is required, especially since it is by many described as killing factor for the implementation of the programme/PRS.

#### *Sida’s (and other donors’) capacity*

There are a few examples on how the donors’ (especially Sida’s) capacity has been or need to be developed in relation to the new way of working. A couple of good examples of this include:

- The creation of a secretariat to manage the donor coordination of the budget support process. An economist was hired (why not a Governance or a decentralisation expert?) to support the process;
- The realisation that Sida needs to strengthen its own capacity in areas such as dialogue etc (Rwanda).

#### **Institutional framework**

Institutional framework is the part which is the least emphasised from a capacity development perspective in the assessment memos.

#### *Legal framework*

The legal framework is referred to from time to time, often in relation to the public sector reform process in the judiciary or in public financial management. However, the analysis often stops at the preparation, drafting and decision regarding a certain law. As with other formal documents, little is mentioned regarding the conditions to actually implement the law, the relevance and adequacy of the law in poverty and democracy terms etc. It often sounds as if the simple passing of a new law will solve the problem. The human capacity, as well as incentive structures and legal enforcement systems to implement the law are rarely referred to. What frameworks/examples exist for the analysis of legislation from democracy, efficiency, governance etc points of view?

#### *Informal rules and cultural/political context*

Regarding informal rules (in the political context) the Tanzanian case is a good example of where these aspects are raised in a broader way. One problem raised in Tanzania concerns the power of bureaucrats over politicians. The power analysis referred to in the memo states that the

civil servants have too much influence on budget allocation decisions in relation to the politicians. This can create an accountability problem, but depending on the situation it could also safeguard that the defined allocation criteria are adhered to (even under political pressure).

The political context analysis (or power analysis) in Tanzania further concludes that there are several aspects influencing capacity of the public administration, including problems of distinguishing between the party and the state, the lack of domestic accountability mechanisms, and a culture of citizen subservience and weak voicing of demands on the state. The memo also recognizes the problem of inconsistency between formal rules (ex. meritocracy) and the informal rules that apply in practice. However, few solutions (with the exception of ways to strengthen domestic accountability mechanisms) are presented, but this also may not be possible (Sida is just one contributor and cannot be involved in or affect everything in a country).

### **Key issues for discussion**

1. How should Sida approach the development of joint capacity assessments, development plans, and the financing of these?
2. How should Sida enhance the focus on results relating to capacity development, i.e. the setting of indicators, the process of measurement and analysis of results etc?
3. The harmonised support mechanisms have led to a focus on major, joint system solutions and big comprehensive reform projects. How can Sida work to complement this perspective with more of a small scale, participative and local perspective on capacity development?
4. How can Sida help enhance the perspective of the sector and the decentralised/local level in the reform processes?
5. What kind of competence and tools does Sida need in order to promote a more broad and balanced view on capacity development in the cooperation countries?

## Annex 6

# Communication in Sector Programmes

Planned communication is a means to achieve higher goals fulfillment in a project or programme. By using planned communication as a systematic tool in all projects and programmes activities will become more structured and focused and therefore better contribute to the overall goals. Planned communication should be considered and included from the very beginning in the assessment process of a project or programme. Planned communication is a strategic tool in both initial and in-depth preparations of a programme. Properly used, it will contribute significantly to make activities more focused during the implementation and follow-up.

### **1. Planned communication**

Planned communication can be divided into four phases:

#### **Phase one: Communication audit**

The basis for all strategic communication work is a thorough audit of the present situation. The analysis helps identify the audiences to be reached, gaps in knowledge among key target groups, attitudinal or behavioral change required for the programme to be successful, appropriate messages, effective channels of communication and the methods of monitoring and evaluating the communication process. The audit will identify

- Main stakeholders affected by the development programme
- Evaluate the extent of internal consensus within the government
- Evaluate previous activities, channels and tools activities used to communicate
- Assess the communications infrastructure and communications capacity of the government
- Assess the level of understanding of the media about the programme.
- Identify gaps in knowledge and attitudes.

The audit needs to be complemented by communication research based on both qualitative and quantitative methods. This research is meant to delve into why people do what they do and think what they think and what change is needed. Specific activities in this phase include polling, baseline studies, surveys and qualitative research.

**Phase two: Communication strategy and plan design**

A communication strategy defines goals and targets, target groups, key messages, methods (channels and activities), time frame and systems for monitoring. The strategy is accompanied with a detailed plan where specific activities are lined out.

**Phase three: Communication plan implementation**

This phase involves using appropriate tools to implement the activities specified in the strategy and plan. Some examples are; production of material (printed and web) purchasing of airtime (radio, TV), community mobilization activities such as workshops and conferences, organization of fora, training and capacity building.

**Phase four: Communication Monitoring and Evaluation**

This phase involves carrying out public opinion tracking studies and qualitative program and products evaluations.

**2. Communication aspects in the Zambia SWAp**

The Sector Wide Approach Zambia has been used as a case to identify communication needs within a SWAp programme. The issue of communication has not been addressed as specific theme in the memo. However there are several problems that can be related to the lack of a strategic approach to communication, for example the difficulties to communicating National Health Plan within the sector and have them translated into action plans and activities at different levels. Also the memo is referring to the need for popular participation in the plan and a need to support a watchdog function.

The vision of the NHSP 2006 – 2011 is to provide the people of Zambia with equity of access to cost-effective, quality health care as close to the family as possible. The desired consequence of the vision is that all people that need health care also use it. A precondition for this is that citizens are informed about services available and also the content of the plan in order to be able to demand services.

**3. Criteria used and other aspects to be considered in the assessment of SBS/SPS**

In order to assess the communication function within the sector programme the following criteria are central:

**Communication capacity**

Does the ministry have the infrastructure and the capacity to work strategically with all four phases of communication? This includes assessment of existing channels available and communication competences within the ministry.

**Quality of the communication audit and the strategy/plan**

Is there a comprehensive communication audit? Has it been based on complemented by opinion research? Has a communication strategy and plan been developed based on the analysis

**Communication for development**

Do the strategy and plan support the principles of participation, transparency, non discrimination and accountability? Does the plan improve visibility? Does it increase public awareness and public support?

## **4. How to integrate the issue in the Sector Programme Support**

### **Why planned communication in Sector Programme Support?**

To implement a programme support a large number of actors must be involved such as other ministries, implementing health sector bodies, donors, civil society and the general public. Examples show that a strategic communication work increases the effectiveness of sector wide approaches and programmes, for example in the health sector in Uganda where the participation and communication with users and civil society has been improved. As a result the users can put forward their demands of functioning health services. Another example is the reformation of the education sector in Ethiopia where the draft plans for the sector were discussed at central, regional and local level. Civil society organisations and teachers were involved in the development of the plan.

One important factor is the whether the citizens are provided with the opportunity to examine the programme through insight and public information. The media has an important role to play in providing information, ideas and debate in the interest of the public. Access to information is a prerequisite for media to be able to act in a free and independent manner. Therefore it is important that the ministry is transparent in its decision making and gives journalists access to public information.

A comprehensive communication strategy/plan serves as a tool to support the principles of participation, transparency, non discrimination and accountability.

### **How can Sida and other donors support**

The role of Sida and other donors is to make the Ministry aware of the need to conduct a communication audit and develop a communication strategy and plan (for templates see appendix). Sida and other donors should raise awareness of access to information and communication aspects within the sector, even though it is the Ministry that must make the decision to embark on the communication planning process.

If the present communication is not sufficient for achieving the overall goals, Sida should make suggestions on how to include and/or improve communication. These suggestions could include:

- Propose technical support in communication planning (seminars, guidelines, consultants etc). This will result in the elaboration of a programme-specific communication strategy and plan.
- Estimate and set aside financial and human resources for the management and follow up of the programme
- Offer further capacity building and training in communication

The donors to the programme can collectively assist the government for example through offering support to conduct required research and studies.

Sida can offer support in the conducting of a communication audit and developing a communication plan. Preferably this could be done in the form of a communication workshop in cooperation with international communication consultants.

A great deal of relevant information on gaps in knowledge can be sought out from the opinions survey initiatives that are active in Sida partner countries, for example the Asia-, Afro- and Latino barometer and the Institute World Value Survey.

## **5. The questions that should be addressed in the assessment**

Our suggestion is that a heading referring to the capacity and quality of communication is included in the list of issues for an assessment of sector programme support as follows:

### **Communication capacity**

Does the Ministry have the necessary communication capacity? Does the ministry have the capacity to work strategically with communication in all four phases, or can this capacity be acquired or built? Has a Communication audit been done? Do a Communication strategy and/or plan exist? Does the strategy/plan support the principles of participation, transparency, non discrimination and accountability?

### **Further reading/sources:**

- Sida Guidelines for planned communication, *Sida*
- A toolkit for Procurement of Communication activities in World Bank financed projects, *World Bank*
- Communication Audit, *World Bank*
- Dialogperspektiv i utvärderingar av programstöd, *Sida*



*Halving poverty by 2015 is one of the greatest challenges of our time, requiring cooperation and sustainability. The partner countries are responsible for their own development. Sida provides resources and develops knowledge and expertise, making the world a richer place.*



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