Advancing Human Rights & Development Effectiveness

The Reality of Aid Network
A Pre-eminent Southern-led North/South Network on Reforming Aid Policies and Practices

CSOPartnership
for Development Effectiveness

TAIWAN FOUNDATION
for DEMOCRACY
財團法人
臺灣民主基金會

Sida

European
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Advancing Human Rights & Development Effectiveness

CSO Aid Observatorio Training Handbook

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INTRODUCTION

Advocacy and campaigning by civil society organizations (CSOs) played a large role in shifting the discourse on development cooperation from mere aid effectiveness, which tended to focus on the technical aspects of aid delivery, to the more holistic development effectiveness wherein human rights-based frameworks have gained recognition and acceptance.

From Accra, to Paris, to Busan, CSOs effectively supported their advocacy with results from their researches on the implications of then current aid practices and what should be done to better achieve development through human rights-based approaches. CSOs being recognized as development actors in their own right was another important achievement gained in Busan.

But despite the Busan Partnership document's commitment to create an enabling environment for CSOs, it does not ensure accountability for all commitments made by all countries/stakeholders involved in development cooperation. Without an accountability framework, transparency and accountability becomes an issue in monitoring aid and accessing aid information. For CSOs to substantially engage donors, governments, and other stakeholders in the advancement of aid and development effectiveness reform, available and accessible quality aid data is needed. The availability and accessibility of information on aid to a broader range of stakeholders allow for a more efficient and effective management of aid, thereby increasing its development impact.

In 2013, The Reality of Aid Network – Asia Pacific (RoA-AP) published a training course on CSO Aid Observatorio to strengthen the capacities of CSOs to monitor aid and to promote CSO partnerships and cohesiveness of aid monitoring work towards evidence-based policy engagement on aid and development effectiveness in Asia Pacific. The 2013 Training Modules reflected concepts and definitions from Aid Effectiveness to Development Effectiveness as promoted by the Busan Partnership for Effective Development Cooperation.

Seven years later, RoA-AP and the CSO Partnership for Development Effectiveness (CPDE) Asia produced this current updated training manual to:

1. Reflect the transformations in the aid architecture and development cooperation as well as the changing nature of a CSO Aid Observatorio;

2. Situate the development cooperation concepts and examples in the current context;

3. Discuss new challenges and emerging trends;

4. Encourage CSOs to practice re-imagined ways of aid monitoring and policy engagement; and

5. Harness CSOs' capacities to contribute to RoA's CSO Aid Observatorio.

The updated training handbook is composed of the following:

Module 1. Aid and Development Cooperation Concepts and Principles

Module 2. People's Research in Development Cooperation

Module 3. Data Sourcing and Management

Module 4. Dissemination and Popularization

What's new in CSO Aid Observatorio Training Handbook 2020?

1. The modules in the 2020 version are similar to the 2013 version but the sessions per module have been modified to make each session up-to-date, more practical, and comprehensive.

2. The three (3) activities in this version can be viewed as connected and integrated that leads to enhancing CSOs' capacities to conduct research for RoA's CSO Aid Observatorio and disseminate and popularize their findings.

3. Apart from monitoring aid from traditional bilateral and multilateral donors and international financial institutions (IFIs), monitoring South-South Cooperation (SSC) is also added as Southern providers are on the rise.

4. The sessions under the **Module 4. Dissemination and Popularization** now includes a variety of methods fit for this digital era.

5. Activity worksheets are annexed to this Handbook.

The CSO Aid Observatorio Training Handbook 2020 caters not only to the seasoned CSOs but also to the new wave of CSOs, activists, researchers, and other development stakeholders with the ultimate goal to deliver the objectives of RoA's CSO Aid Observatorio:

1. Promote awareness and transparency on the management of aid by recipient governments and development cooperation providers;

2. Aid research and analysis on the trends and impacts of development projects and public-private partnerships;

3. Assist engagement of CSOs with recipient and donor governments and other providers for the effective and efficient use of public funds and for the protection of human rights and democracy;

4. Assist advocacy campaigns of communities or grassroots and peoples' organizations for the assertion of their democratic rights and for seeking transparency and accountability from governments and other providers; and

5. Facilitate shared learning and discourse among CSOs, policymakers, academia, media, and activists for the promotion of a human rights-based, people-powered sustainable development and forwarding of critical solutions or recommendations.

Module 01
AID AND DEVELOPMENT COOPERATION CONCEPTS AND PRINCIPLES

◎ Objectives of the Module

1. Introduce how the aid effectiveness discourse evolved towards development effectiveness.

2. Familiarize the participants on the technical and procedural aspects of the aid system and the challenges CSOs face.

3. Facilitate the envisioning of pathways towards human rights-based, democratic framework for development cooperation that will contribute towards the achievement of sustainable development.

🕐 Time Allotment: Minimum 3 Hours

Amid glaring failure of aid programs to help poor countries meet development targets, donors tried to introduce aid effectiveness reforms with the worthy intentions of increasing aid's impact on poverty reduction and accelerating efforts to meet the Millennium Development Goals (MDGs). However, aid effectiveness reforms centered on technical issues rather than on development policymaking.

Aid is also known as Official Development Assistance (ODA) and is defined by the Organization for Economic Cooperation and Development - Development Assistance Committee (OECD-DAC) as government aid that promotes and targets the economic development and welfare of developing countries. Donor governments have committed to provide 0.07% (of their GNI) ODA.

In a series of high-level fora, concerns gradually shifted to overarching development issues. From mere fine-tuning of aid delivery procedures and systems, the agenda soon tackled development effectiveness, and recently, took on the commitment of establishing a new development architecture amid the multiple global crises.

The new development cooperation envisioned in the Busan Partnership document presents a new complex web of partnerships tackling different aspects of the development agenda. Under the Global Partnership for Effective Development Cooperation (GPEDC), civil society organizations (CSOs) carry a much important role in ensuring that aid and development programs produce development results amid the complex interplay of interests.

As the GPEDC currently strives to contribute to the implementation of the Sustainable Development Goals (SDGs), particularly Goal 17, there is a need for a more rigorous monitoring to ensure that development programs adhere to the principles of human rights, gender equality, transparency and accountability, and decent work.

This module is divided into four sessions and one activity:

Session 1.1.

Historicizing Aid and Development Effectiveness

provides an overview of the high-level fora that shaped the discussion on aid and development effectiveness, the principles and commitments agreed upon by development actors, CSOs' role in aid monitoring, and the challenges CSOs face when it comes to enabling environment

Session 1.2.

Understanding the Aid and Development Cooperation Architecture

provides a background on the aid system and effective aid monitoring by CSOs

Session 1.3.

Development Effectiveness Principles

discusses the development effectiveness principles and some frameworks used in monitoring the implementation of these principles

Session 1.4.

Towards a Human Rights-Based, Democratic Framework for Development Cooperation for Sustainable Development

outlines the basic principles for the transformation of the current global system of development cooperation

Activity 1

Create a Theory of Change for a Human Rights-based Development Cooperation for Sustainable Development

enjoins the participants to apply what they learned from the previous four (4) sessions in envisioning pathways towards development cooperation for the people

Session 1.1.
Historicizing Aid and Development Effectiveness

Learning Outcomes	After this session, the participants will be able to:
	1. Understand the high-level fora that shaped the aid and development effectiveness agenda.
	2. Identify challenges and points of action under the current aid and development effectiveness framework.
Materials	• PowerPoint presentation and/or flipcharts
	• LCD projector
	• Markers
Process	1. Explain the learning outcomes of the session.
	2. Ask participants if they have attended any fora on aid and development effectiveness.
	3. Ask the participants what they think about CSO participation in these fora by saying the top word that comes to their mind.
	4. Discuss an overview of the high-level fora on aid and development effectiveness.
	5. Stimulate discussion using the suggested questions at the end of the session.
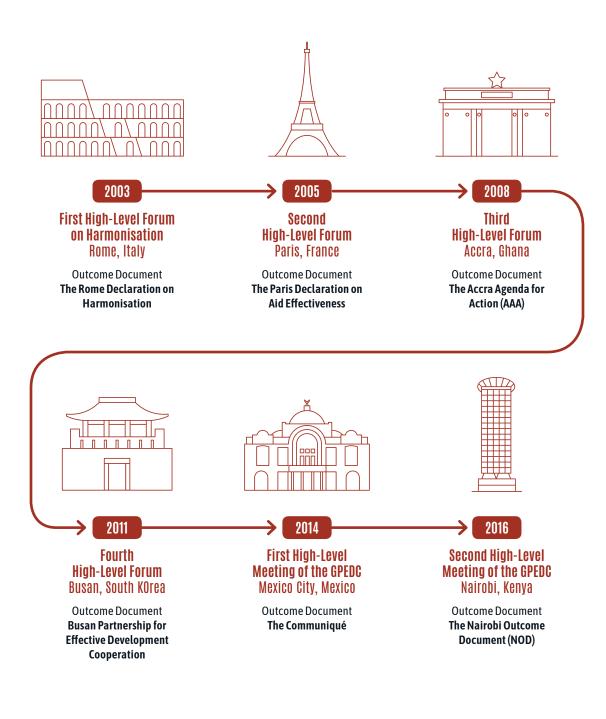
I. From Aid Effectiveness to Effective Development Cooperation

The issue of the effectiveness of aid and development cooperation has gained prominence since the signing of the Paris Declaration on Aid Effectiveness at the Paris High Level Forum II organized by the Organization for Economic Cooperation and Development (OECD) in 2005. The Paris Declaration is an unprecedented achievement for the international donor community and the partner governments, committing themselves to key principles for aid reform. Since then, the aid effectiveness agenda which started as narrowly focused on aid management and delivery has evolved to include human rights-based approaches in the succeeding processes.

The role of civil society organizations (CSOs) in transforming the agenda has been quite crucial in advancing reforms in development cooperation beyond the Paris Declaration, deepening the agenda to cover issues such as conditionality and tied aid, and developing better accountability mechanisms nationally and internationally. Below is a description of the key processes in aid and development cooperation and the principles agreed in each process.

2003

**First High-Level Forum
on Harmonisation**
Rome, Italy

Outcome Document
**The Rome Declaration on
Harmonisation**

2005

**Second
High-Level Forum**
Paris, France

Outcome Document
**The Paris Declaration on
Aid Effectiveness**

2008

**Third
High-Level Forum**
Accra, Ghana

Outcome Document
**The Accra Agenda for
Action (AAA)**

2011

**Fourth
High-Level Forum**
Busan, South KOrea

Outcome Document
**Busan Partnership for
Effective Development
Cooperation**

2014

**First High-Level
Meeting of the GPEDC**
Mexico City, Mexico

Outcome Document
The Communiqué

2016

**Second High-Level
Meeting of the GPEDC**
Nairobi, Kenya

Outcome Document
**The Nairobi Outcome
Document (NOD)**

1. First High-Level Forum on Harmonisation: Rome, Italy (2003)

Outcome Document: The Rome Declaration on Harmonisation constituted the first generation of aid effectiveness reforms adopted by the donor community. The priority actions under the Rome Declaration are:

- Development assistance be delivered based on the priorities and timing of the countries receiving it;

- Donor efforts concentrate on delegating co-operation and increasing the flexibility of staff on country programmes and projects; and

- Good practice be encouraged and monitored, backed by analytic work to help strengthen the leadership that recipient countries can take in determining their development path.

The main criticisms on the Rome HLF are:

- Declaration is narrowly focused on the technical and procedural aspects of aid, rather than the more critical problems associated with Official Development Assistance (ODA) such as policy conditionality, tied aid, and ownership.

- Forum failed to provide specific and time-bound targets for donor countries to fulfill their long-standing pledge to provide 0.7% of their gross national incomes (GNI) to ODA.

- Improving donor harmonisation actually strengthens the collective influence of donors vis-à-vis aid recipients and therefore exacerbates the power asymmetry between the two sides which has been at the root of many of the problems associated with ODA.

2. Second High-Level Forum: Paris, France (2005)

Outcome Document: The Paris Declaration on Aid Effectiveness represents second generation of aid effectiveness reforms. Its key principles are:

- Ownership: Partner countries should exercise effective leadership over their development policies and strategies, and coordinate development actions.

- Alignment: Donors should base their overall support on partner countries' national development strategies, institutions, and procedures.

- Harmonisation: Donors' actions should be more harmonised, transparent, and collectively effective.

- Managing for results: Decision-making and resource management should be improved towards a result-focused approach.

- Mutual accountability: Donors and partners should be mutually accountable for development results.

The main criticisms on the Paris HLF are:

- Real ownership includes, but cannot be limited to government leadership over development policies.

- The people and communities must have ownership over development. This means not just 'ownership', but 'democratic and local ownership'.

- It is not enough that donors link aid to countries' national development strategies; it must also be clear that recipient countries in the context of democratic and local ownership have developed these strategies independently. The 'behind-the-scenes' impact of advisers, consultants, and informal pressures from donors are key issues.

- A serious adverse effect of harmonisation is to reduce aid competition and limit the choices for recipient countries. It reinforces the position of international finance institutions (IFIs) as the principal arbiters of aid policy.

- Managing for results can only be effective when the results being targeted are poverty reduction and the promotion of human rights and gender equality. This requires consultation of local actors in evaluating results and use of gender-disaggregated information.

- The principle of mutual accountability requires the development of specific mechanisms by which aid recipients can hold donors to account. Once again, this must not be limited to recipient governments, but must also include the communities most affected by aid expenditure.

3. Third High-Level Forum: Accra, Ghana (2008)

Outcome Document: The Accra Agenda for Action (AAA) contains the following elements:

- Commits donors to broad country level policy dialogue on development, strengthen the capacity of developing country partners to manage development, and use country systems.

- Commits donors to work more closely with parliaments and local authorities, civil society organisations, research institutes, media, and the private sector.

- Referred to CSOs as "development actors in their own right."

- Reaffirms donors' pledge to increase aid while reducing aid fragmentation.

- Promises to improve accountability and transparency through better information management and alignment with country information systems.

The main criticisms on the Accra HLF are:

- While CSOs actively participated in the preparations, their proposals for time-bound commitments were ignored in the main document.

- Donors still refused to eliminate tied aid completely. They also dodged the issue of debt burdens.

4. Fourth High-Level Forum: Busan, South Korea (2011)

Outcome Document: In the Busan Partnership for Effective Development Cooperation, the aid effectiveness agenda, for the first time, was broadened to tackle development effectiveness. "Development cooperation" and "partnerships for development" are used instead of "aid". Parties refer to each other as "partners". "Aid effectiveness" gives way to "effective development cooperation" and "cooperation for effective development" refers to the new reform agenda. The Busan HLF also paved the way for the formation of the Global Partnership for Effective Development Cooperation (GPEDC), which replaces OECD-DAC's Working Party on Aid Effectiveness. GPEDC has representatives from donors, governments, civil society groups, and the private sector.

The principles agreed in Busan became the effective development cooperation (EDC) principles. These are:

- **Ownership of development priorities by developing countries.** Partnerships for development can only succeed if they are led by developing countries, implementing approaches that are tailored to country specific situations and needs. Deepening and operationalizing democratic ownership of policies is also acknowledged.

- **Focus on results.** Investments and efforts must have a lasting impact on eradicating poverty and reducing inequality, on sustainable development, and on enhancing developing countries' capacities, aligned with the priorities and policies set out by developing countries themselves.

- **Inclusive development partnerships.** Openness, trust, and mutual respect and learning lie at the core of effective partnerships in support of development goals, recognizing the different and complementary roles of all actors.

- **Mutual accountability and accountability to the intended beneficiaries** of cooperation, as well as to our respective citizens, organizations, constituents and shareholders, is critical to delivering results. Transparent practices form the basis for enhanced accountability.

The main criticisms on the Busan Partnership Document (BPd) are:

- Although BPd recognized the unfinished business of Paris and Accra, it failed to address the absence of concrete commitments and timelines.

- BPd is completely voluntary.

- No concrete commitments on how to end policy conditionality, untying aid, and unpredictability of aid.

- Promotes private sector-led growth, which fits into the neoliberal framework of sustainable development.

- The global light-country heavy mantra of BPd puts the burden of work on countries.

5. First High-Level Meeting of the GPEDC: Mexico City, Mexico (2014)

Outcome Document: The communiqué respected the commitments made in Busan. References to inclusive development, democratic country ownership, enhanced taxation and use of country systems, gender equality and women's empowerment, and the support for CSOs as independent development actors were made in the statement. Commits donors to broad country level policy dialogue on development, strengthen the capacity of developing country partners to manage development, and use country systems.

The main criticisms on the Mexico HLM and Communiqué are:

- Stronger commitments on Human-Rights Based Approaches (HRBA), gender equality standards and enabling environment frameworks (EE) for civil society are missing from the HLM outcome document.

- The HLM and the Communiqué are characterized by an unbalanced featuring of the role of the private sector, in particular, of multinational enterprises. Accountability norms on private sector investments are weak.

- Principles inherent to international cooperation, such as transparency and democratic ownership, are absent.

- Absence of a roadmap on how to deliver the post-2015 processes, lack of policy coherence between the GPEDC and the post-2015 processes.

- While reference to accountability standards in South-South Cooperation (SSC) was included last minute in the Communiqué, commitments remain on a voluntary basis and important development effectiveness principles remain side-lined.

6. Second High-Level Meeting of the GPEDC: Nairobi, Kenya (2016)

Outcome Document: The Nairobi Outcome Document (NOD) recognised that implementing previous commitments is central to moving forward with the effective development cooperation agenda. It commits to reverse the trend of shrinking and closing civic spaces and help develop the full potential of CSOs to contribute to effective development. It also advanced the role of the GPEDC in implementing existing effectiveness commitments as well as advancing the 2030 Agenda for Sustainable Development. Language on gender equality, women's empowerment, and youth's role in development is also stronger.

The main criticisms on the NOD are:

- Absence of references to democratic ownership as a shared action agreed in the Busan Partnership Document.

- Dilution of civil society's role in holding governments accountable and the lack of emphasis on the importance of each country's ownership of its own economic and social development.

- Lack of clarity of purpose i.e. eradicating poverty and reducing inequality in the use of international public finance for private sector development.

II. Challenges CSOs Face in Development Effectiveness Work

CSO advocacy and engagement played a huge role in changing the narrative of development cooperation from the "aid effectiveness" agenda to "development effectiveness" which adopted a human rights-based approach. From Rome to Nairobi, and beyond, CSOs are tirelessly working to make sure development effectiveness commitments, as agreed in Busan, are adhered to by development cooperation providers. Aside from the EDC principles, another major victory won by CSOs from their advocacy and engagement is having guaranteed seats in the highest policy-making body of GPEDC – the Steering Committee.

The role of CSOs in the context of development cooperation was first officially recognized during the 2008 Accra HLF wherein CSOs were referred to as "development actors in their own right". This means that they may formulate their own plans, priorities, and approaches and have the right to participate in decision-making on development cooperation. As independent actors, they are called on to strengthen their accountability and effectiveness guided by the Istanbul Principles and the International Framework for CSO Development Effectiveness (Siem Reap Consensus).

Siem Reap Consensus

The outcome of the Open Forum consultation process which was finalized and endorsed in June 2011 at the 2nd Global Assembly of the Open Forum in Siem Reap, Cambodia;

- The first ever statement from civil society on the effectiveness of CSO work in development;
- Legitimate long-term reference for CSOs worldwide as the basis for improving the effectiveness and quality of CSO development work at national, regional, and international levels; and
- Includes the eight (8) Istanbul Principles for CSO Development Effectiveness and the minimum criteria for enabling government and donor policies and practices.

Istanbul Principles for CSO Development Effectiveness

The outcome of the Open Forum for CSO Development Effectiveness Assembly in Istanbul on September 28-30, 2010 which serves as a guide to CSOs in their development work. The principles include:

- Respect and promote human rights and social justice
- Embody gender equality and equity while promoting women and girls' rights
- Focus on people's empowerment, democratic ownership and participation
- Promote environmental sustainability
- Practice transparency and accountability
- Pursue equitable partnerships and solidarity
- Create and share knowledge and commit to mutual learning
- Commit to realizing positive sustainable change

Source: **https://csopartnership.org/resource/istanbul-principles-for-cso-development-effectiveness/**

CSOs now have the mandate to participate in development cooperation programs from design, implementation, and monitoring and evaluation. The BPd provides space for CSOs to engage with donors and governments to push for pro-poor agenda in development cooperation via several platforms and partnerships. According to the BPd[1]:

> "Civil society organizations (CSOs) play a vital role in enabling people to claim their rights, in promoting rights-based approaches, in shaping development policies and partnerships, and in overseeing their implementation. They also provide services in areas that are complementary to those provided by states. Recognising this, we will:
>
> a. Implement fully our respective commitments to enable CSOs to exercise their roles as independent development actors, with a particular focus on an enabling environment, consistent with agreed international rights, that maximizes the contributions of CSOs to development.
>
> b. Encourage CSOs to implement practices that strengthen their accountability and their contribution to development effectiveness, guided by the Istanbul Principles and the International Framework for CSO Development Effectiveness."

Despite the advances made in improving CSO engagement and participation in the development effectiveness agenda, a lot of challenges on CSO enabling environment still persist. CSOs lament the emergence of two harmful trends in effective development cooperation: the corporate capture of development and shrinking and closing civic spaces. The role of big businesses – multinational and transnational corporations and international finance institutions (MNCs, TNCs, and IFIs) – in the conceptualisation and implementation of development initiatives has been growing. Most often, these corporate-led initiatives pursue profit at the expense of communities' interests, as well as the planet's.

According to CPDE's report[2] for the 3rd monitoring round of the commitments made by stakeholders at the GPEDC, in many countries, government consultations with CSOs regarding development policies remain only occasional and even non-existent. In countries where government consultations do occur, CSOs lament that the quality is not sufficient in terms of timeliness, transparency, and regularity. Multi-stakeholder dialogues also suffer from the same problems of lack of institutionalized regularity and limited CSO engagement, which are often structured only to endorse existing government priorities.

Meanwhile, attacks on members of the civil society which come in overt and covert forms are increasing, all intended to discourage the people from asserting their rights. Repressive measures range from burdensome transparency and accountability requirements, to cases of harassment, arrests, and murder. More than 900 human rights defenders have been murdered since 2016. Atleast 182 of these murders occurred in 2017 and 2018.

The lack of space and opportunity for civil society to participate in development effectiveness-related processes, adverse political contexts, and attacks against CSOs constrain CSO work on development effectiveness. Additional factors such as the lack of transparency in accessing aid information, and the lack of accountability in the negotiation, design, implementation and monitoring of aid programs and projects not only hinder CSOs' advocacy for development effectiveness, but also reinforce lack of enabling environment for CSOs to function as independent development actors.

Aside from external factors, internal factors such as CSOs' limited capacity in understanding of specific policy processes, institutions and actors; weak capacity for doing research; and inadequate strategies in advocacy and policy engagement also need to be addressed.

Discussion Questions

1. What do you think are the most important achievements that CSOs gained in these high-level fora?

2. What still needs to be fought for?

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[1] Busan Partnership for Effective Development Cooperation, paragraph 22. https://www.oecd.org/dac/effectiveness/49650173.pdf

[2] Civil society reflections on progress in Achieving development effectiveness: Inclusion, accountability and transparency. https://c419de57-e749-4591-9016-5feb763746da.filesusr.com/ugd/9f29ee_44f4e59a973f47fb920f6ce8d66cba08.pdf

Session 1.2.
Understanding the Aid and Development Cooperation Architecture

Learning Outcomes	At the end of the session, the participants:
	1. Are familiar with the technical and procedural aspects of aid and development cooperation.
	2. Can identify types of aid flows and the major development actors within the aid system.
Materials	• PowerPoint presentation and/or flipcharts
	• LCD projector
	• Markers
Process	1. Explain the learning outcomes of the session.
	2. Discuss the technical and procedural aspects of aid and development cooperation and South-South Cooperation.

I. Technical and Procedural Aspects of Aid and Development Cooperation

Aid system or aid architecture refers to how development stakeholders (donor governments, recipient countries, multilateral and international finance institutions, private sector, and civil society) manage, monitor, and assess official development assistance (ODA).
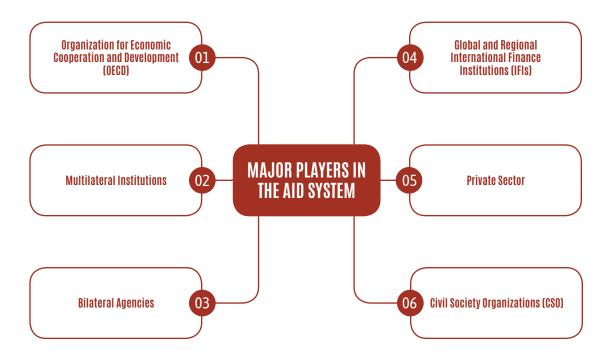
Although system and architecture imply that a well-organized structure is in place to coordinate development cooperation policies and actions, the truth is that the "aid architecture" is quite fragmented as donors decide individually on their priorities which are often driven by their foreign policy objectives or their historical relationship, among others, and do not necessarily align with the recipient countries' priorities or with sustainable development objectives.

This maintains the underlying power asymmetries existing between aid providers and recipient countries.. The same powerful donor countries lead the various multilateral bodies that continue to dominate the aid system, such as the Organization of Economic Cooperation and Development (OECD).

The fragmentation and complexity of the current aid architecture reinforce the policy incoherence among different global institutions, each one with its own mandate, membership, and policy space. For example, the UN system is composed of various UN treaty bodies and specialized agencies, including the World Bank and IMF[3]. It also has institutionalized blocs of member-states, or intergovernmental organizations, such as the Group of 77 and regional formations; and non-UN institutionalized blocs of states such as the G-8, G-20, and the OECD.

Efforts to address aid fragmentation, along with other issues in development cooperation, have been taken up in multilateral meetings on aid effectiveness (see Session 1.1). In the post-Busan context, the overarching aid architecture is represented by the Global Partnership for Effective Development Cooperation (GPEDC). It is a multi-stakeholder platform that aims to advance the effectiveness of development efforts by all actors, and contribute to the achievement of the Sustainable Development Goals (SDGs). As a forum for advice, shared accountability, and shared learning and experiences, GPEDC strives to promote the internationally-agreed principles that form the foundation of effective development cooperation: country ownership, focus on results, inclusive development partnerships, and transparency and mutual accountability.

A. Major Players in the Aid System

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01  Organization for Economic
    Cooperation and Development
    (OECD)

02  Multilateral Institutions

03  Bilateral Agencies

        MAJOR PLAYERS IN
        THE AID SYSTEM

04  Global and Regional
    International Finance
    Institutions (IFIs)

05  Private Sector

06  Civil Society Organizations (CSO)
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[3] IBON Primer on Aid and Development Effectiveness: At a Crossroads at Busan?. 2011. https://iboninternational.org/download/primer-on-aid-and-development-effectiveness-at-a-crossroads-at-busan/

01

Organization for Economic Cooperation and Development (OECD) – Development Assistance Committee (DAC) is the forum of donor countries that discuss aid and development effectiveness issues. Currently, DAC is composed of 29 OECD member states. Formerly known as the Development Assistance Group, the DAC was created by the OECD Ministerial Resolution of 23 July 1960. Its current mandate (as of 2018-2022) is broadly to support the implementation of the Agenda 2030 through development cooperation.

Aside from working with member countries in monitoring development assistance, setting standards in development cooperation, and conducting peer reviews, the DAC also engages countries beyond the DAC membership that provide development cooperation, developing countries, international organizations, private sector, private philanthropy, and CSOs in order to achieve its mandate.

In particular with CSOs, the DAC documents and analyzes the way in which governments work with and through CSOs, facilitate the opening up of the DAC to the scrutiny of civil society (notably through the DAC-CSO Reference Group), and set norms and standards for donor support to CSOs. A DAC-CSO dialogue is held once or twice a year that offers CSOs a space to engage with and influence the DAC as well as for the DAC to leverage CSO knowledge, capabilities, and their role as advocates for fighting poverty and promoting gender equality, inclusion and sustainable development.

02

Multilateral Institutions are funded by several governments. There are more than 200 multilateral aid agencies which include the United Nations system agencies and the European Commission.

a. **The United Nations Sustainable Development Group (formerly UN Development Group)** includes funds, programs, and specialized bodies through which the UN addresses particular humanitarian and sustainable development concerns. Each of these entities have their own mandates, work programs, budgets, and civil society engagement mechanisms and processes. These entities include the following:

- UN Development Program
- UN Capital Development Fund (affiliated with UNDP)
- UN Children's Fund
- World Food Program
- UN Environment
- UN Women
- UN High Commissioner for Refugees
- UN Program on AIDS
- UN Population Fund
- UN Human Settlements Program
- World Health Organization
- Food and Agriculture Organization
- International Fund for Agricultural Development
- International Labor Organization

b. **The European Commission** has become one of the largest aid providers. Its funds come from the 27 member states of the European Union. The EC's aid program and objectives are based on the European Consensus on Development which is periodically updated to define the EU's shared vision and action framework for development cooperation.

03

Bilateral Agencies are responsible to a single government and are often part of a government ministry, such as ministries of foreign affairs. Aid provided bilaterally can be tied or untied, and what gets funded is usually influenced by the provider's priorities. If aid is tied, the recipient must purchase the required goods and services from the aid provider. Some of the bilateral aid agencies are:

- Agence Française de Développement (AFD)

- Global Affairs Canada (GAC)

- Danish International Development Agency (Danida)

- Japan International Cooperation Agency (JICA)

- Netherlands Development Cooperation (NDC)

- Norwegian Agency for Development Cooperation (Norad)

- Swiss Agency for Development and Cooperation (SDC)

- Swedish International Development Cooperation Agency (Sida)

- United States Agency for International Development (USAID)

- Millennium Challenge Corporation (MCC)

04

Global and Regional International Finance Institutions (IFIs) provide development assistance to developing countries. A significant portion of this assistance is sourced from contributions, including leveraging ODA, of both DAC members and non-DAC members.

a. **International Monetary Fund and World Bank (IMF-WB)** are institutions created in Bretton Woods, New Hampshire, United States in July 1944 (thus, the famous "Bretton Woods Institutions") to establish a global framework for economic cooperation during the post-World War II recovery period.

Both institutions work complementarily. While the WB works towards long-term economic development and poverty reduction through technical and financial support, the IMF focuses on international monetary cooperation and provides policy advice and capacity development.

Compared to WB loans, the IMF provides short to medium term loans and helps countries design policy programs to solve problems on balance of payments. This happens when sufficient financing cannot be obtained to meet net international payments.

Both institutions have been heavily criticized in their roles in sinking developing countries deep in debt, as well as in their facilitation of the privatization of public services such as healthcare, education, utilities, and transportation as conditionalities in exchange for the non-concessional loans they grant.

b. **Asian Development Bank (ADB)** is a regional development bank established in 1966 that assists its members by providing loans, technical assistance, grants, and equity investments to promote social and economic development. It has a membership of 68 countries which includes the United States and a handful of European countries. Like the IMF-WB, the ADB has also been heavily criticized for their policy proposals that encourage privatization of basic social

services and for the negative impacts of their infrastructure projects such as dams and roads that have undermined affected communities' human rights and access to resources.

c. **Asian Infrastructure Investment Bank (AIIB)** is a new financial institution established in 2015 to support the building of infrastructure in the region. The China-led bank currently has 102 members and similar to the ADB, it has non-Asian members, but with the notable absence of the United States and Japan. The bank is one of the financing arms of China's Belt and Road Initiative (BRI) which aims to build infrastructure to connect Asian and European countries with each other. Although it promised highest possible standards in transparency and accountability, and investing in clean projects, the bank still faces criticisms on its transparency and accountability practices as well as its projects on fossil fuel and mega hydro dams.

d. **New Development Bank (NDB)** is another new development bank that was established in 2014. It was formerly known as the BRICS Development Bank as it was established by the five emerging national economic grouping composed of Brazil, Russia, India, China, and South Africa. The NDB aims to strengthen cooperation among BRICS and to supplement the efforts of multilateral and regional financial institutions for global development through supporting public or private projects via loans, guarantees, equity participation, and other financial instruments.

05

The role of the **private sector (PS)**, particularly the business sector, in development work has been increasingly promoted. In the Busan Partnership Document (BPd) and Nairobi Outcome Document, the role of the private sector is recognized in advancing innovation, creating wealth, income, and jobs, and mobilizing domestic resources which in turn contribute to poverty reduction under a growth-based model of development. However, the contributions of small businesses and cooperatives to development have yet to be recognized.

06

Civil Society Organizations (CSOs) are independent development actors in their own right, following the EDC Principles agreed in the Fourth High-Level Forum in Busan. CSOs are also crucial in the 1) area of aid management where CSOs act as important watchdogs and 2) area of aid delivery where CSOs ensure the empowerment and participation of the poor in development. Broadly defined to refer to all non-profit and non-state organizations, CSOs also include farmers' associations, grassroots and peoples' organizations, independent research institutes, and labor unions.

Some Forms of Development Assistance Provided by Aid Agencies

- **Grants** – transfers made in cash, goods or services for which no repayment is required

- **Loans** – transfers for which repayment is required
    - Concessional Loans – have interest rate lower than prevailing market rates and/ or longer grace periods
    - Non-concessional Loans – provided with a market-based interest rate

- **Blended Finance** – use of development funds to attract private investment

- **Technical Assistance** – non-financial assistance in the form of sharing information and expertise, instruction, skills training, transmission of working knowledge, and consulting services

Some Modalities of Donors' Engagement with the Private Sector and Civil Society

Private Sector	Civil Society
International Finance Institutions blend together ODA, loans, and investment guarantees with private resources from the corporate and financial sector. Examples include World Bank's International Finance Corporation (IFC) and the Belgium Investment Company for Developing Countries (BIO).	**Grants** funding for a) short-term projects or b) core funding to support CSOs
Partnering and supporting private sector development includes direct and indirect programs supporting private sector development (PSD) and public-private partnerships (PPPs). An example is USAID's Global Development Alliance, a market-based business model for US aid-supported programs such as those for smallholder farmers. There has yet to be a thorough inquiry on how such business models for development actually help poor stakeholders. Moreover, because of profit-seeking motives, enlarging the role of the private sector in development has been criticized as to pave the way towards the privatization of development itself.	**Dialogue through civil society engagement mechanisms** donor platforms and fora often have mechanisms to engage civil society on policies regarding funding priorities, standards, accountability, etc. (ex. WB, IMF, ADB, GPEDC, Task Team on CSO Development Effectiveness). Each of these platforms has different modalities of participation, as well as different levels of openness, transparency, and inclusiveness.

B.   Tracking Aid Flows

What is Official Development Assistance or Aid?

Official Development Assistance (ODA) or simply known as "aid" is defined by the OECD Development Assistance Committee (DAC) as government aid that promotes and specifically targets the economic development and welfare of developing countries.

These "flows" are (1) provided by official agencies, including state and local governments, or by their executive agencies; and (2) concessional (i.e. grants and soft loans) and administered with the promotion of the economic development and welfare of developing countries as the main objective[4]. DAC has a list of ODA-eligible countries based on per capita income and is updated every three years.

According to the DAC, military aid and promotion of donor's security interests, and transactions that have primarily commercial objectives (e.g. export credits) cannot be classified as ODA.

Types of ODA Flows

*   **Bilateral Aid** – assistance given by a donor government directly to a developing country government usually referred to as recipient or partner country/government. Bilateral aid is usually the largest share of a donor country's ODA. It is often directed by strategic political and economic considerations.

*   **Multilateral Aid** – assistance provided by governments to multilateral organizations like the United Nations and international finance institutions such as the IMF-WB and ADB, which in turn engage in development programs in target developing countries.

[4] OECD. (2019, April). Official Development Assistance. Retrieved from https://www.oecd.org/dac/stats/What-is-ODA.pdf

In 2018, bilateral aid composed 71% of the net ODA of all DAC countries, while multilateral aid was 29%. Discussions on whether donor countries should allocate more of their ODA to either bilateral or multilateral channels compare channels on their susceptibility to politicization, their targeting of development priorities and coordination of resources for these priorities, fragmentation, and efficiency. While there are evidence to claims such as one channel is more politicized and more fragmented than the other, the real issue is whether donors adhere to effective development cooperation in giving aid to whichever channel.

ODA flows from bilateral and multilateral sources can take the form of:

- **Grants** – financial resources provided to developing countries free of interest and with no provision for repayment
- **Soft Loans** – financial resources provided have to be repaid with interest, albeit at a significantly lower rate than if developing countries borrowed from commercial banks; also known as concessional loans

How is ODA recorded?

The DAC currently uses the **grant equivalent** to record ODA. Previously, ODA flows were reported using the **cash flow basis** wherein grants and loans were not differentiated. **Net ODA** is reflected when payments are made and deducted from the full amount to the loan. This method was used by the DAC until 2018.

The **grant equivalent**, on the other hand, only records the grant element of the ODA. This eliminates the need to record the repayment of the loan and for distinguishing between gross and net ODA.

For loans, the minimum grant-element required is based on the income group of the borrowing country[5]:

- 45% for the groups of low-income countries and least-developed countries
- 15% for lower middle-income countries
- 10% for upper middle-income countries

However, questions on the rules regarding calculating the grant element of debt relief and private sector instruments still remain, and thus, are still reported on a cash flow basis.

Since data using the cash flow and grant equivalent methods are not comparable, DAC publishes data for both.

TOSSD or Total Official Support for Sustainable Development is a measurement being developed (as of 2020) to measure development assistance provided towards achieving the SDGs. It is envisioned to include the resources provided through South-South Cooperation (SSC), Triangular Cooperation (TrC), multilateral institutions, and emerging and traditional donors.

[5] Garret, M., &Zühr, R. (2019, July). The OECD's new way of counting ODA loans - what's the impact? Retrieved from https://donortracker.org/sites/default/files/insight_pdfs/June2019_DT_Insights_GrantEquivalent_0.pdf

How donors inflate their ODA

Below are some of the ways how reporting of ODA can be inflated:

- OECD reporting arrangements allow donors to report the entire stock of debt reduction as aid in the year it is written off, thus raising the real value of debt relief since the real financial savings to the recipient country come in the form of reduced debt servicing. The grant equivalent method of reporting also run the risk of double counting and inflating actual ODA since the risk of default is already included in the discount rates used to determine what is reported as ODA.

- Tied aid is aid is offered on the condition that goods and services be procured from donor countries. According to the Least Developed Countries Report 2019, "ODA modalities increasingly favour tied aid; averaging 15% of DAC donor total bilateral commitments between 2016 and 2017. Certain donors report up to 40% of their aid as tied, and with up to 65% of contracts commonly awarded to companies in the donor country, the practice of 'informally' tying aid is widespread."[6] Meanwhile, blended finance and ODA-backed private sector support which strengthens the commercial interests of donor countries may also revamp tied aid.

- In addition, donors are also permitted to count as ODA support for refugees for their first year in a donor country and to impute a value on education provided to students from developing countries studying in donor countries.

Aid Channels by Thematic Sectors

There are numerous thematic sectors that donors allocate their ODA to. These can include health, agriculture and food security, gender, local governance and civic participation, peace and security, climate change and environmental protection, economic development, etc. As mentioned earlier, the amount each donor allocates to each theme is determined by both its priorities set at the national level, which can be influenced by international agreements such as the implementation of the Paris Agreement and the Agenda 2030 for Sustainable Development.

Currently, the OECD-DAC has eight (8) major sectors which are further divided into several sub-sectors:

01 Social Infrastructure & Services

    a. Education

    b. Health

    c. Population Policies/Programmes & Reproductive Health

    d. Water Supply & Sanitation

    e. Government & Civil Society

    f. Government & Civil Society (general)

    g. Conflict, Peace & Security

    h. Other Social Infrastructure & Services

02 Economic Infrastructure & Services

    a. Transport & Storage

    b. Communications

    c. Energy

    d. Banking & Financial Services

    e. Business & Other Services

03 Production Sectors

    a. Agriculture, Forestry, Fishing

    b. Industry, Mining, Construction

    c. Trade Policies & Regulations

    d. Tourism

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[6] The Least Developed Countries Report 2019: The present and future of external development finance – old dependence, new challenges. Retrieved from https://unctad.org/en/pages/PressRelease.aspx?OriginalVersionID=538

04   Multi-Sector/Cross-Cutting

General Environment Protection

Other Multisector

05   Commodity Aid/General Programme Assistance

a.   General Budget Support

b.   Development Food Assistance

c.   Other Commodity Assistance

06   Action Relating to Debt (debt forgiveness, rescheduling, refinancing, etc.)

07   Humanitarian Aid

a.   Emergency Response

b.   Reconstruction Relief & Rehabilitation

c.   Disaster Prevention & Preparedness

08   Unallocated/Unspecified

Aid for Trade

Aid for Trade (AfT) has become the catchphrase for aid that is used to foster and promote trade and liberalization.

More than USD 30 billion in Official Development Assistance (ODA) or 30% of total ODA is allocated every year to AfT[7]. From 2006 to 2017, AfT disbursements reached USD 410 billion, of which USD 154.9 billion went to Asia, while USD 146.2 billion went to Africa. While trade might be necessary to sustain industrial growth and can generate benefits for developing countries, liberalizing trade does not automatically result in development. In many cases, aid-funded programs on trade liberalization have even resulted in recipient countries being tied to new conditionalities under World Trade Organization's (WTO) rules.
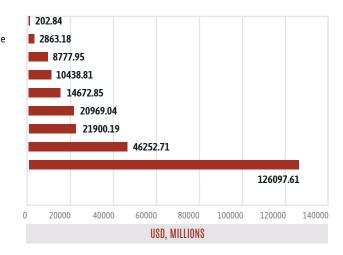
ODA BY SECTOR IN 2018

USD Millions

OECD SECTORS	USD, MILLIONS
Action Relating to Debt	202.84
Commodity Aid/General Programme Assistance	2863.18
Production Sectors	8777.95
Multi-Sector/Cross-Cutting	10438.81
Humanitarian Aid	14672.85
Unallocated/Unspecified	20969.04
Economic Infrastructure & Services	21900.19
Social Infrastructure & Services	46252.71
Total	126097.61
Sector	

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[7] UNIDO. (2019). Aid for Trade Global Review 2019: "Supporting Economic Diversification and Empowerment. https://www.unido.org/events/aid-trade-global-review-2019-supporting-economic-diversification-and-empowerment

[8] OECD & WTO. (2019). Aid for Trade at a Glance 2019 Economic Diversification and Empowerment. https://www.oecd-ilibrary.org/development/aid-for-trade-at-a-glance-2019_18ea27d8-en

C. South-South Cooperation and South-South Development Cooperation

South-South Cooperation (SSC) is defined by the UN as a "broad framework of collaboration among countries of the South in the political, economic, social, cultural, environmental and technical domains." It is as initiated, organized, and led by the developing countries themselves with the governments most often playing the lead role but which should also involve other development actors such as CSOs, individuals, and private and public institutions. It often involves cooperative exchanges of knowledge, skills, resources, and technical know-how.
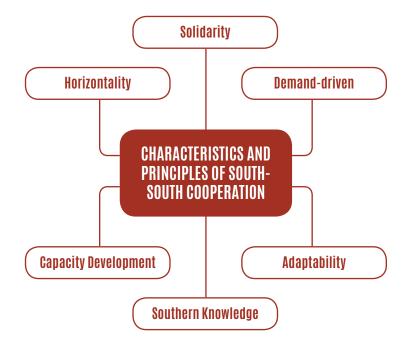
The roots of SSC can be traced back to the common struggles of former colonies for genuine independence and development after World War II in the 1950s. The Bandung Conference in 1955 gathered 29 countries from Asia and Africa to promote economic and cultural cooperation between countries of the two continents "on the basis of mutual interest and respect for national sovereignty." This was an important step as a pioneering South-South conference that paved the way for the rise of the Non-Aligned Movement (NAM) in 1961 and the Group of 77 in1964.

Since then, South-South Cooperation has been practiced in numerous ways, ranging from economic integration, the formation of negotiating blocs within multilateral institutions, military alliances, to cultural exchanges. It has included humanitarian assistance and technical cooperation as well as the provision of concessional financing for development projects, programs, budget support, and strengthening balance of payments. Cooperative relationships have been at the level of governments and their agencies and between private enterprises or civil society organisations. All these efforts have made important contributions to strengthening the conditions for social and economic development in the cooperating countries.

SSC has distinct characteristics compared to the traditional North-South development assistance which is rooted in the existing gaps in the economic and political power among Northern and Southern countries, which was brought about not only by differences in domestic development policies and processes but also due to the global history of colonialism and neo-colonialism. ODA is the transfer of resources to supplement needs for development and to achieve human rights and development goals. This is the fundamental basis for ODA. In this context, SSC cannot be equated to ODA nor is it a substitute to the waning development commitments of Northern countries.

Note to Instructor:

Provide examples of CSOs working on this area, such as the Southern CSO Alliance on South-South Cooperation and CPDE Working Group on South-South Cooperation.

Solidarity

Horizontality

Demand-driven

CHARACTERISTICS AND PRINCIPLES OF SOUTH-SOUTH COOPERATION

Capacity Development

Adaptability

Southern Knowledge

Characteristics and Principles of South-South Cooperation

Apart from the difference in historical origins, there are established characteristics and principles that set SSC apart from traditional ODA. These are: solidarity, horizontality, demand-drivenness, capacity development, southern knowledge, and adaptability.

Solidarity

The beginning of SSC can be traced to the principle of solidarity among Southern countries. This came in the context of a shared history of colonialism and oppression and the growing disillusionment in North-South relations. Whereas traditional ODA has been used for political and economic means, SSC differs in that it is founded on shared development goals.

Horizontality

The partnerships of countries engaged in SSC are characterized as horizontal and deviating away from the traditional donor-client relationship. This means that Southern countries involved are not in unbalanced relations of power but rather are negotiating as equals that mutually seek to engage in development cooperation.

Demand-driven

This approach differs from traditional ODA in the manner in which the beneficiary country seeks for development assistance. Rather than aid stemming from the supply or the foreign policy and interests of the donor, it derives from the specific demands of Southern countries wanting to receive development assistance. This approach ensures ownership given that development assistance will be aligned to the country's set strategic priorities.

Capacity Development

This is a significant part of SSC that differentiates itself with North-South ODA. Capacity development strategies are lauded as novel and effective form of finding solutions to the development problems faced in the Global South. These strategies strengthen their self-reliance by improving or reforming their institutions and training government personnel to suit the particular needs of their society.

Southern Knowledge

SSC exchanges and transfers feature knowledge and experiences of the Global South. This is a contrast to traditional ODA which uses knowledge derived from models of development created in the context of the Global North. SSC promotes mutual learning and provides new perspectives which are suited to countries that are not yet industrialized and still rely heavily on extractive or agricultural models of production.

Adaptability

Due to the similarities of some Southern countries in terms of economy, demographics, and society, SSC partnerships have high degree of adaptability. Technical cooperation or knowledge-sharing among Southern nations often produce innovative ways of addressing development issues with limited resources which can be put into practice in other countries (Partners in Population and Development).

Source: Primer on South-South Cooperation, IBON International (2015)

Not all SSC are towards development cooperation. South-South Development Cooperation (SSDC) is an expression of solidarity among peoples and countries of the South, and one that contributes to each country's national well-being, self-reliance and capacity to achieve development goals; a common endeavor of peoples and countries of the South, born out of shared experiences and sympathies, based on common objectives.[9] There is mutual respect among these countries, and they recognize the specific and comparative advantages of each stakeholder in their ability to shape the development agenda.

While SSDC was clearly borne out of the need for solidarity among developing Southern nations and cooperation based on mutual respect, there still appears to be limitations and pitfalls in implementing these initiatives. In particular, governments and other participants in SSDC need to express a deeper commitment to social justice, gender equality, environmental sustainability and human rights, as well as a commitment to actively involve and engage all stakeholders in development.

D. Tracking SSDC

Today, examples of SSDC include the political, economic, and technical cooperation initiated by developing country groupings such as the Association of South East Asian Nations (ASEAN), Bolivarian Alliance for the Peoples of Our America (ALBA), the Brazil-Russia-India-China-South Africa group (BRICS), and the Group of 77 which was established during the 1964 United Nations Conference on Trade and Development (UNCTAD).

While traditional modalities are still being used, SSC contributed to the diversification of the types of development cooperation which facilitated innovative ways wherein Southern countries can cooperate to achieve their shared interests and goals through their own knowledge and expertise. These include capacity development using non-monetary skills and knowledge transfer.

1. **Technical Cooperation among Developing Countries (TCDC)** in the areas such as public health and education. TCDC transfer skills and knowledge for countries with limited financial resources. This involves capacity development, consultancies, workshops and training, exchange programs, and knowledge-sharing in various sectors and fields of interest. Some of the well-known TCDC are:

   • **Brazilian Cooperation Agency (ABC)** – the most active Southern institution that focuses their resources primarily on the provision of technical assistance for development to other Southern countries

   • **Indian Technical and Economic Cooperation (ITEC)** – provides scholarships for courses, trainings, disaster relief aid, services of Indian experts, and carries out feasibility studies or consulting services for project or program-related activities

   • **Cuba's Technical Cooperation in Health** – includes a variety of cooperation activities. The most common method is contracting Cuban medical professionals to work in countries that suffer shortages in health care delivery.

   • **Grand National Programs (GNPs) Literacy and Post-Literacy and ALBA-Education in 2008** – part of the different programs in the regional institution, ALBA. Through these programs, three (3) ALBA country members, Nicaragua, Ecuador, and Bolivia have been declared illiteracy-free. Meanwhile, through ALBA-Education, a resolution has been passed to set up the University of the Peoples of ALBA (UNIALBA), which is set to transform 29 state universities into a network of national territorial universities with a common primary and secondary education curriculum.

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[9] Reality of Aid Network & CSO Partnership for Development Effectiveness. (2019, November). A human rights-based approach to south-south development cooperation: Proposed framework. Retrieved from https://realityofaid.org/wp-content/uploads/2020/01/Towards-Measuring-South-South-Development-Cooperation-Nov2019-final-copy-for-web-upload.pdf

The Buenos Aires Plan of Action (BAPA) for Promoting and Implementing Technical Cooperation among Developing Countries

In 1978, representatives from 138 countries adopted the Plan of Action for Promoting and Implementing Technical Cooperation among Developing Countries (TCDC) during the United Nations Conference on TCDC in Buenos Aires, Argentina. Known as the Buenos Aires Plan of Action (BAPA), it set out the objectives of SSC on TCDC. These are to:

- foster the self-reliance of developing countries by enhancing their creative capacity to find solutions to their development problems in keeping with their own aspirations, values and specific needs;

- promote and strengthen collective self-reliance among developing countries through the exchange of experiences; the pooling, sharing and use of their technical and other resources; and the development of their complementary capacities;

- strengthen the capacity of developing countries to identify and analyse together their main development issues and formulate the requisite strategies to address them;

- increase the quantity and enhance the quality of international development cooperation through the pooling of capacities to improve the effectiveness of the resources devoted to such cooperation;

- create and strengthen existing technological capacities in the developing countries in order to improve the effectiveness with which such capacities are used and to improve the capacity of developing countries to absorb and adapt technology and skills to meet their specific developmental needs;

- increase and improve communications among developing countries, leading to a greater awareness of common problems and wider access to available knowledge and experience as well as the creation of new knowledge in tackling development problems;

- recognize and respond to the problems and requirements of the least developed countries, landlocked developing countries, small island developing states and countries most seriously affected by, for example, natural disasters and other crises; and

- enable developing countries to achieve a greater degree of participation in international economic activities and to expand international cooperation for development.

Source: United Nations Office for South-South Cooperation

2. **Development financing** through BRICS development banks which include the Exim Bank of China and the Exim Bank of India. Like traditional ODA, development financing in SSC is also heavily influenced by donor priorities, such as China's growing need for energy and new markets for its investments.

3. **Knowledge-sharing** is seen as an important development tool for Southern countries. These efforts for mutual learning provide potential benefits for governments and civil society organizations in utilizing their own development experiences and adapting it to their social and cultural context. This departs from the old notion of a "one size fits all" strategy to development which imposes the use of development strategies that were taken from

the experience of Northern countries, often in stark contrast to the realities of the Global South where financing, infrastructure, and technology are limited. Examples are:

- **High-Level Meeting "Towards Country-Led Knowledge Hubs" in Bali in 2012** –policymakers from 46 countries expressed the aim of furthering the building of knowledge hubs. This meeting reflected the growing international interest in knowledge-sharing as a development tool that can complement and even be a vital component of other development modalities such as finance and technical cooperation in the aim to address poverty and promote sustainable development.

- **South Asia Regional Knowledge Platform** – created in 2004 with the aim to promote knowledge systems and collaborative actions within South Asia to ensure the poor's access to sustainable housing and livelihood. The platform facilitates dialogues among important actors, promotes collaboration and knowledge exchange among livelihood and housing agencies in the region, and provides expertise and know-how on institutional strengthening, capacity development, technology and financing for sustainable livelihood and housing.

4. **Triangular Cooperation.** There is no agreed definition of triangular cooperation but it generally involves two or more developing country partners collaborating with a developed country or international organization in transfers of expertise and resources. The UN Office for South-South Cooperation meanwhile defines it as "collaboration in which traditional donor countries and multilateral organizations facilitate South-South initiatives through the provision of funding, training, management and technological systems as well as other forms of support." Examples are:

- Partnership on safe motherhood in Lao People's Democratic Republic (PDR) and Bhutan with Thailand and the UN Population Fund

- Strengthening of a fisheries cooperation in Timor Leste with Malaysia and the German Federal Ministry for Economic Cooperation and Development (BMZ)

- Training courses on agriculture for the Greater Mekong Subregion (GMS) countries with Thailand and New Zealand

- Feed The Future India Triangular Training (FTF ITT), a collaborative program of United States of America and India, aims to build the capacity of public and private functionaries in agriculture and allied sectors of 17 partner Asian and African countries

Measuring SSDC

As of this writing, there is no single agreed framework and method used to measure SSDC flows. Methods used to measure ODA cannot be used to measure SSDC because of their differences. For example, monetizing contributions such as those made in kind or through technical cooperation can lead to lower figures (as compared to North-South ODA) since the costs of goods and services in developing countries are generally much lower. In the case of technical cooperation, experts employed in South-South technical cooperation are often civil servants that is why is it is difficult to equate the monetary value of their work to those of private consultants especially at the international level. Furthermore, those who oppose monetization say that this leads to an underestimation of contributions and it does not reflect the spirit of solidarity between the countries.[10]

Other challenges being encountered in monitoring and measuring SSDC is the lack of inclusive accountability mechanisms in the monitoring processes, and the lack of a single, common forum or institution with a mandate to facilitate policy discussions, guidance, and agreements among countries on SSDC similar to the OECD DAC for North-South Cooperation.

Nevertheless, efforts to monitor SSDC are being made by Southern governments and intergovernmental institutions as well as CSOs.

[10] Di Ciommo, M. (2017). Approaches to measuring and monitoring South–South cooperation. Retrieved from http://devinit.org/wp-content/uploads/2017/02/Approaches-to-measuring-and-monitoring-South%E2%80%93South-cooperation.pdf

According to Reality of Aid, frameworks that seek to monitor SSDC must follow a human rights-based approach (HRBA). This means that measuring SSDC must take into account how SSDC "brings about improvements in people's lives as well as changes in ownership, accountability and sustainability in the cooperation... [and] address issues of citizens' access to basic resources and services, such as education, justice, health and water."

An HRBA approach also means "reviewing minimum standards used for shaping analyses, identifying development priorities and objectives, implementing strategies as well as monitoring impact. Fundamentally, therefore, the end result must empower and protect the rights of the marginalized groups, women, youth, indigenous groups and persons of disabilities."

Actual practice in measuring SSDC is being done at country levels by providers such as Brazil, China, Qatar, Turkey and the United Arab Emirates which publish reports on their development cooperation activities. Regional level monitoring is also done by Latin American organizations such as the Ibero-American General Secretariat (SEGIB).

Reports contain both qualitative and quantitative information on the development cooperation initiatives extended by countries, including financial information where applicable.

In the context of the SEGIB report in 2017[11] for example, it reported not only the costs of the projects and their distribution according to sectoral themes, but also other information that aim to reflect the impacts of SSDC as well as the "solidarity" between the countries. This includes the distribution of projects by received and provided by each country (Southern countries can be both recipients and providers), contributions towards the achievement of the SDGs, and also attempts to measure the percentage and financial costs of the burden sharing between providers and recipients.

Frameworks for Measuring SSDC

The Reality of Aid proposed that any attempts to measure SSDC must be based on a framework that upholds the principles of a human rights-based approach. These principles are:

Democratic Ownership

- The extent to which there is alignment with democratically determined country priorities and strategies including priority SDGs.

- The extent to which political and administrative procedures follow clear and publicly known rules, that decisions by government agencies are comprehensible, and that information on issues of public concern is publicly available and accessible and debated.

- The extent to which there is a good understanding and availability of necessary conditions, environment and space for meaningful and broad structured stakeholder participation in relevant processes at micro, meso and macro level with regard to policy formulation, projects and program design, implementation and evaluation

  - The extent to which development projects and programmes reach out to and work with a diverse set of local partner organizations, including advocacy CSOs, community-based organizations, national or local parliaments, trade unions, national human rights institutions, ombudspersons, and the media

- The extent to which the provider supports structures, institutions, policies, and legal frameworks that sustainably widen spaces for broad and meaningful participation and democratic ownership engagement in the partner country;

- The extent to which projects or programs integrates the development of the skills of individuals and groups (capacity-building) so that they can contribute to the development process and claim further improvements in the fulfillment of their rights.

[11] Report on South-South Cooperation in Ibero-America 2017. Retrieved from https://www.segib.org/wpcontent/uploads/informe_INGLES_2017-web.pdf

[12] Correa, M. (2017). Quantification of South-South cooperation and its implications to the foreign policy of developing countries. Retrieved from https://www.southcentre.int/wp-content/uploads/2017/07/PB41_Quantification-of-South-South-cooperation-and-its-implications-to-the-foreign-policy-of-developing-countries_EN.pdf

Accessibility

- The existence of accessible citizen complaint and redress mechanisms (e.g. health watch committees, ombudspersons, national human rights institutions), and introducing measures to improve independence and accessibility;

- The availability of effective and participatory monitoring and evaluation systems, which allow for systematic monitoring of progress made towards poverty reduction and people empowerment;

- The extent to which accountability process is inclusive and participatory, and includes monitoring, evaluation, accountability mechanisms and remedies;

- The extent to which other stakeholders have organizational capacity to mobilize, gather information and undertake advocacy campaigns, and also to apply HRBA principles to their internal management and procedures;

- Existence of groups with skills and resources to monitor human rights fulfillment and infringements, including the monitoring of aid, loans, projects and programs;

- The extent to which the cooperating partners enable individuals and groups to claim their rights, in courts, press, the internet, public hearings, social audits, etc.;

- The extent of transparency in data and availability of information for all stakeholders and interested parties.

Sustainability

- The extent to which there are support structures, institutions, policies and legal frameworks that sustainably widen spaces for broad and meaningful participation and democratic ownership engagement in an initiative;

- The extent to which the projects or initiatives have developed technical capacity to translate human rights into effective peoples' empowerment policies with appropriate budget allocations, and based on concrete legal entitlements to basic services.

Meanwhile, Marcio Correa of the Brazilian Cooperation Agency proposed the following framework[12] in the technical measurement of SSDC in order to resolve the methodological problems presented by the inadequacy of existing methods used to measure ODA:

- appraisal of inputs compatible with monetization;

- quantifying the volumes of all types of in-kind resources mobilized by South-South partner countries, regardless of their position as providers or receivers, and for which monetization is not the best indicator;

- assessment of the connection between financial and non-financial inputs and outputs; and

- evaluation of the results attributable to these initiatives and to their respective beneficiaries.

Session 1.3.
Development Effectiveness Principles

Learning Outcomes	After this session, the participants will be able to: 1. Discuss the principles of development effectiveness and how these relate to their work. 2. Brainstorm on elements of an assessment framework for development effectiveness.
Materials	• PowerPoint presentation and/or flipcharts • LCD projector • Markers
Process	1. Explain the learning outcomes of the session. 2. Review the results of the discussion on "what were the important achievement of CSOs" and connect these with the current discussion. 3. Discuss the principles of development effectiveness. 4. Stimulate open discussion using the suggested discussion questions.

I. Assessment Frameworks on Development Effectiveness

As mentioned in Session 1.1, the 4th HLF on Aid Effectiveness in Busan produced the Busan Partnership document (BPd) which was signed by more than 160 countries and more than 50 organizations. The BPd contained the four (4) principles of effective development cooperation. These are:

• **Ownership of development priorities by developing countries.** Partnerships for development can only succeed if they are led by developing countries, implementing approaches that are tailored to country specific situations and needs.

• **Focus on results.** Investments and efforts must have a lasting impact on eradicating poverty and reducing inequality, on sustainable development, and on enhancing developing countries' capacities, aligned with the priorities and policies set out by developing countries themselves.

- **Inclusive development partnerships.** Openness, trust, and mutual respect and learning lie at the core of effective partnerships in support of development goals, recognising the different and complementary roles of all actors.

- **Mutual accountability and accountability to the intended beneficiaries** of cooperation, as well as to our respective citizens, organisations, constituents and shareholders, is critical to delivering results. Transparent practices form the basis for enhanced accountability.

Although these principles were agreed by stakeholders during the High Level Forum (HLF), CSOs involved in the process still find the Busan Partnership Agreement lacking since commitments to these principles are completely voluntary. This can become problematic when exacting accountability which is also one of the agreed principles.

Additionally, CSOs are demanding that democratic participation of citizens should be the lynchpin of these principles in order to ensure that development effectiveness is truly based on human rights.

The GPEDC developed a monitoring framework which contains a set of indicators to track international commitments to enhance country ownership of development efforts, focus on results, inclusiveness of development partnerships, and transparency and accountability (see table below). This monitoring framework also provides information to be used in tracking progress on SDG targets 17.15, 17.16, and 5c[13].

[13] SDG 17.15: Respect each country's policy space and leadership to establish and implement policies for poverty eradication and sustainable development; SDG 17.16: Enhance the global partnership for sustainable development, complemented by multi-stakeholder partnerships that mobilize and share knowledge, expertise, technology and financial resources, to support the achievement of the sustainable development goals in all countries, in particular developing countries; and SDG 5c: Adopt and strengthen sound policies and enforceable legislation for the promotion of gender equality and the empowerment of all women and girls at all levels

PRINCIPLES		INDICATORS
Focus on Results	1b	**Countries strengthen their national results frameworks** Measures whether countries are setting national results frameworks that determine the goals and priorities of their own development, and putting in place mechanisms to ensure that these results are monitored and achieved.
	1a	**Development partners use country-led results frameworks (SDG 17.15)** Measures the alignment of development partners' programme with country-defined priorities and results, and progressive reliance on countries' own statistics and monitoring and evaluation systems to track results. The indicator is the source for reporting against SDG target 17.15.
Country Ownership	5a & 5b	**Development co-operation is predictable (annual and medium term)** Measures the reliability of development partners in delivering development funding and the accuracy of forecast and disbursement of this funding.
	9a	**Quality of Countries' Public Financial Management (PFM) Systems** Assesses improvement in key aspects of a country's PFM systems country systems by using selected dimensions of the Public Expenditure and Financial Accountability (PEFA).
	9b	**Development partners use country systems** Measures the proportion of development co-operation disbursed for the public sector using the country's own public financial management and procurement systems.
	10	**Aid is untied** Measures the percentage of bilateral development co-operation provided by OECD-DAC members that is fully untied.

Inclusive Partnerships	2	**Civil society organisations (CSOs) operate within an environment that maximises their engagement in and contribution to development** Measures the extent to which governments and development partners contribute to an enabling environment for CSOs; and the extent to which CSOs are implementing the development effectiveness principles in their own operations.
	3	**Quality of Public Private Dialogue** Measures the quality of public-private dialogue through a consensus-oriented multi-stakeholder process, with a focus on identifying whether the basic conditions for dialogue are in place in the country.
Transparency and Mutual Accountability	4	**Transparent information on development co-operation is publicly available** Assesses the extent to which development partners are making information on development co-operation publicly accessible, and in line with the Busan transparency requirements.
	6	**Development co-operation is included in budgets subject to parliamentary oversight** Measures the share of development co-operation funding for the public sector recorded in annual budgets approved by the national legislatures of partner countries
	7	**Mutual accountability among development actors is strengthened through inclusive reviews** Measures whether mutual assessment reviews of development co-operation commitments take place at the country level. It examines whether there is: (i) a policy framework defining the country's priorities; (ii) targets for the country and its development partners; (iii) regular joint assessments against these targets; (iv) involvement of local governments and non-state stakeholders in joint assessments; and (v) public availability of the results.
	8	**Countries have transparent systems to track public allocations for gender equality and women's empowerment (SDG 5c)** Measures whether countries have systems in place to track government allocations for gender equality and women's empowerment and to make this information public. This indicator is the source for reporting against SDG target 5c.

Different development assistance providers have also developed their own assessment frameworks used to measure their development effectiveness. For example, the Asian Development Bank has released its own development effectiveness reports since 2008. For 2019, the ADB's development effectiveness assessment framework was based on its Corporate Results Framework 2019-2024, which contains 60 indicators organized into four (4) performance levels:

- Level 1: Development progress in Asia and the Pacific
- Level 2: Strategy 2030 operational priority results and quality of completed operations
- Level 3: ADB's Operational Management
- Level 4: ADB's organizational effectiveness

Although one of the indicators measures civil society participation in ADB's initiatives, this does not adequately measure if participation has been genuinely democratic as many CSOs and communities continue to complain of human rights violations of ADB's projects and the lack of accountability of the institution for these violations.

In 2019, the Reality of Aid released its assessment report on ADB's development effectiveness using the EDC principles that the Bank committed to in the BPd.

The report showed that the ADB's operationalization of its Strategy 2030 promoted economic policies that contributed to the further exclusion of the poor from development and destruction of the environment, promoted the use of country systems that fails to address indebtedness and take advantage of weak

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national safeguards to expedite projects and reduce risks for the private sector, and facilitated the corporate ownership of Asia.

The report also revealed that ADB remains largely unaccountable because of the lack of alignment of its accountability rules and mechanisms to the SDGs and human rights, and also because of the immunity granted to the Bank through its Charter, as well as through the UN Convention on the Privileges and Immunities of the Specialized Agencies and Vienna Convention to international organizations.

Meanwhile, the OECD DAC Network on Development Evaluation uses the following criteria for assessing development effectiveness:

1. **Achieving Development Objectives and Expected Results**
   1.1. Programs and projects achieve their stated development objectives and attain expected results.
   1.2. Programs and projects have resulted in positive benefits for target group members.
   1.3. Programs and projects made differences for a substantial number of beneficiaries and where appropriate contributed to national development goals.
   1.4. Programs contributed to significant changes in national development policies and programs (including for disaster preparedness, emergency response and rehabilitation) policy impacts, and/or to needed system reforms.

2. **Cross-Cutting Themes – Inclusive Development which is Sustainable**
   2.1. Extent to which multilateral organization supported activities effectively address the crosscutting issue of gender equality.
   2.2. Extent to which changes are environmentally sustainable.

3. **Sustainability of Results/Benefits**
   3.1. Benefits continuing or likely to continue after project or program completion or there are effective measures to link the humanitarian relief operations, to rehabilitation, reconstructions and, eventually, to longer term development results.
   3.2. Projects and programs are reported as sustainable in terms of institutional and/or community capacity.
   3.3. Programming contributes to strengthening the enabling environment for development

4. **Relevance of Interventions**
   4.1. Programs and projects are suited to the needs and/or priorities of the target group.
   4.2. Projects and programs align with national development goals.
   4.3. Effective partnerships with governments, bilateral and multilateral development and humanitarian organizations and NGOs for planning, coordination and implementation of support to development and/or emergency preparedness, humanitarian relief and rehabilitation efforts.

5. **Efficiency**
   5.1. Program activities are evaluated as cost/resource efficient.
   5.2. Implementation and objectives achieved on time (given the context, in the case of humanitarian programming).
   5.3. Systems and procedures for project/program implementation and follow up are efficient (including systems for engaging staff, procuring project inputs, disbursing payment, logistical arrangements etc.).

6. **Using Evaluation and Monitoring to Improve Development Effectiveness**
   6.1. Systems and process for evaluation are effective.
   6.2. Systems and processes for monitoring and reporting on program results are effective.
   6.3. Results-based management (RBM) systems are effective.
   6.4. Evaluation is used to improve development effectiveness.

Discussion Question

What do you think are the elements that should constitute an assessment framework for monitoring development cooperation projects?

Session 1.4.

Towards a Human Rights-Based, Democratic Framework for Development Cooperation for Sustainable Development

Learning Outcomes	At the end of the session, the participants will be able to identify some of the basic principles for the transformation of the global system of development cooperation.

Materials	• PowerPoint presentation and/or flipcharts
	• LCD projector
	• Markers

Process	1. Explain the learning outcome of the session.
	2. Discuss the HRBA framework for development cooperation.
	3. Stimulate open discussion using the suggested discussion questions.

I. Operationalizing a Human Rights-based, Democratic Framework for Development Cooperation

Almost a decade since the launch of the Busan Partnership Agreement, much still needs to be done in order to transform the global system of development cooperation for it to become truly inclusive, democratic, human rights-based, and equitable. As development cooperation is crucial in the achievement of sustainable development, development partnerships should not reinforce existing inequitable relationships and practices. Instead, the new development cooperation architecture should be based on solidarity and mutuality, people's sovereignty, inclusiveness and democracy, and accountable duty bearers.

The issue of tied aid and conditionality must be resolved in order to rebalance aid relationships to favor developing countries rather than donors. The new global system of development cooperation must be based on national development strategies and ensure needs-based (instead of donor-driven) allocations and alignment of aid flows. Although country ownership is already an agreed principle in the BPd, the principle of democratic ownership should be at its heart. This means that country priorities, as expressed in national development plans, should be shaped

NEW DEVELOPMENT COOPERATION ARCHITECTURE

Solidarity and Mutuality

Involves working on shared objectives and interests as opposed to donor-led cooperation. Solidarity is also associated with a commitment to carrying costs in the process of assisting the partner in need.

People's Sovereignty

The people of each nation are the source of sovereignty, from which national governments must derive and continuously validate their authority. Governments are thus entitled to sovereign rights as the legitimate representatives of the people only as long as they fulfill their duties to them, including the duty to protect and fulfill the people's rights, both individual and collective rights, among others.

Inclusiveness and Democratization of decision-making

Equality among nations and peoples are recognized by development partners. People's democratic participation in development processes in all levels is upheld and protected.

Accountable duty bearers

Mechanisms to exact accountability from duty bearers must be in place in order to guarantee the obligations of duty bearers and allow rights-holders to speak up and seek redress.

by democratic and inclusive processes wherein membership and participation of people's organizations and CSOs are equal, along with all the branches of government.

The democratic participation of all development actors must be ensured not only at country level, but also in the new global architecture that must be multilateral and multi-stakeholder, which will allow developing countries to exercise their majority influence. This will put a stop to the current system wherein multilateral institutions like the World Bank or regional development banks are dominated by donors because of the one dollar-one vote principle. This new system, while global in scope, also needs to involve the local and regional levels. Bilateral and regional initiatives may still play a vital role, in pursuit of shared concerns, for mutual benefit and to complement and strengthen global multilateral goals and efforts.

Binding accountability mechanisms must be enforced in order to ensure that donors are accountable to their partner countries and recipient governments are accountable to their citizens about the policies and development programs they implement. The new global governance of the aid architecture must also guarantee the obligation of external partners, including multilateral institutions, and should have mechanisms allowing communities to seek redress in the event that programs or projects benefiting from external funding harm them.

Finally, the democratization of the international aid architecture must go hand in hand with the democratization of global governance of finance, debt, trade, and transnational corporations. There must be political coherence in the global governance of these institutions which must support development goals set at the international level, while respecting the democratic right to self-determination of peoples, communities and nations.

Discussion Questions

In your experience working at the national or global level, do the current aid relationships reflect the principles mentioned above? What needs to be changed?

Activity 1.1.

Create a Theory of Change for a Human Rights-based Development Cooperation for Sustainable Development

Learning Outcomes	Apply the principles and lessons learned from the previous sessions in creating a theory of change for a human rights-based development cooperation.
Expected Output	A draft theory of change for a human rights-based development cooperation that will contribute towards achieving a people-powered sustainable development.
Materials	• PowerPoint presentation and/or flipcharts • LCD projector • Markers

A theory of change is a roadmap that outlines the steps by which you plan to achieve an impact and helps to clearly articulate and connect your work to your bigger goal. Below are the components of a theory of change[15]:

- **Assumptions** – The facts, state of affairs and situations that are assumed and will be necessary considerations in achieving success.

- **Inputs** – The people, time, materials and resources that you and others need to invest to achieve your goals.

- **Activities** – The programs, services and actions you or your nonprofit will implement.

- **Outputs** – The amount, type or degree of service/s the program provides to its beneficiaries.

- **Outcomes** – The specific changes in your participants' behavior, knowledge, skills, status and capacity.
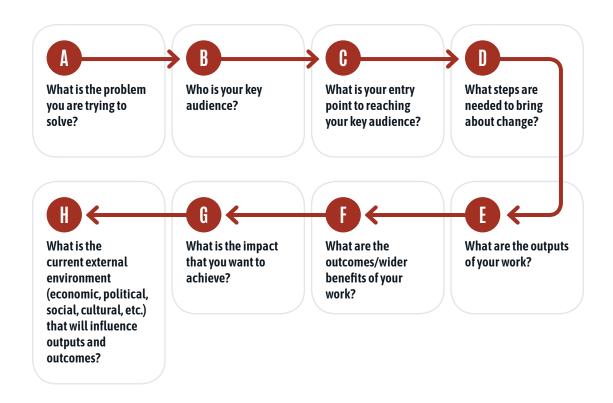
- **Impact** – The organizational, community, social, and systemic changes that result from the program (intended or unintended).

- **External Conditions** – The current environment in which you desire to achieve impact. This includes the factors beyond control of the program (economic, political, social, cultural, etc.) that will influence results and outcomes.

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[15] https://static1.squarespace.com/static/57a0dd1dbebafbfbfe80f9a7/t/5818db1e3e00be2eafd93a52/1478023968926/12b+-+Theory+of+Change+-+SP.pdf

Instructions
See Activity 1 Worksheet

1. Assign appropriate groupings among the participants.

2. Refer to Diagram 3[16] below for instructions No. 3 onwards.

3. Start by writing down a problem related to development effectiveness (a) and the change/impact that you want to achieve that will contribute to the larger goal of achieving a human rights-based development cooperation for sustainable development.

4. Describe the external environment that will affect the outputs and outcomes (h).

5. Write down the key groups of people that you want to influence in working towards the impact. These may include people who are impacted by aid policies and/or decision-makers (b).

6. Write down how you will engage each key audience (c) and the activities that you will do in engaging these audience (d).

7. Identify the immediate results of the activities (e) as well as their outcome or wider benefits (f).

THEORY OF CHANGE

A → What is the problem you are trying to solve?

B → Who is your key audience?

C → What is your entry point to reaching your key audience?

D → What steps are needed to bring about change?

H ← What is the current external environment (economic, political, social, cultural, etc.) that will influence outputs and outcomes?

G ← What is the impact that you want to achieve?

F ← What are the outcomes/wider benefits of your work?

E ← What are the outputs of your work?

Module 02
PEOPLE'S RESEARCH IN DEVELOPMENT COOPERATION

Objectives of the Module

1. Strengthen the capacity of the participants to conduct and facilitate people's research as part of the CSO Aid Observatorio work.

2. Familiarize the participants with the basic concepts, objectives, and methods of people's research.

3. Develop the skills of the participants in conducting and facilitating people's research in the CSO Aid Observatorio work.

Time Allotment: Minimum 5 Hours

Research on aid policies and their impact on recipient countries has been largely done in the past in donor countries or multilateral institutions that facilitate aid provision. This trend has resulted in uncritical analyses of existing aid policies that overlook development indicators such as human rights, gender equality, and environmental sustainability, among others.

One of the significant achievements in Busan was the shift of discourse from mere aid effectiveness to development effectiveness. The latter entails that the principles of democratic ownership, human rights, women's rights and gender equality, environmental sustainability, and social equity must be upheld in any development cooperation agreements. More importantly, it recognizes civil society's role, as development actors in their own right, in defending the realization of these development effectiveness principles.

To remain true to its commitment, CSOs will continue to advocate development effectiveness in development cooperation policy and practice, in particular as it relates to the accountability of governments and donor bodies to the broader development effectiveness agenda. In this regard, the importance of CSOs' work on monitoring and research on aid policies, projects, and their impacts cannot be overemphasized.

Research is always for someone and for some purpose. Development research has been traditionally perceived as a highly technical, complicated and scholarly undertaking, most often left to the hands of social science experts and the academe. Traditional development research carried out by elite groups are likely inclined to gloss over the everyday realities in communities and for people on the ground. This is why an alternative people's research defined and designed by the people

themselves is important, if the research aims to contribute to genuinely improving development conditions for the poor majority.

People's research in the context of aid and development effectiveness will underline how aid and development cooperation policies and projects are understood by and affect local communities and grassroots. People's research is valuable in that it puts people's interest at its core. It is crucial in understanding the situation on the ground, the situation of the people themselves who ultimately should benefit from all development cooperation undertakings.

This module is divided into three sessions:

Session 2.1.

Conducting People's Research

tackles the principles of people's research and how it is different from traditional research

Session 2.2.

The CSO Aid Observatorio

introduces what a CSO Aid Observatorio is, its role and importance in monitoring aid policies and projects, and how people's research is utilized in an observatorio

Session 2.3.

Processes in People's Research in Development Cooperation

discusses the steps in doing people's research in the context of contributing towards the creation of CSO Aid Observatorios

Session 2.1.
Conducting People's Research

Learning Outcomes	After this session, the participants are familiar with the concept and principles of people's research.

Materials	• PowerPoint presentation and/or flipcharts
	• LCD projector
	• Markers

Process	1. Explain the learning outcome of the session.
	2. Ask who have been involved in research projects.
	3. Discuss people's research and its principles.

I. What is People's Research?

Broadly defined, people's research is one that serves the needs and interests of the people. "For whose interest do we do research?" is the fundamental question that must be answered. "Is it for the people or for the elite?" Various methods and approaches can be used in conducting people's research, but what is important is such research is of, by, and for the people.

People's research is research that serves the needs and interests of the people, particularly, the marginalized and disempowered. Although the research calls for objectivity, it is not value-free. The underlying purpose for which the research is being done, as well as for what purpose are the results used, are not neutral. Both the elite and the masses can use research as a tool to further their own interests. The difference is that elite research preserves the status quo while people's research seeks to contribute to social change.

People's research aims to discover the material basis and historical development of current social conditions, uncover and understand the unequal power relations between various social forces/groups, serve as a guide in setting the proper actions and means of dealing with the problems of oppressed classes and sectors of society, and contribute to educating, organizing, and mobilizing of the people towards social change. People's research builds analyses that are alternatives to the mainstream sources and interpretations that are used to undermine the rights of the people. It informs actions that draw upon new knowledge and challenges and in turn, improve the practice of the people working for social change.

II. Principles of Doing People's Research

Below are some of the principles applied when doing people's research:

- Social practice of the people – in the fields of production and social struggle – is the primary source of knowledge

- Against a purely academic or statistical framework that is blind to the dynamics of social groups in society with distinct conditions and interests

- Against relying purely on theory, book knowledge, subjective assumptions, and outdated information

- Recognizes the interlinkages of local issues to national and global issues

- Collects data from various sources in order to concretize certain key economic and political indicators as they change from period to period, thus showing how various groups behave and interact in real life

- Researchers are firmly rooted with or maintain close relations with people's movements and their struggles because strong relationships with movements ensure that research addresses the issues and interests of the people

- Information and analyses are shared and processed constantly with others through different channels (workshops, books, email exchanges, etc.) which enhances the validity and usefulness of the research results as well as the accountability of the researchers to those affected by the research

Session 2.2.
The CSO Aid Observatorio

Learning Outcomes	By the end of this session, the participants are:
	1. Familiar with the CSO Aid Observatorio.
	2. Able to understand the significance of using people's research in Aid Observatorio work.

Materials	• PowerPoint presentation and/or flipcharts
	• LCD projector
	• Markers
	• Internet access/screen shots of the CSO Aid Observatorio platform

Process	1. Explain the learning outcome of the session.
	2. Discuss the CSO Aid Observatorio.
	3. During the discussion, flash ROA-AP's CSO Aid Observatorio website (or screenshots).

I.   What is the CSO Aid Observatorio?

CSO aid observatories are citizen-driven monitoring platforms of aid and development cooperation for campaigning and policy work. Since 2013, the Reality of Aid Network has been conducting trainings in Asia Pacific for setting up these observatories.

The objectives of Reality of Aid's CSO Aid Observatorio are as follows:

• **Promote awareness and transparency** on the management of aid by recipient governments and other providers (i.e. IFIs) in the region;

• **Aid research and analysis on the trends and impacts** of development projects and public-private partnerships in the region;

• **Assist engagement of CSOs** with recipient and donor governments and other providers for the effective and efficient use of public funds and for the protection of human rights and democracy;

- **Assist advocacy campaigns of communities or grassroots and peoples' organizations** for the assertion of their democratic rights and for seeking transparency and accountability from governments and other providers; and

- **Facilitate shared learning and discourse among CSOs, policymakers, academia, media, and activists** for the promotion of a human rights-based, people-powered sustainable development and forwarding of critical solutions or recommendations.

In 2018, the Reality of Aid Network-Asia Pacific (RoA-AP) agreed to work on the issue of international financial institutions (IFI) monitoring as a key priority issue in the region. IFIs, such as the International Monetary Fund-World Bank (IMF-WB), Asian Development Bank (ADB), and Asian Infrastructure Investment Bank (AIIB), have met strong criticisms and protests from civil society and grassroots communities because of aid conditionalities that impose market-driven, export-oriented, neoliberal policies on developing countries. These conditionalities and projects that IFIs finance continue to negatively impact the achievement of sustainable development by undermining human rights and domestic democratic processes, and have resulted in negative social outcomes which include (but are not limited to) persistent underdevelopment and poverty, violations of individual and collective rights, and environmental destruction.

In the same year, RoA-AP launched its Aid Observatorio which is a CSO-initiated and maintained database of development projects funded through bilateral Official Development Assistance (ODA) or International Finance Institutions (IFIs). The impacts of the projects are monitored and evaluated in terms of their impacts on 1) human rights, 2) democracy, 3) peace and security, and 3) environment or climate; and also in terms of how the principles of development effectiveness are upheld or not. Relevance and linkage to achieving the Agenda 2030 Sustainable Development Goals (SDGs) are also assessed.

An individual or an organization can monitor and evaluate ODA- or IFI-funded development projects (from 2015 onwards) in a community or area of responsibility by simply answering the *Aid Observatorio form.*

A. People's Research in Aid Observatorio

People's research ensures that the goals, programs, and activities of grassroots organizations and CSOs are grounded in their actual, living social environment and thus will be less likely to be co-opted by elite, corporate or donor interests. It will also ensure that the research endeavor will contribute to the goal of improving the conditions of the masses.

In researching on development cooperation, CSOs need to be always cognizant of how aid policies affect the lives of the marginalized. People's research is valuable in understanding the situation on the ground, the situation of the people themselves who ultimately should benefit from development cooperation. Furthermore, it consolidates and deepens CSO groupings and networks thus allowing constant exchange of information and analyses on development cooperation, among other policies.

Academics and experts in social research can also undertake people's research in Aid Observatorio if the purpose of their research is guided by the central question of how aid and other forms of development cooperation have effectively contributed in uplifting the conditions of marginalized and vulnerable groups. Scholars are capable of implementing people's research because, as mentioned in the previous section, what is important is that people's research must serve the interest and needs of the people and must work towards social change and social transformation.

Session 2.3.
Processes in People's Research in Development Cooperation

Learning Outcomes	At the end of the discussion, the participants are:
	1. Able to identify the steps in conducting people's research in the context of CSO Aid Observatorio – from conceptualization to data analysis.
	2. Familiar with the commonly used methods in research and their respective strengths and limitations in gathering information.
	3. Able to formulate research problems relevant to the Aid Observatorio work and how to organize and analyze data.

Materials	• PowerPoint presentation and/or flipcharts
	• LCD projector
	• Markers

Process	1. Explain the learning outcomes of the session.
	2. Discuss the steps in doing people's research in development cooperation.

Seven Steps in Doing People's Research in Development Cooperation

01 Formulate the Research Problem.

02 Identify Sources of Data and Data Gathering Procedures.

03 Set the Objectives of the Research.

04 Identify an Appropriate Research Strategy and Approach.

05 Process and Analyze Data.

06 Write the Research Report.

07 Evaluate the research process.

I. Seven Steps in Doing People's Research in Development Cooperation

STEP 1

Formulate the Research Problem.

In doing people's research for development cooperation, it is important that we are able to identify a research problem that concerns the people themselves. This includes aid policies and projects and their implications for human rights, social welfare, poverty, gender equality, and environmental sustainability. Conceptualization and delineating the scope of the research must first be done before one can identify and formulate the research problem. Formulating the problem involves the stages outlined below:

1. **Conceptualization.** Conceptualization involves the fleshing out of ideas and possible topics for research. Traditionally, researchers identify possible topics based on their own perspective. In people's research on development cooperation, chosen topics should reflect the people's concerns on development effectiveness. The following questions may help in conceptualizing research problems:

    *   What are the current aid policies that are being pushed by governments/IFIs/private sector?

    *   How do these affect the people (community, sector or other marginalized group) and society?

2. **Delineating the scope of the research.** Identified topics on aid and development may be too broad for research, thus delineating the scope of the research is necessary in formulating the research problem. A researcher can delineate the scope of the research through:

    *   Identifying the level of research (international, national or local)

    *   Identifying the geographic scope and/or inclusive years/months

*   Looking into sub-topics or themes of an identified main topic

*   Making a review of previous studies and researches to identify the research gaps which can serve as possible research inquiries

*   Identifying the type of development cooperation

*   Assessing the feasibility of the research based on the time, resources, and capacity of the researchers

Various topics can come to mind mainly within the themes of democratic ownership, sovereignty, human rights, health, labor, or women. It is also important to delineate what type of aid is under scrutiny because aid may come not only in the form of official development assistance (ODA).

3. **Formulating the research problem.** The research problem is a question that reflects the topic, subject matter, or the aspect that will be studied. The following questions may be used as guide in formulating the research problem:

    *   Is the problem relevant and responsive to the development of the people?

    *   Is it clear (first the primary problem, then secondary problem/s)?

    *   Can it be investigated? Are there sufficient related literature and data to back up the research?

    *   How did the problem arise?

    *   What is the relevance of the research on the problem?

Examples of Research Problems/Topics in Development Cooperation

1. How does the militarization of aid affect the achievement of sustainable development?

2. What are the impacts of IFI-financed energy projects on indigenous people's rights?

3. How can technical cooperation lead to privatization of public services?

STEP 2

Set the Objectives of the Research.

Once the research problem is identified and formulated, the objectives of the research should be set. The goals of the research spell out the scope and limitation of the research. It also gives light into the importance or purpose of the research and reflects what information will come out of the research and where it will come from. Research objectives broadly answer the question, "What does the research want to accomplish?" In order to further refine the research objective and delineate the scope of the research, the general objective can be split into specific research objectives.

In doing people's research for the CSO Aid Observatorio, the objectives of the research should contribute towards the goal of understanding and reformulating policies using a human rights-based approach in gender equality and women's rights, for instance.

Examples of Research Objectives

General Research Objective: Assess the impacts of militarization of aid in Asia on achieving sustainable development in the region

Specific Research Objectives:

1. To determine the source and amount of military aid that flows to the region,

2. To identify other methods in which aid is being militarized, and

3. To describe how militarization of aid affects the achievement of the SDGs in terms of competition in aid allocation and how it facilitates or hinders the implementation of the SDGs, particularly SDGs 5 and 16.

STEP 3

Identify an Appropriate Research Strategy and Approach.

Once the problem and objectives have been identified, the next step is to identify the research strategy approach. Looking into how previous studies on the research problem have been conducted may help in determining this.

The strategies and approaches to be used in conducting the research should reflect the objectives of the research. Researchers may use different or a mix of strategies and approaches in conducting research for the CSO Aid Observatorio.

Strategies and Approaches

1. **Quantitative Research** is a strategy wherein numerical data is gathered and analyzed using statistical procedures in order to draw conclusions. In aid and development cooperation research, this can involve gathering data such as amounts of aid given by a certain donor for a certain period of time, the number of beneficiaries of a given development cooperation project, or the number of people displaced by an ODA-backed infrastructure project. It can also involve gathering the opinions and experiences of a group of people on themes related to aid and development cooperation.

   Statistical databases are very useful in a quantitative research approach. Another way to gather data is through the use of surveys which are structured questions in the form of a questionnaire administered through an interview or answered by the respondent. Surveys use a random sample or representative sample of respondents that will "represent" a larger population. Although quantitative surveys are rarely, if ever, used in understanding public perception of broader policies (i.e. economy, employment or foreign relations), the value of quantitative research in these areas is its use in developing indicators which can be used to measure short- and long-term trends in economic growth, human rights or poverty.

2. **Qualitative Research,** in contrast to quantitative, is a strategy where instead of numerical data, researchers gather, analyze, and make conclusions from textual data or narratives. In the context of research on aid and development cooperation, this data can be people's personal experiences of aid-funded projects in the form of stories or results from interviews. Data can also come from policy statements made by individuals or institutions engaged in aid and development cooperation.

3. **Participatory Research** is a strategy wherein the subjects of the research become research participants by involving them directly in some parts or the whole process of the research. This means that the researchers are in constant interaction with the participants, and may sometimes live with them or join their everyday activities. This approach is often used by advocates who want to help vulnerable groups directly voice in their inputs and recommendations on the research.

Although a single or a mix of research strategies can be used, research for a CSO Aid Observatorio often adopts a critical approach wherein analyses are done on several aspects or components of an aid policy or project. This approach includes description, analysis, and assessment of the following:

- What problems does the policy/project intend to address?

- What are the goals and objectives of the policy/project?

- What are the assumptions and values underlying the procedures developed to address the problems?

- How were the policies/projects actually implemented?

- Who benefits from the policy/project implementation?

- How effective has the implementation been in addressing the policy/project objectives?

- Are there any gaps between the policy/project goals and implementation?

- How realistic or effective has the overall policy/project been?

Critical analysis of policies and projects evaluate whether or not a certain policy/project is plausible given a particular context. It may also lead to pointing out of alternative policies/projects or implementation processes. Historical, social, and political contexts within which a policy /project was developed and implemented are also taken into account when using such critical approach.

This approach is most useful in development cooperation research as it entails a deeper understanding of the objectives, contents, assumptions, impacts, and nuances in the implementation of aid policies and projects. This approach is usually mixed with evaluation of policy/project implementation and its impacts wherein the implementation and impacts of particular development cooperation policies or programs executed at different levels – community, sectoral, national or even at an international level are assessed. Case studies are often used to illustrate the impacts of aid policies and projects.

STEP 4

Identify Sources of Data and Data Gathering Procedures.

Data come from various sources, both primary and secondary. Sources of information include:

- **Primary Sources** – surveys, focus group discussions (FGDs), interviews

- **Secondary Sources** – policy documents and briefs, agreements, treaties, data from CSO Aid Observatorio, records of other CSOs or institutions that conduct monitoring of development cooperation, media information, government statistics

Generally, research methods can be classified into quantitative and/or qualitative methods. Both qualitative and quantitative methods are useful in doing people's research for the CSO Aid Observatorio to better inform analyses and ways forward.

- **Quantitative Method.** Quantitative method uses statistics and probability in understanding social behavior and social

phenomenon. Examples are survey, census, and processing of secondary statistical data. These quantitative methods are widely used in policy research. For the CSO Aid Observatorio, quantitative methods should look into indicators of development, human rights, social equity, and gender equality. Some economic indicators include poverty reduction, unemployment, and income gap between rich and poor.

- **Qualitative Method.** Qualitative method inquires on the "why" and "how" and not just on what, where, and when a social phenomenon occurred. Examples are interview, ethnography (participant observation), focus group discussion, and process documentation. Conducting people's research on aid and development effectiveness looks into the history and development of a particular aid policy or development program and then proceeds to how it has impacted social development.

STEP 5

Process and Analyze Data.

Data processing and analysis differs depending on the methodology used in research.

- **Quantitative Data.** For quantitative methods, data is processed and analyzed using statistical software such as Excel and SPSS and make use of various statistical measures. Examples include a) simple descriptive statistics such as mean (average), median, mode, and standard deviation and b) inferential statistics (regression analysis) that shows relationships between variables.

  Examples:

  - Average size/amount of allocation of ODA on gender-related initiatives
  - Thematic sectors which received the highest amounts of aid
  - Regression analysis of "amount of ODA to countries" vs. "poverty reduction" or "unemployment."

The hypothesis here is if a country receives more ODA, then human development is more likely to increase. Note that the variables are: ODA flows (indicator is amount of ODA a country receives) and human development (indicators are poverty reduction and unemployment, among others).

- **Qualitative Data.** Processing qualitative data need not deal with complex quantitative analysis. Rather, interviews, FGDs, and other methods used to gather data must have been properly documented, recorded, and transcribed. Data may then be grouped according to themes and sub-themes. Themes and sub-themes can be derived from the formulated research objectives. Below are some tips in organizing qualitative data:

  - **For descriptive research**

    - Show what is common
    - Show the data gaps
    - Show other aspects or characteristics of the data
    - Conclude or make generalizations

  - **For explanatory researches**

    - Show the relations of variables
    - Show the tendencies of the relations
    - Refine the relations and show cause and effect
    - Make predictions or general observations

See Annex A for samples of quantitative and qualitative data.

Some caveats in analyzing policies and data on development cooperation:

1. Never take what is written in policy documents as a given (e.g. UN papers, government positions, etc.). Guide notes can be analyzed and contrasted with the actions of the involved development actor/s to expose true intents.

2. Be keen on the language and concepts being used in the policy documents. Do these documents promote democratic ownership and governance as they claim to do?

3. Remember: what is missing is as critical as what is there.

4. Compare the declared intention of the policy with the actual effect. Does the intention reflect the people's interests? Did the actual effect result in attaining the people's interests?

5. Compare and contrast how similar policies in different countries, for instance, are being drafted and implemented or how the same international policy is being implemented in two different settings.

6. Dig deeper. Find out the politics behind the policy. Who is pushing for it and why? For whom?

7. Propose an alternative. Once the flaws within a policy have been identified and exposed, it is important for CSOs to propose alternatives or recommendations to be able to forward the people's interests.

STEP 6

Write the Research Report.

- **Accuracy.** Writing for any development work, including the Aid Observatorio, requires correct information as it provides credibility to the CSOs doing the research as well as to the study itself. Wrong and inaccurate information also misinforms future plans, steps, undertakings, and possible recommendations.

- **Order.** An outline demonstrating a logical order of information and analysis must be considered. Writers must also avoid obscuring the report by writing in a complex manner. The challenge is to keep the report simple but not simplistic.

- **Imagination.** Use your imagination in presenting ideas and arguments. At times, the writing style affects the reader of the report. Although most of the researches in development

cooperation are within the themes of human rights, sustainable development, and equality, among others, people's research must not result in boring and monotonous reports.

- **Distinguish writing research results from writing for popularization.** Writing a research report means to expound thoroughly on the research process, findings or results, and implications of the study. Writing for popularization is simpler – focusing mainly on the findings and analysis of the research and is aimed primarily at informing the general public. In the former, researchers are free to use jargon common to the Aid Observatorio work as its audience are likely to be more familiar with the language of development cooperation. Writing for popularization, on the other hand, must ensure that terms and concepts are explained in common language in order for people unfamiliar with development cooperation to easily understand.

STEP 7

Evaluate the research process.

Evaluating the research and process means taking a look at 1) the impact of the research vis-à-vis CSO goals and thrust in promoting democratic ownership and development effectiveness and 2) how the research itself was conducted by the researchers. Through this, groups are able to assess the contribution of their research endeavor in development cooperation, particularly for people's development, and how they have progressed in the process of knowledge production.

In evaluating the research and process, researchers ask the following:

- Did the research achieve its objectives? Did the research ultimately serve the interest of the people?

- What are the strengths and weaknesses in conducting the research?

- What were the difficulties faced while conducting the research? How were these overcome?

- Did the research contribute to the development effectiveness of CSOs as well as the democratic ownership of new policies?

Module 03
DATA SOURCING AND MANAGEMENT

◎ Objectives of the Module

1. Help participants appreciate the importance of Open Data.

2. Enable the participants to understand the concepts and principles of data management.

3. Assist the participants in exploring different types of data and where these can be found.

🕐 Time Allotment: Minimum 3 Hours

Since the articulation of effective development cooperation principles in Busan Partnership in 2011, CSOs have been advocating for the stakeholders to be accountable to their commitments to these principles. Part of this advocacy for accountability is using data from research effectively to establish facts and formulate recommendations and policy positions when engaging governments and institutions involved in development cooperation.

In 2019, the Reality of Aid – Asia Pacific released a research that assessed ADB's commitment to development effectiveness principles vis-à-vis its implementation of its Strategy 2030. The research revealed serious violations of the Bank's commitments on the principles: focus on results, democratic ownership, inclusive partnership, and transparency and accountability, because of the economic policies it promoted that worsened poverty, environmental destruction, indebtedness, and corporate capture of resources, as well as the

lack of accountability for the human rights violations its policies and projects caused. After using data gathered to establish ADB's non-commitment to EDC principles, the report forwarded recommendations to reform the Bank's governance, economic policy prescriptions, implementation procedures, and its accountability mechanisms in order for the Bank to implement its commitments to EDC. The results of this report were used during engagements with the ADB, particularly during its 52nd and 53rd Annual Governors' Meeting (AGM).

The scenario mentioned above illustrates why many CSOs rely on data to inform strategies, recommendations, and policy positions. This is particularly true in this era where discernment of what is relevant information is important, given the vast amount of data available. This module will discuss the significance and the challenges related to data management as well as the importance of ensuring that the public has access to key information regarding development effectiveness.

This module is composed of two modules and one activity:

Session 3.1.

**Open Data and
Data Management Principles**

discusses the importance of open data sources; the core principles of transparency, accessibility and reliability in relation to data management; and protecting data, privacy of data, and challenges related to this

Session 3.2.

Types of Data for CSO Aid Observatorios and Sources

outlines the types of relevant data that can be used for CSO Aid Observatorios and where they can be accessed

Activity 2.

Design a research for the Aid Observatorio

puts the knowledge and skills learned by the participants from the previous sessions to work by drafting a research design

Session 3.1.
Open Data and Data Management Principles

Learning Outcomes	At the end of the discussion, the participants are: 1. Familiar with the meaning and concept of Open Data. 2. Able to understand the importance of accessing information related to development effectiveness. 3. Familiar with the different principles of data management. 4. Able to identify data privacy/security challenges in their line of work.
Materials	• PowerPoint presentation and/or flipcharts • LCD projector • Markers
Process	1. Explain the learning outcomes of the session. 2. Discuss data, open data, and data management principles.

I. What is Data?

Data, in the simplest sense, are individual pieces of factual information recorded and used for the purpose of research and analysis. Data can be in the form of numeric files or texts that are grouped together using visualization tools such as tables, graphs or charts.

Data on aid and development cooperation and the access to it are important to the CSO Aid Observatorio since these are the starting points of investigating the impacts and effectiveness of development cooperation.

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[17] Robert Merton introduced four norms used in scientific research:
• Communalism - scientific knowledge is a resource to be shared regardless of which individual scientists produced which particular bits of knowledge
• Universalism - the important issue for scientists is the content of claims about the phenomena being studied, not the particulars about the people making those claims
• Disinterestedness - scientific research is done to advance science, not personal interests
• Organized scepticism - scientific claims should be exposed to critical scrutiny before being accepted

II. What is Open Data?

Open Data is the idea that certain data should be freely available for everyone to use, manipulate, and republish as they wish, without restrictions from copyright, patents or other mechanisms of control. The goals of the open data movement are similar to those of other "open" movements such as open source, open hardware, open content, and open access.

While the term "open data" first appeared in the 1990s, the philosophy behind it has been long established in the field of scientific research. In the 1940s for example, Robert Merton introduced what became known as the Mertonian norms[17] of scientific research which included communalism or the idea that scientific knowledge must be a common good that is to be shared among the scientific community. Advocates of open data support the extension of access to scientific knowledge, as well as information on development policies and practices that affect people's lives, to the general public.
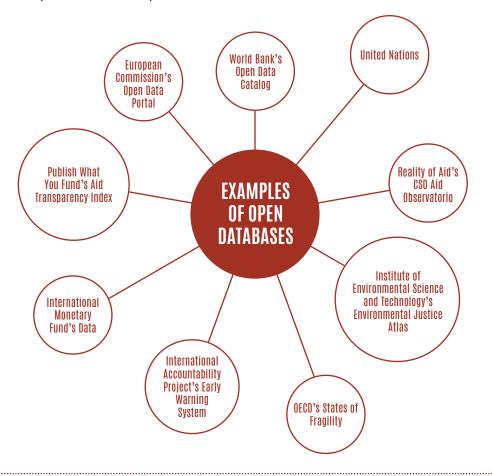
In 2004, the Science Ministers of all nations of the OECD signed a declaration which essentially states that all publicly funded archive data should be made publicly available. Following a request and an intense discussion with data-producing institutions in member states, the OECD published in 2007 the OECD Principles and Guidelines for Access to Research Data from Public Funding as a soft law[18] recommendation.

A. What are the Advantages of Open Data?

- Transparency and democratic control

- Participation

- Self-empowerment

- Improved effectiveness of government services

- Impact measurement of policies

B. Examples of Open Databases

- European Commission's Open Data Portal → **https://data.europa.eu/euodp/en/home**

- World Bank's Open Data Catalog → **https://data.worldbank.org**

- United Nations → **http://data.un.org**

- OECD's States of Fragility → **http://www3.compareyourcountry.org/states-of-fragility/overview/0/**

- IMF's Data → **https://www.imf.org/en/Data**

- International Accountability Project's Early Warning System → **https://ews.rightsindevelopment.org**

- Institute of Environmental Science and Technology's Environmental Justice Atlas → **https://ejatlas.org**

- Publish What You Fund's Aid Transparency Index → **https://www.publishwhatyoufund.org/the-index/2020/**

- Reality of Aid's CSO Aid Observatorio → **https://realityofaid.org/aid-observatorio/**

EXAMPLES OF OPEN DATABASES

- European Commission's Open Data Portal
- World Bank's Open Data Catalog
- United Nations
- Reality of Aid's CSO Aid Observatorio
- Publish What You Fund's Aid Transparency Index
- Institute of Environmental Science and Technology's Environmental Justice Atlas
- International Monetary Fund's Data
- International Accountability Project's Early Warning System
- OECD's States of Fragility

[18] Compared to "hard laws", "soft laws" are principles, declarations, and agreements that are not legally binding/cannot be enforced before a court.

C. What is IATI?

International Aid Transparency Initiative (IATI) is a voluntary, multi-stakeholder initiative that seeks to improve the transparency of aid in order to increase its effectiveness in tackling poverty. IATI brings together donor and developing countries and CSOs who are committed to working together to increase the transparency of aid.

IATI was launched at the Third High Level Forum on Aid Effectiveness in Accra in 2008 and was specifically designed to support donors in meeting their commitments on transparency as set out in the Accra Agenda for Action as follows:

- Donors will publicly disclose regular, detailed and timely information on volume, allocation and, when available, results of development expenditure to enable more accurate budget, accounting and audit by developing countries.

- Donors and developing countries will regularly make public all conditions linked to projects/programs in the IATI database.

- Donors will provide full and timely information on annual commitments and actual disbursements so that developing countries are in a position to accurately record all aid flows in their budget estimates and their accounting systems.

- Donors will provide developing countries with regular and timely information on their rolling three- to five- year forward expenditure and/or implementation plans, with at least indicative resource allocations where possible so that developing countries can integrate them into their medium-term planning and macroeconomic frameworks. Donors will address any constraints to providing such information.

In the run up to the Fourth High Level Forum on Aid Effectiveness in Busan, IATI contributed to the Building Block on Transparency. The BPd includes a specific reference to IATI, committing all those who endorsed it to:

> Implement a common, open standard for electronic publication of timely, comprehensive and forward looking information on resources provided through development cooperation,

> taking into account the statistical reporting of the OECD DAC and the complementary efforts of the International Aid Transparency Initiative and others. This standard must meet the needs of developing countries and non-state actors, consistent with national requirements. We will agree on this standard, and publish our respective schedules to implement it by December 2012, with the aim of implementing it full by December 2015.

III. What is Data Management?

The concept of "Data Management" arose in the 1980s as technology moved from sequential processing (first cards, then tape) to random access processing. According to the Data Management Body of Knowledge, "Data management is the development, execution and supervision of plans, policies, programs and practices that control, protect, deliver and enhance the value of data and information assets."

Data management is an administrative process by which the required data is acquired, validated, stored, protected, and processed, and by which its accessibility, reliability, and timeliness is ensured to satisfy the needs of the data users. Many people think that data management is synonymous with a database. The term database is oftentimes used casually to refer to any collection of data – perhaps a spreadsheet, maybe even a card index. A general purpose database management system is a system designed to allow the definition, creation, querying, update, and administration of databases. Database management oftentimes works with more than one database for a single application of work.

A. Principles of Data Management

01 Data is an asset

Data is a core asset of CSOs. The rationale behind this principle is that data is a valuable organizational resource – it has real, measurable value. In simple terms, the purpose of data is to aid decision-making. Accurate, timely data is critical to accurate, timely decisions.

02 Data is shared.

Data is necessary to perform the duties of CSOs. Data must be shared because timely access to accurate data is essential to improving the quality and efficiency of organizational decision-making. It is less costly to maintain timely, accurate data in a single application, and then share it, than it is to maintain duplicative data in multiple applications.

03 Data is accessible

Wide access to data leads to efficiency and effectiveness in decision-making. It affords timely response to information requests and service delivery. Furthermore, it ensures that development programmes contribute to poverty alleviation.

04 Data is transparent

Open data provide the foundation on which to establish the accountability of public institutions and the collaboration with all kinds of stakeholders.[19] Public reporting of data related to development effectiveness promotes higher quality and more efficient services, participation of the citizenry, and accountability of stakeholders.

05 Data is reliable

This means that data is accurate. Accuracy is the likelihood that the data reflect the truth. Statistical tools increase the accuracy and reliability of data.

06 Data Quality is fit for purpose

Data quality is acceptable and meets the needs or purpose of CSOs in their advocacy towards development effectiveness.

07 Data is compliant with law and regulations

Organizational information management processes comply with all relevant laws, policies, and regulations.

08 Data is secure

Data is trustworthy and is safeguarded from unauthorized access, whether malicious, fraudulent or erroneous. Open sharing of information must be balanced against the need to restrict the availability of classified, proprietary, and sensitive information. Pre-decisional (work-in-progress) information must be protected to avoid unwarranted speculation, misinterpretation, and inappropriate use.

09 There is a common vocabulary and data definition

Data is defined consistently and the definitions must be understood by all stakeholders. This should be observed to enable sharing of data. A common vocabulary will facilitate communication and enable for smooth multi-stakeholder dialogues.

10 Data management is everybody's business

All government agencies and CSOs have the responsibility to maintain, monitor, and manage their data and find ways to sustain them. Likewise, CSOs must participate in information management decisions to maintain the integrity of data.

[19] http://www.aaronsw.com/

Protecting Data and Privacy

CSOs doing research for Aid Observatorios may face the need to implement data protection measures to safeguard the privacy of personal data in order to prevent data from being misused. In the context of CSOs doing people's research, data protection is often needed in cases wherein the identities of research participants must be kept in private in order to protect their security. Data collected must be processed and organized in a way that individual participants are unrecognizable. Personal information must be kept in a secure storage, or destroyed after relevant data are processed and organized.

The importance of data protection and privacy has gained importance outside the field of research as the amount of data being processed and controlled by governments, businesses, and even civil society have increased on a massive scale. This has implications on the right to privacy and freedom from surveillance which have been used against human rights defenders in many countries.

The widespread use of social media further increased the challenges to data privacy and security. Aside from issues on who controls the data being shared in social media platforms and how this data is processed and used for corporate profit, the potential of social media to be used for surveillance and tracking has been highlighted by activists. While social media platforms are useful for rights advocates, in many countries, these have also been used by organized and well-funded entities to deliberately spread disinformation to affect public perception on social issues.

According to the UNCTAD, 132 countries have legislation to secure the protection of data and security as of 2019. Meanwhile, the European Union started to implement its General Data Protection Regulation (GDPR) since 2018. While data protection laws are supposed to protect privacy, they can also be used to undermine CSOs' work by imposing overly-strict requirements for compliance.

It is important to check which data protection laws are applicable in your area/s of work. According to Privacy International, the following are the key principles in data protection and privacy:

- **Fair, Lawful, and Transparent** – Personal data must be processed in a lawful and fair manner. This principle is key to addressing practices such as the selling and/or transfer of personal data that is fraudulently obtained.

- **Purpose Limitation** – All personal data should be collected for a determined, specific, and legitimate purpose. Any further processing must not be incompatible with the purposes specified at the outset (i.e. the point of collection). This essentially means that it is not acceptable to state that you need a person's data for one purpose and then use it for something else without notice or justification.

- **Minimisation** – Data minimisation is a key concept in data protection, both from an individual's rights and an information security perspective. Only the data which is necessary and relevant for the purpose stated should be processed. Any exceptions to this must be very limited and clearly defined.

- **Accuracy** – Personal data must be accurate throughout processing and every reasonable step must be taken to ensure this. This includes the following elements: accuracy, complete, up-to-date, and limited (see number 5).

- **Storage Limitation** – Personal data should only be retained for the period of time that the data is required for the purpose for which it was originally collected and stored. This will strengthen and clarify the obligation to delete data at the end of processing, which should be included in another provision.

- **Integrity and Confidentiality** – Personal data, at rest and in transit, as well as the infrastructure relied upon for processing, should be protected by security safeguards against risks such as unlawful or unauthorised access, use and disclosure, as well as loss, destruction, or damage of data. Security safeguards could include: physical measures, i.e. locked doors and identification cards; organisational measures, i.e. access controls; informational measures, i.e. enciphering (converting text into a coded form) and threat-monitoring; and technical measures, i.e. encryption, pseudonymiation, and anonymisation.

- **Accountability** – An entity which processes personal data, in their capacity as data controllers or processors, should be accountable for complying with standards, and taking measures which give effect to the provisions provided for in a data protection law. Those with responsibility for data processing must be able to demonstrate how they comply with data protection legislation, including the principles, their obligations, and the rights of individuals.

Session 3.2.
Data Sources

Learning Outcomes	By the end of the discussion, the participants are: 1. Able to identify different types of information necessary for the CSO Aid Observatorio work. 2. Familiar to the possible sources of data related to development effectiveness and cooperation.
Materials	• PowerPoint presentation and/or flipcharts • LCD projector • Markers
Process	1. Explain the learning outcomes of the session. 2. Discuss the types of aid information and where these can be sourced.

I. What are the types of aid information?

1. **Public Policy on Aid.** Public policy is a set of system, laws, guiding principles or a set of regulations that serves as standards on the use of aid and its implementation and delivery as defined or promulgated by the government and/or its representatives. These can include a country's development plan which is often used as a basis for programming and accessing ODA. Countries can also have laws related to ODA such as the Philippine Official Development Assistance Act of 1996 which excludes ODA from the foreign debt limit in order to facilitate the absorption and optimize the utilization of ODA resources.

2. **Budget.** A budget is a document that summarizes expected revenue and expenditure for a particular calendar or fiscal year. National budget is the official financial projection of a government that provides information on both its revenue generation and expenditure that includes aid (for donor countries) or debt-servicing (for recipient countries).

3.   **Public Expenditure.** This refers to the expenses incurred by the government. It should reflect expenses that were committed to improve the lives of the poor and marginalized groups. In donor countries, development assistance or foreign aid is reflected in their budgets.

4.   **Foreign Debt.** Foreign debt is the amount of money owed by a country to a creditor country. Countries have their own policies on debt servicing. In some, a certain percentage of the national budget is automatically appropriated for servicing the country's debt.

5.   **Aid Flows.** Aid flows provide information about the volume of money being exported from a donor country to a recipient country. Information on aid flows that are widely disseminated are usually generated by donor countries. They usually contain information such as amount of aid disbursed according to thematic priorities, country recipients, implementers/contractors of projects related to spending aid, etc.

6.   **Impacts of Aid.** Responding to pressures on demonstrating the effectiveness of ODA, IFIs, governments, and CSOs release reports on how aid has or has not met or contributed to development objectives. Reports on human rights violations related to ODA are almost always released by CSOs.

II. Sources of Data

Data related to development effectiveness and cooperation can be acquired from government agencies (both donor and recipient countries), academe, and civil society organizations. The most prominent source of development cooperation data can be accessed from the OECD and UN agencies. Data on specific themes on aid (e.g. agriculture, women, health, etc.) are oftentimes available in websites of organizations working on such areas.

Examples of Sources of Data on Development Cooperation and Effectiveness

1.   Open Aid Websites
   - Sweden → **https://openaid.se/about/**
   - Netherlands → **https://openaid.nl/**
   - Belgium → **https://openaid.be/en/about-site**
   - Denmark → **https://openaid.um.dk/en/**
   - Italy → **https://openaid.aics.gov.it/en/**

2.   Aid/Watch's monitoring of Australia's international aid and trade policies → **https://aidwatch.org.au/about/**

3.   Concord's AidWatch Reports on EU aid spending and policies → **https://concordeurope.org/tag/aidwatch/**

4.   Development Initiatives' data sets on poverty, development finance, private finance, and humanitarian assistance → **https://devinit.org/data/**

5.   Donor Tracker's databases on donors and funding on development sectors → **https://donortracker.org**

Activity 2.
Design a research for the CSO Aid Observatorio

Objective	Apply the skills learned from the previous sessions on conducting people's research for the CSO Aid Observatorio.
Expected Output	A research design for the CSO Aid Observatorio.
Materials	• PowerPoint presentation and/or flipcharts • LCD projector • Markers

See Worksheets for Activity 2.1 and 2.2.
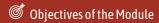
Activity 2.1. Instructions

1. Assign appropriate groupings among the participants.
2. Identify a research topic related to development cooperation and formulate the research problem.
3. Formulate the primary and secondary research objectives.
4. Identify the strategy and approach that will be used in the research.
5. Identify the data needs of the research and the sources of these data.
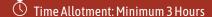
Activity 2.2. Instructions

1. Assign appropriate groupings among the participants.
2. Identify an IFI/DFI-backed development project that the group wants to do a research on.
3. Formulate the primary and secondary research objectives that will respond to assessing the development effectiveness of the project according to EDC principles.
4. Identify the data needs/variables needed to support the assessment and where these data can be sourced.
5. Identify the methods that will be used to gather the data.
6. Identify the methods that will be used to analyze the data gathered.

Module 04
DISSEMINATION AND POPULARIZATION

◎ Objectives of the Module

1. Discuss the importance of conducting public awareness and advocacy in aid monitoring.

2. Develop the participants' knowledge and skills on doing advocacy for development effectiveness.

🕐 Time Allotment: Minimum 3 Hours

Public awareness on aid information encourages people to participate in dialogues and push for appropriate reforms. Utilizing aid information in advocacy towards development effectiveness is an important facet in CSO Aid Observatorio work. However, in order to influence policies and projects, aid information needs to be popularized and be made accessible according to different types of audience or stakeholders.

This module emphasizes the importance of the advocacy role of CSOs involved in Aid Observatorios and strategies on disseminating and popularizing aid information in the context of advocacy.

This module has two sessions and one activity that is divided into two parts:

Session 4.1.	
Advocacy Work	discusses the importance of advocacy and outlines the steps in doing advocacy as part of the CSO Aid Observatorio work

Session 4.2.	
Methods in Doing Advocacy Work	outlines different strategies and tools that CSOs can use in popularizing and disseminating aid information while doing advocacy for development effectiveness

Activity 3.	
Draft an Advocacy Plan (Parts A and B)	allows the participants to apply the knowledge gained from the previous sessions in creating an advocacy plan as part of the CSO Aid Observatorio work

Session 4.1.
Advocacy Work

Learning Outcomes	At the end of the discussion, the participants are able to:
	1. Understand the importance of development effectiveness in advocacy.
	2. Understand the different elements of advocacy work.
	3. Carry out an advocacy plan for the CSO Aid Observatorio.

Materials	• PowerPoint presentation and/or flipcharts
	• LCD projector
	• Markers

Process	1. Explain the learning outcomes of the session.
	2. Discuss the process of advocacy work.
	3. Prepare for the activities integrated within the session.

I. The Importance of Advocacy for Development Effectiveness

According to David Brancdon[20], advocacy involves person/s, either a vulnerable individual or group or their agreed representative, effectively pressing their case with influential others, about situations which either affect them directly or, and more usually, trying to prevent proposed changes which will eventually worsen the situation. The intent and outcome of such advocacy should be to increase the individual's or the group's sense of power – to help them feel more confident and to become more assertive to take action in order to create change. For activists and development effectiveness advocates, advocacy is geared towards changing policies and practices towards social justice.
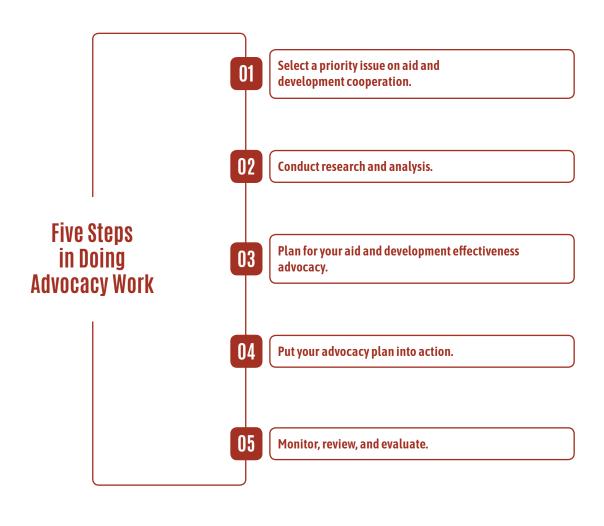
From Rome in 2003 and as evidenced in Busan in 2011, CSOs' advocacy at international and national levels have helped shift the discourse on development cooperation from aid effectiveness to a human-rights based approach of development effectiveness. CSOs must remain vigilant and make sure that stakeholders fulfill their commitments towards effective development cooperation.

Advocacy on development effectiveness entails the realization of an action plan to influence decision-makers to act on and implement reforms that will benefit marginalized and vulnerable sectors. Advocacy is also necessary to ensure that ODA and other forms of public and private finance follow the principles of development effectiveness.

[20] Wilks, T. (2012). Advocacy's Place Within Social Work Practice in Advocacy and Social Work Practice (chapter 1). Retrieved from https://books.google.com.ph/books?id=i5_nRZYNK2cC&printsec=frontcover&source=gbs_ge_summary_r&cad=0#v=onepage&q&f=false

II. Five Steps in Doing Advocacy Work

Advocacy, especially if it deals with the advancement of dignity of peoples, should not be appreciated as a pursuit that progresses on a linear pattern. There should be a constant drive to create plans and strategies based on previous implementation of advocacy work. For advocacy to be effective, it should always be dynamic and evolving.

Below are the fundamental aspects of advocacy work that articulate the process by which advocacy on development effectiveness and cooperation can be implemented.

Five Steps in Doing Advocacy Work

01 Select a priority issue on aid and development cooperation.

02 Conduct research and analysis.

03 Plan for your aid and development effectiveness advocacy.

04 Put your advocacy plan into action.

05 Monitor, review, and evaluate.

STEP 1

Select a priority issue on aid and development cooperation.

In this first step, an organization or community identifies an issue or problem related to aid and development cooperation that affects their organization or community and that can be changed through advocacy. An advocacy issue is a problem that can be addressed if changes in certain laws or policies occur.[21]

An advocacy issue can be identified through different means such as community gatherings or meetings with CSOs and other stakeholders that work on common themes. Below are some tips when choosing community issues to prioritize:

- **Use a problem-tree analysis.** The problem tree is a visual method that helps a group identify the different dimensions of an issue (trunk) by defining its causes (roots) and its effects (leaves and fruits).

- **Take the following questions into consideration.** After doing the problem tree analysis, choose which of the causes can be addressed through advocacy by asking the following:

  - How does this issue relate to aid and development effectiveness?

  - Is this the most relevant and timely aid and development effectiveness issue within your organization or community?

  - Will working on this issue:
    - *promote development effectiveness principles?*
    - *address the organization's or community's needs and protect their rights?*
    - *help strengthen the organization or community?*
    - *develop new leaders and alliances?*

These are just some of the considerations that can be taken when choosing an issue. Other considerations include resources needed, timeframe, and the accessibility of relevant advocacy spaces.

STEP 2

Conduct research and analysis.

People's research helps advocates understand their advocacy issue better. Aside from providing data on the impacts of the problem being solved, research and analysis will also help in identifying resources needed for the advocacy: the stakeholders, advocacy targets, potential allies, and detractors, as well as possible solutions to the problem.

Collecting data on the impacts of the problem can be done through surveys, key informant interviews, and focus group discussions. Data collected from these methods can be used to demonstrate the gravity of the problem, formulate the organization's or community's advocacy messages, and develop insights as to what possible solutions or recommendations can be explored and put forward along with the advocacy.

One method of identifying stakeholders is through using a matrix such as below. This matrix will then help the organization or community determine who are the advocacy targets and the potential allies and detractors.

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[21] https://www.tearfund.org/en/about_us/what_we_do_and_where/issues/advocacy/

Stakeholder Type	Who? (individuals/ organizations/ institutions)	Key Contact Person	Reason/s why the issue matters to them	Position on the issue	Level of Influence (+ to +++ or - to ---)
Directly Affected					
People's Organizations	X representing indigenous peoples living along the Y river.	Name	Displacement due dam project	Stop the dam project	++
Government					
Public Sector	Mayor's Office	Name	A family member of the Mayor is among the dam developers	Allow the dam project	---
Public Sector	Regional Environmental Office	Name	Supports the preservation of wildlife habitat in the river ecosystem	Does not issue environmental compliance certificate to dam project	++
Advocates					
Civil Society	X CSO on IP rights	Name	Advocates for IP rights to their territories	Against land grabbing	+++

STEP 3

Plan for your aid and development effectiveness advocacy.

An advocacy plan is a framework which outlines the policies and practices that the organization or community wants to change, and how that change will happen. The following basic elements comprise an advocacy plan:

- The problem/issue
- Effects and causes of the problem
- Objectives of the advocacy plan
- Activities to be carried out to meet the objectives
- Resources needed
- Key persons responsible for the activities
- Key stakeholders identified
- Advocacy messages formulated for key stakeholders

Formulating the Objectives

When formulating objectives, always make sure that they are SMART – Specific, Measureable, Attainable, Relevant, and Time-bound. Activities need to contribute towards the achievement of the objectives of the advocacy plan. In order to carry out the activities, resources and key persons responsible for the implementation of the activities must be identified.

Identifying the Audience and Developing Key Messages

Before any advocacy can be communicated, it is primary to determine the audience – who do we want to communicate the message to. Any advocacy should have a specific target audience, otherwise, it will have a tendency to over-reach and it will lack direction and overall purpose. The audience can be

best profiled by asking the following questions:

- Who are the agents of change for the advocacy?

- What do they know about the advocacy?

Meanwhile, advocacy messages must be formulated according to the results of the research and analysis of what must be done to solve the problem. Oftentimes, these are called demands or key asks. There can be general messages, and there are messages that can be formulated specifically for each target audience or stakeholder. For example, messages for government offices in a land dispute will often involve asking policy makers to promote or repeal a certain law, while messages for fellow community members affected by the same policy will center on taking action to pressure policy makers.

Examples of Advocacy Messages

Excerpts from CPDE Women's Constituency Statement During the GPEDC's 2nd High Level Meeting in Nairobi (2017)

Calls on Governments and Other Stakeholders in the GPEDC

- Deepen the Paris, Accra, and Busan commitments towards gender equality and human rights and promote an equitable and just development cooperation architecture.

- Strengthen development effectiveness through practices based on human rights standards, including women's rights standards.

- We demand that inclusive partnership for effective development ensures development justice and recognizes and values reproductive and care work, and protects and promote decent work and sustainable forms of livelihoods and ensures women's unmediated right to own and control land, house, new technology, and other productive resources. It further recognizes care as a public good and a basic right. Development cooperation should acknowledge that countries,

including small islands and landlocked states, in situations of fragility and conflict face differential and disproportional impact of climate change and armed conflict on the lives and rights of women and girls.

Excerpt from Reality of Aid's Feedback on the DAC's Draft TOSSD Compendium

In the national level, donors and governments should facilitate democratic policy processes through the following*:

- Establishing permanent institutionalized spaces for multi-stakeholder dialogue on development policy.

- Facilitating inclusive engagement of a diversity of civil society actors particularly those representing grassroots-based organizations, indigenous peoples, and women and children, among others.

- Building open and timely access to information and transparent accountability mechanisms and processes, protected by legislation.

- Implementing full transparency for budget documentation with direct citizens' engagement in the budgetary processes.

- Building inclusive, fully participatory processes from the country to the global levels to aid in achieving development goals in the country-level.

- Supporting the capacities of a wide range of CSOs to enable them to participate effectively in policy processes.

These are recommendations from "An Enabling Environment for Civil Society Organizations: A Synthesis of Evidence of Progress since Busan" submitted by the CPDE (CSO Partnership for Development Effectiveness) Working Group on CSO Enabling Environment in October 2013 to the GPEDC.

STEP 4

Put your advocacy plan into action.

Different activities can be done to achieve the advocacy plan (see Session 4.2.). Lobbying and campaigning are two approaches in doing advocacy work. Most of the time, a combination of these two approaches are used, depending on the type of advocacy issue and also the type of stakeholders involved in advocacy work.

- **Lobbying government officials and relevant policy spaces.** Lobbying involves direct communication with decision-makers who have direct power over policy analysis and policy change or to influencers who have resources or substantial connections with decision-makers. This can be done through any or a combination of the following: phone calls, sending letters and written statements, attending inter-governmental meetings and making interventions, and meetings with relevant government officials, among others.

- **Campaigning and Mobilizing.** This deals with maximizing a wide-range of platforms and designing a phase to optimize each medium's effectiveness. Campaigning and mobilizing can be done through different means such as distributing educational materials, organizing protest actions, fora, workshops, concerts, exhibits, or online events – basically any activity that will gather people together to push for changes in policies. The activity mostly depends on the objectives, resources available, and the context of the advocacy.

STEP 5

Monitor, review, and evaluate.

Monitoring, reviewing, and evaluation are three (3) different processes that allow organizations or communities to assess the effectiveness or impact of the implementation of their advocacy plan. They are three (3) different processes that are done during the cycle of an advocacy plan.

- **Monitoring** is the systematic gathering of data throughout the duration of the advocacy plan. It collects information that will be the basis of tracking the progress of implementation, and allows the organization or community to identify issues that need to be addressed as the plan moves on. Monitoring is largely based on the indicators identified at the outset. Indicators may include key messages of your advocacy. Monitoring may include transcriptions of interviews and engagements with target audiences and their responses. It can also include impact on public opinion by taking note of every media exposure on TV, radio, print, and online platforms. Evaluation, on the other hand, measures the achievement of the set goals and objectives.

- **Reviewing** is done regularly throughout the duration of the advocacy plan using the data gathered from monitoring. It involves periodic assessments (weekly, monthly, quarterly or yearly – depending on the duration of the plan) to check whether the project is on track and to capture lessons that can influence the implementation of the current plan, and also to shape future plans.

- **Evaluation** is done usually at the middle and at the end of the advocacy plan or project in order to analyze what has been done, assess its effectiveness in creating change, and obtain strategic lessons. Evaluation can involve advocacy partners outside the proponent organization or community.

See Annex B for a sample monitoring and evaluation matrix.

Activity 3.1.

Draft an advocacy plan for the research results of the CSO Aid Observatorio (Part A)

Objective	Apply the information learned in the previous sessions to create an advocacy plan for the development effectiveness of aid.
Expected Output	A draft advocacy plan.
Materials	• PowerPoint presentation and/or flipcharts • LCD projector • Markers

Note to Instructor:

This activity can build on the group's output in Activity 2.1.

See Worksheet for Activity 3.1.

Activity 3.1. Instructions

1. Assign appropriate groupings among the participants.
2. Identify an aid and development effectiveness issue that the group wants to work on.
3. Identify the causes and effects brought about by the issue.
4. Write down the objectives of the advocacy plan.
5. Identify the key stakeholders/audience who need to be involved or engaged with.
6. Formulate advocacy messages for the key stakeholders.

Session 4.2.
Methods in Doing Advocacy Work

Learning Outcomes	By the end of the session, the participants: 1. Are informed of the different methods in doing advocacy work. 2. Can apply the basics of these methods in their own advocacy work.
Materials	• PowerPoint presentation and/or flipcharts • LCD projector • Markers
Process	1. Explain the learning outcomes of the session. 2. Discuss the methods of advocacy work. 3. Prepare for the activities integrated within the session.

Note to Instructor:

Links to examples will be provided at the end of each item. However, it is best to find examples that will be more relevant or appropriate for your training context.

A substantial component of doing advocacy is influencing the target audience by making sure that the advocacy messages reach them. This session will outline some of the commonly used methods in reaching the target audience when doing advocacy.

1. **Policy Brief.** Also known as policy paper or policy report, is a concise document that summarizes the key points of a particular policy problem, along with policy recommendation to best deal with the problem. For aid observatorios, a policy brief can be a key tool to present research findings and recommendations to a non-specialized audience in plain language, and can be used to influence policy-makers and other intended audiences.

While there is no single format for policy briefs, these are usually structured according to this outline:

- Title
- Executive Summary
- Introduction
- Main Body (discussion on the policy problem and/or main research findings)
- Policy Recommendations
- Conclusions

In addition, the policy brief may contain boxes and sidebars, cases, tables, graphics, and photographs. References and acknowledgements should also be added.

While there is no prescribed length, policy briefs usually range from 700 to 3,000 words. The length will depend on the policy issue as well as the type of intended audience. Just remember that in general, a policy brief should:

- Provide enough background and context for the reader to understand the problem.
- Convince the reader that the problem must be addressed urgently.
- Provide information about alternatives.
- Stimulate the reader to make a decision.

2. **Position Paper.** A position paper is a detailed written statement that articulates a viewpoint, analysis, and/or policy of an organization. It is usually written in an essay format, in reaction to a recent issue. A position paper usually contains the following:

- Introduction and background of the issue at hand
- The organization's analysis and position on the issue
- Conclusion, which can contain calls to action or recommendations

Examples of Policy Briefs

- National financing for development: Corporatised or democratised process? → **https://bit.ly/2zBKiHk**

- Development financing today: Serving whose interest? → **https://bit.ly/2YBJvP6**

- The ADB's Strategy 2030: Repackaging Neoliberalism? → **https://bit.ly/3d2OoWr**

Examples of Position Papers

- Statement on the First Draft by Southern CSO Alliance on South-South Cooperation → **https://realityofaid.org/statement-on-the-first-draft-of-the-bapa40-outcome-document-southern-cso-alliance-on-south-south-cooperation/**

- Statement for the OECD DAC High Level Meeting On Modernising Reporting for Official Development Assistance → **https://realityofaid.org/statementfor-the-oecd-dac-high-level-meeting-on-modernising-reporting-for-official-development-assistance/**

3. **Petition Letter.** A petition letter is a formal written request for a certain action, usually addressed to authorities. In the context of advocacy for development effectiveness, petitions can be written for a multitude of purposes, for example: to allow CSOs and members of affected communities to be part of decision-making mechanisms on development projects, to block/stop a certain development project, to release documents regarding aid received by governments, or to stop donors from funding government activities that violate human rights. A petition letter usually gathers signatories to give weight to its reques.

The basic components of a petition letter are as follows:

- Organization's Letterhead
- Title of the Petition
- Date
- Recipient Organization/Recipient's Name
- Recipient's Address
- 1st Paragraph - details of the current petition
- 2nd Paragraph - reasons for the petition
- 3rd Paragraph - request for action
- Concluding Remarks
- List of Signatories

Petition letters can be signed through both offline and online means. Getting sign-ons to petition letters is made easier through websites such as change.org and avaaz.org.

Examples of Petition Letters

- Stop Mapithel Dam construction NOW! → **https://bit.ly/2zwDB9i**

- Letter to Prime Minister Shri Narendra Modi: Uphold the Special Provision Article 371C in the Constitution of India with regards to the Construction of Mapithel Dam (Thoubal Multipurpose Project) in the State of Manipur → **https://bit.ly/2ULHoXL**

4. **Sign-on Statements**, on the other hand, are less formal and are not necessarily addressed to authorities. Rather, they are statements that express a belief, position, and/or call to action on a certain public issue to which organizations or individuals show their support to by putting their signature.

Examples of Sign-on Statements

- System overhaul, not makeover! → **https://bit.ly/37x973O**

- Reclaim the Climate Agenda amid Corporate Plunder and Repression → **https://bit.ly/2XZZCXB**

5. **Solidarity Statements.** A solidarity statement is used to publicly express support or sympathy for an action or a cause. It is an important communication tool to highlight an issue which does not usually get mainstream media coverage, and to gather support from different individuals, communities, and organizations.

Examples of Solidarity Statements

- CPDE Statement of Support for Co-chair Beverly Longid → **https://www.change.org/p/government-of-the-philippines-latest-updates-cpde-statement-of-support-for-co-chair-beverly-longid**

- In responding to the COVID-19 pandemic, we must build solidarity and pay special attention to those farthest behind → **https://bit.ly/3d4sCBC**

- CPDG Statement on the Proposed Anti-Terrorism Act of 2020 → **https://www.facebook.com/notes/council-for-peoples-development-and-governance/proposed-anti-terror-law-is-an-attack-on-civic-space-and-democracy/546292496027723/**

6. **Policy Workshop.** A policy workshop is an organized event where public policies are examined, evaluated, and proposals are made. Participants vary depending on the specific objectives of the workshop. In the context of Reality of Aid's work, it commonly organizes policy workshops for civil society, policy professionals, advocates, and affected communities in preparation for engaging decision makers in governments, donor countries, and multilateral institutions on aid and development effectiveness issues.

7. **Policy Dialogue.** The term policy dialogue can mean both a structured event wherein policy makers and stakeholders meet to discuss and influence public policy, or the whole process of policy development by which policy actors interact; whether through formal structured events, informal consultations and conversations, exchange of emails, submissions of positions papers and letters; with the end goal of informing and influencing policy.

   Whether the specific or broader definition is applied, policy dialogues are an important component of policy-making process since they facilitate ownership by stakeholders as well as accountability and transparency which lead to better monitoring and tracking of results. However, the effectiveness of policy of dialogues is dependent on the democratic participation of CSOs and peoples' organizations in governance. This means that policy dialogues should not be merely perfunctory and tokenistic. Policy dialogues must be able to reinforce CSOs and peoples' organizations' right and capacity to actively participate in decision-making on policies that affect them.

8. **Cultural Materials/Events.** While not commonly utilized in advocacy for development effectiveness, cultural materials/events have the potential to further gather public support for development effectiveness through creative means. Songs, poetry, art exhibits, film screenings, public theaters, for example, are helpful in raising public awareness and sympathy for those impacted by aid projects through creative forms of expressions that celebrate peoples' culture and identities.

Examples of Cultural Materials/Events for Advocacy

- One Billion Rising vs Development Aggression in Panay → **https://www.onebillionrising.org/15630/panay-guimaras-philippines-rising-revolution/**

- Results and Highlights of the 27th Cordillera Day Celebration: Live out the glorious history of our struggle! Fight for land, life and honor! → **https://cpaphils.org/campaigns/CD2011ResultsandHighlights_Final.pdf**

- Kari-Oca II, the Indigenous People's Conference at Rio +20 → **https://malocacommunities.org/2012/09/25/june-2012-kari-oca-ii-indigenous-peoples-conference-at-rio-20/**

9. **Mobilization.** Mobilization, demonstration, protest action, or rally is an event wherein groups come together at a specific place, date, and time to publicly express either their support or disapproval of a certain issue. Traditionally, mobilizations are done physically. With the advent of digital technology, social media platforms have also provided other means to conduct protest actions when groups cannot physically come together (social media rally, blog action day, etc.).

Examples of Mobilization

- Mobilization vs Mapithel Dam → **http://e-pao.net/GP.asp?src=38..130415.apr15**

- Global Day of Action Against Shrinking Civic Spaces → **https://csopartnership.org/2019/12/cso-platform-cpde-leads-global-day-of-action-against-shrinking-civic-spaces/**

- Worldwide Protest Against Implementation of Dams in Sikkim → **https://www.ipmsdl.org/events/join-the-worldwide-protest-against-implementation-of-dams-in-sikkim/?fbclid=IwAR3sXIrpyRxYCkoNxYF98w9uSv7yQS8-14yRlLl-nWH5qhLkRTysZzi0Q0g**

10. **Online Advocacy Tools**

Digital media or online tools have allowed development effectiveness advocates to reach a wider audience at the national and global levels. The primary requirements for digital media however is access to digital devices, electricity, and the internet. Consider these requirements first and your target audience before using digital media in advocacy.

- **Webinars** are online versions of physical workshops, conferences or meetings. Instead of meeting physically, the organizers, speakers, and participants gather online through a web-based platform.

- **Data visualization** is the graphical representation of data and information. Through the use of images such as charts, graphs, and maps, data visualization can help readers easily grasp and understand patterns in and relationships between data. In the context of aid and development effectiveness, data visualization can be helpful for example in comparing actual aid provided vs aid commitments, or the amount of aid given to one priority compared to other priorities.

Examples of Data Visualizations

- Where US foreign Aid is Going → **https://bit.ly/3fsT8Gt**
- Charting US Foreign Aid by Country → **https://bit.ly/30P7bSG**
- Military Spending Graphics 2019 → **https://bit.ly/37BdTNm**

- **Social media** platforms have also become quite popular for online advocacy. Through platforms such as Facebook, Twitter, and Instagram, advocates for development effectiveness have reached a wider audience. A variety of content can be used for social media advocacy, including data visualization, infographics, photo-stories, videos, and even memes. Social media platforms can also be used to share links that direct the audience to advocates' websites, statements, or sign-on campaigns.

Examples of Digital Media Contents

- Infographics: Reality of Aid Report 2018 → **https://realityofaid.org/infographics/**

- Photo Stories: Humans of New York → **https://bit.ly/3eb4zCm**

- Meme: Trickle down Economics → **https://bit.ly/2YGixpv**

- Videos: IBON International's intervention at DCF 2018 → **https://bit.ly/2YKNSam**

A social media campaign is a coordinated effort to support an advocacy through at least one (1) social media platform. For example, organizers of global action days always encourage participants to use their social media platforms in sharing their activity or action using the event's hashtag (#). While social media campaigning is useful, it will only be effective if it supports or translates to offline change.

When designing your social media campaign, remember to:

- **Define SMART objectives for the campaign:**

  - **Specific:** "We've specifically identified X as our social media platform and Y as the metric/s."

  - **Measurable:** "The response reach can be measured from the Insight/Analytics."

  - **Achievable:** "We aim to have an increase of X% of our reach."

  - **Relevant:** "Our goal will have a strong impact on our overall social media presence."

  - **Time-bound:** "The goal has to be met by the end of the first quarter X year."

- Decide the type of content to be produced for your audience and social media platforms to be used.

- Create a content calendar/schedule.

- Create simple instructions on how organizations/individuals can join the campaign.

- Monitor the postings and respond to comments accordingly.

• Gather the data on number of postings, shares, and reactions in order to assess if the social media campaign contributed to the achievement of your objectives.

Examples of Social Media Campaigns

• Global Day of Solidarity #PublicHealthNotProfit

• Global Days of Action on Military Spending #GDAMS

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11. **Engaging the Media**

Media relations management is developing relationships with editors, reporters, and journalists from newspapers, radio, television, and digital media in order to effectively communicate your message or story through appropriate media platforms. Journalists are always on the look-out for story ideas and sources. Developing strong relationships with media personnel can help development effectiveness advocates reach their audience better. Below are some tips in developing media relations:

• **Identify and make a list of reporters.** Identify which of your target media outlet's writers/journalists are covering topics related to or closest to your story. This can be done by looking up the names of reporters/authors of stories relevant to your advocacy/story. In some cases, online media outlets publish the email addresses of their editorial desks according to topic/theme. Social media accounts of reporters and media outlets are also places where you can find media contacts.

• **Offer to make comments or statements about current news that is relevant to your advocacy.** This can be done through offering media interviews or sending a letter to the editor, or engaging a news report posted on social media through writing a comment.

• **Be trustworthy and accessible.** Be honest and truthful in the information you provide to reporters. Respect the deadlines of reporters and the commitments you made to them. You must be able to respond quickly to their inquiries. Always be prepared with your media or press kit which contains the profile of your organization, contact of spokesperson, advocacy brief, and high resolution images related to your organization and advocacy.

Below are some of the tools that you can use when engaging the media:

• **Press Release.** Also called a media statement or media release, a press release is a news story written by advocates and sent to targeted members of the media. In the context of popularizing people's research for aid observatorios, a press release is a communications tool that is used to deliver results of the research to the media to be featured in support of your advocacy.

Since a press release is technically a news story, it is typically one page in length and should provide answers to the 5W1H questions (what, when, where, why, who, and how). Additionally, the writing should be informative; formal and flowery language must be avoided; and technical jargon must be used sparingly or not at all.

• **A Letter to the Editor** is a letter addressed to a publication about issues that concern its readers. These topics can be about your stance on the media outlet's editorial, on a story it published, on current issues, or to correct a misrepresentation or error. A letter to the editor is usually short, around 200 to 300 words. Always check with the media outlet's guidelines before writing a letter to the editor.

• An **Op-Ed Article** is an opinion article that addresses current events or in response to another opinion expressed in the media outlet's publication. It is longer than a letter to the editor, usually at 300 to 700 words. In writing an op-ed, always make sure that your opinion is clear and is backed up with data. Tell your readers why they should care and what actions they can take.

- Invite reporters to your **media event**. A media event is any event designed to be covered by a news media. It can be a mobilization, a symbolic action, or a launch of a campaign wherein media are invited for coverage.

  - A **press conference** is one of the most common media events. It is organized to officially distribute information and answer questions from the media. With a press conference, you can give more information than in a press release (although you need to distribute this during the conference), have more interaction with the media by answering their questions directly, and take more time in announcing important developments and explaining deeper implications. Keep the following in mind when organizing a press conference:

    - Send a one-page media advisory containing the what, when, who, where, why of your event; your phone number and email address; and relevant information such as photo opportunities.

    - Select your speakers and make sure they are informed of their speaking topics. First hand testimonies from affected communities are always more powerful and convincing. Select a moderator who will be in charge of convening the press conference by introducing the issue and participants. The moderator also answers questions or directs them to the appropriate participants.

    - Prepare your press kit for distribution during the press conference. This can include a press release, short profiles of your speakers, relevant photos, and background information about the issue.

    - Prepare the press conference room. Set-up visuals such as posters as backdrop to your speakers as they get seated at a conference table. Check electrical equipment. Prepare refreshments.

  - During the press conference, welcome the media and have them sign a guest list. Each speaker should be allotted around five (5) minutes to deliver their three (3) to five (5) major points. After the speeches, the moderator should allow questions from the media. A press conference usually lasts 45 minutes to an hour.

  - After the press conference, make sure to monitor the media outlets and take note of how your story was covered. Make personal contact with the reporters in order to make a good impression as well as for them to remember you whenever they need information.

Examples of Communications Tools for the Media

- **Press Release:** At global gathering on aid: Civil society groups hit US aid policy → **https://bit.ly/37ssbjB**

- **Letter to the Editor**: Wet'suwet'en protests are about more than the pipeline → **https://bit.ly/2YdmHWX**

- **Op-Ed Article**: Development through and for the people → **https://bit.ly/3egrA6Y**

- **Media Advisory** : Indigenous Leaders, Legal Experts Opposing Site C Hold Press Conference on Parliament Hill → **https://bit.ly/2USUuTi**

Discussion Question

What other media events have you done or do you think can be done to reach your target audience better?

Activity 3.2.
Draft an advocacy plan for the research results of the CSO Aid Observatorio (Part B)

Objective	Apply the information learned in the previous sessions to create an advocacy plan for development effectiveness.
Expected Output	A draft advocacy plan.
Materials	• PowerPoint presentation and/or flipcharts • LCD projector • Markers

Note to Instructor:

This activity can build on the group's output in Activity 3.1.

See Worksheet for Activity 3.2.

Activity 3.2. Instructions

1. Use the results from Activity 3.1.

2. List down appropriate methods to engage the key stakeholders/audience identified in 3.1. Group these into communication products (memes, press release, policy brief, etc.) and events/activities (press conference, policy workshop, mobilization, etc.).

3. Write down the milestones/success indicators for engaging the stakeholders.

4. Indicate the timeline when the activities/methods will be implemented.

5. Identify what resources (human resource, transportation, finances, etc.) are needed.

ANNEXES

Annex A
Sample Qualitative and Quantitative Data

I. Examples of Qualitative Data

Example 1: Comparing the Asian Infrastructure and Investment Bank and New Development Bank[22]

Key Features of AIIB and NDB's Environment and Social Framework	
AIIB	**NDB**
• States support for the aims of the Paris Agreement • Aims to harmonize policies with co-financng MDBs, but allows for the application of the co-financier's policies on a case-by-case basis • Provides for the assessment and categorization of projects into four (4) categoris based on their potential environment and social risks and impacts • Provides environment and social standards in three areas: ENvironmental and Social Assessment and Management (ESS 1); Involuntary Resettlement (ESS 2); and Indigenous Peoples (ESS 3) • Contains an Environmenta nd Social Exclusion List	• Enumerates the following core principles: inclusive and sustainable development, country systems, environment and social interests, and climate change • Favors the use of country and corporate systems in the management of environmental and social risks and impacts • Provides for the assessment and categorization of projects into four (4) categoris based on their potential environment and social risks and impacts • Provides environment and social standards in three areas: Environmenta nd Social Assessment and Management (ESS 1); and Indigenous Peoples (ESS 3) • Contains an Environment and Social Exclusion List

Source: AIIB's Environment and Social Framework. Approved February 2016 (Amended February 2019); NDB's ENvironment and Social Framework, March 2016

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[22] Custodio, I. (2020, March). Introduction in S .I. Torres (Ed.). Asian Infrastructure Investment Bank and the New Development Bank: Paradigm shift or rehashing corporate-led development? (pp. 5-17). Retrieved from https://realityofaid.org/wp-content/uploads/2020/04/AIIB-NDB-Paradigm-Shift-or-Rehashing-CorporateLed-Development.pdf

Example 2: Describing "Inclusive Consultations" in Countries Where Reality of Aid Members are Based[23]

In Ecuador where consultation and participation is strongly mandated by law at all levels including the local, it often takes place in the final stages of the policy process, and CSOs have considered the exercise often to be one of "social validation". There have been insufficient opportunities for dialogue on the implications of the new concept Sumak Kawsay (good life) to replace development [Ecuador chapter].

In Zambia, "CSOs were of the view that they were 'just rubber stamping' a Plan whose production process had begun without their input, i.e. the government had already prepared a zero draft, and CSOs were the last to be requested to give their input for its finalization" [Civil Society, Aid Effectiveness and Enabling Environment].

The case of the Philippines is also indicative, where CSOs' participation in regional consultations is by invitation only, and "those that take an openly critical stance in relation to NEDA's [government] policies are rather unlikely to be selected to participate" [Philippines chapter]. The author of the Pakistan chapter describes an "exclusionist system of governance that has become ... almost incapable of responding to the needs and aspirations of citizens". In this context "citizens ... have developed an attitude of apathy towards issues of larger public concern" [Pakistan chapter].

II. Examples of Quantitative Data

Example 1: Comparing the voting power and capital stocks of ADB members[24]

Figure 3
Capital stocks and voting power of ADB' non-regional members

	Year of Membership	Subscribed Capital[a] (% of total)	Voting Power[b] (% of total)
NON-REGIONAL			
Austria	1966	0.340	0.571
Belgium	1966	0.340	0.571
Canada	1966	5.231	4.483
Denmark	1966	0.340	0.571
Finaland	1966	0.340	0.571
France	1970	2.328	2.161
Germany	1966	4.326	3.759
Ireland	2006	0.340	0.571
Italy	1966	1.807	3.759
Luxembourg	2003	0.340	0.571
The Netherlands	1966	1.026	1.744
Norway	1966	0.340	0.571
Portugal	2002	0.113	1.119
Spain	1986	0.340	0.571
Sweden	1966	0.340	0.571
Switzerland	1967	0.584	0.765
Turkey	1991	0.340	0.571
United Kingdom	1966	2.042	1.932
United States	1966	15.607	12.784
Subtotal		**36.467**	**34.854**
TOTAL		**100.00**	**100.00**

Note: Numbers ,ay not sum precisely because of rounding.

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[23] Reality of Aid. (2011). Democratic Ownership and Development Effectiveness: Civil Society Perspectives on Progress since Paris. Retrieved from https://www.realityofaid.org/wp-content/uploads/2013/02/Final-bridged-Roa-Report-2011-EFS.pdf

[24] Reality of Aid-Asia Pacific. (2019). CSO Review of Asian Development Bank's Development Effectiveness. Retrieved from https://realityofaid.org/wp-content/uploads/2019/04/ADB-25April-web1-1.pdf

Example 2: Project Cost and Financing Plan of the Mandalika SEZ[25]

Estimated Project Cost and Financing Plan - Phase 1 (2019-2023)			
Component	**Cost Amount**	**Financing Source**	
		AIIB	GoI/ITDC
Component 1: Basic Services and Infrastructure (including neighboring villages)	169.30	169.30	0.00
Component 2: Implementation Support and Capacity Building	15.40	14.40	1.00
Land Cost	67.11	0.0	67.11
Contingencies (Physical and Price)	41.36	41.46	0.00
Financing Charges During Construction	23.34	23.34	0.00
Total	**316.50**	**248.39**	**68.11**

In USD million; Source: AIIB, 2018

[25] Sabar, K. (2020). AIIB Financial Support for Mandalika SEZ Deprives People's Rights in S. I. Torres (Ed.). Asian Infrastructure Investment Bank and the New Development Bank: Paradigm Shift or Rehashing Corporate-Led Development? (pp. 40-49). Retrieved from https://realityofaid.org/wp-content/uploads/2020/04/AIIB-NDB-Paradigm-Shift-or-Rehashing-CorporateLed-Development.pdf

Annex B
Sample Qualitative and Quantitative Data

	INDICATOR	DEFINITION How is it calculated?	BASELINE What is the current value?	TARGET What is the target value?	DATA SOURCE How will it be measured?	FREQUENCY How often will it be measured?	RESPONSIBLE Who will measure it?
Goal							
Outcomes							
Outputs							

Annex C
Activity 1. Worksheet

a	b	c	d	e	f	g
What is the problem are you trying to solve?	Who is your key audience?	What is your entry point to reaching your key audience?	What steps are needed to bring about change?	What are the outputs of your work?	What are the outcomes/wider benefits of your work?	What is the impact that you want to achieve?

h
What is the current external environment (economic, political, social, cultural, etc.) that will influence outputs and outcomes?

Annex D
Activity 2.1. Worksheet

Research Problem. *What do you want to solve?*	

General/Primary Research Objective. *What do you want to accomplish?*	**Specific/Secondary Research Objectives.** *What data do you want to gather? What impacts do you want to know?*

Strategy and Approach. *How do you want to conduct your research?*	

Variables/Data Needs. *What are the data gaps you need to fulfill?*	**Data Sources.** *Where will you get the data needed?*			

Annex E
Activity 2.2. Worksheet

IFI/DFI-backed Development Project. *Which project do you want to do a research on?*		
Research Problem. *What do you want to solve?*		
General/Primary Research Objective. *What do you want to accomplish?*	**Specific/Secondary Research Objectives.** *What data do you want to gather? What impacts do you want to know?*	
Variables/Data Needs. *What are the data gaps you need to fulfill?*	**Data Sources.** *Where will you get the data needed?*	**Data Gathering Methods.** *Which method/s are you going to use to accomplish your objectives?*	**Data Analysis Methods.** *Which method/s are you going to use to aanalyze the data gathered?*

Annex F
Activity 3.1 and 3.2. Worksheet

Aid and Development Effectiveness Issue:

Reasons why this issue is important (causes and effects):

Vision of Change:

Advocacy Objective #1:

Key Stakeholders	Advocacy Messages	Methods of Engagement		Milestones	Timeframe	Resources Needed
		Communication Materials	Activities			

Advocacy Objective #2:

Key Stakeholders	Advocacy Messages	Methods of Engagement		Milestones	Timeframe	Resources Needed
		Communication Materials	Activities			

Annex G
Contact Information of Development Actors' Accountability Mechanisms

African Development Bank (AfDB)	
Accountability Mechanism	**Independent Review Mechanism (IRM):** https://www.afdb.org/en/independent-review-mechanism-irm **How to file a complaint:** https://www.afdb.org/en/independent-review-mechanism/management-of-complaints/how-to-file-a-complaint
Contact Person or Office-in-Charge	Compliance Review and Mediation Unit (BCRM) - AfDB
Email Address	BCRM_info@afdb.org B.kargougou@afdb.org and copy to A.Bacarese@afdb.org
Contact Number	Tel: +225 20 26 29 00 or +225 20 26 40 49

Asian Development Bank (ADB)	
Accountability Mechanism	**How to file a complaint:** https://www.adb.org/site/accountability-mechanism/how-file-complaint **Accountability mechanism:** https://www.adb.org/who-we-are/accountability-mechanism/main **Accountability Mechanism Policy 2012:** https://www.adb.org/documents/accountability-mechanism-policy-2012 **Accountability Mechanism Summary:** https://www.adb.org/publications/accountability-mechanism-summary
Contact Person or Office-in-Charge	Complaint Receiving Officer
Email Contact Form	https://www.adb.org/contact?target=Hmzj1lzfKqMSRDKA0C6/kg==&name=-Complaint%20Receiving%20Officer&referrer=node/81970
Contact Number	Tel: +63 2 8632 4444 ext 70309

Asian Infrastructure Investment Bank (AIIB)

Accountability Mechanism	**The Project-affected People's Mechanism:** https://www.aiib.org/en/about-aiib/who-we-are/project-affected-peoples-mechanism/how-we-assist-you/index.html **How to file a complaint:** https://www.aiib.org/en/about-aiib/who-we-are/project-affected-peoples-mechanism/submission/index.html
Contact Person or Office-in-Charge	Managing Director Complaints-resolution, Evaluation & Integrity Unit (CEIU)
Email Address	ppm@aiib.org
Contact Number	Tel: +225 20 26 29 00 or +225 20 26 40 49

European Bank for Reconstruction and Development (EBRD)

Accountability Mechanism	**Independent Project Accountability Mechanism (IPAM):** https://www.ebrd.com/project-finance/independent-project-accountability-mechanism.html **How to file a complaint:** https://www.ebrd.com/project-finance/independent-project-accountability-mechanism/how-ipam-works.html
Contact Person or Office-in-Charge	Victoria Marquez-Mees Chief Accountability Officer European Bank for Reconstruction and Development
Email Address	ipam@ebrd.com

Inter-American Development Bank (IADB)

Accountability Mechanism	**The Independent Consultation and Investigation Mechanism:** https://www.iadb.org/en/mici/mici-independent-consultation-and-investigation-mechanism **How to file a complaint:** https://www.iadb.org/en/mici/how-file-complaint
Contact Person or Office-in-Charge	Independent Consultation and Investigation Mechanism (MICI)
Email Address	mecanismo@iadb.org
Contact Number	Tel:+1 (202) 623-3952	Fax: +1 (202) 312-4057

Japan International Cooperation Agency (JICA)	
Accountability Mechanism	**Environmental and Social Considerations:** https://www.jica.go.jp/english/our_work/social_environmental/objection/index.html
Contact Person or Office-in-Charge	Examiners for the Guidelines Secretariat of The Examiner for the Guidelines Japan International Cooperation Agency
Email Address	jicama-jigi@jica.go.jp
Contact Number	Fax: +81-03-5226-6973

New Development Bank (NDB)	
Accountability Mechanism	**Environmental and Social Considerations:** https://www.jica.go.jp/english/our_work/social_environmental/objection/index.html
Contact Person or Office-in-Charge	Examiners for the Guidelines Secretariat of The Examiner for the Guidelines Japan International Cooperation Agency
Email Address	jicama-jigi@jica.go.jp
Contact Number	Fax: +81-03-5226-6973

Organisation for Economic Co-operation and Development (OECD)	
Accountability Mechanism	**National Contact Points for Responsible Business Conduct:** http://mneguidelines.oecd.org/ncps/
Contact Person or Office-in-Charge	National Contact Point
Contact Information	The OECD Secretariat is responsible for coordination with National Contact Points. **Contact details of the National Contact Points for Responsible Business Conduct - October 2020 (per country):** http://mneguidelines.oecd.org/ncp-contact%20list-%20website-%202020%20october.pdf **Email:** rbc@oecd.org

United Nations Development Programme (UNDP)	
Accountability Mechanism	**Social and Environmental Compliance Review (for compliance investigations):** https://www.undp.org/content/undp/en/home/accountability/audit/secu-srm/social-and-environmental-compliance-unit.html
Contact Person or Office-in-Charge	Social and Environmental Compliance Unit (SECU)
Email Address	project.concerns@undp.org
Contact Number	Tel: 001 (917) 207 4285

Accountability Mechanism	**Stakeholder Response Mechanism (for dispute resolution):** https://www.undp.org/content/undp/en/home/librarypage/operations1/stakeholder-response-mechanism.html **UNDP SECU and SRM Brochure:** http://www.undp.org/content/dam/undp/library/corporate/compliance-and-dispute-resolution/UNDP-SECU-SRM-Brochure-2014.pdf
Contact Person or Office-in-Charge	Stakeholder Response Mechanism (SRM)
Email Address	stakeholder.response@undp.org

World Bank (WB)	
Accountability Mechanism	**The World Bank Accountability Mechanism:** https://www.inspectionpanel.org/sites/www.inspectionpanel.org/files/documents/AccountabilityMechanismResolution.pdf **The Inspection Panel:** https://www.inspectionpanel.org/ **How to file a complaint:** https://www.inspectionpanel.org/how-to-file-complaint
Contact Person or Office-in-Charge	Examiners for the Guidelines Secretariat of The Examiner for the Guidelines Japan International Cooperation Agency
Email Address	ipanel@worldbank.org
Contact Number	Tel: +1 202 458 5200 | Fax: +1 202 522 0916

Other Resource:

Accountability Counsel
https://accountabilitycounsel.org/policy-advocacy/

- You may also check this site to see a compilation of accountability mechanisms of several multilateral institutions.

The Reality of Aid Network

A Pre-eminent Southern-led North/South Network on Reforming Aid Policies and Practices

CSOPartnership
for Development Effectiveness

European
Commission

Sida

TAIWAN FOUNDATION
for DEMOCRACY
財團法人
臺灣民主基金會