

# Evaluation

## Complementarity in Finland's Development Policy and Co-operation A Case Study on Complementarity in the NGO Instruments



**Evaluation report 2013:3**

**MINISTRY FOR FOREIGN AFFAIRS OF FINLAND**

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**A case study on complementarity  
in the NGO instruments**

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# Evaluation

## Complementarity in Finland's Development Policy and Co-operation

### A case study on complementarity in the NGO instruments

Gunnar Olesen  
Yoseph Endeshaw

## Evaluation report 2013:3

MINISTRY FOR FOREIGN AFFAIRS OF FINLAND

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## PREFACE

Finland is committed to improve and accelerate complementarity actions in her development co-operation in order to reach common goals with development partners, as agreed in Busan partnership for effective development co-operation. To this end, the Ministry for Foreign Affairs of Finland commissioned a comprehensive evaluation on the complementarity in the Finland's development co-operation. The evaluation was divided to several case studies looking the complementarity in some of the instruments like NGO funding and institutional partnerships as well as in country strategies with Mozambique and Zambia. This evaluation report describes the complementarity in NGO funding instruments. A separate Synthesis report will aggregate the results and lessons learned from different case studies and will make policy level conclusions and recommendations.

The evaluation found good practices and examples of complementarity among Finnish NGOs. However, in general terms the NGO co-operation was complementary with other development co-operation modalities only at the overall level of shared goals, including cross-cutting objectives.

The evaluation found many arguments in favour of increased complementarity even though it also made us aware of possible risks. The evaluation recommends the use of incentives in order to increase complementarity in NGO support. The incentives should aim at reducing the fragmentation and strengthening the voluntary element in NGO's activities. The incentives should also aim to enhance the sustainability of partner NGOs as well as to enable their operation environment in developing countries.

A relatively large share of the Finland's development co-operation is channelled through NGOs. Therefore, it is important to co-ordinate the NGO funding more closely with other funding instruments and channels of development co-operation in the future.

Helsinki, 20.12.2013

Jyrki Pulkkinen  
Director  
Development Evaluation



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## ACRONYMS AND ABBREVIATIONS

€	Euros
AAA	Accra Agenda for Action
Abilis	The Finnish NGO Foundation for People with Disabilities
ACCORD	The African Centre for the Constructive Resolution of Disputes
ACPPP	Africa Civil Society Platform on Principled Partnership
BA	Busan Agreement
CBO	Community-Based Organisations
CEDRO	Information and Education Centre for the Prevention of Drug Abuse (Peru)
CGIAR	Consultative Group on International Agricultural Research
CIVICUS	World Alliance for Citizens' Participation
CSI	Child Soldiers International
CSO	Civil Society Organisations
CSR	Corporate Social Responsibility
CSSP	Child-Sensitive Social Protection
DoL	Division of Labour
EC	European Commission
ECHO	The EC's Directorate-General for Humanitarian Aid and Civil Protection
ECMI	European Centre for Minority Issues
ECNC	European Centre for Nature Conservation
EFCA	Eurasia Foundation of Central Asia
EQ	Evaluation Question
ESCR-Net	International Network for Economic, Social and Cultural Rights
ESD	Estonian School of Diplomacy
ETVO	The Finnish Volunteer Programme co-ordinated by Kepa
EU	European Union
FAS	Femmes Africa Solidarité
FAWE	Forum for African Women Educationalists
FCA	Finn Church Aid
FCYF	Finnish Children and Youth Foundation
FGD	Focus Group Discussion
Fida	Development co-operation organisation of the Finnish Pentecostal churches
FIDIDA	Finnish Disabled People's International Development Association
FPA	Framework Partnership Agreement
GeSCI	Global E-Schools and Communities Initiative
HQ	Headquarters
ICG	International Crisis Group
ICJ	International Community of Jurists
ICRAF	International Council for Research in Agroforestry
ICRC	International Committee of the Red Cross and Red Crescent

ICTJ	International Centre for Transitional Justice
ICTSD	International Centre for Trade and Sustainable Development
IFHR	International Federation for Human Rights
IHRB	Institute for Human Rights and Business
IKI	Institutional Co-operation Instrument/Instituutioiden välisen kehitys-yhteistyön instrumentti
INGO	International Non-Governmental Organisation
INTRAC	International NGO Training and Research Centre
IPPF	International Planned Parenthood Federation
IPS	Inter Press Service news agency
IRCT	International Rehabilitation Centre for Torture Victims
ISS	Institute for Security Studies
IUCN	International Union for Conservation of Nature
IWGIA	International Work Group for Indigenous Affairs
IYF	International Youth Federation
Kepa	Finnish Service Centre for Development Co-operation (umbrella or- ganisation for Finnish development NGOs)
KIOS	Finnish NGO Foundation for Human Rights
LCF/FLC	Local Co-operation Fund/Fund for Local Co-operation
LGBT	Lesbian, Gay, Bisexual and Transgender
LRRD	Linking Relief with Rehabilitation and Development
M&E	Monitoring and Evaluation
MDG	Millennium Development Goal
MFA	Ministry for Foreign Affairs (Finland)
MoU	Memorandum of Understanding
MRG	Minority Rights Group
MSI	Marie Stopes International
NAO	National Audit Office (Finland)
NDP 4	National Development Plan of Namibia
NETIF	Nepal Environment & Tourism Initiative Foundation
NGO	Non-Governmental Organisation
NGOWG	NGO Working Group on Women, Peace and Security
NTOEDP	Nepal Tourism, Outdoor and Environment Development Project
OCHA	Office for the Co-ordination of Humanitarian Affairs
ODA	Official Development Assistance
OECD	Organisation for Economic Co-operation and Development
OECD-DAC	OECD Development Assistance Committee
PATRIR	Peace Action, Training and Research Institute of Romania
PD	Paris Declaration
PDR	Lao People's Democratic Republic
POs	Partner Organisations
PRS	Poverty Reduction Strategy
RBA	Rights-Based Approaches
RVWRMP	Rural Village Water Resources Management Project (Nepal)
SASK	Trade Union Solidarity Centre of Finland



SETECI	Technical Secretariat for International Co-operation (Secretaría Técnica de Co-operación Internacional)
Siemenpuu	Finnish NGO Foundation for the Environment
SRHR	Sexual and Reproductive Health and Rights
ToR	Terms of Reference
UN	United Nations
UNDP	United Nations Development Programme
UNICEF	United Nations Children's Fund
US\$	United States Dollar
WEF	World Economic Forum



# **Evaluointi täydentävyydestä Suomen kehityspolitiikassa ja kehitysyhteistyössä**

## **Osaevaluointi kansalaisjärjestöinstrumenttien täydentävyydestä**

*Gunnar Olesen ja Yoseph Endeshaw*

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## **TIIVISTELMÄ**

Tämä osaevaluointi Suomen rahoittamasta tuesta kansalaisjärjestöille on osa Suomen kehityspolitiikan ja kehitysyhteistyön täydentävyyden laajempaa evaluointia. Evaluointi sisälsi laajan asiakirjojen analyysin sekä survey-tutkimuksia ja haastatteluja Suomessa ja seitsemässä kumppanimaassa.

Vuosina 2004 – 2012 kansalaisjärjestöille annettu tuki oli hyvin pirstaloitunutta. Suomalaisille kansalaisjärjestöille annettu tuki ja Suomen kahdenvälinen yhteistyö täydensivät vain vähän toisiaan. Täydentävyys oli hyvin vähäistä myös kansalaisjärjestöinstrumenttien sisällä ja niiden välillä. Tilanne oli parempi kansainvälisten kansalaisjärjestöjen ja paikallisten määrärahojen tuensaajien kohdalla, sillä niitä valittaessa täydentävyys oli merkittävämpi tekijä Suomen alueellisissa ohjelmissa sekä maaohjelmissa. Suomen kehityspolitiikan linjaukset tukevat täydentävyyttä, mutta käytössä ei ollut mekanismeja varsinaisen täytäntöönpanon varmistamiseksi. Ulkoasiainministeriön viestintä- ja johtamisrakenteet eivät myöskään edistäneet sitä. Tietoa kansalaisjärjestöjen toiminnasta oli saatavissa vain vähän, eikä sitä jaettu riittävästi esimerkiksi yksikköjen ja edustustojen välillä tai ulkoisten sidosryhmien kanssa. Ulkoasiainministeriö ja useimmat kansalaisjärjestöt tukivat täydentävyyttä, vaikka osa järjestöistä pelkäsi, että valtion ja kansalaisyhteiskunnan välinen raja saattaisi hämärtyä.

Evaluoinnin tuloksien perusteella suositellaan täydentävyyden parantamiseksi: asianmukaista tiedonhallintaa; täydentävyyttä tukevia yhteistyömenettelyjä; kansalaisyhteiskuntastrategian päivittämistä; kahdenvälisen yhteistyön täydentävyyttä suosivia kannustimia kansalaisjärjestöille sekä merkittävien kansalaisjärjestöjen osallistumista alueellisten ja maaohjelmien laatimiseen.

*Avainsanat:* täydentävyys, pirstaloituneisuus, tiedonhallinta, kansalaisjärjestöt, kansalaisyhteiskunta

# Utvärdering av Komplementaritet i Finlands utvecklingspolitik och -samarbete

## Fallstudie av NGO-instrumentets komplementaritet

*Gunnar Olesen och Yoseph Endeshaw*

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## REFERAT

Denna fallstudie av Finlands stöd till icke-statliga organisationer (*Non-Governmental Organizations*, NGOs) ingår i en större utvärdering av komplementariteten i Finlands utvecklingspolitik och -samarbete. I fallstudien gjordes en omfattande dokumentgranskning samt enkäter och intervjuer i Finland och sju partnerländer.

NGO-stödet var mycket fragmenterat mellan 2004 och 2012. Det fanns begränsad komplementaritet mellan finländska icke-statliga organisationer och det bilaterala samarbetet. Läget var bättre med avseende på INGO och lokala mottagare eftersom komplementaritet med Finlands region- och landstrategier var en mer tongivande faktor i urvalet. Komplementariteten inom och mellan NGO-instrumenten var dock mycket begränsad. Finlands politiska riktlinjer uppmuntrar komplementaritet, men det fanns ingen mekanism för säkerställande av det faktiska genomförandet. Utrikesministeriets (UM) informations- och förvaltningsstrukturer var kontraproduktiva. Informationen om NGO-verksamheten var begränsad, svårtillgänglig och delades inte mellan enheter, ambassader eller externa intressenter. Komplementariteten stöddes av UM och de flesta NGO – varav en del fruktade att gränsen mellan staten och civilsamhället skulle suddas ut.

Utvärderingen rekommenderar ett antal åtgärder för bättre komplementaritet: ändamålsenlig informationshantering, samarbetsförfaranden i UM som uppmuntrar komplementaritet, uppdatering av strategin för civilsamhället, incitament för NGO-stöd som gynnar komplementaritet i det bilaterala samarbetet och att relevanta icke-statliga organisationer deltar i utarbetandet av region- och landstrategier.

*Nyckelord:* Komplementaritet, fragmentering, informationshantering, icke-statliga organisationer, civilsamhället

# Evaluation on Complementarity in Finland's Development Policy and Co-operation

## A case study on complementarity in the NGO instruments

*Gunnar Olesen and Yoseph Endeshaw*

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### ABSTRACT

This case study on Finnish-funded support to Non-Governmental Organisations (NGOs) is part of a broader evaluation of complementarity in Finland's development policy and co-operation. The case study involved an extensive review of documents, surveys and interviews in Finland and in seven partner countries.

Between 2004 and 2012 NGO support was very fragmented. There was limited complementarity between Finnish NGOs and bilateral co-operation. The situation was better for INGOs and local grantees, as complementarity with Finland's regional and country strategies was a more prominent concern in their selection. However, complementarity was also very limited within and between the NGO instruments. Finnish policies encourage complementarity, but there were no mechanisms to ensure actual implementation. Information and managerial structures of Finland's Ministry for Foreign Affairs (MFA) were counterproductive. Information about NGO activities was limited, not easily available, and not shared between units and Embassies or with external stakeholders. Complementarity was supported by the MFA and most NGOs – some of which feared, however, that the distinction between state and civil society might become blurred.

The evaluation recommends a number of measures to enhance complementarity: adequate information management; MFA co-operation procedures that encourage complementarity; updating the civil society strategy; incentives for NGO support favouring complementarity in bilateral co-operation; and participation by relevant NGOs in the elaboration of regional and country strategies.

*Keywords:* Complementarity, fragmentation, information management, Non-Governmental Organisations, civil society organisations

## YHTEENVETO

Tämän evaluoinnin tarkoituksena oli arvioida Suomen rahoittaman kansalaisjärjestöjen kehitysyhteistyön täydentävyyttä osana Suomen kehityspolitiikan ja kehitysyhteistyön täydentävyyden kokonaisevaluointia. Tavoitteena oli löytää uusia ja innovatiivisia tapoja hyödyntää kansalaisjärjestöyhteistyötä. Evaluoinnissa käytiin läpi laaja aineisto asiakirjoja ja tehtiin haastatteluja kansalaisjärjestöjen ja niiden sidosryhmien kanssa sekä Suomessa että seitsemässä kumppanimaassa.

### Kansalaisjärjestöjen toteuttama kehitysyhteistyö

Kansalaisjärjestöjen kautta kanavoitu osuus kehitysyhteistyöstä kasvoi evaluoidulla jaksolla (2004–2012) ja oli vuonna 2012 jo 12 prosenttia Suomen virallisesta kehitysavusta. Kansalaisjärjestöjen tukemiseen tarkoitettut kolme kehitysyhteistyöinstrumenttia olivat seuraavat:

- **Kansalaisjärjestöinstrumentti (NGO-instrumentti)**, josta myönnettiin hanketukea suomalaisille kansalaisjärjestöille. Sitä hallinnoi ulkoasiainministeriön kansalaisjärjestöyksikkö.
- **Kansainvälisten kansalaisjärjestöjen (INGO) instrumentti**, josta myönnettiin hankeavustuksia kansainvälisille kansalaisjärjestöille, lähinnä alueellisia ohjelmia varten. Sitä hallinnoivat ulkoasiainministeriön alueellisen ja poliittisen yhteistyön yksiköt.
- **Paikallisen yhteistyön määrärahat (PYM) -instrumentti**, jota hallinnoivat Suomen edustustot kehitysmaissa. Siitä myönnettiin pieniä avustuksia paikallisille kansalaisjärjestöille ja muille yhteiskunnan toimijoille.

Suomalaisille kansalaisjärjestöille myönnetty tuki muodosti noin 75 prosenttia kaikesta kansalaisjärjestötuesta. Kansainvälisille kansalaisjärjestöille myönnetty osuus oli 15 prosenttia ja paikallisen yhteistyön määrärahojen osuus 10 prosenttia.

Vuosina 2006–2012 suomalaiset kansalaisjärjestöt tukivat hankkeita sadassa maassa, useimmiten muualla kuin Suomen kehitysyhteistyön seitsemässä pitkäaikaisessa kumppanimaassa. Suomalaisten kansalaisjärjestöjen hankkeiden lukumäärä vuonna 2012 oli 955.

### Kansalaisjärjestöjen kehitysyhteistyössä täydentävyyden vähäistä

Kansalaisjärjestötuki täydensi Suomen kehitysyhteistyön muita muotoja vain laajemmilla yhteisissä päämäärissä, kuten läpileikkaavissa tavoitteissa. Useimmissa pitkän aikavälin kumppanimaissa kehitysyhteistyön täydentävyys rajoittui jonkinasteiseen tie-

donjakoon edustustojen kanssa tai niiden välityksellä muille sidosryhmille. Joissain tapauksissa voitiin kuitenkin todeta työnjakoa ja yhteisiä strategisia toimia kansalaisjärjestöjen ja kahdenvälisen tuen välillä edustustojen toimien tuloksena.

Kansainvälisille kansalaisjärjestöille myönnetty tuki sekä PYM-tuki täydensivät Suomen alueellista ja kahdenvälistä yhteistyötä strategissa toimissa ja yhteisen tilivelvollisuuden toteutuksessa. Näitä instrumentteja hallinnoivat ulkoasiainministeriön alueellisen ja poliittisen yhteistyön yksiköt ja edustustot Suomen alueellisten ja maaohjelmien tavoitteiden mukaisesti.

Samoissa maissa ja samoilla aloilla toimivien suomalaisten kansalaisjärjestöjen välinen koordinointi ja yhteistyö olivat vähäisiä sekä strategisessa suunnittelussa että erillisten hankkeiden osalta. Sama tilanne oli myös kolmen kansalaisjärjestöinstrumentin välillä: ne toimivat lähinnä erillään ja tiesivät vain vähän toisistaan.

Myös kolmen kehitysyhteistyösäätiön – Vammaissäätiö Abiliksen, Ihmisoikeussäätiö KIOSin ja Siemenpuu-säätiön – keskinäinen täydentävyys oli riittämätöntä.

Suomalaisten kansalaisjärjestöjen kehitysyhteistyö täydensi kumppanimaiden hallitusten työtä sovitamalla toimintaa yhteen niiden kehitysprioriteettien kanssa. Myös paikallisten kumppanijärjestöjen kanssa suunniteltiin ja toteutettiin yhteishankkeita. Kansalaisjärjestöjen täydentävyys paikallisten kansalaisjärjestöyhteisöjen kanssa ihmisoikeuksien edistämiseksi ja kansalaisjärjestöille suotuisan toimintaympäristön luomiseksi rajoittui lähinnä PYM-tukeen.

Suomalaiset kansalaisjärjestöt, jotka toimivat kansainvälisten kansalaisjärjestöjen osana, täydensivät emojärjestöjensä toimia kaikilla tasoilla, myös monenkeskisiin organisaatioihin liittyvissä tehtävissä. Täydentävyyttä muiden kehitysyhteistyötoimijoiden kanssa oli nähtävissä vain vähän. Täydentävyyttä voitiin havaita jonkin verran yksityisen sektorin kanssa toteutetuissa toimissa ja niiltä saadun tuen käytössä.

Yksi evaluoinnin huomioista oli, että ulkoasiainministeriön kansalaisjärjestötuen instrumentit eivät suosi täydentävyyttä seuraavista syistä:

- Käytettävissä ei ollut helposti saatavaa ja ajankohtaista tietoa kansalaisjärjestöinstrumenttien sisällöstä, minkä vuoksi kokonaisuutta oli vaikeaa ymmärtää ja hallinnoida.
- Ohjeet täydentävyyden soveltamiseksi käytännössä sekä kansalaisjärjestöinstrumenttien johtamista ja hallintoa varten olivat riittämättömät.
- Ulkoasiainministeriön kansalaisjärjestöyksikön, eri kansalaisjärjestöinstrumenttien hallinnointiin osallistuvien muiden yksikköjen sekä edustustojen välinen viestintä ja yhteistyö ei ollut tehokasta.

Hätäavun, kunnostustoimien ja kehitysyhteistyön yhdistämistä (*Linking relief, rehabilitation and development, LRRD*) koskevan lähestymistavan mukaisesti kolme suomalaista humanitaarisen avun järjestöä – Suomen helluntaiseurakuntien lähetys- ja kehitysyh-

teistyöjärjestö (Fida), Kirkon Ulkomaanapu (KUA) ja Suomen Punainen Risti (SPR) – priorisoivat täydentävyyttä järjestöjen humanitaarisen avun toimissa sekä niiden jälkeisessä jälleenrakennus- ja kehittämistyössä. Työnjako Suomessa näiden kolmen järjestön välillä toimi hyvin, ja yhteistyötä täydennettiin ajoittain kentällä. Järjestöjen akkreditointi Euroopan komission humanitaarisen avun ja pelastuspalvelun pääosastoon (ECHO) merkitsi lisärahoitusmahdollisuuksia ja mahdollisti osallistumisen keskusteluun humanitaarisesta avusta Euroopan unionissa.

## **Argumentteja täydentävyyden puolesta ja sitä vastaan**

### **Täydentävyyden periaatetta puoltavat argumentit**

- Suomessa kansalaisjärjestöjen vahvaa roolia kehitysyhteistyössä tuetaan poliittisesti. Kansalaisjärjestöjen kehitysyhteistyön toivotaan vähentävän avun pirstaloituneisuutta ja lisäävän täydentävyyttä.
- Kansalaisjärjestöjen toimintaympäristöön kumppanimaissa liittyy paljon haasteita ja ne edellyttävät toisiaan täydentäviä tukia kansalaisjärjestöiltä ja ulkoasiainministeriöltä. Suomen kansalaisjärjestöjen yhteisöstä tulisi todennäköisesti myös kestävämpi koordinoinnin ja yhteistyön lisäämisen avulla.
- Ruohonjuuritasolla toimivat kansalaisjärjestöt voivat vahvistaa kahdenvälisen ja alueellisen yhteistyön tuloksia. Yleisen mielipiteen mukaan kansalaisjärjestötyökiin liittyvän täydentävyyden lisääminen johtaa parempiin tuloksiin, tehokkuuden lisääntymiseen ja johdonmukaisuuteen Suomen kehitysyhteistyössä.
- Useimmat kansalaisjärjestöt katsoivat täydentävyyden olevan niiden tavoitteiden mukaista ja toteutettavissa niiden rakenteiden puitteissa. Myös ulkoasiainministeriössä ja edustustoissa asenne täydentävyyden periaatetta kohtaan oli positiivinen.

### **Argumentit täydentävyyden periaatetta vastaan**

- Vaarana täydentävyyden lisäämisessä ulkoasiainministeriön ja kansalaisjärjestöjen toiminnan välillä pidettiin valtion ja kansalaisyhteiskunnan välisen rajan hämärtymistä. Jotkin suomalaiset kansalaisjärjestöt haluavat täydentää mieluummin muun maailman ja kansainvälisten kumppanijärjestöjen toimintaa kuin toisten suomalaisten kehitysyhteistyön toimijoiden aloitteita.
- Tämänhetkinen kansalaisjärjestötukien järjestelmä toimii hyvin pirstaloituneisuudesta huolimatta. Muutoksiin liittyy riski tuloksellisuuden heikentymisestä.
- Kansalaisjärjestöissä on jonkin verran epävarmuutta täydentävyyden täsmällisestä merkityksestä ja sen seurauksista.

## **Kansalaisjärjestöihin liittyvän täydentävyyden vahvistamista puoltava argumentti**

Evaluoinnin mukaan kansalaisjärjestöihin liittyvän täydentävyyden vahvistamista puoltavia argumentteja on enemmän kuin sitä vastustavia. Kansalaisjärjestöjen epävarmuus täydentävyyden merkityksestä on kuitenkin tärkeää ottaa huomioon, sillä täy-



dentävyyden vahvistamisen perusteena on kehitysyhteistyön resurssien hyödyntäminen paremmin kaikkien osapuolten kesken. Mahdolliset vastakohtaisuudet vaarantaisivat nykyisen järjestelmän hyvin toimivat osat. Kannustimiin perustuvalla lähestymistavalle on kuitenkin tilaa, vaikkei sen tarvitsekaan muuttaa radikaalisti tämänhetkistä järjestelmää, joka toimii suhteellisen hyvin.

Täydentävyyden kannustimien tarkoitus on parantaa Suomen kehitysyhteistyön tuloksia. Lisäksi niiden avulla on tarkoitus vähentää kansalaisjärjestöjen pirstaloituneisuutta, vahvistaa Suomen kansalaisjärjestöyhteistyön vapaaehtoisuutta sekä edistää järjestöjen kumppanuuksien kestävyttä ja suotuisaa toimintaympäristöä kumppanimaissa.

## SAMMANFATTNING

Denna fallstudie, som en del av en övergripande utvärdering av komplementariteten i Finlands utvecklingspolitik och -samarbete, syftade till att bedöma komplementariteten i icke-statliga organisationers (NGO) utvecklingssamarbete med finländsk finansiering. Målet var att finna nya och innovativa sätt att bedriva NGO-samarbete. I fallstudien gjordes en omfattande granskning av dokumentationen, intervjuer i Finland och sju partnerländer samt enkäter till NGO-intressenter.

### Finlands utvecklingssamarbete genom icke-statliga organisationer

Den NGO-kanaliserade andelen av Finlands utvecklingssamarbete ökade under den utvärderade perioden (2004–2012) till 12 % av Finlands officiella utvecklingsbistånd (ODA) 2012. De tre stödinstrumenten var

- **NGO-instrumentet**, som tillhandahöll projektbidrag till finländska icke-statliga organisationer. Det förvaltades av Utrikesministeriets (UM) NGO-enhet.
- **INGO-instrumentet (International NGO)**, som tillhandahöll bidrag till internationella icke-statliga organisationer, främst regionala program. Det förvaltades av UM:s regionala och politiska enheter.
- **LCF-instrumentet (Lokala samarbetsfonder)**, som administrerades av Finlands ambassader och tillhandahöll små bidrag till lokala icke-statliga organisationer och andra samhällsaktörer i utvecklingsländerna.

NGO-instrumentet utgjorde cirka 75 % av det totala NGO-stödet medan INGO- och LCF-instrumenten stod för 15 respektive 10 %.

Mellan 2006 och 2012 stödde finländska icke-statliga organisationer projekt i 100 länder – de flesta utanför de sju länder som har ett långsiktigt samarbete med Finland. Antalet finländska NGO-projekt 2012 var 955.

### Begränsad NGO-relaterad komplementaritet i Finlands samarbete

NGO-stödet var komplementärt med andra former av Finlands samarbete endast på den övergripande nivån av gemensamma mål, inklusive övergripande syften. I de flesta av utvecklingssamarbetets långsiktiga partnerländer var den begränsad till viss informationsdelning med och genom ambassader. Utvärderingen fann dock exempel på gemensamma strategiska åtgärder och arbetsfördelning mellan icke-statliga organisationer och det bilaterala stödet, vilka var ett resultat av initiativ på ambassaderna.

INGO- och LCF-stöden var komplementära med Finlands regionala och bilaterala samarbete på nivån för strategiska åtgärder och gemensamt ansvar i och med att dessa instrument administrerades av UM:s regionala och politiska enheter och ambassader i enlighet med målen för Finlands region- och landstrategier.

Koordinationen och samarbetet mellan finländska icke-statliga organisationer, som gjorde insatser i samma länder och sektorer, var begränsat både i fråga om strategisk planeringsnivå och specifika projekt. Detta var också fallet mellan de tre NGO-instrumenten, som mestadels verkade i en separat informationssilo med begränsad kunskap om varandra.

Komplementariteten var också otillräcklig med de tre stiftelserna: finländska icke-statliga organisationers stiftelse för funktionshindrade (Abilis), finländska icke-statliga organisationers stiftelse för mänskliga rättigheter (KIOS), och finländska icke-statliga organisationers stiftelse för miljön (Siemenpuu).

Finländska icke-statliga organisationer var komplementära till partnerländernas regeringar i fråga om anpassning till regeringens utvecklingsprioriteringar och överenskommen arbetsfördelning. De var komplementära med deras lokala NGO-partner i fråga om planering och genomförande av gemensamma projekt. NGO-komplementariteten med de lokala icke-statliga organisationerna relaterat till stödet för mänskliga rättigheter och icke-statliga organisationers arbetsförhållanden begränsade sig i huvudsak till LCF-stödet.

När finländska icke-statliga organisationer var knutna till INGOvar de komplementära med dem på alla nivåer, inklusive verksamheten i förhållande till multilaterala organisationer. Komplementaritet med andra relevanta aktörer fanns bara i begränsad grad, däribland finns exempel på stöd från och gemensamma åtgärder med aktörer i den privata sektorn.

UM:s system för NGO-stöd befanns inte gynna komplementaritet på grund av

- Bristen på lättillgänglig och uppdaterad information om NGO-instrumentens innehåll, vilket gjorde det svårt att få en översikt och hantera dem.
- Otillräckliga anvisningar för förvaltning och administration av NGO-instrumenten avseende praktisk tillämpning av komplementaritet.
- Ineffektiva förfaranden för kommunikation och samarbete mellan UM:s NGO-enhet, andra UM-enheter och ambassader som ansvarar för förvaltningen av olika NGO-instrument – ofta hänvisade till som “kommunikationsmurar”.

I enlighet med målen för relevanta finländska riktlinjer och ansatsen att länka hjälp med rehabilitering och utveckling (LRRD) prioriterade de tre humanitära icke-statliga organisationerna – de finländska pingstkyrkornas biståndsorganisation (Fida), Kyrkans utlandshjälp och Finlands Röda Kors – komplementaritet mellan deras humanitära insatser och påföljande återuppbyggnad och utveckling. Arbetsfördelningen mel-

lan dessa tre icke-statliga organisationer i Finland fungerade väl och kompletterades sporadiskt med samarbete på fältet. Deras ackreditering hos Europeiska kommissionens Generaldirektorat för humanitärt bistånd och civilskydd (ECHO) torde innebära ytterligare finansieringsmöjligheter och deltagande i diskussioner om humanitärt bistånd på EU-nivå.

## Argument för och mot komplementaritet

### Argument för

- Starkt politiskt stöd i Finland för en tongivande NGO-roll i utvecklingssamarbetet kombinerat med en önskan att minska fragmenteringen och förbättra komplementariteten.
- Utmaningar i arbetsförhållandena för icke-statliga organisationer i partnerländerna påkallar kompletterande NGO- och UM-stöd. Hållbarheten hos de finländska icke-statliga organisationerna blir sannolikt större när koordineringen och samarbetet ökar.
- Resultaten i bilateralt och regionalt samarbete kan stärkas genom att icke-statliga organisationer når ut till stödmottagare på gräsrotsnivå. Det finns en bred uppfattning om att ökad komplementaritet relaterat till icke-statliga organisationer leder till bättre resultat, större effektivitet och samstämmighet i Finlands utvecklingssamarbete.
- De flesta icke-statliga organisationer anser att ökad komplementaritet överensstämmer med deras mål och är genomförbart inom deras struktur. En positiv attityd påträffades även på UM och ambassaderna.

### Argument mot

- Ökad komplementaritet mellan UM- och NGO-verksamhet riskerar att sätta ut gränsen mellan staten och civilsamhället. Vissa finländska icke-statliga organisationer vill vara komplementära med "världen" och internationella NGO-partner snarare än med andra utvecklingsaktörer i Finland.
- Det nuvarande NGO-systemet fungerar väl trots fragmenteringen. Därmed kan förändringar innebära en risk för sämre effektivitet.
- Det finns viss osäkerhet bland icke-statliga organisationer om den exakta innebörden av komplementaritet och dess konsekvenser.

## Argument för bättre NGO-relaterad komplementaritet

Utvärderingens slutsats är att det finns en övervikt för argument som är för en ökad NGO-relaterad komplementaritet. Det är dock viktigt att ta hänsyn till den tvekan och osäkerhet som finns hos vissa icke-statliga organisationer – inte minst med beaktande av att grundtanken bakom ökad komplementaritet är ett bättre utnyttjande av resurserna för de involverade parternas gemensamma bästa. Eventuell antagonism skulle äventyra de välfungerande elementen i det befintliga systemet.

Det finns dock rum för en sådan incitamentbaserad ansats i genomförandet som inte innebär några radikala förändringar av det nuvarande systemet, som fungerar väl.

Rekommenderade incitament syftar till att förbättra resultaten i Finlands samarbete. Dessa är inte bara avsedda att minska den höga graden av fragmentering i NGO-stödet utan ska även stärka frivilligdelen i Finlands NGO-samarbete och förbättra hållbarheten hos organisationernas NGO-partner samt möjliggöra NGO-arbetsförhållanden i partnerländerna.

## SUMMARY

As a part of an overall evaluation of complementarity in Finland's development policy and co-operation, this case study aimed to assess complementarity related to Finnish-funded development co-operation by Non-Governmental Organisations (NGOs). The objective was to find new and innovative ways of deploying NGO co-operation. The case study involved an extensive review of the documentation, interviews in Finland and in seven partner countries, as well as surveys among NGO stakeholders.

### Finland's development co-operation through NGOs

The NGO-channelled part of Finland's development co-operation grew throughout the period evaluated (2004-2012), reaching 12% of overall Finland's Official Development Assistance (ODA) in 2012. The three NGO-support instruments were:

- The **NGO instrument** provided project grants to Finnish NGOs. It was managed by the NGO Unit within Finland's Ministry for Foreign Affairs (MFA).
- The **International NGO (INGO) instrument** provided grants to international NGOs, mainly for regional programmes. It was managed by the MFA regional and political units.
- The **Local Co-operation Fund (LCF) instrument** was administered by Embassies of Finland, and provided small grants to local NGOs and other societal actors in developing countries.

The NGO instrument corresponded to approximately 75% of total NGO support, while the INGO and LCF instruments represented 15% and 10%, respectively. From 2006-2012, Finnish NGOs supported projects in 100 countries – mostly outside the seven countries involved in long-term co-operation with Finland. The 2012 number of Finnish NGO projects was 955.

### Limited NGO-related complementarity in Finland's co-operation

NGO support was complementary with other forms of Finland's co-operation only at the overall level of shared goals, including cross-cutting objectives. In most long-term co-operation countries, it was limited to some information sharing with and through the Embassies. However, cases were found of division of labour and joint strategic action between NGOs and bilateral support, as a result of specific Embassy initiatives.

INGO and LCF support was complementary with Finland's regional and bilateral co-operation at the levels of strategic action and joint accountability, as these instruments were administered by MFA regional and political units and Embassies in line with the objectives of the regional and country strategies.

Co-ordination and co-operation between Finnish NGOs, with interventions in the same countries and sectors, was limited, both at the level of strategic planning and with regard to specific projects. This was also the case between the three NGO instruments, which mostly operated in separate silos, with limited knowledge about each other.

Complementarity also under-utilised with the three foundations: the Finnish NGO Foundation for People with Disabilities (Abilis), the Finnish NGO Foundation for Human Rights (KIOS), and the Finnish NGO Foundation for the Environment (Siemenpuu).

NGOs were complementary to the governments of co-operation countries in terms of alignment with the governments' development priorities and an agreed division of labour. They were complementary to their local partner NGOs with regard to conception and implementation of joint projects. NGO complementarity with the local NGO communities, in relation to support for human rights and an enabling NGO environment, was confined mainly to LCF support.

When affiliated to international NGOs, Finnish NGOs were complementary to these at all levels, including activities in relation to multilateral organisations. Complementarity with other relevant actors existed only to a limited extent, including examples of support from, and joint action with, private sector actors.

The MFA regime for NGO support was found not to favour complementarity due to:

- The lack of easily available and up-to-date information about the content of the NGO instruments – making it difficult to have an overview of them and to manage them.
- Insufficient management and administrative guidelines for the NGO instruments on how to apply complementarity in practice.
- Ineffective communication and co-operation procedures between the MFA NGO Unit, other MFA units and Embassies that are involved in the management of the various NGO instruments – frequently referred to as communication “firewalls”.

In line with the objectives of the relevant policies and the approach of linking relief with rehabilitation and development (LRRD), the three humanitarian NGOs – the development co-operation organisation of the Finnish Pentecostal churches (Fida), Finnish Church Aid (FCA) and the Finnish Red Cross – prioritised complementarity between their humanitarian interventions and subsequent reconstruction and development. Division of labour between the three NGOs in Finland worked well and was occasionally supplemented with co-operation in the field. Their accreditation to the European Commission's Directorate-General for Humanitarian Aid and Civil Protection (ECHO) implied additional funding possibilities and participation in discussions on humanitarian aid at European Union (EU) level.

## Arguments in favour of and against complementarity

### Arguments in favour

- Strong political support in Finland for a substantial NGO role in development co-operation is accompanied by a wish to reduce fragmentation and enhance complementarity.
- Challenges to the NGO work environment in partner countries call for complementary NGO and MFA support. The Finnish NGO community is also likely to become more sustainable as a result of increased co-ordination and co-operation.
- Results of bilateral and regional co-operation may be strengthened by NGOs reaching out to grass-roots beneficiaries. There is a broad-based perception that increased NGO-related complementarity leads to better results, increased efficiency, and coherence of Finnish development co-operation.
- Most NGOs regard increased complementarity as being in line with their objectives and feasible within their set-up. A positive attitude was also encountered in the MFA and the Embassies.

### Arguments against

- Increased complementary between MFA and NGO activities runs the risk of blurring the distinction between state and civil society. Some Finnish NGOs want to be complementary with “the world” and international partner NGOs, rather than with other Finnish development actors.
- The present NGO regime works well, despite fragmentation. Hence, changes may carry the risk of a deterioration of effectiveness.
- There is some uncertainty among NGOs about the exact meaning of complementarity and its consequences.

## The argument for enhanced NGO-related complementarity

The evaluation concludes that there is a preponderance of arguments in favour of enhanced NGO-related complementarity. However, it is important to take into account the hesitant attitude and uncertainty found in some sections of the NGO community – not least when considering that the rationale for enhanced complementarity is to utilise resources better for the common benefit of the involved parties. Possible antagonism would jeopardise the elements that work well within the existing regime. However, there is room for an incentives-based implementation approach that should not radically change the present regime, which works well.

The recommended incentives are aimed at improving the results of Finland’s co-operation. Moreover, they are intended not only to reduce the high degree of fragmentation in NGO support, but also to strengthen the voluntary element in Finnish NGO co-operation, and to enhance the sustainability of their partner NGOs and the enabling NGO work environment in the co-operation countries.



## Summary of Main Findings, Conclusions and Recommendations

Findings	Conclusions	Recommendations
<b>Implementation approach</b>		
There was a vast and under-utilised potential for complementarity benefits between NGO and other Finnish-funded development co-operation. However, some sections of the Finnish NGO community perceived that their independence might be threatened by increased complementarity.	In order not to blur the distinction between state and civil society, the NGOs' right of initiative needs to be sustained.	1. New ways of promoting NGO-related complementarity should be based on incentives that favour applications complying with complementarity criteria, as specified in the recommendations that follow this one.
<b>Managerial issues</b>		
MFA sources did not provide consolidated information about the specific content of the NGO instrument. For the INGO instrument, there was little available information about the specific content. It was difficult for the staff at most Embassies to identify and access relevant information related to NGOs and INGOs. For the LCF instrument, only recent grant allocations were covered on Embassy websites.	More accurate, easily accessible and user-friendly consolidated and specific information about the content of the NGO instruments is a precondition for enhanced NGO-related complementarity.	2. MFA management and sharing of information related to the NGO instruments should be strengthened as follows: <ul style="list-style-type: none"> <li>• A comprehensive database on NGO activities should be created. It should be operationally accessible and regularly updated.</li> <li>• An introductory training module on NGO-related development co-operation should be developed and offered to concerned Finland's Embassies and MFA units.</li> </ul>
NGO-related complementarity in Finnish-funded co-operation was limited by co-operation and communication	It is a precondition for enhanced NGO-related complementarity that MFA communication and co-operation pro-	3. NGO-related communication and co-operation procedures between the NGO Unit, the MFA regional units and the Em-

<p>“firewalls” between concerned MFA units and Embassies.</p> <p>There was sparse interaction between and within the NGO instruments. NGOs were more oriented towards international partner NGOs than towards other Finnish actors.</p> <p>Finnish NGO support to local partner NGOs consisted mainly of organisational capacity building, while there was limited concerted action with LCF support for the work environment of the local NGO community.</p>	<p>cedures facilitate flexible decision-making procedures that consider the NGO-sector in a holistic perspective.</p> <p>This involves the relations between the involved units in the MFA, and between the MFA Headquarters (HQ) and the Embassies.</p>	<p>bassies should be improved.</p> <p>This should lead to a screening of NGO proposals, taking into consideration:</p> <ul style="list-style-type: none"> <li>• Relations to other Finland’s country and regional co-operation;</li> <li>• Contribution to create or strengthen sector/country clusters of NGO programmes and projects; and</li> <li>• Their role in relation to the nature of civil society and its work environment in co-operation countries.</li> </ul>
<b>External complementarity</b>		
<p>Local partners in NGO co-operation have increasingly become part of a professional NGO sector that depends on external funding, and is under varying degrees of government pressure. Also, in Finland, the nature of development NGOs is changing as a result of dependency on public funding. As a consequence, their traditional representation of Finnish society is being challenged.</p>	<p>Finnish NGO-related strategies and guidelines are not clear about the distinction between Civil Society Organisations (CSOs) and NGOs, and they operate with a civil society concept that is partially outdated.</p> <p>This lack of clarity blurs the prospect of concerted action for the benefit of civil society at large and the creation of an enabling NGO work environment in partner countries.</p>	<p>4. A comprehensive study on the evolving NGO/CSO context should be initiated to supplement and update the Finnish NGO development co-operation civil society strategy. It should focus on government-NGO relations, including: the work environment related to human rights; the evolving nature of civil society; the inclusion of non-NGO sections of civil society in co-operation; and how the overall objective of a strong civil society is best accommodated.</p>

<b>Internal complementarity</b>		
<p>Finnish NGO support was highly fragmented. Only a minimal proportion was implemented in Finland's long-term co-operation countries. Cases were observed of co-operation working well, including joint NGO-bilateral strategic action.</p> <p>According to partner NGOs, specific Finnish areas of expertise were related to education, environment and gender equality, as well as to quality of co-operation of Finnish NGOs – including their flexibility, reliability, and “smallness and political innocence”. Interaction between Finnish NGOs and their local partners was mainly confined to professional project managers.</p>	<p>Complementary gains can be expected from:</p> <ul style="list-style-type: none"> <li>• Increased presence of NGO projects in Finland's long-term partner countries;</li> <li>• Complementarity with Finland's country strategies;</li> <li>• A degree of “Finnishness” in the interventions.</li> </ul> <p>For the sustainable future of partner NGOs, reduction of their dependency on external funding is a major challenge that requires action.</p>	<p>5. Criteria included in the evaluation of NGO applications for MFA-funding, from partnership and non-partnership NGOs, should provide incentives for the proposed interventions to have:</p> <ul style="list-style-type: none"> <li>• Location in a Finland's long-term partner country.</li> <li>• Consideration of country strategies or regional programmes.</li> <li>• Active exploration of possibilities for co-operation with other Finnish NGOs working in same sectors and countries.</li> <li>• Established probability of added Finnish value to the project, additional to funding and including the volunteer element of the Finnish NGO.</li> <li>• Plans to increase own income-generation of partner NGO.</li> </ul>
<p>Most NGOs regarded increased complementarity as being in line with their objectives – including in relation to NGOs playing a bigger role in the implementation of Finland's bilateral co-operation – and being feasible within their existing administrative set-up.</p>	<p>Enhanced NGO-related complementarity is likely to strengthen the results of bilateral co-operation, including by reaching out to grassroots beneficiaries.</p> <p>At the strategic level, in terms of joint planning and programming, this could create synergy in co-operation between bilateral and NGO support, as well as with support through other</p>	<p>6. NGO participation in the implementation of Finland's co-operation, including bilateral as well as research and institutional instruments, should be enhanced as follows:</p> <ul style="list-style-type: none"> <li>• Where relevant, terms of reference (ToR) for bilateral programmes should emphasise citizens' complementarity, combined “top-down” and “bottom-up” approaches, and the pos-</li> </ul>

	<p>Finnish instruments. At the level of joint action, bilateral and NGO co-operation are in a position to promote programmes with elements of citizens' complementarity.</p>	<p>sible use of NGO expertise.</p> <ul style="list-style-type: none"> <li>• Tender evaluation criteria should provide incentives for corresponding integration of NGOs in consortia together with private companies.</li> </ul>
<p>Cases existed of an informal exit strategy – when Finland wishes to withdraw from long-term country co-operation – through the use of the NGO and LCF instruments.</p> <p>Where there is Finland's diplomatic representation in countries that are not long-term partners, some information sharing took place through Embassies of Finland.</p>	<p>There is a the potential for complementarity gain from utilising the NGO worldwide experience in relation to possible exit, and entry, strategies in Finland's bilateral co-operation.</p>	<p>7. Finnish NGOs with a relevant co-operation history should be involved in country strategy revisions, including: negotiations with the governments; the revisions of regional programmes; the development, and possibly implementation, of exit and entry strategies for bilateral co-operation.</p>
<p>Three Foundations – Abilis, KIOS and Siemenpuu – represented sector expertise related to human rights, environment and disability that was under-used by the MFA regional and NGO Units, by the Embassies, and by Finnish-funded NGOs.</p>	<p>The sector expertise of the three Foundations could be used by NGOs with regard to cross-cutting themes and objectives, and be used by the NGO Unit and the Embassies for screening applications.</p>	<p>8. The three Foundations should provide advice to the relevant MFA units and Embassies with regard to NGO applications and projects.</p> <p>The Foundations should be consulted by Finnish-funded NGOs about the implementation of cross-cutting objectives.</p>
<p>Between the three NGO instruments, knowledge of other instruments was limited. Among Finnish NGOs, co-ordination and co-operation was limited, with regard both to strategic planning and to specific projects.</p>	<p>There is a large potential for complementarity between Finnish NGOs, their local partners and LCF grantees, with regard to advocacy in similar fields.</p>	<p>9. Finnish NGOs should explore possible enhanced complementarity on all levels between their activities, on a country and sector basis, and with the local NGO and civil society communities.</p>

## 1 INTRODUCTION

The case study concerning NGO co-operation is part of the overall evaluation of complementarity in Finland's development policy and co-operation between 2004 and 2012. The case study was conducted in parallel with another case study on the Institutional Co-operation Instrument (IKI) and the desk review of the Mozambique and Zambia country programmes. In a final report, the case studies will feed into a synthesis report on complementarity in Finland's development policy and co-operation.

The evaluation's definition of complementarity, developed on the basis of relevant Organisation for Economic Co-operation and Development (OECD), European Union (EU) and Finland's policy documents, is: *Complementarity is achieved when two or more actors in development co-operation work to a common goal to achieve shared overall development outcomes, recognising that they will achieve more through a strategic division of labour and joint governance accountability, by combining their capacities, skills and resources in an optimum manner based on their institutional strengths and constraints.*

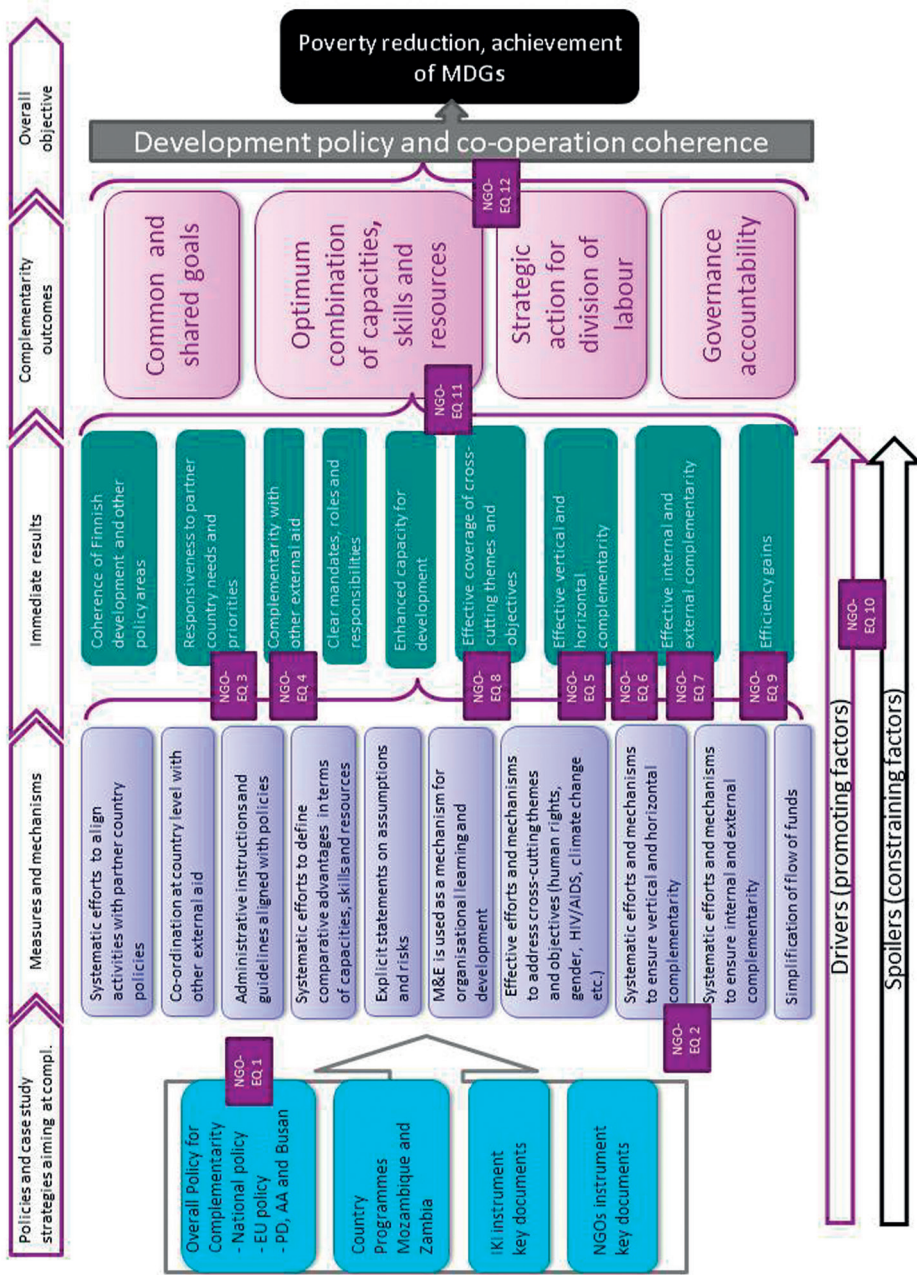
The definition contains four levels of complementarity that are applied in this report: shared goals, strategic action, division of labour, and joint accountability.

The achievement of complementarity generally requires a process of analysing the context, negotiating mutual or joint agreements within the different dimensions in the development co-operation system (vertical/ horizontal), and can involve action within and outside the development co-operation organisation (internal/external). This analysis and negotiation process also requires leadership to reach decisions about the optimum combination of skills and resources. Joint accountability figures prominently in OECD, EU and Finland's policy documents. It refers to obligations that development partners have to each other at all levels, both horizontally and vertically, and with respect to constituencies both in donor and partner countries.

On the basis of detailed Terms of Reference (ToR) for this evaluation, a Theory of Change model was developed as the key methodology for the evaluation (Figure 1):

- It depicts causal paths leading, at all levels, to complementarity that is assumed to support the **overall objective of development policy and co-operation coherence**. The latter is understood to define Finland's contribution to global goals, such as poverty reduction, achievement of Millennium Development Goals (MDGs) and other internationally agreed development goals.
- **Complementarity** is the intended outcome, represented in the four key dimensions described in the working definition of the term, as previously outlined.
- To achieve these **complementarity outcomes**, Finland adopted a series of **measures and mechanisms** – vertical and horizontal, internal and external – on how to deal with external partners and that are expected to produce **immediate results**.

Figure 1 Theory of change.





Immediate results include, for example: efficient use of resources; activation of Finnish competitive advantages; clearer roles and responsibilities at the organisational level that will enable citizens and civil society to hold Government and other duty bearers accountable; at country level, responsiveness to partner country needs and priorities, and complementarity with other forms of external assistance; at all levels, measures and mechanisms ensuring adequate coverage of cross-cutting themes and objectives and efficiency gains resulting from a simplification of the flows of funds.

However, the full application of the Theory of Change model will be possible only in the subsequent Synthesis Report, which is based on the inputs from the case study reports, including this NGO Case Report.

The elements linking the different levels of complementarity are expressed in **evaluation questions** (EQs) that reflect the evaluation questions in the ToR. The overall EQs were adapted to the requirements of the different case studies specified in the ToR:

For the entire evaluation, complementarity is regarded in four dimensions:

- *Internal complementarity* considers relations inside Finland's development co-operation, including the Ministry for Foreign Affairs (MFA) and partners and stakeholders, such as other Ministries in Finland, technical agencies and Finnish NGOs;
- *External complementarity* considers relations with bilateral, private and multilateral donors abroad, as well as long-term partner countries and other countries benefiting from Finland's co-operation;
- *Vertical complementarity* considers all the levels, from international discourse to field operations;
- *Horizontal complementarity* refers to actors' interactions at the same level.

The conceptual framework and overall methodology for the evaluation were developed in an internal Inception Report in April 2013, followed by internal Desk Review reports for each case study, and on overall policy and practice of Finland's development co-operation.

The Desk Review reports were completed by interviews with the MFA and other stakeholders in Finland, as well as by surveys for the NGO and IKI case studies. The case studies also involved field visits between June and August 2013 to countries in Africa, Asia, Latin America and the Caribbean.

Each semi-final draft Case Study Report benefitted from comments by the MFA and other stakeholders. This allowed for finalisation of the case study reports and drafting of the Synthesis Report, the semi-final version of which will also benefit from stakeholder consultations.

## 2 APPROACH, METHODOLOGY AND LIMITATIONS

### 2.1 Scope and purpose

The purpose of the NGO case study is to provide information about, and to assess, the complementarity dimension in Finnish-funded NGO development co-operation between 2004 and 2012. This comprises the NGO instrument, including a special study of the three NGOs that also deliver humanitarian aid, and the INGO and LCF dimensions in the countries visited.

The overall objective of the study is to learn from experience in order to find ways to use the various NGO-related policy and co-operation instruments of Finland so that they are complementary, and so that mechanisms to accomplish complementarity are in place. The results of the study are to be used to develop further the implementation of Finland's development co-operation, and to find new and innovative ways of deploying more effectively the various NGO-related instruments and actors in development.

### 2.2 Approach and report structure

The NGO Case Study seeks to provide answers to the NGO related ToR evaluation questions by analysing the corresponding aspects of Finnish-funded NGO co-operation in order to arrive at innovative recommendations for enhancing NGO-related complementarity. The case study specific questions are presented in Box 1.

This approach provides the structure for this Report, and ensures that its sections feed into the EQs for the evaluation of complementarity in Finland's co-operation as a whole, to be analysed in the Synthesis Report.

Introduced by an overview of the NGO instruments in Section 3, the sequencing of findings related to the ToR-relevant aspects, in Section 4, is the following:

- The evolving context for the activities of Finnish-funded development NGOs, in partner countries and in Finland;
- The complementarity-related international policy background, to which Finland adheres, and the Finnish policy background;
- NGO complementarity with partner governments and CSOs;
- NGO complementarity with bilateral co-operation;
- Complementarity within and between the three NGO instruments;
- NGO complementarity with other relevant development actors;
- A resulting overview of complementarity relations between the main actors;
- In response to a specific ToR request, complementarity between Finnish humanitarian NGOs and between their relief and development activities.



**Box 1** Evaluation questions for the NGO case evaluation.

NGO-EQ 1	To what extent and how has complementarity as expressed in Finnish and international development policies been reflected in NGO support funded by Finland?
NGO-EQ 2	Which are the measures and mechanisms that have been, and could be, used in NGO support to ensure complementarity?
NGO-EQ 3	To what extent and how are implementation modalities and procedures of Finnish NGO cooperation responding to their partner countries' needs and priorities (including those of CSOs)?
NGO-EQ 4	To what extent and in which ways is complementarity ensured between NGO cooperation and other Finnish development cooperation?
NGO-EQ 5	To what extent and how are Finnish funded NGO interventions complementing each other?
NGO-EQ 6	How and to what extent does complementarity exist between Finnish NGO interventions and those of other relevant development actors?
NGO-EQ 7	To what extent and how do Finnish Church Aid, Fida and the Finnish Red Cross practice complementarity between their humanitarian interventions and reconstruction and development efforts and with other Finnish funded support?
NGO-EQ 8	To what extent and how is Finnish NGO support addressing cross-cutting themes and objectives?
NGO-EQ 9	To what extent and how is Finnish funded NGO support perceived to have achieved efficiency gains through complementarity?
NGO-EQ 10	Which are the drivers (favourable factors) and spoilers (unfavourable factors) for the achievement of increased complementarity in Finnish NGO support?
NGO-EQ 11	To what extent and how do Finnish NGO interventions contribute to coherence, effectiveness and efficiency of Finland's development cooperation?
NGO-EQ 12	Based on the evidence of this evaluation, which innovations could be recommended to enhance complementarity of the NGO-instrument with other instruments of Finnish development cooperation and thus make this cooperation more coherent, effective and efficient?

Section 5 deals with complementarity-related efficiency and effectiveness aspects of the NGO co-operation.

The findings are analysed in the concluding Section 6, which includes an assessment of favourable and un-favourable factors for increased NGO-related complementarity in Finnish co-operation, and assessment of the consequent options for innovative

enhancement of complementarity. Corresponding recommendations are presented in Section 7.

## 2.3 NGO terminology applied

The ToR of the evaluation refers to “NGOs” in Finland and to “CSOs” in developing countries. However, in line with the currently used terminology both in Finland and in partner countries, this Report will usually refer to “NGOs”. Where appropriate in the context, reference is made to CSOs and community-based organisations (CBOs), in line with the distinction in current academic and development discourse (Forsyth 2006, 78; 483 - see also Section 4.1)

**Non-Governmental Organisations** can be any non-state type of organisation – also referred to, particularly by the EU, as “Non-State Actors”. NGO activities are normally performed by professional staff, while internal democracy and volunteerism may be of lesser importance. In practice, NGOs often work in a way similar to consultancy companies, while also having access to funding possibilities reserved for non-profit purposes. NGOs are part of civil society, but often in an “elite” position in relation to other CSOs. Partner organisations of Finnish NGOs and LCF grantees are most often NGOs.

**Civil Society Organisations** represent population segments that support a certain cause. As the term indicates, civil society is rooted in society at large, as reflected in the classical notion of civil society. They are non-profit, between the state and the market. Hence, members’ voluntary contributions are normally more important than possible employees. CSOs represent a wide variety of organisations, with national or local coverage. When locally confined, CSOs are often referred to as **Community-Based Organisations**. CBOs may not have membership criteria, other than living in the area and participating in the CBO activity. Finnish NGO partners may be CSOs, and project implementation often goes through CBOs.

**Partner organisations (POs)** refer to Finnish NGOs that hold a framework agreement with the MFA. According to context, the term “partner organisation” is also used for local partners of Finnish NGOs, while the abbreviation is only used for framework contract holders. **NGO Forums** refer to national level NGO umbrella organisations, of which there are normally several. **International NGOs** refer to the constituency of the INGO instrument – INGOs contracted by the MFA. In relation to Finland’s co-operation, INGO is commonly used in two other ways: in Finland, the term refers to any INGO active in development co-operation, including international mother organisations to Finnish affiliates; in the Finland’s co-operation countries, INGO is the common term for any foreign NGO active in the country.

## Box 2 Current use of NGO terminology.

Definitions of civil society by major international institutions usually include a list of organisations/structures that are considered as CSOs. However, there are variations among different institutions, based on their institutional programmes for the sector. Moreover, the civil society arena is fluid and dynamic.

According to the World Bank website, CSOs *refer to a wide array of organisations: community groups, non-governmental organisations, labour unions, indigenous groups, charitable organisations, faith-based organisations, professional associations, and foundations* (World Bank 2013). The EU listing of CSOs is even broader and adds gender and Lesbian, Gay, Bisexual and Transgender (LGBT) organisations, co-operatives, business associations, the not-for-profit media, and employers' organisations. The UN definition of CSOs used under the Global Compact expressly excludes the private sector, academia, labour, or municipalities.

As with CSOs, there is no generally accepted definition of an NGO, and the term carries different connotations in different circumstances. According to the UN NGO Global network, "*a non-governmental organisation is any non-profit, voluntary citizens' group which is organised on a local, national or international level*" (NGO Global network 2013). Sometimes, the term NGO is used in a wider sense, synonymous with CSO. However, NGOs are generally understood as a part of the CSOs (Lewis 2009, 1-7).

## 2.4 Methodology

The evaluation draws its findings and conclusions from triangulating observations that originate from a study of the relevant documents; additional information provided by the MFA for the evaluation, including on previous MFA-NGO complementarity related consultations; interviews with stakeholders and observers; surveys (Annex 4); field project visits; and relevant contextual information.

Given the size and diversity of the NGO community involved, as well as the lack of available consolidated information at the start of the evaluation, a two-pronged strategy was applied for the related data collection:

- A representative sample of 21 Finnish NGOs was interviewed in Finland, individually or at focus group meetings. They were also sent a survey questionnaire. A central theme was possible innovative ways of enhancing NGO-related complementarity in Finland's co-operation. Their representatives and/or co-operation partners were interviewed, to the extent feasible, in seven co-operation countries, pre-selected by the MFA. Field studies of one workweek in each country were prepared by studies of corresponding project documents and reporting. Kepa, the umbrella organisation for Finnish development NGOs,

assisted the evaluation with logistics in Finland, and with general information about development NGOs.

- The remaining 134 NGOs that currently operate co-operation projects, according to the MFA website, received another (shorter) questionnaire. The MFA arranged for a public meeting with NGOs for the evaluation in Finland, with representatives from both groups.

In addition to representatives of 29 Finnish NGO projects (incl. their local partner NGOs), the field study interviewees included the following stakeholders:

- The relevant units in the MFA Headquarters and six Embassies;
- Eleven NGOs that had received LCF grants;
- Four government representatives.

The following observers were also interviewed:

- Five NGO umbrella organisations (NGO Forums) in field study countries;
- Two representatives for other donors in field study countries.

In all cases, interviewees had received beforehand semi-structured interview guides, in English and Spanish. Further methodological details are included in Box 3.

## 2.5 Challenges and limitations

The collection and processing of consolidated information about the NGO instruments was time consuming, including translation from Finnish language and transcription from documents that existed only on paper or in Excel format. LCF information from Embassies did not always contain substantial and easily accessible information. The evaluation is aware that the Finnish language MFA website contained more detailed information than the English version. However, it did not contain basic, consolidated information about the content of the three instruments.

The absence of comprehensive and detailed statistical NGO information in official publications or websites was a major limitation. In addition, data had to be gathered *ad hoc* from various sources in the MFA (including Embassies), with consequent limitations on completeness and reliability.

The resulting information about the three NGO instruments over the period evaluated was therefore not complete, but is considered sufficient for the evaluation purposes.

As the sample is considered representative and the survey response rate was quite good, this allows for indicative findings. However, the number of countries (seven) and NGO projects (29 out of 955) visited by the evaluation team during the field

### Box 3 Methodological details.

#### The NGO sample:

- Kepa and three Foundations – the Finnish NGO Foundation for People with Disabilities (Abilis), the Finnish NGO Foundation for Human Rights (KIOS), and the Finnish NGO Foundation for the Environment (Siemenpuu);
- The humanitarian organisations: Finn Church Aid (FCA), Development co-operation organisation of the Finnish Pentecostal churches (Fida), and the Finnish Red Cross, which are also partnership NGOs (POs);
- Six additional POs: Finnish Disabled People's International Development Association (FIDIDA), Frikyrklig samverkan (the Free Church Federation in Finland), Plan Finland, Save the Children Finland, Trade Union Solidarity Centre of Finland (SASK), and World Vision Finland;
- Eight non-partnership NGOs: Finnish Federation of the Visually Impaired, Finnish Children and Youth Foundation, the 4H-League, Inter-Cultur, Interpedia, Suomen Latu (Finnish Outdoor Association), the Feminist Association Unioni, and Nuevo Mundo.

**Survey response:** The extensive questionnaire sent to the 21 sampled NGOs was answered by 14 of them (including almost all partnership organisations). The shorter questionnaire sent to 134 other NGOs was answered by 47 of them.

**Field studies in:** Peru, Ecuador, Ethiopia, Kenya, Namibia, Nepal, Lao PDR (and the Embassy of Finland in Bangkok). The sample included the two Finnish bilateral long-term partner countries with the largest Finnish NGO presence (Kenya and Nepal), two countries with recent Finnish bilateral exit (Namibia and Peru), and two countries without Finland's bilateral co-operation agreements (Ecuador and Lao PDR).

studies is more illustrative than representative (Section 3). Hence, detailed field findings may not fully cover Finnish NGO support.

## 3 NGO INSTRUMENTS: OVERVIEW AND BACKGROUND

Finland's recent development policy documents (MFA 2004a; 2007; 2012a) emphasise that NGOs were an essential and integral element of Finland's development co-operation. Policy documents and sector strategies stipulate that development funding through NGOs should be seen as a major channel for promoting Finland's development policy objectives, complementing public bilateral and multilateral co-operation.

### 3.1 Overview

Overall, a substantial part of Finland's development co-operation was channelled through NGOs. It grew during the period evaluated, reaching 12% of total co-operation in 2012.

The three major NGO support instruments were:

- The **NGO instrument** that provided project grants to Finnish NGOs based on annual call for proposals, and programme grants to large development NGOs through a Partnership Agreement Scheme;
- The **INGO instrument** that provided project grants to international NGOs;
- The **LCF instrument**, administered by Embassies of Finland, provided small project grants to local NGOs and other societal actors in developing countries.

Moreover, the MFA provided support that included Kepa's services for NGOs, travel by Finnish NGOs for project preparation, travel grants enabling representatives from developing countries to participate in international conferences, and grants to NGOs for communication and development education in Finland.

The NGO instrument was by far the largest in financial terms, corresponding to approximately 75% of total NGO support, while the INGO and LCF instruments represented approximately 15% and 10%, respectively. At the beginning of the evaluation, there was no readily accessible consolidated financial information about the three NGO instruments in the period evaluated. Such information was provided, to the extent possible, by the MFA Evaluation and Statistical Units, and from Embassies. According to them, it was possible to provide 2006-2012 disbursement figures for the instruments. These amounted to the following (€ million; not including related administrative costs):

- NGO instrument: 667,47
- INGO instrument: 130,37
- LCF instruments: 84,56
- Total: 882,39

### 3.2 Number of involved NGOs

For the **NGO Instrument**, the MFA Statistical Unit indicated 312 NGO recipients of funding from 2006-2012 (Table 1), of which not all may have been active at all times. The highest number of operating NGOs at the same time was 207 in 2011. In 2011, close to 150 NGOs received MFA support for development co-operation (interview with Kepa). The MFA website indicated in 2013 that the MFA co-operated with approximately 300 NGOs, while the website list of NGOs with ongoing projects supported totalled 147. Kepa had a membership of 303 development NGOs. Thus,

while it was not possible to get a more precise figure for the number of involved NGOs, 300 appeared a fair approximation.

Within the **INGO Instrument**, 96 INGOs received support from the MFA over the period 2006- 2012, of which 46 were supported in 2011-2012.

For the **LCF Instrument**, the disbursements for 2006-2012 amounted to €84,56 million. From the information provided by Embassies, it appears a fair assumption that the average grant level was €50.000. This means that, for the period of 2006-2012, some 1.700 grantees benefited from the LCF grants. According to MFA information, this estimate would be reduced by recurrent grantees, but would be increased when taking into consideration an earlier tendency to provide smaller grants.

In addition to the NGO instrument, the three Foundations – KIOS, Abilis and Siemenpuu – provided small grants (normally around €10.000) to local NGOs within the human rights, disability, and environment sectors, respectively. The budgets of €2 million annually provided by the Finnish Parliament for each Foundation are not included in Tables 1-3 (interviews with The MFA NGO Unit and the Foundations). With the assumed average grant size of €10.000 Euros, some 5.000 grantee NGOs would have benefited from the support of the Foundations (to be reduced when including recurrent grantees). The majority supposedly were different from the LCF grantees due to the applied “no double funding” practice.

### 3.3 The NGO Instrument

The overview in Table 1 shows the total number of supported NGO projects in 2006-2012 and the funding received, as well as the share of total NGO support provided through a limited number of Partnership NGOs that held framework contracts with the MFA. Framework contracts cover multi-annual and multi-sector programmes that contained different projects in several countries.

It can be seen that the “partnership NGOs” that hold framework contracts with the MFA (11 in 2012), represented more than half of the disbursements. According to information from the NGO Unit, their number and share of the total was expected to increase in 2013.

In 2006-2012, Finnish NGOs supported projects in 100 countries, in addition to regional support, with a total disbursement of €667,87 million. Less than 20% of the total Finnish NGO support, €114,57 million, was directed towards the seven long-term co-operation countries (Ethiopia, Kenya, Tanzania, Zambia, Mozambique, Vietnam and Nepal), while €349,83 million went to the other 93 NGO co-operation countries. The remaining amount of €203,08 million covers disbursements that were not directly targeted to specific areas or countries. Most of the framework projects fell into that category.

**Table 1** NGO instrument support 2006-2012.

	Number of Projects	Total disbursements (€ million)	NGOs total (*)	Framework Projects	Framework Disbursements (€ million)	Framework disbursement Share (%)
2006	541	67,56	129	202	38,45	53
2007	686	77,85	157	347	41,12	57
2008	1.068	90,96	199	673	48,84	53
2009	1.043	105,02	180	644	54,57	54
2010	1.149	103,99	202	745	54,34	52
2011	934	112,56	207	541	56,27	50
2012	955	109,95	176	653	55,95	51
<b>Total</b>		<b>667,87</b>	<b>312*</b>	<b>3.805</b>	<b>349,50</b>	<b>52</b>

\* “NGOs total” gives the number of active NGOs for each year, and the total of how many were active over the whole period evaluated.

Source: Information provided for the evaluation by the MFA Statistical Unit.

The Statistical Unit was not able to identify detailed figures for 2004-2005. However, gross figures for all NGO support were provided for these years from the NGO budget line “support for NGO development co-operation, Kepa and development communication”, which amounted to €38,4 million in 2004 and €45,1 million in 2005. The budget line did not cover all support to NGO projects, as it did not include transferable appropriations from previous years.

The sector distribution of NGO support is presented in Table 2.

### 3.4 The INGO Instrument

The MFA regional and political units identified the supported INGOs, based on their capacity to support Finnish Development co-operation policy objectives, their presence in specific geographical areas, and earlier performance. The following table shows the disbursements over the period 2006-2012, but it was not possible to obtain figures covering 2004-2005.



**Table 2** NGO support by sector, 2006-2012 (€ million).

Sector	Total
Agriculture, Forestry and Fishing	13,28
Banking, Financial Services and Business	0,64
Education	70,92
Government, Civil Society and other Social Infrastructure	185,42
Health and Population Policies	53,95
Humanitarian Aid	131,15
Industry, Construction and Mining	0,37
Multisector, General Programme Assistance and Commodity Aid	64,11
Trade and Tourism	2,04
Transport, Communication and Energy	4,44
Unallocated and Administrative Costs *	133,84
Water and Sanitation	7,23
<b>Grand Total</b>	<b>667,37</b>

\* “Unallocated and Administrative Costs” include: “Sectors not specified” and “Promotion of development awareness”. The latter was €5-6 million yearly, or approximately €37,5 million, leaving €96 million for sectors not specified, including administrative costs.

Source: Information provided for the evaluation by the MFA Statistical Unit.

**Table 3** INGO disbursements 2006-2012 (€ million).

2006	2007	2008	2009	2010	2011	2012	Total
4,48	16,37	19,86	21,26	26,41	20,13	21,88	130,37

Source: Information provided for the evaluation by the MFA Statistical Unit.

The following table illustrates the nature of the instrument by naming the 46 INGOs receiving support in 2011-2012, categorised according to the contracting MFA Unit. The INGOs are presented how they appeared in a MFA document provided to the evaluation, where project titles are not mentioned and sectors only partially.

**Table 4** Finnish funded INGOs, 2011-2012.

Unit	INGOs and Sectors
Unit for East and West Africa, ALI-20	Femmes Africa Solidarité (FAS; UN Security Council 1325, women, peace and security), International Crisis Group (ICG; Africa programme), Interpeace (peace building and strengthening Guinea-Bissau), International Centre for Transitional Justice (ICTJ; Liberia programme), Search for Common Ground (radio: base for peace building), Rights and Resources Initiative (Africa programme), Care Danmark (support programme for climate change adaptation).
Unit for Southern Africa, ALI-30	ACCORD (2 contracts: support for AU peace intervention work, support for AU peace building co-ordination-programme), Institute for Security Studies (ISS; 2 contracts – good governance and anti-corruption in Africa), Global E-Schools and Communities Initiative (GeSCI; new leaders of Africa and their capacity building).
Unit for Asia and Oceania, ASA-10	Marie Stopes International (MSI; sexual and reproductive health and rights – SPHR).
Unit for Latin America and the Caribbean, ASA-30	<p>Lifeweb: Conservation and ecological restoration of lomas and community-based management of natural resources in Atiquipa, Peru.</p> <p>Communities of the Páramo: Strengthening capacities and coordination to adapt to the effects of climate change – Colombia, Ecuador and Peru.</p> <p>Biocuenas: Conserving biodiversity and water resources in the Western Amazon Basin: Alto Mayo Basin in Peru, and Orito, Mocoa, Guineo and Ortegúaza Basins, Colombia.</p>
Unit for EU Enlargement and Western Balkans, EUR-40	European Centre for Nature Conservation (ECNC; biodiversity), International Union for Conservation of Nature (IUCN; sustainable development, West Balkan region), European Centre for Minority Issues (ECMI; decentralisation project, Kosovo).
Unit for Eastern Europe and Central Asia, ITA-20	Peace Action, Training and Research Institute of Romania (PATRIR; support development of Krim area), Eurasia Foundation of Central Asia (EFCA; equal before the law, access to justice in Central Asia), Estonian School of Diplomacy (ESD; Moldova and Georgia, training of state officials).

Unit	INGOs and Sectors
Unit for Sectoral Policy, KEO-20	Women's World Banking, Global Women Deliver (support for 2013 conference consultation process), Oxfam Novib, ETC Foundation (support for Energia international network on gender and sustainable energy).
NGO Unit, KEO-30	International Planned Parenthood Federation (IPPF; SRHR), Ipas (Pro-choice, SRHR), Agricord, Forum for African Women Educationalists (FAWE; education of women), World-watch (climate).
Unit for International Environmental Policy, KEO-60	International Institute for Sustainable Development/Earth Negotiations Bulletin (IISD/ENB; forest research), International Union of Forest Research Organisations IUFRO; forest research).
Trade Policy Unit, KPO-10	International Centre for Trade and Sustainable Development (ICTSD).
Unit for Public International Law, OIK-10	Coalition for the International Criminal Court (CICC).
Unit for Human Rights Policy, POL-40	ICTJ, International Work Group for Indigenous Affairs (IW-GIA), International Rehabilitation Centre for Torture Victims (IRCT), Transparency International, International Committee of Jurists (ICJ), Fédération internationale des Ligues des Droits de l'Homme (International Federation for Human Rights – IFHR), Child Soldiers International (CSI), International Network for Economic, Social and Cultural Rights (ESCR-Net), Institute for Human Rights and Business (IHRB), NGO Working Group on Women, Peace and Security (NGOWG).
Unit for Development Communications, VKO-40	Inter Press Service (IPS), Panos Network (media pluralism, journalism and communication for development).

### 3.5 The Local Co-operation Funding (LCF) instrument

LCF funding has operated since 1996 (MFA 2011, 4). Within the overall Finnish objectives for development co-operation, important LCF objectives were to strengthen local civil society (as well as the private sector, including Finnish exports and research) and cross-cutting themes, including rule of law, democracy, human rights and public diplomacy. LCF funds could not be used for charity or humanitarian purposes or be granted to Finnish-funded NGOs, INGOs or IKIs.

Multi-annual (3-5 years) plans were made in line with country programming. A limited number of projects (maximum of 10, or only one in secondary countries) were supported. The MFA stated that it was earlier regarded a problem that funding was dis-

persed over too many small projects. The size of grants varied considerably, but appeared generally to be between €30.000 and €80.000. Embassies decided themselves if they wanted to use the LCF instrument.

**Table 5** LCF disbursements, 2006-2012 (€ million).

<b>Finnish LCF 2006-2012</b>	<b>LCF Disbursements</b>
<b>2006</b>	12,42
<b>2007</b>	9,94
<b>2008</b>	12,48
<b>2009</b>	12,80
<b>2010</b>	13,21
<b>2011</b>	12,00
<b>2012</b>	11,70
<b>Total</b>	<b>84,56</b>

Source: Information provided by the MFA Statistical Unit.

These funds were allocated for LCF projects in 100 countries, as well as for six regional projects. It should be noted that even if the number of countries where LCF grants were provided is the same as the number of countries in which Finnish NGOs operated, these countries were not necessarily the same. Assuming an average grant size of €50.000 after 2009 – compared with an earlier, smaller average figure for grants, and larger appropriations in some cases, such as in Afghanistan – the gross amount of support translates into several thousand grant projects during the period evaluated.

### **Priority sectors**

Since not all websites of concerned Embassies contained information on the use of the LCF instrument, the MFA Evaluation Unit requested the Embassies to identify grant projects in the period evaluated and grantee contact information for the evaluation field studies. Answers were received from the Embassies in the countries shown in Box 4, providing information on priority sectors, or information that Embassies did not apply LCF support.

**Box 4** LCF support and priority sectors.

Europe

- Romania (for Moldova): priority sectors – freedom of expression, education, social sectors.

Asia

- Afghanistan: gender equality, social projects, societal research (some allocations were larger than normal);
- China (no LCF allocation);
- Indonesia (including East Timor): social projects, education, gender equality;
- Lower Mekong: peace building and conflict transformation; human and civil rights situation of marginalised and excluded groups;
- Nepal: education, rural development and forestry.

Latin America

- Chile: human rights, gender equality and indigenous peoples;
- Nicaragua (including information on regional Central America): human rights (with emphasis on the rights of the indigenous population and women), democracy, good governance and peace processes, and sustainable environmental development;
- Peru (covering several countries): human rights, democratic governance, and environment.

Sub-Saharan Africa

- Ethiopia: gender equality and social projects;
- Namibia: human rights and democracy, green economy, and cultural rights;
- Nigeria (no LCF allocation);
- South Africa (including Lesotho, Botswana and Swaziland): sustainable livelihood, regional peace and security.

Middle East and North Africa

- Saudi-Arabia (with coverage of Yemen): gender equality and social projects;
- Syria (temporarily Beirut; covering several countries, no LCF in 2012): gender equality, social sectors, freedom of expression, democracy;
- Tunisia: democracy, gender equality and sustainable development.

In the archives, the Evaluation Unit further identified LFC reporting (partially covering 2009-11, mainly in Finnish) from various Embassies.

## 4 FINDINGS

### 4.1 Challenges from an evolving civil society context

This Section presents observations and findings related to the contextual background for the activities of Finnish development NGOs and their partners, in co-operation countries and in Finland. With relation to this background, certain questions are raised that are of importance to the future work of Finnish development NGOs.

#### 4.1.1 NGOs in partner countries

##### The situation

The international development community has increasingly recognised the importance of civil society in development. This reflects a steady growth not only in the importance but also of the number of registered development NGOs since the 1980s in donor countries and, in particular, in partner countries (Banks & Hulme 2012, 3). The number of INGOs increased from 6.000 in 1990 to more than 65.000 (all INGOs, not only in development co-operation) in 2012, according to the Yearbook of International Organisations (WEF 2013, 6).

The following illustrative description of the phenomena was provided during the evaluation field studies by a Nepalese observer:

*There are now 37.000 registered NGOs in Nepal – because everybody wants his own NGO when they retire or even when they still work within the government. My estimate is that 10% of these NGOs are active. Very few of those NGOs generate funds inside the country. Concerning NGO incomes, there are two problems: that the staff of Nepalese NGOs are better off than their Government counterparts, and that the salaries of international (foreign) NGOs are even much higher than that. But the Nepalese Government does not try to control salaries, it has only issued the rule for co-operation projects that the administrative expenses may not exceed 20% of the budget.*

As indicated in this description and underpinned by the field studies:

- It has become common practice in co-operation countries, encountered also by the evaluation, that government officials (and many others) establish “their own” NGOs – in which internal democracy is often weak – in order to seek donor funding.
- NGOs usually depend on foreign funding, and their way of working may be similar to consultancy companies. Non-profit status gives access to donor funding, while the attractiveness of working in NGOs relates to the relatively high salaries.
- The majority of the resulting large numbers of NGOs are not sufficiently successful to be active, but still count in the statistics.

In recent research, this is described as: ...*It is time to identify alternative approaches to understanding the role of civil society. This will enable us to move beyond the existing situation in which so much of civil society is co-opted through NGOs into the aid industry, with a consequent loss of independence. There is a tendency for too many NGOs to focus on donor concerns rather than building up a membership or constituency base.* (Pratt 2011). Moreover, it is argued that high dependency on donor funding has made NGOs more professionalised and de-politicised in a quest to meet donors' requirements to achieve tangible and quantifiable measures of development, and that they have become implementers or subcontractors of donor policy (Banks *et al* 2012, 13).

The resulting NGO landscape deviates from the classical notion of civil society that is marked by volunteerism and representation of certain parts of the population. This notion is often referred to as a “vibrant civil society” in donor strategies, and it is reflected in the Istanbul principles to which the Busan Partnership Document refers (OECD 2011, 6). However, it emerged from field interviews with Finnish NGO partner organisations and NGO Forums that they often consider volunteerism as weak and regret that people are too busy to contribute to voluntary work. A comment from an NGO Forum Organisation in Peru was that they would prefer “to be civil society” rather than the somewhat empty concept of being “non-governmental”. However, they had to accept that the term NGO has become commonly used.

### Challenges

Such framework conditions do not prevent good NGO performance for the benefit of the target groups, as the evaluation observed with Finnish-supported partner NGOs and LCF grantees. However, they do raise challenges, such as high staff remuneration of NGOs compared with government counterparts and target groups. Dependency on external funding challenges the **financial sustainability** of the NGOs, particularly when traditional foreign donors are gradually withdrawing support. According to Banks *et al* (2012, 16), NGOs depend on donor funds for 85%-90% of their income.

The “NGO sector”, which donors normally deal with, does not necessarily include **traditional civil society** – such as religious structures, professional organisations, trade unions or political movements – in the wider sense in co-operation countries. While recent research has noted signs of increased donor prioritisation – including in Finland – of support to civil society at large, mainly at the level of policy objectives (Wood & Fällman 2013, 144), this mainly refers to NGOs in practice. An important feature of modern NGOs is their English and computer literacy and their familiarity with project cycle management, which enables them to enter international co-operation more easily than traditional civil society.

A **political challenge** is linked to the question of to whom the (national and foreign) NGOs are accountable, when they are not democratically elected. This is particularly the case in countries with democratically-elected governments, as opposed to authoritarian regimes. One critical school of thought focuses on the origin of funding,

indicating that NGOs are primarily accountable to funders, which may not have the same objectives as the Government (Petras 1999; Hearn 2007; Banks *et al* 2012, 13). The consequences may be more government regulation of NGOs. In the prevailing international development discourse, the same phenomenon may be viewed as governments not living up to obligations for an enabling CSO environment, including hindrances for critical advocacy.

## Responses

As encountered during evaluation field studies, the growing importance of the NGO sector and related challenges led to what appears to be an international tendency towards stronger demands for NGO alignment with Government priorities, and more legal NGO regulation. Thus, the Government in **Ecuador** carried out a study of the foreign NGOs working in the country (SETECI 2011). This formed part of the basis for the issuing of “*Decreto 16*”, which included demands for NGOs to prove real existence, provide extensive reporting, and pay for relatively expensive NGO registration. In addition, labour legislation insists on contracted staff, which makes it difficult for NGOs to use volunteers. At the same time, the public sector in Ecuador has undergone a boost in power, prestige and salaries, so that it is competitive with the NGO sector. This legislation was subject to debate, with most Ecuadorian NGOs seeing it as misuse of power, whereas partners of the Finnish NGOs expressed that they have always given high priority to co-operation with local government and experience no major problems.

In **Ethiopia**, the government issued a law in 2009 that restricted the engagement of CSOs in promoting human rights, democracy, justice and peace issues with funding from foreign donors. In **Nepal**, the government not only approves the NGO projects through a long and thorough inter-ministerial procedure, but also undertakes mid-term and final evaluations of the projects. Even if the approval may be cumbersome, Finnish NGOs and partners report that they have good working relationships with the Government. In **Lao PDR**, the Government provoked a crisis for the national civil society by its alleged abduction of an NGO leader in 2012. While the resulting suppression of NGO public advocacy was subject to the attention of the international development community, normal working relations in service provision continued between foreign NGOs (including Finnish) and the Government.

Recent research and information from the field visits confirmed an emerging **trend towards a more restrictive operating environment for NGOs**. Thus, a 2011 NGO research report on the “disabling environment” for CSOs in Africa found that 35 African governments (out of 52) have passed or are advancing legislation that restricts activities, funding and sometimes the very existence of CSOs (ACPPP 2011). The *2013 State of Civil Society Report* by the CIVICUS World Alliance for Citizen Participation (CIVICUS 2013) confirmed that a number of governments have recently either introduced laws, or plan to do so, to restrict the registration or operation of CSOs.



**In summary**, civil society in partner countries is faced with an evolving context, with internal and external challenges. These include: dependency on external funding, with consequent weak financial sustainability; a trend towards professional NGOs that do not automatically represent the population; and a tendency towards increased government regulation and restrictions, which are more severe in authoritarian countries.

### **4.1.2 NGOs in Finland**

Evaluation observations that were discussed at focus group meetings with Finnish NGOs, and with Kepa, included the evolving nature of the Finnish development NGO community and its relations with the state and the market.

#### **Societal position of development NGOs**

It is a basic assumption – a “constitutional story” underlined in successive Development and NGO policies throughout the period evaluated – that development NGOs, in view of their prominent position in Finnish development co-operation, represent Finnish society at large. NGOs are supposed to create and channel democratic support for development co-operation into the political system, thus creating a “political will” that translates into opinion polls that support development co-operation. Public credibility of the voluntary sector is normally assumed to be higher than for political institutions (Seppo 2013). It is uncontested that the NGOs bring additional valuable resources into development co-operation, based on their specialised expertise, volunteerism and connectedness to civil society communities in partner countries.

While the evaluation ascertained that at least large number of the approximately 300 Finnish development NGOs are “alive and kicking”, there is also cause to mention that conscious NGO efforts may be required to ensure that these assumptions continue to be valid. This is to be seen in the light of a possible NGO dilemma of continuing to represent the classical ideals that provide public credibility, while facing a growing demand for professionalism as a precondition for effectiveness.

#### **Societal trends**

Evaluation observations in Finland confirmed an international trend towards the classical notion of representative and financially self-reliant CSOs, with stable democratic structures based on volunteerism, being under pressure from a changing social fabric that relies more on individual than collective action. A recent study initiated by Kepa, “*Finnish civil society now*” (Seppo 2013) confirmed these tendencies, while emphasising that the declining trend has been accompanied by the growth of new web-based initiatives that may also be very effective, although more related to single issues and of a less stable nature. In Finland, as well as in the partner countries, increasing access to the Internet, social media and mobile phones has enhanced the power of the individual as a “virtual” citizen, hence disrupting traditional funding models and channelling social engagement through informal, unorganised structures (CIVICUS 2013;

WEF 2013). The Kepa study added that individualised volunteerism is combined with short-term commitment; that project-oriented funding tends to replace long-term processes; and that increased focus on the private sector may lead to increased co-operation with corporations.

Societal trends with a possible bearing on NGO co-operation include migration to Finland from co-operation countries, which has led to new, diaspora-related development NGOs. Kepa has experienced significant growth in member NGOs from immigrant communities. Moreover, an apparent tendency towards the NGO sector becoming mainly populated by women was discussed at evaluation meetings with NGOs, where most participants were women who expressed some concern about gender equity.

### **Funding, professionalism and volunteerism**

While development NGOs, as well as the Development and NGO Policies, underline the NGO right of initiative, most development co-operation funding for Finnish NGOs comes from the Finnish state. From an evaluation survey, it emerged that for 32 out of 58 responding NGOs, all funds for development co-operation (except for the required self-financing of 15%) came from the MFA. For 21 of the NGOs, the majority of funds came from the MFA, and for only five NGOs it was the minor part. In comparison, for Finnish NGOs at large 58% of their income is self-generated, while 36% comes from state subsidies (Seppo 2013).

With regard to volunteerism, survey responses indicated that of 45 non-partnership NGOs, 24 had staff employed to work with development co-operation (all POs employ professional staff). Thus, while the evaluation did meet NGO volunteers who manage development projects without any financial remuneration, most Finnish development NGOs employ professional staff. Kepa confirmed the growing demand for professionalism, externally and in the NGO community.

NGOs indicated that although the democratically elected board is the formal decision-maker with regard to development co-operation, decisions were normally delegated to professional employees, while the boards focused on activities in Finland. Field studies indicated that interaction between Finnish NGOs and partner organisations were normally confined to the professionals, while a few examples were encountered of Finnish NGO members visiting partner NGOs. In addition, the Finnish Volunteer Service (ETVO) represents a non-professional element – notwithstanding the “professionalism” of the volunteers being praised by partners. In this regard, it merits mention that volunteers met during the field studies raised the issue that the lack of subsequent recognition in the Finnish labour market of their proven competence from abroad acts as a limiting factor in the recruitment of volunteers.

### **“Big and small” NGOs**

Within the Finnish development NGO community, the 11 partnership organisations (in 2012) represented more than half of the total NGO allocations for development

co-operation. This might raise a note of caution about the creation of “elite NGOs”, as observed in other countries where professionals out-compete other NGOs with regard to securing common funding sources. However, the evaluation met no such resentment from non-partnership NGOs that are often major organisations, with development co-operation as a side activity. The surveys showed that, of 44 non-PO NGOs, development projects were a side activity for 25, leaving 19 for whom it was the main activity. However, the small grassroot NGOs met also expressed satisfaction with the state of affairs.

Kepa’s support activities available to all development NGOs – including access to the much-valued Kepa-administered ETVO Finnish Volunteer Programme – may have contributed to the harmonious picture. In addition, the overall growth in the NGO share of the overall Finnish development funds made it possible to plan for an increase in the number of POs, up to a possible total of 19 in 2013, without reducing the funds available for other NGOs (information provided by the MFA NGO Unit).

### **Relations between the actors in Finland’s development co-operation**

Finnish development NGOs see themselves as bearers of an independent identity, situated between the state and the market. As per international tradition, a certain clash of cultures existed between the three parties. However, any animosity that may exist in Finland between the state and NGOs appeared not to have been a major factor, due to the specific conditions in the “development sector”.

It was found that the overall Finnish political discourse and the MFA, including the Embassies, address the development NGO community in an inclusive way. The 2012 Development Policy was, according to all parties, the result of a genuine consultative process that included active NGO participation. The MFA objective of increased NGO-related complementarity was discussed during a consultative process, which rested on assumed NGO independence and competence, inside the Ministry and with NGOs. On the NGO side, a general satisfaction with their MFA relations extended to the Embassies, although these were not always perceived as serving the NGOs as much as they should. With regard to NGO sector relations with “the market”, as elaborated in Section 4.6, the evaluation team encountered some NGO scepticism, but also some examples of exploration of co-operation opportunities with the private sector. The latter tendency may be reinforced by the previously mentioned overall trends.

**In summary**, Finnish development NGOs enjoyed a well-established public credibility and position in the political system. This is illustrated by a high level of public funding, and by the comment of the (2013) Minister for Development Co-operation, Heidi Hautala, who stated: *There can be no development without civil society.* (Seppo 2013, 22). At the same time, they faced growing demands for professionalism and societal trends that may challenge their representation of Finnish society.

Both Finnish development NGOs and their co-operation country partners may be characterised by a quote from the Kepa-initiated study, “Finnish Civil Society Now”. It refers to *many of the problems that Finnish CSOs share with their Southern counterparts. These crucially concern the difficulty of ensuring genuine public involvement and of securing sufficient resources in order to function effectively.* (Seppo 2013, 31). However, a large number of the Southern partners, unlike those in Finland, are also faced with increasing regulation and restrictions.

Some of the main features outlined by the evaluation with regard to the evolution of civil society are not very well captured in the relevant Finnish policies and guidelines or reflected in the development co-operation practices of Finnish NGOs.

#### **4.1.3 Finnish reflection of changing NGO context**

Some of the main features previously outlined in this evaluation with regard to the involvement of civil society were not very well reflected in the relevant Finnish policies and guidelines. Under the Finnish development co-operation, there was no consistency in the use of the terms CSO and NGO. In previous policy documents (MFA 2004a; 2007; 2006), the term NGO was normally used in reference to the Finland’s support to the sector, with little or no use of the term CSO.

However, there was a shift in recent policy documents towards using the term CSO, instead of NGO. The 2010 policy for the sector (MFA 2010) used the term civil society throughout the document, including in its title. In that document, the term NGO was used only in reference to Finland’s support to international NGOs. Similarly, the 2012 development policy (MFA 2012a) consistently used the term CSO. However, some recent Finnish policy documents still used the term NGO rather than CSO, e.g. 2012 humanitarian policy (MFA 2012h). Moreover, the term NGO is still widely used within the MFA (for example, on the website, and in other communications and reports). The section responsible for the sector within the MFA is called the NGO Unit, and the ToR for this evaluation mainly refers to NGOs in Finland and to CSOs in partner countries. Regarding the terminology in Finland, it is noted that in Finnish and Swedish, “NGO” is normally translated as “civic organisation”. Hence, the difference between “NGO” and “CSO” may be less marked than in English.

This inadequate reflection of the evolving context reduced the incentives for Finnish-funded NGOs to possibly adapt their development co-operation practices in accordance with the changes.

## 4.2 Policy background for NGO related complementarity

### 4.2.1 *International commitments on complementarity of NGO support*

The role of civil society in development has received increasing recognition in the international discourse on aid effectiveness. **The Paris Declaration (PD)** adopted in 2005, defined five principles central to increasing aid effectiveness: 1) ownership of development interventions by developing countries; 2) alignment of assistance to partner countries' own development strategies and national systems; 3) harmonisation of donors' approaches; 4) systematic assessment of results; and 5) mutual accountability. However, the PD did not expressly address the role of civil society. Ownership was focused on government development strategies, rather than on democratic ownership (OECD 2005).

The 2008 **Accra Agenda for Action (AAA)** further elaborated the commitments agreed in the PD. It recognised the increasingly important role of development actors other than donors and recipient governments, and emphasised more inclusive partnerships among all actors. Civil society was represented in the negotiations, and the final document recognised CSOs as independent development actors. The AAA also included a commitment to ensure that CSO contributions to development reach their full potential, and underlined the need for efforts to: 1) improve co-ordination of CSO efforts with government programmes; 2) enhance CSO accountability for results; 3) improve information on CSO activities and provide an enabling CSO environment. (OECD 2008)

The 2011 **Busan Partnership for Effective Development Co-operation** (OECD 2011) reaffirmed the vital role of CSOs in effective development, and re-emphasised the importance of creating an enabling environment for their engagement and for strengthening their accountability. One of the four principles of the Busan Partnership was “inclusive development partnerships”, which referred to “recognizing the different and complementary roles of all actors” (OECD 2011, paragraphs 14, 16). The final outcome document also referred to the Istanbul Principles for CSO Development Effectiveness, adopted by CSOs representatives in 2010 to guide the development work of CSOs worldwide, and recognised the role of CSOs as development actors. (OECD 2011)

**Busan Partnership Outcome Document, Paragraph 22:** *Civil society organisations (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 maximises 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.*

**Istanbul CSO Development Effectiveness Principles:** ... *The essential characteristics of CSOs as distinct development actors – that they are voluntary, diverse, non-partisan, autonomous, non-violent, working and collaborating for change – are the foundation for the Istanbul principles for CSO development effectiveness:*

1. *Respect and promote human rights and social justice.*
2. *Embody gender equality and equity.*
3. *Focus on people's empowerment, democratic ownership and participation.*
4. *Promote environmental sustainability.*
5. *Practice transparency and accountability.*
6. *Pursue equitable partnerships and solidarity.*
7. *Create and share knowledge and commit to mutual learning.*
8. *Commit to realizing positive sustainable change.*

In parallel with the global initiatives, the EU worked on promoting the role of civil society in the context of complementarity and aid effectiveness. The joint 2005 Declaration on EU development policy, “**The European Consensus on Development**” (EU 2005), recognised the role of civil society in EU development co-operation. It also identified support to civil society among the modalities for development assistance towards more effective aid (para. 26 and 59). More specific guidance regarding complementarity was contained in the EU **Code of Conduct on Complementarity and the Division of Labour (DoL) in Development Policy**, adopted in 2007 (EU 2007). It directed EU donors to ensure complementarity with support to civil society in addressing their involvement in partner countries, including across sectors.

**In summary**, there is growing international consensus and commitment in recognising civil society as an important and independent development actor. Enhancing co-ordination of CSOs efforts with other actors, creating an enabling environment for their operation, and strengthening their accountability are among the major specific commitments agreed upon at the international level. Finland actively contributed to, and was party to, the international and EU level agreements cited. The implementation of Finnish NGO support can therefore be expected to be consistent with these international commitments.

#### **4.2.2 Finland's national development co-operation policies and strategies**

The Finnish development policy documents reflected the principles and measures on complementarity stipulated in international agreements. In line with the international-level trend, increasing focus and conceptual elaboration on complementarity was observed in consecutive Finnish development policies since 2004. The **2004 Finnish development policy** (MFA 2004a) included policy directions related to promoting NGO-related complementarity and stated that “quality criteria will ensure that the value added by NGOs also complements Finland’s bilateral co-operation better than previously”. The **2007 Finnish development policy** (MFA 2007) provided that NGOs should enhance, whenever possible, implementation of the principles contained in the government programme on complementarity.

The **2012 Finnish development policy** (MFA 2012a) made reference to the PD, the AAA and the Busan Outcome Document, and to the basic principles contained in these documents. It emphasised the need for the different NGO support modalities to complement Finnish development co-operation, particularly its country programmes.

The position of NGO support in Finnish development co-operation was re-affirmed in **sector-specific policy guidelines, guidelines for bilateral co-operation and country strategies**. In the forestry sector, NGO co-operation was identified as an important development co-operation instrument within a sector-wide approach (MFA 2009a, 12). The strategy for the water sector stressed the work of NGOs as part of broader international co-operation (MFA 2009b, 6, 10) and emphasised NGO involvement in programming and networking (MFA 2009b, 11, 20). Allocation of funds through international and national NGOs to complement activities of national governments was identified as an important element of Finnish development co-operation (MFA 2004b, 5, 7). Comparable statements were included in sector policy guidelines, including on education, humanitarian aid, and trade and environment. Only the Rural Development Strategy did not expressly mention complementarity of the NGO instrument.



The **Manual for Bilateral Programmes** referred to NGOs in the context of stakeholder analysis to be conducted as part of the identification report for bilateral programmes (MFA2012b, 42). In 2012, the MFA introduced the **Results-Based Country Strategy Paper Template 2013-2016** (not published) to guide the development of country strategy papers in priority countries. Support to local CSOs through the LCF instrument was required included in the activities covered by the strategy papers, while the Template did not require other Finnish NGO support to be considered.

### **4.2.3 NGO specific policy guidelines**

The first specific **policy document for the Finnish NGO co-operation** was issued in 2006 (MFA 2006). It underlined that Finnish-supported NGO interventions must be in line with Finnish development policy goals and the UN Millennium Development Goals. Recognising NGOs as important independent actors, the guidelines emphasised the need for NGO co-operation to complement public bilateral, multilateral and EU development co-operation.

**The Guidelines for Civil Society in Development Policy** (MFA 2010), which is the currently applied NGO policy document, reaffirmed Finland's commitment to the PD and the AAA. The document stated that civil society co-operation is an essential part of Finland's development policy. It required NGOs to take Finland's development policy and sector-specific policies into account in planning and implementing their activities, and it included specific policy guidelines to promote the principles under the PD and Finnish national development policies.

In addressing the principle of **ownership**, the 2010 guidelines stated that requirements of local ownership and participation would be taken into account as a precondition for government support to NGOs. Regarding **alignment**, the policy required NGOs to take into account the target countries' own poverty reduction plans and sector policies in planning and implementing their projects. In terms of **harmonisation**, the document confirmed that Finland supports co-operation between donors associated with civil society. However, the policy noted that harmonisation of assistance to CSOs should be pursued with care, so as not to unduly affect the diversity of civil society. The policy measures of the 2007 development policy, including for country level planning of the NGO development support, were not addressed in the 2010 NGO policy documents.

In addition to the general policy documents for NGO development support, a specific **policy document for the INGO support** was issued in 2012 (MFA 2012f). This brief policy document stated that INGO projects were to be supported if they were the most appropriate channels to promote Finland's development policy objectives. It instructed that the support to INGOs should be guided by Finland's development policies, and that INGO co-operation was required to complement other Finnish activities in partner countries. It noted the potential contribution of INGO co-operation to the success of regional, non-country-specific and multilateral co-operation.



**In summary**, there was an increasing effort to put in place appropriate policy guidelines for the NGO co-operation based on international principles on complementarity. In particular, the 2010 NGO policy adequately addressed international and national frameworks and policies on complementarity.

### **4.3 Complementarity with partner countries' development needs and priorities**

Complementarity with partner countries' development priorities is linked with the principles of ownership and alignment in the international agreements on aid effectiveness. Civil society development objectives are part of the concept of democratic ownership at local level, as reflected in the Accra and Busan documents. Hence, this section assesses the complementarity of the Finnish NGO support both with partner governments and CSOs in partner countries, using the four dimensions of complementarity outlined in section 1.1. These are: shared goals, strategic action, division of labour, and joint accountability.

#### **4.3.1 *NGO complementarity with development priorities of governments in partner countries***

The 2010 NGO policy (MFA 2010) identified three broad goals of the Finnish NGO development support: 1) Strengthen civil society in partner countries; 2) provide public services; 3) undertake advocacy focusing on political decision makers and making the voices of citizens heard.

##### **Shared goals**

From review of the national development plans of countries included in the field study, it can be seen that partner governments usually recognised the role of NGOs in the provision of public/social services. Thus, with regard to the NGO role in service provision, there seemed to exist shared goals between Finnish NGO development support and partner governments.

However, NGO support, as part of Finland's development co-operation, rested on a human rights-based approach, which was not usually prioritised in reviewed national development plans of partner governments. For example, the current national development plan of Namibia (Government of Namibia 2013) failed to adequately prioritise human rights and cross-cutting themes and objectives. The role and engagement of NGOs in advocacy and strengthening of civil society also was not expressly recognised in national development plans of partner governments. Thus, there were divergences of goals between Finnish NGO support and the policies of partner governments in relation to the human rights-based approach and cross-cutting objectives and the role of NGOs in advocacy and strengthening of civil society.

As previously mentioned, recent policy and management guidelines for Finnish NGO support required NGOs to take into account and complement the partner country governments' development priorities. The evaluation found that, in practice, NGOs supported by Finland – particularly those engaged in service provision – took into account partner government plans in the planning and implementation of their programmes/projects. For instance, 43 out of 47 Finnish NGOs surveyed stated in their responses that, in the design and implementation of projects, they made efforts to align them with the priorities of the governments.

NGOs and their partners interviewed during field studies stated that their projects were aligned with government priorities. Previous evaluations of NGO instruments, including the partnership scheme and the Foundations, also found significant alignment between supported NGO projects and partner government priorities. For instance, the evaluation of the partnership scheme identified coherence between country programmes, relevant MDGs and related national Poverty Reduction Strategies documents, and the specific projects of Partner Organisations. (Virtanen, Mikkola, Siltanen & others 2008, 54).

The MDGs were identified by some interviewed NGOs as the unifying factor for alignment between NGO projects and partner governments' priorities, since the priorities of both parties were mainly guided by the MDGs – and influenced to some extent by MDG support from the same donors.

Based on such alignment between the Finnish NGO projects and the development policies of partner governments, it can be said that common and shared goals as an outcome of complementarity were achieved between supported NGOs and partner governments, at least on a general level.

However, Finnish-funded NGO projects were not always aligned with partner country government policies. This was particularly the case where projects focused on addressing gaps and limitations in the existing policy framework through advocacy that challenged or supported partner governments to improve their policies. Some NGOs did not consider it appropriate for them to align their programmes with partner government policies. For instance, a representative of one of the Finnish NGOs contacted in the early stages of this evaluation stated that “... *civil society is not supposed to complement Government. We are supposed to support civil society and challenge governments.*” (Meeting with Finnish NGOs, Helsinki, April 3, 2013).

### **Strategic action and division of labour**

The three NGO instruments were managed by the Finnish government without direct involvement of partner governments, and were not part of bilateral negotiations. Accordingly, it is difficult to discuss strategic action between Finland and partner governments at the level of the overall management of the Finnish NGO instrument.

Improving information on CSO activities was underlined in the AAA. Information on NGO support is important to enhance co-ordination and to establish strategic action with relevant partner government programmes. However, the Government of Ethiopia stated that it did not have adequate information on Finnish-funded NGO projects in their countries. Some interviewed Finnish Embassy staff agreed that there was a need to more sharing of adequate information with partner governments on Finnish NGO support. On the other hand, direct involvement of partner governments in the management of the Finnish NGO support was not considered appropriate and feasible by Embassies and NGOs. It was felt that such practice might make NGO projects approval and management procedures too lengthy and cumbersome.

However, there was some evidence of strategic action and division of labour between individual NGOs supported by Finland and partner governments. Many Finnish service-providing NGOs interviewed during field studies stated that they involved the government in project planning and implementation, through close collaboration and co-operation that included joint planning. In visited countries, such as Nepal and Ecuador, NGOs were legally required to sign operational agreements and/or MoUs with government bodies prior to project implementation. This practice created a basis for mutual engagement and the achievement of complementarity outcomes related to strategic action and division of labour.

### **Joint accountability**

At project level, the limited practice by Finnish NGOs of implementing projects jointly with government bodies through signing agreements created the possibility for joint accountability. Moreover, in most partner countries, Finnish-supported NGOs were subject to the general requirement to submit periodic reports (usually annually) on their overall operation to relevant government bodies. However, clear examples of mechanisms for joint accountability between Finnish-supported NGOs and governments in partner countries were not found.

## **4.3.2 Complementarity with the development objectives of partner country NGOs**

### **Shared goals**

The major priorities of Finnish NGO support related to strengthening civil society in partner countries, supporting their engagement in advocacy, and provision of social services. Provision of social services to marginalised groups and advocacy to change policies and structures that affect the poor were frequently mentioned by interviewed local NGOs and umbrella organisations as their main development objectives. They consider the importance of strengthening civil society to be self-evident. Thus, there was congruence between the development objectives of the overall Finnish NGO development support and local NGOs.

Previous and current policy and management guidelines required Finnish NGO cooperation to be initiated by a local partner with the responsibility for implementing activities (MFA 2006; 2010, 21-22; 2012b, 9). Travel support to NGOs for project

preparation missions, intended to promote the achievement of joint objectives between Finnish NGOs and local partners, was in place throughout the period evaluated.

In practice, Finnish NGO projects were found to be consistent with the objectives of local NGOs. According to the interviewed NGOs, they always implemented projects in line with local partners' development objectives. The local partner organisations confirmed this finding. In addition to the broader goals they shared as part of civil society, partnerships were usually between Finnish NGOs and local NGOs that worked in the same sectors (e.g. environment, disability, children, and labour issues). Sometimes, they also had similar organisational missions and mandates (e.g. church affiliated disability).

### **Strategic actions and division of labour**

The relationships between Finnish NGOs and their local partners were founded on partnership agreements reached through joint negotiations. Information from field visits indicated that project ideas were usually initiated either by local partners or jointly. In some cases, there was intense dialogue and negotiations between Finnish NGOs and local partners on project objectives, approach and methodology, as well as with regard to their respective responsibilities and obligations to each other.

These dialogues and negotiations, culminating in partnership or project agreements, contributed to achieving complementarity outcomes related to strategic action and division of labour. In terms of division of labour, the Finnish partner usually took responsibility for funding, possible technical assistance, and communication with the MFA, while the local partner usually undertook the actual implementation of project activities. Local partner NGOs often mentioned flexibility and reliability as qualities of Finnish NGOs.

### **Joint accountability**

Project agreements between Finnish NGOs and their local partners provided the bases for joint accountability. These agreements usually outlined the respective responsibilities, including reporting and financial requirements. In interviews with Finnish NGOs and local partners, no major issues related to joint accountability were raised, apart from a few cases where local partners indicated transparency issues related to failure by Finnish NGOs to provide advance notice of termination of partnership/support.

## **4.4 Complementarity between NGOs and bilateral co-operation**

This section, introduced by general observations on Finnish NGO support and an overview of perceptions held by NGOs of enhanced complementarity, first provides an overview of existing measures and mechanisms to provide complementarity between Finland's bilateral co-operation and the three NGO instruments. Other dimen-

sions of complementarity between bilateral co-operation and NGOs are then dealt with in the different dimensions – including NGO participation in planning processes at co-operation country level, interaction between bilateral and NGO interventions, and geographical aspects. Finally, the NGO application of Finnish cross-cutting themes and objectives is examined.

#### **4.4.1 General observations and perceptions**

- **General observations** about Finnish NGO co-operation, based on evaluation field studies and study of project documents, include: Partner NGOs often mentioned specific Finnish areas of expertise related to education and environment (including sustainable tourism), gender equality and “professional volunteers”, as well as co-operation qualities of Finnish NGOs with regard to flexibility, reliability and “smallness and innocence”.
- Co-operation with Finnish NGOs tended to be quite stable. Projects often continued over many years, without apparent exit strategies.
- In most projects visited, it appeared likely that Finnish NGO support added value other than funding to the co-operation projects, even if there was a tendency for the Finnish inputs to “look bigger” in Finland than in co-operation countries. In most cases, Finnish support was a small percentage of total foreign support for partner NGOs.
- Interaction between Finnish NGOs and the local partners was mainly confined to the professional project managers, while examples of NGO voluntary members visiting projects were also observed.
- Personal relations and encounters between the professionals at international sector meetings often appeared to play an important role in relation to the conception of Finnish NGO projects.

#### **Finnish NGO perceptions of complementarity**

From the surveys (Annex 4), an overall positive perception emerged of the enhanced complementarity among the majority of Finnish NGOs – markedly stronger among the partnership organisations than among other NGOs. This perception related to: the impact on NGO independence; possible inconveniences; choice of partner countries; aid efficiency; and potential benefits for beneficiary target groups from enhanced NGO complementarity with the bilateral co-operation, including participation in country programming. An overview of answers is provided in Box 6.

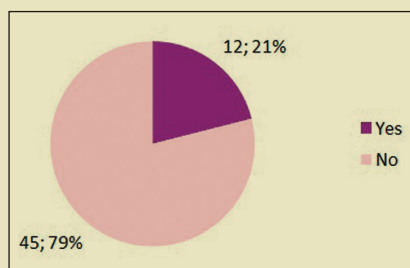
**Box 6** Survey results: Finnish NGO views on increased complementarity.

**NB:** In the below survey results, the number of answers vary, as not all NGOs answered all questions.

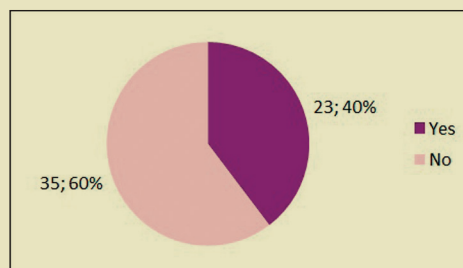
Survey overview		
	Number of NGOs contacted	Number of answers received
Survey 1 (Non-Partner NGOs)	134	47
Survey 2 (Sampled NGOs)	21	14

### Surveys 1 & 2 combined

When looking at the answers of both surveys, it appears that 45 NGOs (against 12) did not find contradictions between their objectives and increased complementarity, and that 35 (against 23) did not find that this would have consequences for their present administrative set-up and transaction costs:



*Do you see any contradiction between your objectives and possible increased complementarity between the NGO co-operation and other Finnish co-operation?*

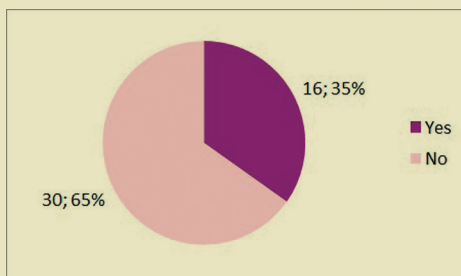


*Do you think that increased complementarity between you and other actors would have consequences for your present administrative set-up and transaction costs?*

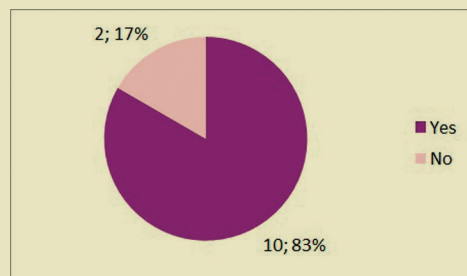
Source: Survey to NGOs.

Responses to the survey 1 addressing a larger sample showed that 30 (against 16) respondents were of the opinion that increased complementarity would influence their choice of intervention countries.

In the smaller group of NGOs that responded to an extended survey of mainly partnership NGOs, 10 (against two) felt that increased complementarity between Finnish NGO support and other Finnish co-operation could strengthen the linkage between co-operation at the levels of state and citizens.



*Do you think that such increased complementarity would influence the choice of countries in which you will be working?*



*Do you think that increased complementarity between Finnish NGO support and other Finnish co-operation in the long-term partner countries could strengthen the linkage between co-operation on the state level and at the level of the citizens?*

Source: Survey to NGOs.

In the same group, 10 (against 3) found it beneficial for their support that they participated in country programming and negotiations between Embassies of Finland and partner countries, and 11 respondents (against 1) thought that increased complementarity between Finnish NGO support and other Finnish support would lead to improved efficiency of the overall Finnish development co-operation.

#### **4.4.2 Complementarity-related measures and their application in the NGO instruments**

##### **The NGO instrument**

On the **policy level**, successive Finnish Development policies (MFA 2004a; 2007; 2012a) and NGO policies (MFA 2006; 2010), as well as relevant sector policies, increasingly underlined the intention of complementarity between Finnish-funded NGO support and other parts of Finnish co-operation (Section 4.1).

Regarding the POs that represent more than half of the NGO support, the selection criteria for partnership organisations stated: *The partnership organisation complements the entity of official and NGOs development co-operation so that the developing countries' needs and Finland's development co-operation's priorities are taken into account.* (MFA 2012e, 1)

With regard to mechanisms to ensure such complementarity, the **2010 NGO policy** stated: *The Ministry supports intensification of mutual co-operation among Finnish civil society actors and pooling of expertise. In this context, the Ministry works together with civil society actors to create means and approaches supporting co-operation activities in practice.* It added: *Civil society actors are encouraged to deepen relevant co-operation with the Ministry's regional units and diplomatic missions. Correspondingly, the Ministry will draw the attention of the diplomatic missions to*



*development of opportunities for co-operation with Finnish civil society actors implementing development co-operation.* (MFA 2010, 26)

At the **management level**, the **Instructions for the Partnership Agreement Scheme** (MFA 2012f) referred to the PD and AAA, and mentioned the objectives and principles of complementarity. Partnership selection criteria included complementarity and compliance with Finland's development policy. Previous administrative criteria for the partnership scheme in 2004 did not deal directly with the issue of complementarity, although they included policy coherence with the Finnish Government's co-operation policies as one of the criteria for supporting partner organisations' programmes.

In 2012, the MFA issued the current manual for the management of project support to Finnish NGOs, **Development Co-operation of the Civil Society Organisations – Project Guidelines** (MFA 2012d). The document included procedures relevant to promoting the requirements of complementarity under national and international policy frameworks: ownership of projects at local level; compatibility with the partner country's development programmes; avoidance of unnecessary duplication and fragmentation of action; and co-operation with other Finnish and international actors, including businesses and bilateral government projects.

In summary, the current policies and guidelines reflect an increased national and international focus on complementarity, particularly with Finnish development policy, and make complementarity considerations a requirement for MFA support to NGOs.

However, the reality observed by the evaluation at Embassies of Finland was marked by certain frustration over the perceived dearth of information about the Finnish NGO activities in the countries covered. In addition, some Embassy staff not only found that they lacked the time to cultivate relations with the Finnish NGOs, but also that it was difficult to follow the MFA HQ "stream" of new policies and guidelines because of insufficient introduction or in-service training related to it. Nevertheless, serious dedication to the subject by Embassy staff was observed. This may be reflected in a number of observed cases of Embassy staff being recruited from the NGO community and career shifts between Embassies and NGOs.

Generally, mechanisms to ensure complementarity of NGO support with other Finnish development co-operation appeared to exist only to a limited extent. Practice was marked by an inadequate, compartmentalised structure in the MFA on the one hand, and among the NGO instruments and the individual NGOs on the other hand (Table 6).



**Table 6** NGO-MFA Relations.

NGO categories/ instruments	Funding and follow-up MFA units	Relations with other parts of MFA than funding unit and to other in- struments
Partnership NGOs	NGO Unit	Frequent but non-systematic contact with Embassies. Non-systematic participation in country programming. Sporadic contact with INGOs and LCF grantees.
Non-partnership NGOs	NGO Unit	Occasional contact with Embassies. No participation in country programming. Sporadic contact with INGOs and LCF grantees.
Foundations	NGO Unit	Rarely called on for advice by the MFA.
International NGOs	Mainly regional and political units, NGO Unit	Mixed picture, with limited interaction at some Embassies and more extensive interaction at others.
Local Co-operation Funding	Embassies	Managed by the Embassies and taken into consideration in country programming. Occasional contact with Finnish NGOs, including the Foundations.

Source: Interviews with MFA units and Finnish NGOs.

The dividing lines in the table were commonly referred to as “firewalls” at interviews with NGOs and MFA staff in Finland, as well as with the Embassies, where staff focused on the additional “firewall” between Embassies and the MFA HQ. The MFA also did not make use of the expertise of the three Foundations for designing and monitoring the accommodation of Finnish cross-cutting themes and objectives, although the Foundations were created to support activities related to related fields (human rights, environment, and disability). Thus, Embassies did not use the Foundation expertise in relation to their selection of LCF grantees, even though large part of these fall within the categories of human rights and environment.

In contrast, most Finnish NGOs were of the opinion that they were already aiming for a degree of complementarity. Eight out of 12 sampled NGOs answered “Yes” to the survey question: *In designing projects to be funded by Finland, do you consider the need to ensure synergy with other Finnish-supported projects in the partner countries?*

## The INGO Instrument

With regard to the INGO instrument, complementarity is underlined in the (first) **MFA Policy line on government funding to INGOs: principles and priorities** (MFA 2012c, 1-2): *‘Funding targeted at INGOs complements Finland’s foreign and development policy modalities as outlined by the Government... In the long-term partner countries, Finland engages in INGO co-operation that complements the other activities carried out in these countries.’*

The INGO policy was issued in response to the National Auditors’ recommendation (NAO 2010) of promoting the effectiveness of NGO support through better integration of projects in Finland’s development co-operation as a whole. In addition to emphasising complementarity, a new decision-making cycle was created to harmonise the processing of INGO financing proposals in the MFA (Information provided by the MFA).

Supported INGOs were identified and administered by the MFA regional and political units for supporting Finland’s regional level development objectives (such as capacity building within the African Union). Representatives of these units (Section 3.3) reported that they found complementarity was being pursued well and that supported INGOs were selected in line with Finland’s foreign policy goals to provide expertise and country presence not represented in the MFA. A perceived challenge in relation to INGO support was that it may be difficult to identify the right INGO partners in a vast “market”. While INGOs were normally assessed as quite effective, their services were more costly than those of the NGOs in the other instruments.

At the Embassies in regions covered by INGO activities, a mixed picture of knowledge about these activities was found, ranging from no knowledge to committed interaction. INGO-related communication and co-ordination between the NGO Unit and the regional and political MFA units appeared limited.

## The LCF instrument

Complementarity issues were not adequately addressed in the **2005 LCF Internal Instructions** (Norms). For instance, it did not permit joint funding of projects, which reduced Finland’s ability to live up to its international commitment with regard to harmonisation and co-ordination of support. In contrast, the current LCF guidelines, **LCF Internal Instructions 13/2009** (MFA 2009d) and the **LCF Co-ordinator’s Manual: Recommended Good Practices** (MFA 2011), required the Embassies to consider how the implementation of LCF supported Finnish development policy objectives and how the programme took complementarity into account.

Local Co-operation Funding was managed by the Embassies of Finland, which accordingly were in a position to ensure complementarity with Finnish bilateral co-operation. The LCF 2008 evaluation states:

*The impact of LCFs is not significant enough to achieve the overall goals and objectives of the Finnish Development Policy or of the partner country policies. It has, however, a comparative advantage for being able to address sensitive human rights, democracy and good governance issues in complex*

*environments. In most countries, CSOs strongly depend on donor funding to work on these issues. Focusing the LCF support in these areas would maximise the benefits of LCF. Allocating support to poverty-focused service delivery, trade and institutional co-operation interventions decreases effectiveness and impact.* (Poutiainen, Mäkelä, Thurland & Virtanen 2008, 16)

As illustrated in the LCF overview (Section 3.5), this recommendation seemed to be followed to a large extent in Embassy focus on gender equality and democratic governance, including human rights, as main fields of LCF support. This observation was supported by evaluation field studies, which found recent examples of the LCF support for service delivery, trade and institutional co-operation interventions – which the LCF norms provide for – in their support to the private sector in Namibia.

In Peru, grantees expressed appreciation of what they saw as the analytically serious and dedicated efforts of Finnish Embassy staff in relation to follow-up to human rights and good governance grants, including field trips that could be quite demanding. However, some were of the opinion that the Embassy's dedication to human rights had been reduced in recent years. The latter observation illustrates the Embassies' competency to establish criteria for LCF support. The abovementioned LCF practice, and possible changes to it, is in line with the current **2012 Development Policy**: *In Finland's long-term partner countries, the Local Co-operation Funds will be directed to support the objectives of the country programmes.* (MFA 2012a) The Embassy of Finland in Lima emphasised that it received more environmental than human rights applications, and that all supported projects – whether environmental or in other sectors – must include a human rights-based approach in the activities.

As with NGO matters in general, it was found that the LCF grants were given high priority at the Finnish Embassies visited, and that they were appreciated by the Embassies as an antenna to the surrounding community at large. One observation from an Embassy of Finland was: *The (LCF) co-operation has several values from the donor's point of view. One is the direct one; i.e. the impact of the projects themselves. Another value is the direct contact with different parts of the region and hence knowledge of local circumstances, the actual situation for people and environment, problems and possibilities. This is the kind of information that adds a lot of knowledge to the Embassy and benefits the Finnish co-operation in general.*

Embassies did not always think that they had adequate staff resources to ensure sufficient follow-up to the many small grant projects, which were demanding in terms of transaction costs. The Embassy in Lima informed the evaluators that it received 919 applications in response to the call for proposals for 2014 financing – which put monitoring visits on hold for the corresponding period. LCF support was often managed by local Embassy staff, who have accumulated an insight and expertise that was difficult for rotating Finnish staff to achieve.

**In summary**, enhanced complementarity beyond the level of shared goals, between the three NGO instruments and bilateral co-operation, was encouraged by policies and guidelines, and most Finnish NGOs favoured increased complementarity. However, the mechanisms to achieve this objective at the country level were insufficient in relation to the NGO and the INGO instruments, although the latter was complementary to Finnish regional policies in terms of joint strategic action and accountability. The LCF instrument was complementary to Finnish bilateral co-operation in terms of joint strategic action and accountability.

#### **4.4.3 Complementarity between NGOs and bilateral co-operation**

##### **Geographical spread**

Finland's current funding of NGO projects in 100 countries illustrates that the NGO instrument has been regarded as a Finnish "window to the world". The large majority of NGO projects are located outside the seven co-operation countries (Section 3.4). In relation to complementarity, aid effectiveness and efficiency, this fragmentation of NGO projects was problematic, since it was likely to reduce focus and to challenge the co-ordination and management of co-operation.

At the same time, the evaluation observed that the Finnish NGOs and partners met in non-co-operation countries did not find isolation from Embassies problematic, even if they occasionally missed the contact. This observation corresponded with the often-limited contact between Finnish NGOs and Embassies, even in the co-operation countries.

##### **Involvement in country programming**

The **2012 Development Policy** states: *Civil society organisations are encouraged to complement Finland's activities in its partner countries, and to support the attainment of the objectives of country programmes.* (MFA 2012a) However, NGOs did not participate systematically in country programming. According to information provided by them, they contributed to country programming on an ad hoc basis in certain cases. Nine out of 12 sampled NGOs answered "Yes" to the survey question: *Has your organisation ever been involved or consulted in the preparation of Finnish country development programmes (in countries where you have implemented projects or where you have long years of presence)?* However, no programme document or report from recent interventions of 21 sampled NGOs in the seven field study countries referred to NGO participation in Finnish co-operation programming.

The recently-established **country strategies** (2012) for Finland's long-term partner countries underlined the role of the NGO instruments and endeavoured to enhance their complementarity with other Finnish support, thus underlining the need for action in this respect. In Kenya and Nepal, part of the elaboration of the country strategy consisted of a series of seminars with the many Finnish NGOs active in those

countries. The seminars resulted in substantive sections on NGO co-operation in the draft strategy. The Embassy in Bangkok mentioned that it had useful strategic dialogue with the Kapa Mekong Office, located in the same city.

### **Complementarity with bilateral co-operation**

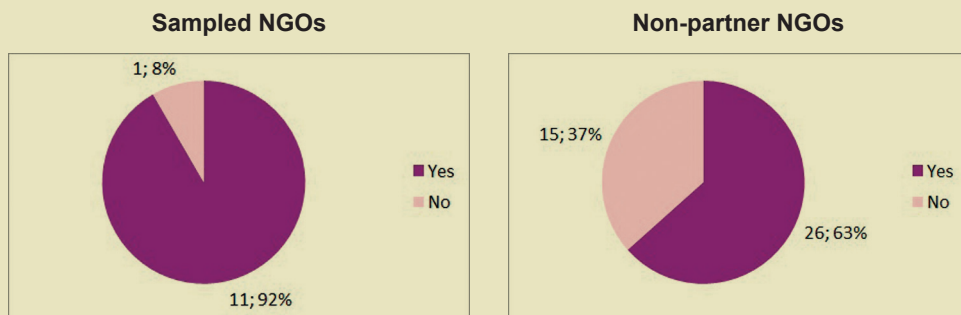
In 2012-13, the MFA NGO Unit undertook monitoring trips to Kenya and Nepal (two of the largest countries in terms of Finnish NGO presence). The missions were to develop ways of enhancing co-ordination between the NGO Unit, the Embassies of Finland covering those countries and other concerned MFA units. Discussions were held with the Embassies on complementarity with the NGO instruments and on how to counteract the risk of fragmentation, as perceived by the Embassies in relation to large numbers of Finnish NGO projects – not all of which they found to be very professionally managed. Discussions also included NGO Unit measures to strengthen NGO project monitoring. During these trips, the NGO Unit identified scope for increased complementarity between support from Finnish NGOs and other bilateral co-operation, and provided corresponding suggestions to country programming.

From the 2012-13 work sessions on complementarity between the MFA and NGOs, and at an initial public meeting of the evaluation team with Finnish NGOs, it transpired that a positive NGO attitude towards potential benefits from increased complementarity had an uneasy coexistence, with certain reservations. The reservations included fear of weakened NGO independence, identity and service to the target groups – as well as some cultural animosity towards the state and private sector. More detailed evaluation studies subsequently qualified this perception to the benefit of the favourable factors, as expressed in interviews, at focus group meetings, and in NGO survey answers.

In the absence of established procedures for co-ordination and information sharing at country level, the NGOs were normally kept informed by the Embassies on an ad hoc basis in a way they find useful, as highlighted by survey results and interviews summarised in Box 7.

### Box 7 NGO views on relations with Finland's bilateral co-operation.

Almost all sampled NGOs (mainly POs) and most non-PO/NGOs answered “Yes” to the survey question: “*Are there mechanisms for co-ordination and/or information sharing between your NGO and Finnish embassies?*”



Moreover, 11 out of 12 sampled NGOs answered “Yes” to the question: “*Are there other procedures or practices that promote complementarity between your activities and official Finnish development co-operation?*” (The question was not asked in the second survey).

Among the survey comments provided by NGOs to this question, the following illustrative answers are worthy of note:

- *Discussions with the desk officers.*
- *.... Some ambassadors are keen on keeping NGO projects to be shown as part of Finland's developmental operations, but for some they don't play an important role.*
- *Each time during the monitoring/evaluation visit, a meeting with the Finnish Embassy has taken place in order to inform about the project progress and search new ways for co-operation.*
- *... our programme, and the projects that fall under it, is approved by the NGO department in the MEA and the complementarity (compliance with the GoF development policy) is analysed in the discussions between us and the said department.*

Hence, no major perceived NGO need for changing the practice was indicated.

### NGO role in exit and entry strategies

An aspect of the NGO instrument relevant for complementarity was found when it served as an informal exit strategy where bilateral support was terminated due to partner country migration to middle-income country level. However, a number of middle-income countries still faced significant governance challenges and socio-economic inequality. Peru, Namibia and Egypt are examples. In Namibia, Finland's bilateral co-operation stopped in 2009 when Namibia reached upper middle-income status. However, inequality in the country was still extremely high. According to an NGO

umbrella organisation, 22% of the population lived on less than US\$ 1 per day. Problems such as HIV/AIDS and gender-based violence were widely prevalent.

In such situations, the NGO instrument may serve to continue and complement the objectives achieved through bilateral and regional support. The idea of using the NGO instrument as exit strategy was entertained by Embassy staff and NGO representatives. However, clear strategies and tools for translating the idea into practice did not yet exist. In a similar way, the use of the NGO instrument as an entry point to possible new Finnish co-operation countries might be contemplated.

### **The NGO-citizens dimension**

The 2010 NGO Policy states: *The specific added value and complementarity of civil society organisations in relation to other Finnish bilateral development co-operation derive from their direct contacts at grassroots level, in areas and among groups of people that are not reached by public-sector development co-operation. ... To strengthen mutual support, compatibility and complementarity with public development policy, the Ministry for Foreign Affairs hopes that Finnish organisations' projects would be focused on the thematic as well as regional and country level priorities of Finnish development policy.* (MFA 2010)

In line with the intentions of this statement, recent dialogue between MFA and NGOs focused on the materialisation of complementary gains in terms of better results from increased use of the comparative NGO strengths in the bilateral co-operation. It focused particularly on a vision of combined “NGO bottom-up and bilateral top-down approaches” that are supposed to benefit citizens’ participation in and monitoring of bilateral programmes.

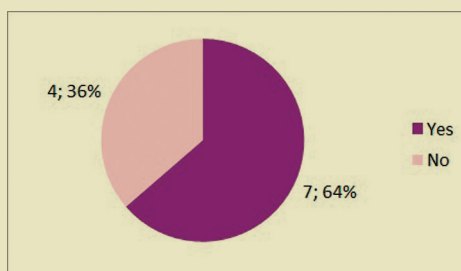
According to NGO survey answers, it was possible to identify existing examples of vertical or citizens’ complementarity between Finnish NGO support and other Finnish bilateral aid, as highlighted in Box 8.



## Box 8 NGO project complementarity with Finland's ODA.

Seven out of 11 sampled NGOs answered “Yes” to the following question:

*Do you have examples of your projects being complementary to Finnish official development co-operation in specific sectors through advocacy or by mobilising civil society, such as in users' committees?*



Source: Survey to NGOs.

A comment from one of the affirmative answers illustrated an often-met uncertain understanding of complementarity, including between Finnish NGO and state co-operation: *...The assumption is dubious. It is not up to the Finnish work but the local Government of each country to ensure that.* One of negative responses provided a comment that was frequently encountered at meetings with NGOs in Finland: *NGO co-operation has a different role from the governmental co-operation. Too strong linkages between the two might cause these specific roles to dilute.*

Hence, answers and comments indicated an overall positive NGO attitude towards increased complementarity, combined with uncertainty about what it means and mixed with negative attitudes. During the field studies, similarly mixed attitudes were encountered with representatives of Finnish NGOs. They ranged from widespread appreciation of Embassy co-ordination and information initiatives to the belief that NGO complementarity efforts were not worthwhile, since NGOs were considered as being ahead of the bilateral co-operation with regard to innovative thinking.

From the field studies, the evaluation identified a few examples of good practices aimed at complementarity between Finnish NGO and bilateral support. In Ethiopia, for instance, special needs education teachers trained through technical assistances under bilateral programmes are employed in schools supported by Finnish NGOs or by disability organisations supported by Finnish counterparts. However, this complementarity was not a planned outcome, but rather occurred naturally, as most of the special needs education teachers in the country were educated through the Finnish support under the bilateral programme. In Nepal, co-operation through joint planning and action between NGOs and the implementing consultancy company within the context of the bilateral Rural Village Water Resources Management Project (RVWRMP) was appreciated by the NGOs.



**In summary,** Finnish NGOs held a cautious but positive attitude towards increased complementarity with Finland's bilateral and regional co-operation in general. Such complementarity at the level of division of labour and joint strategic action was practised with good results in a few projects. Scope for expansion of these good practices was identified by the NGO unit and concerned Embassies, particularly in relation to "citizens' complementarity". Joint strategic action also took place in a few cases through the participation of Finnish NGOs in the elaboration of country strategies, while relations with Embassies were mainly confined to a degree of information sharing.

For the majority of Finnish NGO interventions in non-long-term co-operation countries, complementarity was limited to shared goals and certain informal division labour in relation to exit strategies. There was scope for re-thinking the geographical dimension, not only in order to reduce fragmentation of aid, but also in relation to the possible use of NGO experience for the elaboration of exit, and possibly entry, strategies for Finnish bilateral aid.

#### **4.4.4 Integration of cross-cutting themes and objectives in NGO co-operation**

The 2012 development policy of Finland adopted a human rights-based approach and identified gender equality, reduction of inequality, and climate sustainability as specific cross-cutting objectives of Finnish development policy (MFA 2012a, 23). These three cross-cutting objectives were elaborated for all Finnish development co-operation in specific guidelines (MFA 2012g) updating previous policy documents that referred to similar cross-cutting themes.

**Guidelines for civil society in development policy** (MFA 2010) specifically addressed the cross-cutting themes of Finnish development co-operation that were identified in the 2004 development policy. The cross-cutting themes identified were: . . . *rights and status of women and girls, as well as gender and social equality, the rights and equal opportunities for participation of easily marginalised groups, and HIV/AIDS, as well as climate policy requirements and human rights* (MFA 2010, 6, 16). The earlier NGO development guidelines did not mention cross-cutting themes (MFA 2006).

Development of tools for improved integration of cross-cutting themes was a key recommendation in evaluations of NGO interventions and Finnish co-operation in general. The evaluation on cross-cutting themes highlighted the need for developing an overall strategy and a country-level strategy prepared by the Embassies (Kääriä, Poutiainen, Santisteban, Pineda, Chanda, Munive, Pehu-Voima, Singh & Vuorensola-Barnes 2008, 24). Accordingly, tools for the integration of cross-cutting themes were developed and made available in recent years. The MFA website provided implementation guidelines for the integration of cross-cutting themes, including gender impact assessment, tools for reduction of inequalities, and a climate sustainability checklist.

The LCF was seen as a mechanism for strengthening democracy, promoting human rights and equality, and poverty reduction (Kääriä *et al* 2008, 63). Embassy staff in partner countries covered by field visits indicated that cross-cutting objectives were prioritised in determining thematic areas for LCF support. This was reflected in the profile of the reviewed and visited LCF projects.

In planning and implementation, Finnish NGO projects generally mainstreamed cross-cutting themes and objectives, especially gender equality and reduction of inequality. The review of NGO project documents showed that significant part of the projects addressed disability or environmental issues. Responses to the survey questionnaire suggested that addressing cross-cutting themes and objectives was high on the agenda of Finnish development NGOs. Asked whether they addressed cross-cutting objectives in their interventions, all but one answered “Yes”.

The **2008 evaluation on cross-cutting objectives** indicated that NGO projects involved cross-cutting themes (Kääriä *et al* 2008, 63). Similarly, most representatives of Finnish and local partner organisations consulted during the field visits stated that they mainstreamed gender equality and reduction of inequality in the design and implementation of their activities. Many of the NGOs interviewed had internal institutional policies for mainstreaming cross-cutting themes, particularly gender equality. Some local NGOs admitted that Finnish government requirements encouraged them to give more attention to mainstreaming the cross-cutting themes and objectives in their projects.

However, some gaps were observed in the mainstreaming of cross-cutting objectives in Finnish NGO projects, in terms of coverage and quality. Climate sustainability was considered only by NGO projects directly working on environmental issues, while most NGOs stated that the issue was not directly related to their projects. Where some NGOs had developed strategies and capacity for mainstreaming cross-cutting objectives, most NGOs lacked such strategies and capacity. Twenty of the 46 Finnish NGOs included in the survey reported that they lacked specific indicators to monitor the implementation of the cross-cutting objectives. Most local partners and LCF grantees interviewed during field studies stated that they did not have knowledge of the specific MFA tools on mainstreaming cross-cutting themes and objectives.

The evaluation findings were confirmed by the 2008 evaluation on cross-cutting themes, which also found gaps in mainstreaming such themes in the Finnish NGO instrument. It argued that, due to the need to maintain NGOs’ right of initiative, cross-cutting themes were not explicitly emphasised by Finnish NGOs, the emphasis of which was rather on promoting Finland’s development policy objectives in general (Kääriä *et al* 2008, 16).

**In summary**, among the **cross-cutting themes and objectives**, gender and social equality were usually mainstreamed by Finnish-supported NGO projects. However, the issue of climate sustainability was not adequately considered in most NGO projects.

With regard to **overall complementarity** between Finnish NGOs and Finnish bilateral and regional co-operation, it can be concluded that the existing NGO culture and the rules and procedures governing the MFA-funded NGO support only ensured complementarity between bilateral and NGO support at the level of shared overall goals, including cross-cutting objectives. Only a few examples of complementarity beyond this level were found in terms of joint strategic action and division of labour related to concrete projects. However, objective preconditions and stakeholder readiness was found for enhanced complementarity, including division of labour and joint strategic action, in expectation of accrued synergetic added value.

## **4.5 Complementarity within and between the NGO instruments**

### **4.5.1 Complementarity between co-operation activities of Finnish-funded NGOs**

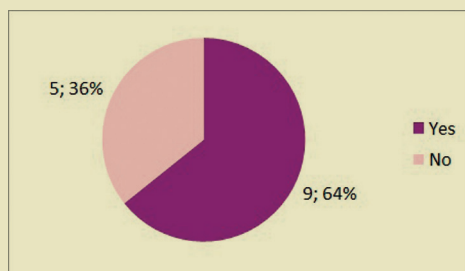
The 2012 Development Policy stated: *Civil society organisations are invited to engage in mutual co-operation as well as in partnerships with the private and public sectors* (MFA 2012a). However, the Finnish development NGOs appeared mainly to act independently of each other, and to be more affiliated with their local partners and international umbrella/partner organisations than with each other, as expressed at NGO meetings in Finland. When working in the same countries and sectors, they co-ordinated their activities to avoid overlapping, but they rarely engaged in specific co-operation at country level.

Despite this main tendency, examples of co-operation did exist, mostly with regard to their activities in Finland. Kepa mentioned examples of Finnish NGOs co-operating and co-ordinating their work, such as through co-operation within campaigns, events in Finland, country email lists/Facebook groups, and in monitoring and evaluating projects. Thematic NGO networks did exist, such as the HIV/AIDS network, Finnish Somalia Network and Global Education Network. A more positive NGO self-assessment was evident in the answers to the related survey questions.

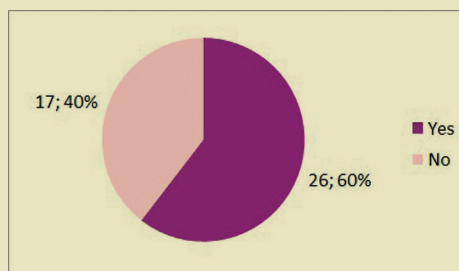
### Box 9 Finnish NGO interaction.

*Do you co-ordinate your activities with other Finnish NGOs, working in same countries or sectors, on the global level (at the headquarters in Finland)?*

**Sampled NGOs**

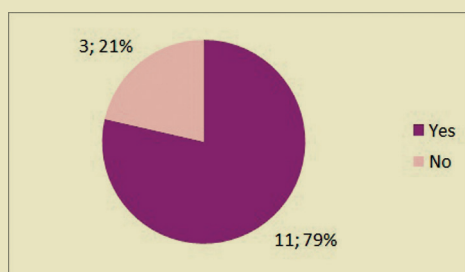


**Non-partner NGOs**

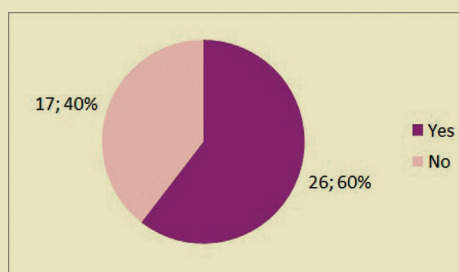


*Do you co-operate with other Finnish NGOs at the country level?*

**Sampled NGOs**

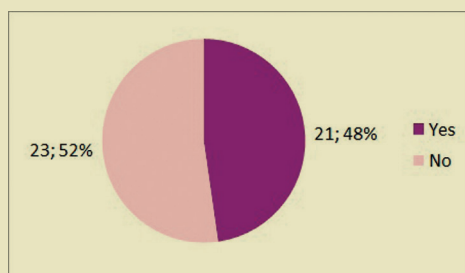


**Non-partner NGOs**



*Do you co-operate in supporting same activities?*

**Non-partner NGOs**



Source: Survey to NGOs.

However, the evaluation field studies supported the notion of limited complementarity between Finnish NGOs beyond shared goals on an overall level, some degree of information sharing, personal contacts, and participation in Embassy-initiated common arrangements. Among 29 Finnish NGOs/partner organisations visited, only a few examples of joint action were identified.

Regarding the **Foundations**, the 2008 Evaluation of Foundations recommended ... *that the foundations: Explore possibilities for greater collaboration ... among different modalities of Finnish development co-operation (Local Co-operation Funds, other NGO support, bilateral and multilateral support, etc.* (Williams, Venäläinen, Santisteban, Nankya Ndidde, Muhtaman & Mäkelä 2008).

However, it was found that complementarity with other Finnish NGO support existed only to a limited extent. For example, the expertise of the Foundations (within human rights, environment, and disability) was not used systematically in the design and monitoring of the related cross-cutting objectives. Field studies confirmed that knowledge about the activities of the Foundations was limited among NGOs and partners, notwithstanding the large number of small grants provided by the Foundations. This may partly be attributed to the Finnish practice of no double funding.

#### **4.5.2 Complementarity between funded NGO and INGO co-operation**

With regard to the INGO instrument, the Instructions Concerning the Partnership Agreement Scheme state: *The partner (organisation for Finnish NGOs) may also be an international organisation (INGO) operating in the partner country* (MFA 2012f). However, complementarity between Finnish NGOs and INGO instruments was found to be almost non-existent. The same was the case with regard to the possible NGO-INGO co-operation referred to in the Instructions.

Nevertheless, five out of 14 sampled NGOs answered “Yes” to the related survey questions: *Is the planning of your support co-ordinated at the central NGO INGO level? Are there mechanisms at country level to co-ordinate and/or share information between you and Finnish-funded INGOs working in same sectors?*

This response was more positive than that expressed by Finnish partnership NGOs at a focus group meeting. For them, the content of the INGO instrument was unknown and the distinction between this instrument and their own international umbrella organisations was not very clear. The “distant” nature of the INGO instrument may have been reinforced by the common use, in partner countries, of “INGO” as being synonymous with “foreign NGO”.

The activities of Finnish NGOs affiliated to international mother-INGOs – for example, several partnership NGOs, such as Finnish Red Cross or Save the Children – appeared to be complementary to the activities of these international movements, as

an important feature in their development co-operation. However, such complementarity was not related to the Finnish-funded NGO instruments.

The question was raised at a Finnish Embassy about the Finnish added value of funding international NGOs through Finnish member organisations, which may not have much ownership of projects implemented by the international NGO. The possibility of increased transaction costs from passing several organisations en route was also addressed by the Embassy. On a similar line of thinking, it may be noted that while field study interlocutors often highlighted certain specific Finnish skills that added value to the projects, the international umbrellas emphasised their worldwide expertise and made a virtue out of not being influenced by funding origin.

With regard to possible **INGO-LCF** relations, the 2012 Development Policy mentioned that: *Local Co-operation Funds of Finnish Embassies are developed to correspond better with the priorities of this (INGO) programme* (MFA 2012a). However, the evaluation did not observe any materialisation of such INGO-LCF relations, and Embassy staff were generally not well informed about INGO programmes.

### **4.5.3 Complementarity between NGO and LCF support**

The Evaluation of Local Co-operation Funds mentioned that: *LCF strategies in the case study countries refer to complementarities with other forms of Finnish aid portfolio. Nevertheless, in none of the strategies are these complementarities further justified and elaborated... LCF interventions are not harmonised with other NGO projects funded through the NGO Unit of MFA in any of the case study countries. Embassies are often not informed about the Finnish NGOs operating in the country. There is very little, if any, knowledge about the opportunities for complementarity between the assistance channelled through Finnish NGOs and LCF support* (Poutiainen et al 2008, 54, 56).

In line with this statement, only limited evidence was found of complementarity between Finnish NGOs and LCF grantees. NGOs were, according to interviews and survey responses, aware of the existence of the LCF and mentioned a few cases of co-operation with LCF grantees. However, field studies and examination of programme documents or reports indicated no such complementarity in the co-operation countries.

In this context, the statement of a Finnish Embassy is characteristic: *There has never been any Finnish NGO or Finnish-funded INGO related to LCF grantees in [the country in] a in the given time period. The Embassy has tried linking Finnish expertise to [the country's] LCF-funded projects . . . without success to this date.*

**In summary,** structures, procedures and traditions on both the MFA and the NGO side resulted in only rare and occasional examples of complementarity beyond the level of shared goals between the three NGO instruments, within each of these instruments, and with the Foundations. There were no working mechanisms that promoted joint strategic NGO action or joint accountability in development co-operation, outside the related activities in Finland. At the Finnish NGO head-quarter level, and through the funding MFA NGO Unit, an overall division of labour between Finnish development NGOs was ensured. However, this was rarely reflected in NGO co-operation in the field.

#### 4.6 Complementarity between Finnish NGOs and other development actors

Finnish NGO Co-operation Policy and Guidelines encouraged Finnish NGO-complementarity with other relevant actors, as highlighted in the **Development Policy, 2012**: *Civil society organisations are invited to engage in mutual co-operation as well as in partnerships with the private and public sectors* (MFA 2012a). However, in the absence of established mechanisms to ensure complementarity between Finnish NGOs and other actors, the implementation of this intention was left to the NGOs, with some resulting complementarity achieved, as illustrated by examples from the evaluation's NGO surveys, interviews and field studies.

In relation to multilateral donors, several examples of limited complementarity were identified through the reporting of Finnish NGOs at focus group meetings and in comments to survey questions. Finnish NGOs “have co-operation with UN agencies and with some governments”; “participate in EU and UN organisations’ country strategy consultations”; “work closely together with UN organisations through their international umbrella NGOs, such as through Save the Children International with the United Nations Children’s Fund (UNICEF) in Child Rights Situation Analysis processes in several countries”; and “participate in and sometimes play a co-ordinating role in the Office for the Co-ordination of Humanitarian Affairs (OCHA) clusters, individually or through their international NGOs”.

Moreover, Finnish NGOs participated in global sector networks, such as the International Youth Foundation (IYF) global partner network, where most of their local partner organisations also participated. These networks offered the participants the possibility of co-operating and sharing know-how, and possibly also serving in a consulting role for local CSOs in co-operation countries.

An NGO viewpoint presented to the evaluation was that Finnish NGO co-operation could benefit from increased interaction with relevant **international research networks**. An example was the International Council for Research in Agroforestry (ICRAF) research centre in Nairobi, which is linked to the Consultative Group on International Agricultural Research (CGIAR). It undertook innovative development of



improved stoves, but was not connected with NGOs that may use outdated models in their work at village level. If such collaboration materialised, NGOs would benefit from being in touch with the latest research results and researchers. International research and development organisations would benefit from involving NGO staff as collaborators on-the-ground doing practical aspects of the research, since NGOs are supposed to interact with beneficiaries more easily and equally than researchers. CGIAR received funding from Finland, and the NGO suggested that part of this funding could be used to encourage involvement of relevant Finnish NGOs in ICRAF activities – as an example of applied complementarity.

In relation to the local **NGO communities** (in addition to the local partners of Finnish NGOs), complementarity was mainly perceived as participation in activities of national NGO Forum organisations. Finnish NGOs reported that they met regularly with other local NGOs, rather than with their partners, to co-ordinate the activities through such NGO Forums in partner countries. This was verified by the field studies. Embassy staff informed the evaluation that they also occasionally participated in such events.

In relation to the **private sector**, many Finnish NGOs expressed reservations about co-operation possibilities, owing to perceived conflicting priorities in relation to the target population – such as with regard to the forest industry, where the protection of the livelihood of target populations might conflict with industry short-term objectives. In addition, differences in culture, values and work practices between NGO and private sectors were regarded as a problem. However, some Finnish NGOs had positive attitudes towards strengthened relations with the private sector, but found it demanding to implement. One of them reported that it was increasing its co-operation with the business community, *“but once in the same projects (where) there is government funding included, it is still challenging because there are no real practical regulations”*.

One Finnish NGO reported that new ways to promote corporate social responsibility and private sector support for development co-operation were successfully developed. The objective of the Finnish Children and Youth Foundation (FCYF) with regard to corporate social responsibility (CSR) was to include companies' expertise in co-operation projects in order to enhance knowledge sharing and benefit the project “Promotion of youth employment and life skills in Peru” with the local partner, the Information and Education Centre for the Prevention of Drug Abuse (CEDRO). The positive self-assessment of these experiences was supported by a field visit to the project partner.

Examples of complementarity related to the **Finnish business community** included:

- A Nokia mobile phone application used in youth entrepreneurship projects in Peru and Paraguay. Plan Kenya also received funding from Nokia for its space literacy and child protection programmes.



- An innovative volunteer model for CSR was created by FCYF and CEDRO in co-operation with Deloitte Finland. The Deloitte volunteers participated in local CSO capacity building, knowledge sharing and development of the entrepreneurship part of the above mentioned youth employment project in Peru. Such co-operation offered the private sector a new way to implement CSR and strengthened the project partners and beneficiaries through exchange of knowledge and lessons.
- Fida and its Nepali partners provided another CSR example from rural education projects where Ncell, a mobile phone operator, constructed two fully equipped primary schools.

With regard to **local business communities**, FCYF mentioned that these were important partners for all youth employment projects. Their project support included occupational training, internship placements and jobs. Field studies in Peru supported the finding that networking with the local business community benefited the involved parties.

Within the context of Finnish development co-operation, the private sector organisations of particular interest to the NGOs were the **consultancy companies** that implement Finnish bilateral co-operation. Common NGO attitudes to these companies were expressed in a message (Box 10) from an NGO representative to the evaluation team. The message also expressed ideas about possible future expanded NGO participation in the implementation of bilateral co-operation, which was in line with frequently encountered NGO viewpoints.

**Box 10** NGOs and Consultancy Companies: an NGO viewpoint.

“... (There are) big questions about differences of work cultures of consultancies and NGOs while they implement their projects.

... The problem is that the multi-million projects are done by consultants, who often remain distant to the beneficiaries, without learning a local language and without a possibility of getting deeply interested in local matters. They are also often very conservative in their methods. At the same time, NGOs could potentially complement this with their often much deeper interest in local matters. Another thing dividing these two modes of development work is the difference in the salary requirements. But the NGO sector has its problems too, as projects are often kind of hobby activities to Finnish professionals who know much too little of development.

... Rules that prohibit smaller consultancies taking part in tender (turnover limit is often put to €1 million) are without justification and harmful, and excluding NGOs from the tenders is even more questionable. ... Could they tender in mixed teams with consultants from consultancy companies? Or, forming consortia of NGOs working together? Why are these two categories of development work kept so totally separated? New Ministry rules could start changing these work cultures and making the two categories come closer and learn from each other.”

Source: Representative of a Finnish-funded NGO.

However, when the issue was discussed at a focus group meeting with Finnish partnership NGOs, the attitude was less critical and more inclined towards improved possibilities for NGOs to participate in consortia with consultancy companies than to tender against them.

**In summary**, only limited complementarity existed in terms of joint strategic action and division of labour in relation to multilateral donors and INGOs (outside the INGO instrument). With regard to the business community, some Finnish NGOs saw a potential for increased co-operation – in particular, with consultancy companies that implement Finnish bilateral co-operation. Where complementarity existed in terms of joint strategic action and accountability with other actors (in particular, with international NGO umbrellas), this was more the result of Finnish NGO participation in structures created by these actors, than of mechanisms in Finnish development co-operation.

## 4.7 Overview of NGO-related complementarity in Finland's Development Co-operation

Table 7 provides a brief matrix overview of the existing complementarity within and between the three NGO instruments and the Foundations; Finnish bilateral co-operation; governments and partner NGOs in co-operation countries; and with other development actors.

The degree of complementarity is categorised according to the level of intensity as contained in the evaluation's definition (Section 1), from shared goals over division of labour, and joint strategic action, to shared accountability. As the overall goals of Finnish co-operation are shared by all receivers of co-operation funding from the MFA, this level is mentioned only when relevant in the context.

The main message from the matrix is that:

- Complementarity within and between the three NGO instruments, including the three Foundations, was limited.
- Internal NGO-related complementarity with Finnish ODA was also limited with regard to Finnish NGOs, including the Foundations, as opposed to the complementarity of the INGO and LCF instruments.

The external complementarity of Finnish NGOs in the co-operation countries was fully materialised in relation to their NGO partners and, to a lesser extent, with regard to the governments. Their most important other partners were the international NGOs that they are affiliated with.

**Table 7** Main features of NGO-related complementarity in Finnish Development Co-operation.

	Finnish NGOs	Funded INGOs	LCF grantees	Three Foundations
<b>Complementarity within and between the NGO instruments</b>				
<b>Finnish NGOs</b>	Limited division of labour, in Finland.		Generally little knowledge.	
<b>Funded INGOs</b>	Little knowledge.		Little knowledge.	
<b>LCF grantees</b>	Generally little knowledge.	Little knowledge.	Limited division of labour and joint strategic action.	
<b>Three Foundations</b>	Information sharing in Finland. Limited division of labour in the field.		Generally little knowledge and no joint action.	Division of labour.

<b>Internal NGO-related complementarity with Finnish ODA</b>				
<b>In non-long-term partner countries</b>	Shared goals in cross-cutting objectives, division of labour through informal exit strategy.		LCF projects support overall Finnish priorities.	Support overall Finnish goals, including cross-cutting objectives.
<b>Finnish regional programmes</b>	Generally little knowledge.	Division of labour, joint action and accountability.		
<b>In long-term partner countries</b>	Shared goals in cross-cutting objectives, limited division of labour and joint action.	Limited Embassy and NGO knowledge of INGOs.	Joint strategic action through LCF support to Finnish priority sectors.	Division of labour re Foundation support to Finnish objectives.
<b>External complementarity in co-operation countries</b>				
<b>Governments</b>	Division of labour and limited joint action.	Joint strategic action.		
<b>Partner NGOs</b>	Division of labour, joint strategic action and accountability.		Shared goals at societal and NGO community levels.	Joint strategic action and accountability.
<b>Other development actors</b>	Joint strategic action and accountability with umbrella INGOs. Limited interaction with the private sector.			

## 4.8 Special case evaluation: Complementarity in Finnish humanitarian NGO support

In line with the ToR, this Section examines separately the complementarity between the three Finnish humanitarian and development NGOs: Fida, Finnish Church Aid (FCA) and the Finnish Red Cross; the linkage between their humanitarian and development activities; and the consequences of their accreditation to the EU Directorate General for Humanitarian Aid & Civil Protection (ECHO). (Fida, FCA and Finnish Red Cross are partner organisations included in the NGO-instrument.) Introduced by an overview of the extent of their activities and the relevant Finnish policies, these issues are dealt with in the individual sub-sections.

The tables presented illustrate the substantial weight of FCA, Fida and the Finnish Red Cross within Finnish humanitarian funding:

**Table 8** Finnish-funded humanitarian aid through FCA, Fida and the Finnish Red Cross, 2012 allocations.

Channel	Amount (€ million)
Fida	1,34
FCA	4,34
Finnish Red Cross /ICRC (including €1 million core funding for ICRC)	9,00
Finnish Red Cross /IFRC	5,50
<b>Total</b>	<b>21,18</b>
<b>Total humanitarian aid</b>	<b>84,43</b>

Source: information provided by the MFA Humanitarian Unit.

**Table 9** Finnish-funded humanitarian mine action through FCA and the Finnish Red Cross, 2012 allocations.

Channel	Amount (€ million)
FCA	0,80
Finnish Red Cross/ICRC	0,50
<b>Total</b>	<b>1,30</b>
<b>Total humanitarian mine action</b>	<b>5,50</b>

Source: information provided by the MFA Humanitarian Unit

In line with earlier policy papers (MFA 2009c, 26), **Finland's Humanitarian Policy** (MFA 2012h) emphasised channelling support through capable and experienced Finnish NGOs that have ECHO partner status. It also aimed at promoting complementarity between humanitarian and development interventions by adopting the approach of Linking Relief to Rehabilitation and Development (LRRD). The Policy further encouraged complementarity between Finnish-funded humanitarian and development interventions: ...*In addition to post-conflict transition, it is important to ensure effective linking of relief to rehabilitation and development also when it comes to situation of post-natural disasters.*

**Finland's Development Policy** (MFA 2012a) also stated: ... *The LRRD-approach in Finland's development co-operation is implemented largely by multilateral co-operation and through civil society organisations.*

With regard to whether the MFA **procedures** were conducive to such complementarity, some of the humanitarian NGOs had the opinion that bridge-building between the humanitarian and subsequent efforts was not facilitated by what they saw as a

“more restrictive MFA focus on life-saving” in recent years. It was mentioned that it would be beneficial for the application of the Rights-Based Approach (RBA) in the LRRD continuum if the guidelines for NGO and humanitarian work were clearer about this linkage. Such clarity could, in their view, be beneficial to the possible Finnish NGO response to forgotten and protracted crises.

However, partner NGOs – including the three humanitarian NGOs – could apply for funds for reconstruction and development activities from the NGO Unit. Nevertheless, more strategic thinking on the part of the humanitarian NGOs may be required when working with funds from different sources. Therefore, it appeared that while there may be a scope for examining the procedures, it was up to the humanitarian NGOs to pursue existing possibilities.

### **Complementarity between humanitarian and development interventions**

Interviews in Finland with the three humanitarian NGOs underlined that they prioritise complementarity between their humanitarian interventions and reconstruction and development efforts. One response stressed that . . . *the problems of the victims of disaster or conflict are not over when their lives are saved*. As humanitarian and development organisations, and within the framework of their international movements/partners, the three NGOs endeavoured to overcome the challenge of randomly-occurring humanitarian crises, combined with development long-term planning.

The LRRD continuum was recognised at a strategic level and efforts were undertaken to incorporate components in emergency assistance that strengthened early self-reliance of the beneficiaries. In relation to emergency action, entry points for development were identified, including improved preparedness, by using resources and experience from disaster aid or through developing, for example, long-term health programmes. Training and organisation of personnel/volunteers during an emergency operation was adapted so that they may continue in a future reconstruction and development framework, in the same geographical area or in other critical areas.

Only in exceptional cases was the intervention considered over at the end of the emergency operation. Long-term development programmes were often aimed at from the beginning of the emergency phase, and the idea of the continuum may be presented in the emergency assistance application – even if funding does not yet cover a development phase.

During the field studies, the evaluation team had the opportunity to meet with representatives of Fida in Lao PDR and Nepal and representatives of a Fida partner organisation in Kenya, the Full Gospel Church. In all cases, Fida was engaged in development projects that did not originate from earlier relief activities, and disaster preparedness was not a major priority in any of the countries. However, in Lao PDR, disaster preparedness was part of the curriculum in schools, supported by a Fida education project in areas that had been exposed to flooding. In Nepal, courses in disaster preparedness were conducted for project beneficiary populations. In Kenya, Fida

and the partner were engaged in relief activities, but not as a result of a premeditated strategy. Here, a more systematic LRRD approach was expected, as a result of Fida's recent (2012) engagement in the field of Food Security and Environment.

Finnish Embassy staff met were unaware of examples of LRRD-activities of the three NGOs in the countries covered.

### **Complementarity between the activities of the three humanitarian NGOs**

In relation to humanitarian interventions, the three NGOs faced the same challenges while working in different international network contexts. They agreed about having a well-functioning division of labour that ensured co-ordination and no overlapping, supported by a working group on humanitarian assistance at HQ level, where information on humanitarian operations was shared. Occasionally, the three NGOs assisted each other in the field, such as with logistics or security information.

At the same time, their division of labour did not leave much space for complementarity between them in a synergetic sense. The most important element therein may be the contributions they made to the capacity building of the Finnish humanitarian "human resource bank", from which they benefited in common. From field study interviews, it appeared that Fida co-operated with the local partner of Finn Church Aid in Nepal, the Lutheran World Federation.

### **Value added from ECHO accreditation**

The three NGOs were accredited to ECHO, which was an important additional funding source. However, some of them regarded the ECHO procedures as quite cumbersome and found that a relatively big effort was required in return for a limited chance of success for applications.

Selection for ECHO partnership required that the partners had certain procedures and quality measures in place. Hence, it was regarded as a quality guarantee. ECHO's Framework Partnership Agreement (FPA) enabled partner humanitarian organisations to take part in broader discussions on humanitarian aid and they were consulted on the evolving ECHO sector policies and guidelines. Overall, the Finnish humanitarian NGOs did not experience very substantial benefits from the dialogue with, and in, ECHO. A concrete result of the ECHO accreditation was found in Nepal, where the Fida disaster preparedness courses (Humanitarian Partnership Forum project for participants from Bangladesh, India, Nepal and Pakistan) were ECHO-funded.

### **Complementarity of the humanitarian NGOs with other Finnish support**

In terms of complementarity with other Finnish co-operation, the situation of the three humanitarian NGOs was similar to other Finnish NGOs, in that they were generally more attached to their international networks than to other Finnish NGOs. However, they participated in the regular co-ordination meetings in Helsinki of the partnership NGOs, where information was shared on programmes and activities. They were generally satisfied with their co-operation with the MFA, at HQ and coun-

try level. However, the viewpoint was also encountered that increased co-ordination – also in relation to Finnish humanitarian NGOs – would be desirable at the Embassy level, where what is done in this respect *depends too much on individual inclinations*.

Finnish Embassy staff met during the evaluation were not aware of examples of complementarity between the humanitarian NGOs and other Finnish NGO, or with bilateral co-operation. Except that, in Nepal, Fida had active co-operation with, and received support for its activities from, the bilateral Rural Village Water Resources Management Project. In its development organisation capacity, Fida was an active participant in common activities within the Finnish NGO community in Nepal, including in much-appreciated Embassy-initiated activities. In Lao PDR, there were no such activities and no contact with Embassy of Finland in Bangkok.

**In summary**, the MFA policies were found to be conducive to complementarity between Finnish-funded humanitarian, reconstruction and development interventions. In line with the objectives of Finland's Development Policy and Humanitarian Policy and the LRRD approach, Fida, FCA and the Finnish Red Cross prioritised complementarity between their humanitarian interventions and subsequent reconstruction and development. However, in the development activities in the field, the concrete results were not necessarily very visible.

Mutual complementarity between the three NGOs was described by themselves as developing the common Finnish human resource bank, and as a well-working division of labour, occasionally supplemented with co-operation in the field. Complementarity of their activities with other Finnish-funded support appeared mainly limited to information sharing within the group of partnership NGOs.

The humanitarian expertise of the three NGOs added value to their reconstruction and development co-operation through the early design of LRRD-projects, disaster prevention and preparedness. The ECHO-accreditation implied additional funding possibilities and participation in EU-level discussions on humanitarian aid.

Furthermore, the activities of three humanitarian NGOs were spread over a large number of countries. Hence, the Finnish complementarity potential was limited.



## 5 EFFICIENCY AND EFFECTIVENESS RESULTING FROM NGO COMPLEMENTARITY

### 5.1 Efficiency

There was almost complete consensus among contacted NGOs and Embassy staff about increased NGO-related complementarity leading to efficiency gains. Thus, all 11 of the sampled organisations that responded to the survey questionnaire for selected Finnish organisations held this opinion. However, the evaluation identified only a few examples of efficiency gains materialising.

In addition, it was a commonly accepted argument that NGO-assistance per se was more efficient, due to the added value from the NGOs' own financial and human resource contributions. Finnish development co-operation through the NGO instruments required a level of self-funding at 15% for project grants (7,5% cash and 7,5% in-kind, with a preferential rate of 7,5% for projects on disability). This level of required self-funding was similar to other Northern European "like-minded" donor countries: 25% in the Netherlands, 10% in both Norway and Sweden. No NGO self-funding is required in Denmark.

Most NGOs that responded to the survey stated that they brought additional voluntary resources into the implementation of their projects. However, the survey also indicated that this contribution was limited to the required self-funding for the majority of development NGOs (Section 4.1.2).

The administration of Finnish NGO support through different instruments and structures without well-established co-ordination mechanisms was likely to impact negatively not only on the level of complementarity, but also on efficiency. The OECD-DAC Review found that the existing mechanisms for NGO support, especially the small and medium-size grants through calls for proposals, created significant burdens on the Ministry (OECD-DAC 2012, 50). This burden was compounded by inadequate staffing, due to MFA austerity measures and lack of devolution of responsibilities to Embassies.

While increased complementarity was expected to enhance efficiency, such gains were reduced by the present regime for NGO support and the high geographical fragmentation of NGO support.

### 5.2 Effectiveness and contribution to results

According to the 2010 NGO policy (MFA 2010), **strengthening civil society in partner countries** is considered to be the main objective of the Finnish NGO development co-operation. Most of the supported Finnish NGOs implemented their projects in partnership with local NGOs in partner countries. This arrangement con-

tributed to enhancing the functional capacity of many NGOs in partner countries. The direct support to local CSOs through the LCF facility also contributed to building the capacity of many NGOs in partner countries. The findings of the LCF evaluation indicated that the instrument did not adequately meet its objective of strengthening civil society. However, this evaluation found several examples of appreciated LCF support for NGO Forums.

The achievement of the objective of strengthening civil society requires action beyond funding or capacity development of individual CSOs towards supporting systematically the civil society sector. However, the Finnish NGO co-operation focused mainly on funding or capacity building of individual NGOs. Meaningful strengthening of the wider civil society in partner countries cannot be achieved only through building the capacity of NGOs, as they are only one part of civil society.

The 2010 NGO policy also listed a number of different roles and tasks of NGOs where they complement the overall development policy. Most of these roles broadly related to promotion of **human rights, democracy and governance**. NGOs were considered more suitable to promote different aspects of human rights and governance, such as the promotion of civic education, monitoring of the state (democratic control), social accountability, citizens' participation, and the rights of vulnerable groups. Also within service provision, the NGO support may strengthen the citizens' monitoring of government delivery. Embassy staff members interviewed stated that an added value of the NGO support, in terms of complementing the overall Finnish development co-operation, related to their role in serving as watchdog and in promoting social accountability and citizens' participation.

Human rights and governance issues were prioritised under the LCF instrument, and in the support from the Foundations, as KIOS focuses on human rights and Abilis on promoting the rights of people with disability. A number of Finnish-supported LCF grantees implemented projects in this area, including election monitoring, legal aid, social accountability, and rights of vulnerable groups such as children and women. While assessment of the effectiveness and impact of the Finnish NGO support in promoting human rights and governance is not the objective of this evaluation, previous evaluations of different NGO instruments (Virtanen *et al* 2008; Poutiainen *et al* 2008) found that they had commendable achievements in these fields in partner countries. However, the evaluation of the partnership scheme and the evaluation's review of NGO projects in visited countries indicated that most of the Finnish-supported NGOs, outside the LCF instrument, focused on service delivery and capacity development.

NGO promotion of human rights was challenged by growing restrictions for the NGO operating environment in many developing countries, often targeted on human rights interventions (Section 4.1.1). As an example, government restrictions resulted in a shift away from human rights in Ethiopia, where the LCF focus area shifted from human rights to economic empowerment.

Another special value of the NGO development support, emphasised in policy documents, was the **direct link that it creates between Finnish civil society and those in partner countries**. Such links were expected to increase the Finns' awareness of conditions in developing countries and strengthen public support for Finnish development co-operation. In Finland, there is currently high support for development co-operation. According to a survey, 85% of the population are in favour of aid. However, it was not possible to establish how much of this support is attributable to NGO co-operation.

## 6 CONCLUSIONS

For analytical clarity, the conclusions have been grouped into five clusters:

- Policy and managerial issues.
- Contextual issues.
- Existing complementarity in Finnish development co-operation, internal and external.
- Specific scope for increased complementarity, internal and external.
- Complementarity arguments and consequent implementation approach.

### 6.1 Policy and managerial issues

NGO-related complementarity in Finnish co-operation was limited. This was due to: the lack of easily available, necessary information about the content of the different NGO instruments; the lack of operational guidelines on how to understand and implement complementarity; and insufficient communication and co-operation between the MFA NGO Unit, Embassies and other MFA units in the management of the NGO instruments.

#### Information management

##### **1. Non-availability of up-to-date information makes it difficult to have an overview of and manage the NGO instruments.**

A precondition for enhanced NGO-related complementarity, and for possible changes in the present NGO instrument regime, is more complete and easily accessible knowledge about the NGO instruments than was available on the MFA website. The constraint on available information left the basis for decision-making being dependent on the individual memory of staff members in the involved MFA units, Embassies and NGOs. It was, therefore, a contributing factor to the communication “fire-walls” between the relevant sections of the MFA.

It appears that prior to the evaluation-initiated search, there was little accurate, readily available, consolidated and/or specific information about the content of the three NGO instruments. It required substantial efforts by the evaluation team and the concerned MFA units to develop an overview of the content of the NGO instruments over the period evaluated. After this research, some uncertainty still prevailed. With regard to the NGO instrument, the MFA sources – including the website – provided a country and NGO overview, but did not provide consolidated information over time. For the INGO instrument, the website did not provide information about the specific content. With regard to the LCF instrument, only recent grant allocations were usually covered on Embassy websites.

Embassy staff attempted to map the NGO activities in the countries covered, but faced challenges related to: the high number of Finnish NGOs involved; finding adequate information about the other instruments, including LCF grants at other Embassies; and keeping themselves updated with the evolving body of NGO-related policies, strategies and guidelines.

Also, NGO staff had only a sketchy picture of the contents of the other instruments.

### **Policies, guidelines and management**

#### **2. Insufficient and generalised addressing of complementarity in Finnish policy and management guidelines makes it difficult to understand and apply the concept in practice.**

Finnish development and NGO policies and guidelines reflect international principles and commitments on complementarity that require Finnish NGO co-operation to complement other Finnish development co-operation, partner country governments and CSOs, other donors, and the private sector. However, the policies and management guidelines dealt with complementarity only in general terms and did not provide clear guidelines about how it should be understood and applied in different contexts. The management and administrative guidelines of the different NGO instruments did not clearly require or include procedures for establishing effective co-ordination and collaboration between the various units.

#### **Management structures:**

#### **3. “Firewalls” within the MFA, and between the NGOs, restrict possible complementarity.**

Generally, the possible level of NGO-related complementarity in Finnish funded co-operation was limited. This was not only because of the insufficient information base and lack of operational guidelines, but also because of the co-operation and communication “firewalls” between the concerned MFA units, and between the MFA HQ and Embassies.

The administration of Finnish-funded NGO support takes place in many different places. The MFA NGO Unit currently selects and supervises approximately 1.000 projects per year. By the end of the period evaluated, a dozen regional and political MFA units was in charge of 46 ongoing INGO programmes. A considerable number of Embassies support hundreds of LCF projects. However, there was not effective communication and co-operation between the MFA NGO Unit, Embassies and other MFA units in the management of the various Finnish NGO instruments. This arrangement clearly had not only a high cost in terms of complementarity potentials lost, but also in terms of missed synergies from a set-up where the different actors could draw on the same resources.

## **6.2 Contextual issues**

**4. In order to strengthen civil society in a sustainable way, Finnish policies and guidelines related to NGO support need to be updated in line with the evolving civil society context, in co-operation countries and in Finland.**

The nature and composition of the civil society actors and their operating environment, both in Finland and partner countries, are evolving in a fast-changing world. Important emerging trends were identified that may affect and require critical assessment of the continued validity of the conceptual framework and strategies that underlie the existing Finnish NGO development co-operation. The assumption that NGOs are closely connected to the grassroots is challenged by the increasing trend, both in Finland and in partner countries, for NGOs to become more professionalised and depoliticised. Hence, they are moving away from the volunteerism and societal representation that has previously been perceived as giving them a comparative advantage. Moreover, the increasing trend towards restricting the enabling environment for CSOs in many developing countries poses a challenge to the basic conceptual framework and objectives of Finnish NGO support. These trends – together with the changes in the nature and composition of the actors in the civil society landscape, emanating from such factors as communication technology and demographics – require a critical assessment and adjustment of the conceptual framework and corresponding strategies of the Finnish support to the sector.

## **6.3 Existing NGO-related complementarity in Finland's co-operation**

**Internal complementarity between Finnish-funded NGOs and other Finnish co-operation**

**5. The limited complementarity between Finnish NGOs and other Finnish co-operation – with only occasional information sharing and co-ordination of activities – reflects the lack of co-ordination mechanisms. In contrast, the LCF**

**and INGO instruments are fully complementary to Finnish co-operation, with the interventions being selected for this purpose.**

As the main rule, Finnish NGO support was complementary with other Finnish co-operation only at the overall level of shared goals, including cross-cutting objectives. There were no mechanisms in place to ensure co-ordination, and relevant information was missing. In contrast, INGO and LCF support was complementary with Finland's regional and bilateral co-operation at the levels of strategic action and joint accountability. This was because these instruments were administered by MFA regional and political units and Embassies, in line with the objectives of the Finland's regional and country strategies, respectively. The concerned units and Embassies perceived the arrangements within those instruments to be working well.

For the majority of Finnish NGO projects implemented in **countries that are not Finland's long-term co-operation partners**, complementarity with Finnish co-operation was generally limited to the level of overall shared goals, including cross-cutting objectives. In countries with Finland's diplomatic representation, NGO there was some information sharing – to the benefit of the NGO support – through the Embassies of Finland. However, cases of what served as an informal exit strategy, through the use of the NGO and LCF instruments, existed in countries where Finnish bilateral co-operation was terminated due to country progression to middle-income status. Hence, there was an element of complementarity at the level of division of labour.

In most of the **Finland's long-term co-operation countries**, the complementarity of Finnish NGOs and Finnish-funded INGOs with the bilateral co-operation was limited to shared goals, and to a degree of information sharing with and through the Embassies. However, a few cases were also found of effectively-working complementarity that included division of labour and joint strategic action between NGOs and bilateral support, as a result of specific Embassy initiatives.

### **External complementarity with other relevant actors**

**6. Finnish NGOs are fully complementary with their local partner NGOs, and complementary with the governments of partner countries with regard to division of labour. Complementarity with other actors is confined mainly to international umbrella NGOs.**

In line with the Finnish guidelines for NGO support, Finnish NGOs were complementary to the **governments** of co-operation countries at the levels of shared goals, in terms of alignment with the governments' development priorities, and in terms of an agreed division of labour between those priorities and the NGO interventions. This was often accompanied by Finnish NGO advocacy for governments to better pursue their own priorities.

Finnish NGOs were complementary with their local **partner NGOs** at the levels of strategic action and joint accountability, with regard to conception and implementa-

tion of joint projects that were mainly related to service provision. However, NGO complementarity with the local NGO communities, with regard to support for human rights and an enabling NGO environment, materialised mainly through LCF and KIOS support. This reflected the limited co-ordination between Finnish NGO projects. Indirectly, most NGO projects promoted human rights by supporting projects that aimed to benefit the vulnerable parts of the population, and thus reduce inequality.

## **6.4 Specific scope for increased NGO-related complementarity in Finland's co-operation**

Reflecting the limited existence of NGO-related complementarity, considerable scope was identified – in general, and at regional and bilateral levels – for easily obtainable gains in such complementarity within Finnish co-operation.

### **General**

**7. Possible benefits of complementarity have been considerably underestimated and under-used. This applies to complementarity benefits within the Finnish NGO instrument, between the three instruments, and with the three Foundations.**

Within the **Finnish NGO instrument**, co-ordination and co-operation between Finnish NGOs, with interventions in same countries and sectors, was limited at the strategic planning level and with regard to specific projects. Therefore, it would be worthwhile for Finnish NGOs to examine the possible benefits of complementarity gains through a higher degree of division of labour and joint strategic action.

The same conclusion also applies to the relations **between the three NGO instruments** that operated in separate silos – provided that information about the content of the silos becomes more easily available, and hence useable. In particular, there appears to be scope for enhanced complementarity between Finnish NGOs and, on the one hand, and local partners and LCF grantees on the other hand, in situations where both parties are engaged in advocacy activities in the same or similar fields.

Scope for increased complementarity was found between the three **Foundations** and Finnish bilateral support, as well as NGO support. The Foundations have sector expertise related to human rights, environment and disability. This could be used much more by Finnish NGOs on cross-cutting objectives, by the MFA NGO Unit for screening NGO applications, and by the Embassies for screening LCF applications. In addition, the evaluation encountered arguments for a complementarity potential between Finnish NGO support and research co-operation support.



## Regional level

**8. The high level of geographical fragmentation of Finnish NGO support represents a loss of potential complementarity benefits, but also an opportunity for complementary use of NGO resources in Finland's co-operation outside the long-term co-operation countries.**

The geographically highly-fragmented Finnish NGO support presents a major challenge to overall complementarity and efficiency. However, it also constitutes a significant resource pool of hands-on development co-operation knowledge from a large number of countries. There is a potential complementarity gain from utilising this NGO knowledge more systematically in relation to possible exit – and entry – strategies in Finnish bilateral co-operation. The same reasoning applies to enhanced inclusion of NGO experience and viewpoints in relevant international forums, such as through Finnish membership of the boards of regional development banks.

## Bilateral level

**9. Complementarity benefits are waiting to be reaped in Finland's long-term co-operation countries.**

There is scope for complementarity gains – in terms of effectiveness and efficiency – between NGO and bilateral co-operation in countries with high congruence between Finnish priority sectors and NGO support, such as in Kenya and Nepal. Potential complementarity benefits were identified at the following levels:

- At the strategic level, in terms of joint planning and programming that aim for synergetic co-operation between bilateral and NGO support. This includes enhanced complementarity between support from the MFA, KIOS and Finnish NGOs in relation to the protection of an enabling NGO environment – particularly with regard to human rights.
- At the level of joint action between bilateral and NGO co-operation, with regard to programmes that include elements of citizens' complementarity, and where NGO grass-roots “bottom-up” expertise complements the bilateral “top-down” approach.

## 6.5 Complementarity arguments and consequent implementation approach

In its search for recommendable ways of enhancing NGO-related complementarity, the evaluation identified arguments representing favourable and unfavourable factors related to such complementarity.

**10. The main arguments in favour of increased complementarity are:**

- Possibilities for synergy between different interventions are not exploited very much within the existing fragmented regime – either between MFA and NGO interventions, or between or within the NGO instruments. In some cases, this



may result in a loss of effectiveness and efficiency.

- An observed tendency in co-operation countries towards increased restrictions on civil society calls for concerted NGO and MFA action to protect the NGO work environment, in view of the MFA prioritisation of this goal. A higher level of complementarity in this field could facilitate concerted action and enhance long-term protection of the NGO right to initiative in partner countries.
- The expressed will in the Finnish political system for a substantial NGO role in development co-operation is accompanied by a wish for increased complementarity to reduce related fragmentation. The need for NGOs to have public accountability, in the light of the high level of public funding, also supports the complementarity argument. Moreover, the NGO ownership aspect of the 2012 Finnish Development Policy – further to their active participation in the elaboration of the policy – indicates that Finnish NGOs must pursue the complementarity objectives in the policy.
- Prioritisation of complementarity is likely to encourage strategic thinking in NGO project conception and design. Enhanced co-ordination and co-operation between Finnish NGO interventions may contribute to enhancing the long-term sustainability of the Finnish development NGO community. It may also help to enhance the sustainability of the local partner NGOs through enhanced inclusion of their financial sustainability in the project design. Effective support of NGO sustainability in the partner countries requires concerted action beyond the level of individual projects and organisations.
- Enhanced complementarity with NGOs is likely to strengthen the results of bilateral co-operation, in terms of reaching out to the grassroots beneficiaries through new and innovative methods. This notion is supported by a broad-based political and managerial perception of increased NGO-related complementarity leading to better results (and increased efficiency and coherence) of Finnish development co-operation. In line with recommendations from the OECD Peer Group and the Finnish National Auditors, this notion was supported by the findings of this evaluation.
- There is an overall stakeholder readiness to start creating enhanced NGO-related complementarity. Most NGOs regarded increased complementarity to be in line with their objectives – including in relation to NGOs playing a greater role in the implementation of Finnish bilateral co-operation – and felt that it was feasible within their existing administrative set-up. Even if some NGO interests do not favour increased complementarity, these are mostly perceived as being of lesser importance than the positive potential, which may include a stronger profile of their priority fields in the country strategies.
- Similarly, there was a positive attitude in the MFA towards the required flexibility in the implementation of increased complementarity. This may entail a slightly greater MFA workload and changes in co-operation procedures, but the gains are expected to be more important. There was some frustration at Embassy level about the existing lack of co-ordination and information, but there was NGO appreciation of Embassy initiatives to promote information sharing, and of including NGOs in country strategy preparations.

### **11. The arguments against increased complementarity are:**

- Increased complementarity between MFA and NGO activities implies a risk of blurring the distinction between state and civil society. A related viewpoint of some NGOs was the fear that increased complementarity might compromise their mandates and independence.
- The present NGO support regime was generally considered by the NGOs to work well the way it is, despite fragmentation. Hence, changes imply a risk of deterioration.
- Some Finnish NGOs expressed the wish to be complementary with “the world”, with local and international partner NGOs, and with partner country governments, to the extent needed, rather than with Finland’s bilateral co-operation or other Finnish development actors. They see complementarity with Finnish actors as sufficiently accommodated by being in line with Finnish overall development co-operation objectives, including the cross-cutting objectives.
- There was NGO uncertainty about the precise meaning of “complementarity” and its consequences for their right of initiative, including the NGO choice of co-operation countries and partners.
- Materialisation of increased MFA-NGO complementarity would require not only new ways of thinking by the involved parties, but also partially increased demands. This would apply in particular to the involved MFA units, which would have to establish new co-operation and communication procedures, and to the Embassies, which would have to include a new group of players and instigate new procedures. Such demands need to be viewed in the light of the by the MFA and Embassies.

**12. The evaluation concluded that there is a preponderance of arguments in favour of enhanced NGO-related complementarity. However, it is important to take into account the hesitant attitude and uncertainty found in some sections of the NGO community – not least when considering that the rationale for enhanced complementarity is to utilise resources better for the common benefit of the involved parties. Possible antagonism would jeopardise the elements that work well in the existing regime. Hence, an incentives-based implementation approach is called for.**

Finnish NGO support has become an important part of Finnish development co-operation, with the double goal of strengthening civil society in the co-operation countries and promoting understanding and support for development co-operation in the population of Finland. The growth in public funding for NGO co-operation has been based on the widespread assumptions that NGOs are efficient and in a good position to reach out to the poor. It has been uncontested that Finnish NGOs, as private organisations, had the right of initiative with regard to content and location of co-operation. Hence, the NGO support has grown in a way that is not co-ordinated.

In contrast, the two smaller NGO instruments, INGOs and LCF-grantees, were developed to support Finnish development policy objectives as defined by the respective guidelines, and administered by MFA units and Embassies.

Guidelines for all instruments have encouraged complementarity between them and with other Finnish development co-operation. However, in the absence of operational knowledge about the contents of the instruments between the NGOs and the involved managers (the NGO Unit, other MFA units and Finnish Embassies), these aims have been achieved only to a limited extent.

For complementarity to be established, it is necessary that preconditions are put in place. These include: operational knowledge to be used both by the managing units and by the NGOs; strengthened professional resources in the managing units to ensure that the overall goals for the NGO are pursued; and a higher level of co-ordination between those units. Such co-ordination could be envisaged in different ways – for example, by centralising all management in the NGO Unit, or by delegating all funding to the Embassies. However, the assessment of the evaluation is that the inherent risk of losing the advantages of the present regime is greater than the rationalisation gain from such changes.

It is also necessary that there is a willingness on the part of the involved parties to enhance complementarity. On the MFA side, this would involve ensuring that NGOs can bring their comparative advantages into play for the benefit of other Finnish co-operation. On the NGO side, it would require prioritising the need to seek complementarity with other Finnish-funded development co-operation. Both sides need to prioritise strategic thinking and action with regard to how best to support civil society in the recipient countries, beyond the limited horizon of individual NGO projects, LCF and Foundation support.

The way that enhanced complementarity is introduced and implemented is crucial. The feasibility of increased complementarity will depend on several factors.

The question is what **new and innovative measures** will be adequate for delivering the potential benefits of increased NGO-related complementarity, without jeopardising the virtues of the existing regime? This question was discussed with Finnish NGOs during interviews and at focus group meetings. Specific suggestions emerged, such as inclusion of NGOs in country programming, and MFA promotion of NGO viewpoints in international forums. However in general, the inputs provided were limited with regard to the overall construction of a possible new complementarity regime.

The evaluation considered different possible models, including: concentration of NGO support on a more limited number of countries and sectors; specific demands relating to the content and size of supported projects (in line with the viewpoints of earlier NGO-related evaluations and reviews); and possible demands relating to proposals for representing special Finnish comparative advantages, or voluntary inputs. However, the resulting assessment was that such broad-based measures carry the risk of creating unwanted antagonism and jeopardising the elements in the existing regime that work well. It was assessed that an incentives-based implementation approach would be preferable.

## 7 RECOMMENDATIONS

The following recommendations, which emerge from the conclusions, are presented in four clusters:

Recommendation 1	Implementation approach.
Recommendations 2 and 3	Managerial issues.
Recommendation 4	External complementarity.
Recommendations 5 to 9	Internal complementarity.

### 7.1 Implementation approach

#### Recommendation 1:

<b>New ways of promoting NGO-related complementarity should be incentives-based, including through criteria for granting MFA support to NGOs that are conducive to increased complementarity.</b>			
Based on conclusions: <b>10 to 12</b>	Priority: <b>General</b>	Time frame for implementation: <b>Short-term</b>	Main implementation responsibility: <b>MFA</b>
<p>The evaluation considered various possible models for appropriate new and innovative methods to deliver benefits from increased NGO-related complementarity. These included: concentration of NGO support on a more limited number of countries or sectors; specific demands relating to the content and size of projects; and/or demands relating to proposals for representing Finnish comparative advantages or voluntary inputs. However, the assessment was that such broad-based measures risk jeopardising the elements that work well in the existing regime. Instead, the following suggested incentives should be made significant enough to produce real change towards increased complementarity in the conceptual and funding application pattern of an NGO project.</p>			
<p>Operationalisation:</p> <p>New ways of enhancing NGO-related complementarity in Finnish development co-operation should:</p> <ul style="list-style-type: none"> <li>• Encourage enhanced complementarity without radically changing the present NGO support regime that works well, including the basic NGO right of initiative.</li> <li>• Reduce the high degree of fragmentation in the NGO support indirectly through such incentives, rather than by restricting NGO decisions about co-operation countries and partners.</li> <li>• Aim to strengthen the voluntary and Finnish elements in Finnish NGO co-operation, the voluntary element in the civil society, and create an enabling NGO work environment in co-operation countries.</li> <li>• Encourage NGOs to apply complementarity considerations in their choice of interventions.</li> </ul> <p>The operationalisation of these criteria should consist in significant MFA prioritisation of applications that comply with the complementarity criteria, using an appropriately weighted evaluation system. The criteria and their weight should be spelled out in revised guidelines for NGO support. These criteria are reflected in the following specific recommendations.</p>			

## 7.2 Managerial issues

### Recommendation 2:

<b>MFA management and sharing of information related to the NGO instruments should be strengthened by the creation of a comprehensive database and by staff training.</b>			
Based on conclusions: <b>1 and 5</b>	Priority: <b>High</b>	Time frame for implementation: <b>Short-term</b>	Main implementation responsibility: <b>MFA</b>
<p>As a precondition for enhanced NGO-related complementarity, the MFA needs more accurate, easily accessible and user-friendly consolidated and specific information about the content of the NGO instruments. It should be possible for the involved parties to access operationally useable information about which NGOs, INGOs and LCF grantees are undertaking what activities, with what amounts of public funding, and in which countries and regions.</p> <p>Embassy staff subjected to heavy workloads and frequent rotation of postings experience difficult challenges in trying to digest the “stream” of NGO-related policies, strategies and guidelines emanating from MFA HQ.</p>			
<p>Operationalisation:</p> <ul style="list-style-type: none"> <li>• The MFA NGO and Statistical Units should commission the creation of a database that contains an updated sector-related overview – by country and by region – of the activities within each of the three NGO instruments. This should include contact information for the implementing NGOs, local partners and government partner agencies, as well as short descriptions of project/programme objectives, the stage of implementation, and relevant recent reporting and evaluation.</li> <li>• As the initial creation of the database is a major task that is not easily reconciled with ongoing duties of MFA staff, this task should be outsourced. For the future, the database should be operationally accessible and regularly updated by the NGO Unit.</li> <li>• An introductory standard training module on NGO-related development co-operation should be developed. This should then be offered MFA NGO Unit to the MFA units and Embassies that are managing support through the INGO and LCF instruments. The MFA NGO Unit should be in charge of its implementation.</li> </ul>			

### Recommendation 3:

<b>To rationalise the NGO support selection process, related communication and co-operation procedures between the NGO Unit, other MFA units and the Embassies should be strengthened.</b>			
Based on conclusion: <b>3</b>	Priority: <b>High</b>	Time frame for implementation: <b>Short-term</b>	Main implementation responsibility: <b>MFA</b>
<p>Communication and co-operation procedures between the MFA units that are involved with the NGO instruments, and between the MFA HQ and the Embassies, should include not only the screening of project applications, but should also facilitate broad-based co-operation between units and Embassies in order to enhance NGO-related complementarity.</p>			

#### Operationalisation:

- The MFA NGO Unit should – in co-operation with the relevant MFA regional and political units, and in consultation with the concerned Embassies – assess and select NGO project applications in order to enhance complementarity between NGO interventions. The same procedure should apply in its assessment and selection of multi-country and multi-sector applications from partnership NGOs. The screening of the proposals should include their relationship to relevant Finnish country strategies and regional programmes, with regard to complementarity between NGO and other Finnish co-operation. The proposals' contribution to creating or strengthening sector and/or country clusters of NGO programmes and projects should also be assessed. The potential of the applications in relation to the nature of civil society and its work environment in the concerned countries should be considered, and should be related to the LCF support through the Embassies.
- In addition to specific decisions about NGO support, the results of the process should feed into the guidelines for NGO support, through incentives provided for applying for activities in defined priority areas.
- The information required for an overview of the numerous applications presupposes the creation of the previously mentioned database of NGO support, as well as the NGO/CSO Strategy updating study proposed in Recommendation 4.

### 7.3 External complementarity

#### Recommendation 4:

**A comprehensive study of the evolving NGO/CSO context should be initiated to supplement and update the civil society objectives and strategies of Finnish NGO development co-operation.**

Based on conclusions:	Priority:	Time frame for implementation:	Main implementation responsibility:
<b>2 and 4</b>	<b>High</b>	<b>Medium-term</b>	<b>MFA, with Kepa</b>

Finnish NGO-related policies and strategies are not clear about the distinction between CSOs and NGOs, and they operate with a civil society concept that is partly outdated in relation to the evolving conditions in both Finland and partner countries. This relates to the nature of civil society, where one important question is to what extent it is desirable that co-operation takes place between professionalised NGOs, at the possible expense of other parts of civil society. Another question is how to support the necessary strengthening of an enabling NGO work environment in some co-operation countries. The detailed and operational answers to such questions are not evident, despite their importance for the future sustainability of NGO support. It will, therefore, require a special study to be conducted on these issues.

#### Operationalisation:

The MFA NGO Unit, in collaboration with Kepa, should elaborate – or commission the elaboration of – ToR for a study, the main objective of which would be to update and supplement the civil society strategy and its objectives in relation to:

- Regulatory and alignment relations between governments and NGOs, with emphasis on the NGO work environment related to human rights, with specific focus on the Finnish long-term partner countries. Government compliance with the relevant international development policy documents should be included. This issue has been well researched and in the Finnish resource base, it is covered by KIOS and the other Foundations.
- The evolving nature of civil society in the co-operation countries and in Finland, including NGO relations with the rest of civil society. While this issue is of prime importance in order to ensure compliance between the overall goals of Finnish-funded NGO support and a rapidly evolving reality, it is not particularly well researched. However, as demonstrated in Section 4.1, indicators exist that the required data may be pursued through studies in selected countries.
- The way in which non-NGO and traditional sections of civil society are included in the co-operation through the Finnish NGO instruments. It appears that the traditional part of civil society is not well represented, as the main part of the co-operation is taking place with NGOs. However, verifiable data is obtainable from existing information, which should be supplemented from in-depth studies in selected countries.
- Strategies to support the strengthening of civil society in partner countries, going beyond the funding of individual NGOs. The overall goal of NGO support is to enhance the potential of a vibrant civil society as a force for change. However, most support is for individual projects, which do not include the development of country-wide NGO/CSO strategies.
- Clarification of the use of the NGO and CSO concepts, in order to establish the basis for a consistent use of the corresponding terms in Finnish development co-operation policies and practices. While the importance of the concepts of volunteerism and representation is commonly recognised for civil society and democratic development, the difference between CSOs and NGOs, and the consequences of the distinction, is nevertheless hard to grasp for most people. To secure compliance between overall goals and actual interventions, an updated and clear use of those concepts is therefore required in the relevant Finnish policies and guidelines.

## 7.4 Internal complementarity

### Recommendation 5:

Criteria should be included in the evaluation of MFA funding applications – from partnership and non-partnership NGOs – that provide incentives for the proposed interventions to be or to have:

- Located in a Finnish long-term partner country.
- Conceived with consideration of Finnish country and/or regional strategies.
- Actively explored possibilities for co-operation with other relevant stakeholders – including other Finnish NGOs and local civil society – working in the same sectors and countries.
- Established the probability of added Finnish value – as distinct from funding – to the project, including connectedness with the voluntary element of the Finnish NGO.
- Endeavoured to increase partner NGO sustainability, including own income-generation.



Based on conclusions: <b>6, 9 to 12</b>	Priority: <b>High</b>	Time frame for implementation: <b>Short-term</b>	Main implementation responsibility: <b>MFA</b>
<p>Increased concentration of NGO projects in Finnish long-term partner countries, with a degree of alignment with the Finnish country strategies, is likely to: reduce overall fragmentation of Finnish co-operation; be conducive to effectiveness and efficiency gains; increase incentives for complementarity between bilateral and NGO co-operation.</p> <p>Notwithstanding incentives to align with other Finnish co-operation when public funding is applied for, Finnish NGOs would have the same possibilities as now for pursuing other priorities with own funds. Therefore, the incentives should be big enough to have a significant impact on the NGO pattern of applications for MFA funding.</p> <p>An important rationale for publicly funded NGO co-operation is to create support and ownership in the Finnish population for development co-operation. Hence, it is desirable and legitimate that a degree of “Finnishness” is represented in the interventions.</p> <p>Clear guidelines that elaborate procedures and mechanisms to operationalise complementarity do not exist. This has contributed to the weaknesses in NGO-related complementarity.</p>			
<p>Operationalisation:</p> <p>A manual on the application of the complementarity objective – in the context of the Finnish NGO development support – should be developed. The manual should specify:</p> <ul style="list-style-type: none"> <li>• The nature of the incentives, combined with the above criteria reflected in a weighted evaluation system.</li> <li>• How complementarity should be understood in relation to the various aspects and actors.</li> <li>• Practical measures to be used in applying NGO-related complementarity within and between the three NGO instruments.</li> </ul> <p>When interventions are implemented through international NGOs, related transaction costs should be made explicit in applications. Possible synergy between all projects that ultimately draw on the same Finnish resource pool should be explored as standard procedure.</p>			

## Recommendation 6:

<b>NGO participation in the implementation of bilateral co-operation should be enhanced through incentives built into project/programme ToR and evaluation criteria for tenders.</b>			
Based on conclusions: <b>9 to 12</b>	Priority: <b>High</b>	Time frame for implementation: <b>Short-term</b>	Main implementation responsibility: <b>MFA</b>
<p>The evaluation encountered common viewpoints in Finland that NGOs are more effective in reaching the grassroots level, and more efficient than bilateral co-operation. For the benefit of the results of Finnish co-operation as a whole, such qualities should be utilised also in bilateral co-operation.</p> <p>Several examples of citizens-oriented complementarity exist in international development co-operation; for example, donor support for foreign and/or local NGOs that set up users’ or budget committees to monitor delivery within bilateral sector co-operation, in co-operation with local NGOs and CBOs. This control function, and other ways of participating more directly in service delivery, appear relevant in several Finnish priority sectors – such as health, education, HIV/AIDS, environment and the accommodation of cross-cutting objectives in all sectors.</p>			



The evaluation discussed possible issues related to compliance between Finnish procurement law that regulates the competitive bidding and the granting of state aid further to calls for proposals with Finnish NGOs. However, no contradiction was found, provided that state aid is not being used in tenders, in which NGOs would participate on an equal footing, and with same responsibilities, as other participants.

The evaluation found indications of possible benefits for Finnish-funded research co-operation through being related to NGOs (with their perceived comparative NGO advantages), and for NGO projects through being provided with up-to-date information from research.

**Operationalisation:**

Against the backdrop of consultancy companies generally being more familiar with bilateral co-operation, and of an element of “culture gap” between consultancy companies and NGOs, ToR for bilateral projects/programmes should emphasise (when relevant):

- The dimension of citizens’ complementarity, including delivery monitoring.
- The consequent combination of “top-down” and “bottom-up” approaches.
- The potential for using NGO expertise to accommodate the “bottom-up” aspect of the programme, as well as the accommodation of cross-cutting objectives.

Evaluation criteria for tenders should provide incentives for corresponding integration of NGOs in consortia. If it is not possible – in relation to partner country authorities – that NGOs participate in tenders, the tenderers should be encouraged to involve NGOs as sub-contractors.

Existing guidelines for support to co-operation through research institutions, other institutions and Finnish NGOs should be examined in order to encourage joint activities between NGOs and institutional and research co-operation.

**Recommendation 7:**

**Finnish NGOs with a relevant and substantial co-operation history should be involved in country strategy revisions, including negotiations with governments, and in regional programme revisions, and the development of exit and entry strategies for bilateral co-operation, when these are required.**

Based on conclusions:	Priority:	Time frame for implementation:	Main implementation responsibility:
<b>8, 10 and 12</b>	<b>High</b>	<b>Short-term</b>	<b>MFA</b>

In order to fully exploit the perceived comparative advantages of NGOs and their experience from a large number of co-operation countries, relevant NGOs should participate in the country strategy design, including negotiations with governments in partner countries, as well as in the revision of regional programmes.

Finnish NGO support already serves as an informal exit strategy in former long-term partner countries, and NGOs may serve a similar purpose with regard to possible identification of new co-operation countries.

Operationalisation:

- Based on the above recommended mapping (database) of the Finnish NGO instrument, the NGO Unit – in co-operation with other relevant MFA units and Embassies of Finland – should draw up a short-list of NGOs with substantive country and/or regional experience.
- Exploratory meetings should be held with identified NGOs in order to identify viewpoints and ideas on the further development of the regional programmes.
- The MFA should subsequently examine modalities for utilising NGO support for the elaboration of exit and possible entry strategies in relation to bilateral long-term partner countries.
- In the Finnish long-term partner countries, NGOs that are found to be in a position to offer added value to the country strategy design and implementation should also participate in subsequent negotiations with the partner government. If the government does not accept NGO participation in negotiations, the NGOs should be represented by the Embassy.
- In addition, it is recommended that Embassies of Finland – where relevant, and to extent that is not done at present – initiate sector-specific periodic meetings with Finnish NGOs. The purpose of these meeting would be to share information and to identify possible complementarity potentials between Finnish NGOs, with funded INGOs and LCF grantees and between the NGOs and other Finnish co-operation.

**Recommendation 8:**

**The three Foundations should provide advice to the relevant MFA units and Embassies, as well to Finnish-funded NGOs, with regard to applications and projects within their field of competence.**

Based on conclusion:	Priority:	Time frame for im- plementation:	Main implementation responsibility:
<b>7</b>	<b>Medium</b>	<b>Medium-term</b>	<b>MFA and Finnish NGOs</b>

The development expertise of the three Foundations within human rights, environment and disability is utilised only to a limited extent by the MFA HQ and Embassies in relation to bilateral co-operation and LCF grantee selection. Similar under-utilisation applies to Finnish NGOs in relation to their implementation of cross-cutting objectives and human rights related advocacy. Extended use of the sector expertise and overview of the Foundations is likely to increase the quality of project selection and the effective accommodation of cross-cutting objectives. It also has potential for strengthening complementarity between support from the Foundations and from NGOs and LCF grantees.

The independent status of the Foundations in relation to the MFA and the supported NGO communities indicates that they are in a position to provide impartial advice that does not need to entail legal or political complications. While the recipients of Foundation advice would have their resource base for decision-making strengthened, they would still decide the extent to which the advice is followed.

Operationalisation:

- When relevant, including for the accommodation of Finnish cross-cutting objectives, NGO and INGO applications/programme proposals should be examined and commented on by the relevant Foundation(s), similar to the way in which the Embassies are being consulted by the NGO Unit.
- Embassies should consult the relevant Foundation(s) with regard to the selection of LCF grantees.
- NGOs should consult the relevant Foundation(s) with regard to integration and monitoring of cross-cutting objectives.
- The extra workload of the Foundations should be provided for from the funds of the NGO instrument or from increased appropriations justified by the contribution to enhanced complementarity.

## Recommendation 9:

<b>Finnish NGOs should systematically explore possible enhanced complementarity at all levels between their activities on a country and sector basis.</b>			
Based on conclusion: <b>7</b>	Priority: <b>Medium</b>	Time frame for im- plementation: <b>Short-term</b>	Main implementation re- sponsibility: <b>Finnish NGOs</b>
<p>There is limited interaction between Finnish development NGOs. Hence, there is only limited exploration of the possibilities for synergetic interaction between them in relation to development co-operation, as well as limited consideration of the overall civil society composition and work environment in co-operation countries. This is a natural consequence of the competitive situation in which the NGOs are placed in relation to calls for proposals and of organisational needs for prioritising own goals. However, the evaluation considers it a common medium-term and long-term NGO interest to reduce the fragmentation of their support and to prioritise its overall impact on civil society in co-operation countries.</p>			
<p>Operationalisation:</p> <p>In support of their conception and design of development interventions, Finnish development NGOs should create co-operation country and sector-related forums, in Finland and in co-operation countries. These would be open both to partnership and other NGOs, in order to ensure that relevant co-operation possibilities are being explored. The relevant applications for MFA funding should be presented and discussed at these forums. Furthermore, the forums should consider the overall civil society work environment in co-operation countries, in order to examine the role of proposed interventions in this respect.</p>			

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## THE EVALUATION TEAM

**Dr. Lucien Bäck (Team Leader)**, a national of the Netherlands, has been an independent evaluation specialist since his retirement from active service in the United Nations system in 2012. During his 35-year long career, he managed and implemented numerous complex evaluations at project, programme, strategy and policy levels. He is particularly familiar with capacity development activities, including capacity assessment and strategy development, as well as results-based management in public and private organisations, including public-private partnerships, privatisation, decentralisation and performance monitoring and evaluation. Major highlights of his career include: a comprehensive evaluation of co-financing between the Netherlands and the World Bank for the Netherlands Ministry of Foreign Affairs(1997-1999); numerous thematic, sectoral and country-programme related evaluations for UNICEF (1999-2006); as well as evaluations related to UN reform for the United Nations Department of Economic and Social Affairs (UN-DESA) (2006-2012). Most recently, Lucien Bäck led the secretariat of the independent evaluation of Delivering as One UN pilot experiences commissioned by the United Nations General Assembly (2011-2012).

**Mr. Gunnar Olesen (Leader of the NGO sub-team)** is a Danish consultant with a political science background, who first worked for Danish and international NGOs for many years, with focus on development cooperation and humanitarian aid. Since the late 1990s, a large part of his consultancies has been in evaluation, monitoring and advice related to NGOs and civil society in Africa, Asia, East Europe and the Middle East. Simultaneously, he has been teaching on the subjects of evaluation and the role of civil society at the Institute of Development Studies, University of Roskilde. He is a frequent contributor to the public debate on these topics and a board member of the Danish (NGO) Council for Conflict Resolution.

**Mr. Yoseph Endeshaw (Senior Expert in the NGO sub-team)** is an Ethiopian consultant with over 18 years of professional experience in the area of good governance (including in issues of human rights, civil society, rule of law, decentralization, gender, environment, etc.). He conducted evaluations of civil society and other governance programmes in several African countries. He provided programme evaluation and other consultancy services for different development actors or donors, including the European Commission, USAID, DFID, World Bank, UN Agencies and a number of international and local NGOs. He is licensed to practice law in Ethiopia.

## ANNEX 1 TERMS OF REFERENCE

### EVALUATION OF COMPLEMENTARITY IN FINLAND'S DEVELOPMENT POLICY AND COOPERATION

#### SETTING THE SCENE

The information given in this section, at the outset of the terms of reference (TOR), is meant to facilitate the understanding of the structure of the TORs and the nature of this assignment, which is wide in scope but focused ultimately on one theme: complementarity. The evaluation tackles this theme which cuts across Finland's development policy and cooperation over the years. It is also a central element in the international frameworks and commitments dealing with development aid effectiveness and efficient use of resources.

**The case-evaluations** have been inserted in the evaluation to elucidate the implementation of the policies in vertical and horizontal dimensions. The case-evaluations will look at 1) Civil society organizations' (CSO) cooperation (= NGO -sector), including a limited dimension of Finnish NGOs that serve also in the capacity of delivering humanitarian aid; 2) the specific Institutional Cooperation Instrument (IKI); 3) and at the level of desk studies, two country programmes, those of Mozambique and Zambia. Each of the case-evaluations will result in separate reports, and in the case of Mozambique and Zambia, there will be separate desk study reports on both countries. The IKI-instrument case-evaluation serves a dual purpose, the purpose of defining the instrument's complementary qualities and also as a thorough evaluation of the implementation of the instrument as a whole, and the policy behind it, to draw lessons for future development of this and possibly alike instruments.

The policy evaluation shall be started at an early stage of the evaluation process to inform in adequate measure the case-evaluations at the outset of their work. Only the NGO- and the IKI case-evaluations will include field work. The country case-evaluations will be based on document study and interviews / questionnaires, at this stage.

The work renders itself to a team of evaluators that is organized in clusters, for example, so that the core team cluster is taking the wider policy analysis and the country case-evaluations, and two sub-clusters, one for the NGO case-evaluation and one for the IKI-instrument case-evaluation. In the end, the different sub-groups need to organize themselves so that there will be a concise synthesis of all evaluation results cutting across the case-evaluations and the policy analyses and resulting in a "Synthesis evaluation of complementarity in Finnish development policy and cooperation". The suggestion given here of organizing the work of the evaluation team is only to illustrate the components of the evaluation.

# 1 BACKGROUND

The following sub-sections offer some background to the frameworks to the concept of complementarity. The focus is, in particular, on how this concept has evolved and been nuanced in Finland's development policies, guidelines and cooperation over time and on links to the international frameworks, and their overall consideration. This evaluation is undertaken at this point of time simply because complementarity has become an increasingly important concept in efforts to improve the efficiency and effectiveness of development cooperation and the individual instruments used therein. The importance of this issue is well illustrated also by the recent joint international commitments taken in the 4<sup>th</sup> High Level Forum on Aid Effectiveness (Busan). Similarly, the Finnish development policy of 2012 seeks explicitly greater complementarity from the perspective of more efficient use of the current and future resources. The comprehensive approach chosen for this evaluation aims at drawing experiences and lessons from the past from a number of different development contexts and instruments, for the purpose of contributing to the implementation of the current policy objectives of improved complementarity and quest for innovative approaches and new thinking towards complementarity.

Complementarity as a term holds within itself the dimension of interdependence between the parties that complement each other. The term "complementarity", is not defined in the OECD/DAC Glossary of Key Terms in Evaluation and Results Based Management (2002). The Oxford dictionary of English (2005) defines complementarity as: "two people or things that are complementary are different, but together form a useful or attractive combination of skills, qualities or physical features". The Evaluation Guidelines of European Commission (EC) External Assistance (2006), defined complementarity much connected to coherence. In this evaluation the close connection between these two and their connection also to cooperation, is recognized. In the EC-evaluation guidelines (2006), the evaluation criterion of complementarity is approached from three dimensions and levels:

- (i) internal complementarity / coherence of an organization's programme;
- (ii) complementarity / coherence with development partner's policies and with other donor's interventions; and
- (iii) complementarity / coherence with other policies of the European community.

This evaluation will utilize the approaches of internal and external complementarity in terms of horizontal and vertical complementarities within these two approaches.

## 1.1 Global context

Complementarity is explicitly and implicitly omnipotent in the international frameworks relevant to effective aid. The Millennium Declaration of the United Nations

(UN) of 2000, declared “shared responsibility” as a fundamental value essential to international relations in the 21<sup>st</sup> century. Similarly, the different dimensions of working in a complementary way appear in the Paris Declaration (PD) of 2005, in the 2008 Accra Agenda for Action (AAA), and in the Busan Partnership for Effective Development Cooperation final document (Busan) of 2011. The PD, AAA, and more recently the Busan, all emphasized the necessity for the donors and the developing country partners to work together and complement each other. The 2011 monitoring of progress in the implementation of PD and AAA, however, showed that there was marked variation in compliance with this requirement among both donors and partner countries. This was observed also by the comprehensive phase II evaluation of PD, completed in 2011. Within the context of the EU, the three Cs (3-Cs: coherence, cooperation, and complementarity) have their roots in the Maastricht Treaty. A comprehensive evaluation by EC’s evaluation department, was concluded in 2005 on the implementation of the 3-Cs.

## **1.2 Description of the subject of the evaluation**

The overall subject of complementarity in Finland’s development policy and cooperation will be looked through four entry points: the policy itself and the modalities to implement it, and how these have evolved over time, as well as the case-evaluations of NGO-cooperation and Institutional cooperation instrument (IKI), and desk-study case-evaluations of the country programmes of Mocambique and Zambia.

Some background to Finland’s development policies over time in regard of complementarity and complementarity/coherence is reviewed in section 1.2.1. A brief account of complementarity in the NGO –cooperation is given in 1.2.2. Information of sectoral and other policy guidelines and action plans are included in section 1.2.3, while section 1.2.4 describes shortly the IKI-instrument.

### **1.2.1 Finland’s development policies**

It is of interest to look at the development policies of Finland in a somewhat longer perspective than only the time frame of this evaluation 2004-2012 (section 2), because the notion of coherence / complementarity has resided in the development policies, in one format or another, for at least two decades (1993-2012). In the following there are only brief remarks on the consecutive Finnish development policies with relevance to complementarity.

In Finland’s strategy for development co-operation in the 1990s, published in 1993, one of the central themes was *interdependence* between developing and developed nations and between development and other policy areas including sectoral policies of agriculture, trade, labor etc. It was also recognized that *complementarity between actors*, bi- and multilateral, NGOs, and other instruments was important

The 1996 decision-in-principle of the government on development cooperation reiterated the concept of *mutual interdependence* but also the *mutual benefits*. Accordingly, the Finnish cooperation was a *coherent whole* in compliance with the EU *policy coherence* requirement. Complementarity was required with a *common aid programme* drawn up by the partner country itself. All donors (multi- and bilaterals) would contribute to the common programme to complement the partners' efforts. The policy required that the Finnish cooperation instruments be used selectively and be mutually complementary.

In the 1998 development policy on relations with developing countries, the EU dimension was strong. *Coherence, coordination and complementarity* were stated to be mutually reinforcing in line with the Council resolutions of 1993, 1995 and 1997.

In the Government decision-in-principle of the 2001 on Development Policy of Finland, the programme and project aid were to be *complemented by a variety of other instruments*, including local cooperation funds (LCFs) and other NGO-cooperation instruments, which were seen as a means to *complement the knowledge base*. New ways of working with NGOs were foreseen. Also the multilateral sector was required to follow the principle of complementarity, with *clear division of labour*. *Coherence* between all fora was emphasized. To this end, cooperation between the Ministry of Finance, the Bank of Finland, the rest of the state administration, and the Ministry for Foreign Affairs of Finland, was to be intensified for better *internal coherence* (and hence complementarity) within the sphere of the national governance of Finland.

The development policy of 2004 reiterated *national commitment to coherence in all policy areas*. Accordingly, development cooperation instruments, trade and security policy, and other national policies were to be *coherent and complementary*. The achievement of these aims required improved *policy coherence between national policies, and with policies of multilateral actors, and the EU*. The development policy addressed policy coherence from a number of dimensions which are directly relevant to complementarity, for example, the security and development nexus; LCFs, and other NGO-programmes, and International non-governmental organizations (INGOs); IKI-cooperation in relation to other development instruments; among multilateral actors; and multi- *versus* and bilateral instruments; the EU and the member states. The concept behind this requirement was that *each of the development instruments possessed special competencies which were complementary and mutually reinforcing*.

In the 2007 development policy the *interdependence, complementarity, and coherence* were cutting across the policy. A leading principle was that the economic, ecological and social sustainability, the three components of sustainable development, were complementary. The policy guided Finland to promote coherence for development in the EU. It also foresaw the initiation of *new and innovative financing mechanisms to complement* the traditional development cooperation modalities.

The current, 2012, Development Policy Action Programme states that the development goals of Finland are furthered both through *financial instruments and through policy influence*. The working modalities include bilateral modalities, regional and multilateral instruments, as well as NGO-cooperation and the EU dimension. These instruments offer also *geographical complementarity*. The wise use of Finland's cooperation instruments and channels enabled Finland to reach out widely.

The 2012 Development Policy brings strongly to the fore the need to think innovatively and devise new ways of thinking and action including in planning of the NGO-cooperation to better serve the strategic goals of the development policy and the other development instruments.

### **1.2.2 Complementarity in NGO -cooperation**

The term NGO-instrument is used here as a general expression that may refer to NGOs in the North and South, INGOs, and LCF-eligible organizations in the South. There are separate guidelines that apply each of the main categories of NGO-cooperation.

In the NGO-guidelines of the Ministry (2010), the cooperation concept is defined as “human activity or a space where people hold discussions and debates, come together and influence their society”. The guidelines follow a rights-based-approach, which has been the basis of Finland's development policies since 2004. The current development policy (2012) states that respective funding to NGO-cooperation will increase and new ways of cooperation will be devised. Subsequently, a process has been launched in the Ministry to bring about new thinking of how the civil society organisations could better complement other aid instruments.

The 2012 development policy encourages *NGOs to complement Finland's other development instruments and activities in the partner countries*. NGOs should also work together and forge partnerships with private and public sector actors, and *vice versa* – in other words, be part of the *horizontal and vertical complementarity between development actors*. A new dimension is that NGO-cooperation, which earlier was not part of the country programmes, is encouraged to focus on activities in support of the goals of Finland's development programme in a partner country, in other words, to participate in the *vertical complementarity from high political to grass-roots level*. This concept is new.

Ministry's 2010 guidelines regard NGOs as important players in poverty reduction and in the achievement of the Millennium Development Goals (MDGs). At the community level, local NGOs alone, or those working in partnership with Finnish organizations, frequently have *complementary roles to the official sector* of the country in providing services when the governmental systems lack capacity. Most frequently such services deal with health, education, social welfare, and rural development sectors.

*Complementarity with the citizens* is another important dimension of NGOs in terms of advocacy towards decision-makers and in exercising policy influence. This role is of particular importance for groups in the society that otherwise have little voice to influence, such as the marginalized groups, ethnic minorities, frequently women and girls, people with disability, people living with HIV/AIDS, or people living in societies where there are violations of human rights, and shortcomings in rule of law and democracy.

The guideline of 2010 endorses principles of PD and AAA. The NGOs are seen as conduits for a stronger focus *on complementarity and division of labour* between different actors. The AAA emphasises the independent role of the NGOs and sees them *as complementary agents to other development players*. Accordingly, the governments of partner countries need to engage in dialogue with CSOs and understand the *complementary role of CSOs to the efforts of the governments and the private sector. The governments, however, must be committed to work together with the CSOs.*

The final document adopted in Busan in late 2011, expresses the need to *work together* and to recognize the contribution of the NGOs and the private sector to development. Busan's final document encourages the NGOs to play their vital role in supporting people to claim their rights, in promotion of rights-based approaches, shaping development policies and partnerships, and in overseeing their implementation. The NGOs are urged to support and implement practices that strengthen accountability, and in this way, to contribute to development effectiveness. Yet, the improvement of effectiveness of aid is linked to harmonization of aid also within the NGO sector. - In the international fora, the important role of the NGOs has been recognized in connection to policy coherence in development, fragmentation of aid, and in the continuum from humanitarian aid through reconstruction to development. Finland participates in the work of the EU, OECD, and like-minded countries, to develop and enhance coordination and harmonization between the NGO sector and donor community. Finland also encourages the UN agencies and development banks to work with the NGOs.

The LCFs are administered by the embassies of Finland. These funds are available to embassies in countries that according to OECD/DAC definitions are eligible for ODA. LCF is covered by a by-law (norm) of the ministry, the latest of which is from 2009 (norm 13/2009, 5.10.2009).

The recent (2012) guideline for Ministry's support to INGOs explicitly states that the purpose to finance INGOs is to *complement the foreign and development policy instruments*. Funding decisions are made on the basis of converging policy objectives and on the high quality of development programmes of these organisations. Finland complies with the criteria of OECD/DAC in the assessment of ODA eligibility of INGOs. Support can be granted as core-funding or as specific project or programme funding. The earlier practice to consider funding proposals by INGOs was that decisions were made throughout the year. Now the new guideline includes a schematic time table for



more coordinated approach. The old system that applications and INGO-support projects can be administered in different departments of the Ministry is still valid. The quality group of development cooperation serves as the actual inter-departmental body of discussion.

### **1.2.3 Other policy guidelines**

There are a number of other policy guidelines and action programmes. For example, the guideline for Development and Security in Finnish development policy (2009), emphasizes the need to complement peace building and stability with development efforts. The framework policy for Western Balkans (2009) is based on three guiding principles, namely coherence, complementarity, and effectiveness. Accordingly, the development interventions support regional integration, at the same time promoting peaceful cooperation and mutual understanding within the region. Finland's Africa framework programme (2009) reflects the complementary roles of measures to support democracy, peace and stability, human rights, and development. The leading principles of the programme are coherence, complementarity, and effectiveness.

One of the rising focal areas of the International Water Strategy of Finland (2009) is to identify gaps and borderline areas in the water sector development, where complementary resources and innovative strategies are needed. Other sectoral guidelines include those of the environment (2009), forestry (2009), and agricultural and food security (2009). The Action Programme of Finland's Aid for Trade (2008) support is of particular interest as it looks at complementarity between trade / business and other development instruments. There is also a recent evaluation on Finland's support to Aid for Trade (2011), the results of which are contributing to the new Aid for Trade Action programme 2012-2015, which is currently being finalised. The national programme and guideline for Good Humanitarian Donorship (2007) is also being revised at the moment. The complementarity requirement between the humanitarian actions and reconstruction and development are crucial in situations, where societies are in distress and governments have experienced civil strife, war or devastating natural calamity. Finland has also development policy guidelines for the UN and for multilateral cooperation which are being revised.

### **1.2.4 Institutional Cooperation Instrument**

The idea of cooperation between institutions was introduced in the 2004 development policy (p. 31), refined into a special institutional cooperation instrument (IKI) in the 2007 development policy document. From the outset it was defined as a *complementary instrument* to the other development cooperation modalities. The current IKI-policy is stipulated in the by-law of the Ministry (Norm 3/2010, HELM178-3). This norm does not apply to the institutional cooperation between the higher education institutions (HEI-IKI), which is also left outside the scope of this evaluation.



IKI is used to finance development cooperation between public sector institutions in Finland and in developing countries. The complementarity dimension of IKI-instrument thus expands the concept of complementarity to cover not only the instruments themselves but also to include the complementarity between different actors in cooperation.

The Ministry commissions IKI cooperation to the Finnish institution. Due to the legal status of the institutions, the competitive procurement legislation (348/2007; 321/2010) of Finland does not apply, except in defining those entities that are eligible to direct procurement. The budget of an IKI-project ranges from 50.000 to 500.000 euro. In exceptional cases, for instance, when benefits can be shared by neighbouring countries in sectors central to Finland's development cooperation in these countries, the upper limit can be exceeded.

The theory behind IKI is that official sector institutions in Finland possess significant know-how and technological knowledge that potentially can benefit institutions of developing partners. Preference is given to initiatives, where the Finnish institute has acknowledged competence. IKI-cooperation must be based on expressed needs and initiative of the developing partner. In this respect the embassies of Finland have a significant role in the assessment of the eligibility of IKI-proposals.

Essentially, IKI can be said to improve the service capacity of the partner organizations, product development, enhancing organizational change and development of new modalities of operation, internationalization, networking, and alike. Yet, IKI-programmes are highly focused. The project plans must comply with the logical framework and results-orientation. IKI can support a bilateral intervention implemented in a country, but it needs to have clear objectives, activities, and results of its own.

A consultant has been hired to support the Ministry in the administration and follow up of IKI, although all decisions are made in the Ministry. The consultant monitors and advises on work of implementing partner institutions. The consultant has the obligation to inform the Ministry of all shortcomings or deviations that occur. It also pre-screens the project proposals and collates regular condensed reports on the projects to the Ministry. The administration of IKI-projects is delegated to the geographical departments, with a coordination point in the Department for Development Policy.

### **1.3 Some earlier evaluations**

Complementarity has been a regular criterion in evaluations commissioned by EVA-11 in the last five to six years. A comprehensive evaluations synthesis, performed on evaluations in 2010 (Evaluation report 2010:4), showed that there were weaknesses in considering or discovering the occurrence of complementarity in cooperation as re-

vealed by the 22 wider evaluations performed from 2008 to 2010. In seven of the 22 evaluations, the criterion had been treated well or in an excellent way, in four it had not been considered at all, and there were serious shortcomings in 11 evaluations. Out of the 14 criteria used in the synthesis, complementarity ranked 11/14, meaning that it was among the poorest. Considering the development policies of Finland in the past, and the international frameworks, the poor performance of this criterion was rather surprising.

As compared with coherence, which is closely related to the criterion complementarity, the synthesis evaluation gave a much brighter image. In 17 of the 22 reports, coherence had been dealt with well or in an excellent way. In only four there were serious problems, and one regional programme evaluation had not considered coherence at all. The ranking of coherence was the second best, 2/14 after relevance that was the first. These results suggest that the Finnish development cooperation and policy depicted through the evaluation reports, had been highly relevant and coherent, but had not been particularly complementary.

The management response decision given on the results of the synthesis of evaluation, includes an overall decision that special attention will be focused in the future on those criteria that received poor ranking in the evaluation synthesis (Decision, 16.02.2011, HEL8328-15).

The NGO -cooperation has been comprehensively evaluated in the last five years. In 2008 the Partnership Organization Programme, the LCFs, the special outsourced expert service of FIDIDA, and the NGO foundations (Evaluation reports 2008:1; 2008:2, 2008:4; and 2008:5, respectively) were evaluated, while the umbrella organization for Finnish NGOs, KEPA and the INGO cooperation had been evaluated in 2005 (Evaluation report 2005:5; and 2005:6, respectively). Concerning evaluations from 2008 there are management responses, decisions, and back-reporting documentation available on the implementation of the results of the evaluations.

The Office of the Auditor General of Finland (VTV) published the results of performance audit on complementarity in Finnish development aid in 2010. The case-study countries were Mozambique and Zambia. The main dimension of this particular study was on the implementation of PD (VTV 2010). The study confirmed the results of Finland's country case evaluation in the first phase of the evaluation of PD (Evaluation report 2007:3) that Finland was politically highly committed to the principles of PD (and AAA), but there was room for improvement at the practical development cooperation level. Of the two case-study countries the VTV study (2010) concluded that the division of responsibilities between donors was fairly well advanced in Zambia, but not so in Mozambique.

## 2 SCOPE

In line with the subject of this evaluation, “complementarity”, the scope of the evaluation is fairly wide. It will look at the overall development policy and cooperation of Finland, and how complementarity is depicted therein, how the measures to ensure complementarity have been instituted and how the respective responsibilities distributed and addressed at different levels. The menu of development instruments, shall be looked at, and how they have been organized, also in regard of participation of different domestic actors in Finland. The complementarity dimension with and within the multilateral support as well as Finland’s role in the EU in regard of policy influence to promote complementarity will also be examined.

The special case-evaluations are:

1. Development policy analyse;
2. NGO-instrument overall and, including special case of three NGOs that are participating also in delivering humanitarian aid, as well as the INGO dimension, and LFCs, in countries that are visited,
3. IKI-instrument as a whole, and
4. country programmes of Mozambique and Zambia as desk studies, including country-level information emerging from the other two case-evaluations, as appropriate.

The evaluation will include a thorough research of document material and field visits concerning the IKI- and the NGO-case-evaluations. All components of the evaluation will involve interviews of stakeholders and institutions in Finland, and in the IKI and NGO-case-evaluations also in the countries visited.

The overall international and Finnish development policy framework will be examined through document analyses and interviews. The development policy review will be performed at the headquarters’ level of the Ministry and some other line ministries and the respective inter-ministerial task forces that deal with development cooperation and that use development budget funds. Finland’s policy influence in the EU and the multilateral scene will also be looked at.

The case-evaluations of Mozambique and Zambia will be limited to document study and interviews at the Ministry, with possible questionnaires to the embassies of Finland in these countries and possible other stakeholders. These two country case studies will serve also as a baseline investigation for the most recent country programmes that are being finalized by the end of 2012.

Even though a clear focus is to look at complementarity criterion from a variety of angles, the evaluation will also utilise the OECD/DAC development evaluation criteria, relevance, effectiveness, efficiency, sustainability and impact, as appropriate, in seeking answers to the evaluation questions and in assessing the value of complemen-

tarity within the context of policy and practice for more effective and results-oriented aid. Further criteria to elucidate the multiple dimensions of complementarity through the major evaluation questions (section 5), can also be devised, if deemed necessary by the evaluators.

The field visit countries to study both the IKI-instrument projects and the NGO-cooperation will be Egypt, Ethiopia, Lao Peoples' Republic, Namibia, Nepal (only NGO component), Zambia, the Caribbean region (3 countries to be defined) and South-America, Ecuador.

The major stakeholder groups involved will be civil servants of the Ministry (Ministries) in Helsinki and in the embassies of the countries to be visited and their government authorities and institutions involved in the cooperation, the staff of the NGOs involved in Helsinki and those of local NGOs in the field, staff of institutions involved in the IKI-cooperation in Finland and in the countries concerned, possibly others identified as the work progresses. A wide range of stakeholders will be involved in the policy analyses and in the analyses of how policies work at different levels of development.

Part of the documentation has already been collected in a flash drive, but the material is incomplete. It must be complemented by the evaluation team already prior to embarking upon the inception report and work plan, as well as thereafter at the time of the desk-study phase of the different components.

The start-up meeting of this evaluation will be the first opportunity between the evaluation team and EVA-11 to clarify any issues in these ToRs or the work ahead. It is also an opportunity for the team to present their initial approach and understanding of this comprehensive evaluation task.

### **3 RATIONALE, PURPOSE AND OBJECTIVES**

#### **3.1 Rationale and Purpose**

The rationale for this evaluation is rooted in the Finnish policy goals for development and in the international commitments. Working together, partnerships, division of labour – are key words that come through when aid effectiveness, development effectiveness, and results for development are discussed. On the basis of this emphasis, it is allowed to conclude that in the development policies, there has been an assumption of a theory of change for development being in-built, this assumption being that complementarity would be a major conduit to development results.

The most recent international framework is the Busan Partnership for Effective Development Cooperation. In this international environment, it is of interest to look at our own development cooperation and modalities of operationalising it, at the dif-

ferent levels, to identify potentials for more effective use of available resources, better results orientation and complementarity of actions. It is also an opportune time to assess whether, and to what extent, the assumption of theory of change bestowed to complementarity, has materialised and been appropriate, and what lessons can be drawn from the past experiences. In Finland, and possibly also elsewhere in the world, the resources – either in terms of human resources to administer the development aid, or the aid resources in general, may not grow substantially in the next years to come, which makes efficiency for effectiveness and development results a reasonable goal.

The current (2012) development policy of Finland has clear commitment for policy coherence for development and complementarity of operations. Subsequently, the cooperation modalities employed by Finland are required to be complementary to each other. At this juncture, lessons from the past experience, may contribute towards materialisation of these goals.

The purpose of the evaluation is to dig into the dimension of complementarity in the Finnish development policy and cooperation, instruments and practices, including, how this dimension is taken into account in the policy level discussions at different interaction levels.

The case-evaluations have been selected so that they will offer information about how the NGO –instruments may better be used to complement other development cooperation instruments at the country level, be it multilateral or bilateral cooperation, or cooperation with private actors, and the partner governments and in advocacy for the policy goals. Currently the NGO -cooperation is not planned in connection with the country programmes. Yet, the potential of these instruments is vast, in particular, when thinking of the overall goals of Finnish development policy – reaching out to the vulnerable and the poor. The evaluation will bring about information on the vertical division of labour, from the policy influence down to the practical grass-roots level, within the Finnish development cooperation, and identify the sharing of roles in this context. Until now, complementarity has much been viewed from the dimension of *horizontal complementarity*, between “equal” players, for example, between the donors and between the multilateral and the bilateral aid programmes.

The purpose of including IKI -instrument case-evaluation in this study is two-fold:

- 1) to evaluate the instrument overall for lessons of the past experience; and
- 2) to study the materialization of the complementarity dimension of this instrument, which is in-built in the concept of IKI -cooperation.

The two country programme case-evaluation, Mozambique and Zambia have been included here, as they represent principal development partner countries of Finland that have not been evaluated since the beginning of 2000. The case-evaluation desk studies will contribute to the implementation of the new country programmes (2012)

and constitute a baseline assessment to later evaluations of the new programmes. The two country programmes may also serve as the platform to study the potential of *vertical division of labour* within the Finnish development cooperation portfolio of instruments in these countries.

Potential users of the results of this evaluation are policy- and decision-makers, and aid administrators at different levels in the Ministry, in the partner countries, and in the outside stakeholder communities involved in IKI- and the NGO -cooperation. The results may also be used in the policy-level discussions within bilateral, multilateral and the EU-contexts, since “complementarity” with the assumption of it bringing value added in aid effectiveness and development results, is fairly explicit in policies at these levels.

### 3.2 Objectives

The overall objective of this evaluation is to learn from the experience to find ways to use the different policy and cooperation instruments of Finland so that they are complementary and that mechanisms to accomplish complementarity are there. The evaluation will expose the dimensions of **internal complementarity** between the actors and the instruments of Finland and the dimensions of **external complementarity** with other actors and instruments in development. Both of these levels of complementarity shall be looked through the **vertical and horizontal dimensions**. The experience-based lessons learned will be used to develop further the implementation of Finnish development cooperation and to find new innovative ways of deploying the different instruments and actors in development for better effectiveness and results.

All components of this evaluation will identify any concrete results and / or improvements of processes that can be linked to the complementarity as a factor in the achievements. The evaluation will also identify the obstacles existing and hindering complementarity being implemented.

A supplementary major objective to the IKI-instrument case-evaluation is to have an overall understanding of how it has performed during the time it has been implemented, and of the administrative arrangements pertinent to it. Thus, the IKI-component will be a thorough review of the instrument *per se*, and in particular, its in-built policy objective of complementarity.

As for the NGO-component, the evaluation is expected to bring forward innovative thinking for completely new ways of using the NGO-instruments to complement other development actors and instruments, over the boundaries of the current practices.

## Specific Objectives

The specific objectives include the achievement of

1. specific information of the three instruments (NGO-, IKI- and country programmes) on, how they could be planned and implemented in a way to fill in potential gaps in the vertical flow of benefits from national to the local level, and to those who are the most disadvantaged groups that are stated as major beneficiaries in the Finnish development policy;
2. assessment of to what extent the cross-cutting objectives can be reached through the different instruments, and how the instruments could be used in a complementary way for their achievement;
3. information on the practices how internal and external complementarity are considered and implemented, and how horizontal and vertical complementarity are conceptualised and featured, in the Finnish development policy and cooperation at the country programme planning level and at the level of different instruments' strategic plans and at the level of implementation.

## 4 APPROACH

The approach includes both top-down and bottom-up elements. The former includes perusal of the policy frameworks and processes, and how they flow down to the development instruments, and practical development cooperation. The approach oriented towards Finland's development policies and cooperation, although the international commitments are also featured in. In section 3.2 the terms "internal complementarity" and "external complementarity" were used to describe these dimensions.

Evaluation will involve relevant stakeholders and institutions in the Ministry and partner countries, including the relevant embassies of Finland and the local government and non-government stakeholders and institutions. The principle of participatory evaluation is applied.

Since the evaluation includes clearly separate case-evaluations, strong inter-team coordination and information sharing within the evaluation team is vital.

The work will progress stepwise so as to the former step informing the next one.

The evaluation process is sequenced:

### **Initiation:**

Pre-collection of document materials mainly in the Ministry's archives and partly from the internet (for example, EU-docs)

- 1) start-up meeting; clarification of the approach and issues in the ToR; discussion of the understanding by the evaluation team of the evaluation task

**Inception:**

- 2) document retrieval continued, classification of the material and preliminary study of it;
- 3) inception report and work plan; discussion and possible comments by the client;

**Desk study and interviews:**

- 4) document-based thorough desk studies of the different components of the evaluation
- 5) draft desk reports
- 5) interview plans; plans for questionnaires
- 6) interviews and questionnaires implemented

**Field study:**

- 7) needed adjustment to the work plans for the field studies;
- 8) field studies of the case-evaluations that include field studies

**Final analysis and synthesis of results:**

- 9) an oral presentation with power point on the major results of the field studies and the desk studies and synthesis; recapitulation of the state-of-the art of the evaluation
- 10) amalgamation of the results of the desk and the field studies of the case-evaluations;
- 11) production of the individual semi-final case-study reports, subject to comments by the client;
- 12) production of the draft synthesis report including the policy analyses, subject to comments;
- 13) production of the draft final case-evaluation reports subjected to a wider round of stakeholders' comments;
- 14) production of the final reports of the case-evaluations and the joint synthesis report and short overall policy brief.

**Dissemination of results:**

- 15) public presentation of the results of the synthesis with power point support of the main points;
- 16) presentations of the major results of the case-evaluations with power point support, which can be organized together with the presentation of the synthesis report, or if considered necessary, earlier than that as an independent presentation;
- 17) a web-based presentation session shall also be organized to involve the embassies of the countries visited and to the extent possible, also other stakeholders and institutions involved in the evaluation in Finland and in the countries visited.

It is expected that all the deliverable reports will not be progressing at the same time at the same level of preparedness. The case-evaluation reports, in particular the NGO



and the IKI-case-evaluations should be available prior to the synthesis and the policy brief, simply as the case-evaluations feed information into the other evaluation components.

At the top policy level in the administrations in Finland, the embassies of Finland and the partner countries' high-level authorities and institutions, joint interviews in mixed team composition between the IKI and the NGO-sub-evaluations, and the policy/synthesis component, must be planned whenever possible.

The Evaluation Synthesis on Complementarity, will include the main results of the case-evaluations, and an analysis of the overall national and international policies of Finland relevant to the conceptualization and operationalisation of complementarity in aid policy and cooperation. It will also draw the wider lessons learned regarding the distinct policy **assumption of complementarity** being conducive to positive change and more effective and efficient development cooperation and development results. The Synthesis will also bring to the fore the innovative ways discovered by the case-evaluations of IKI and NGO-sectors and the desk-studies of Mozambique and Zambia country programmes.

## **5 EVALUATION ISSUES AND QUESTIONS**

Under each of the following sections, a few guiding evaluation questions are given. The evaluation team, based on their expertise and experience, will open up these questions into sub-questions and add to the questions should they consider it necessary to elucidate any dimension of the issues under study. In the assessments and analyses the evaluators will utilize the OECD/DAC and the EU's development evaluation criteria, relevance, efficiency, effectiveness, sustainability, impact, cooperation, coordination, in addition to the complementarity which is the special focal issue in this overall evaluation.

### **Cross-cutting objectives (CCOs)**

All case-evaluations will examine the cross-cutting objectives of development policy from the aspect of complementarity at the level of the interventions. The cross-cutting objectives to be included (at least) are promotion of gender and social equality, human rights (rights-based approach) and equal opportunities by easily marginalised groups, HIV/AIDS, and good governance. Other cross-cutting objectives of the consecutive development policies may be included as appropriate. Environmental and climate change-related considerations of the interventions shall also be assessed.

Some guiding questions:

- a) Are CCO -considerations present in the planning documents in terms of inclusion of specific objectives and indicators for monitoring? What are the most frequently included CCOs? What is the role assigned to the CCOs in project plans in terms of the overall objectives of interventions? Has omission of CCOs from the intervention plans been clearly justified?
- b) How do the results of this evaluation compare with the CCO -results of some of some earlier evaluations, for example, Evaluation reports 2008:1; 2; 5; 6; 2010:4? Any changes?
- c) Tools for better integration of CCOs have been developed in recent years; are administrators of cooperation aware and capable of using these tools? What are the major reasons for failure to include the CCOs
- d) Do the CCOs feature in any way in the quality assurance processes, grounds for decision-making and in the decisions made on programmes, instruments and alike?
- e) Are CCOs taken regularly up in discussions between donor and with partner governments? Is distribution of labour and complementarity regarding the CCO-themes discussed?

## CASE I

### 5.1 Analysis of policies and practices

When looking at the history of the Finnish development policy and also how the concept of mutual interdependence has developed into mutual complementary, as influenced by international policy commitments, one must recognize the great complexity that is involved in the operationalisation of the complementarity policy. It takes time and coordinative efforts towards many directions. Yet, the actions should also be horizontally and vertically, and over longer periods of time, coherent and coordinated to produce complementarity with true impact. It is important that the evaluation looks at the Finnish efforts and **mechanisms** for the accomplishment of complementarity at different levels, the EU, the multilateral level, in Finland, and in the partner countries, at the national and local levels. The questions pertinent to this section of the evaluation, by nature of the topic, are rather process oriented, including examination of the mechanisms put in place to ensure complementarity. In addressing these levels the policy evaluation needs to inform itself also through the case-evaluations and the two country desk-studies in order for the evaluation to encompass the dimension of the local level.

The evaluation will analyse development policies of Finland since 2003 and the respective policy guidelines on bilateral and multilateral levels, EU-level; sectors and development instruments' levels, and the modalities of operationalising these policies and guidelines.

### Internal complementarity:

- a) What have been the major drivers for complementarity in the Finnish development policies, and what are the mechanisms or procedures put in place to ensure complementarity of bilateral and multilateral cooperation, complementarity with special instruments, and complementarity with programmes managed through other instances than the Ministry? How does complementarity express itself between the multilateral, bilateral policies and policies and guidelines pertinent to specific development instruments, and in the decision-making?
- b) How is complementarity of development policy understood and put to practice at different cooperation levels and with the stakeholders involved? What are the mechanisms in place that ensure a mutual understanding of the policy goal of complementarity?
- c) Do the policies offer adequate guidance to implement complementarity in development? If not, why? Where are the constraints and the major opportunities to improve complementarity?
- d) What are the information exchange mechanisms?
- e) How does the selection of development instruments take into account the complementarity of actions towards development results in a country of operation?
- f) Does the staff and the out-sourced consultants that carry out the development intervention planning, document preparation, appraisals, implementation, monitoring and evaluations, understand how to translate the policy goal of complementarity into practical action and how to monitor progress? Are results reported in relation to policy objectives, including complementarity? Are the guidelines offered by the Ministry adequate and conducive to understanding complementarity as a requirement? Is relevant and adequate training available for the staff and the outsourced resources?

### Policy influence for external complementarity:

- g) What is Finland's role and entry points in advocacy for complementarity at the policy level among the partner countries, the donor community, the EU, and the multilateral sectors, and in Finland?
- h) Can concrete examples of successful policy influence be identified? What have been the major contributing factors to success? What about reasons for failure?

## CASE II

### 5.2 Desk-evaluations of country programmes of Mozambique and Zambia

The questions in 5.1. are relevant to this section from the dimension of the development policies being extrapolated to country programmes and implementation in the partner countries, also reflected against coordination processes of partner governments and the rest of the donor community.

**Special note:** This sub-study will be desk study only, with possibility for interviews and questionnaires. The timing of the desk study coincides with the launching of the new country programme plans of Finland. The country programmes will be evaluated within the next 3-4 years, and therefore, this desk-study constitutes a baseline situation analyses that may bring forwards lessons on, how to improve the complementarity in the implementation and in the decision-making. The case-evaluations of the NGO-sector and the IKI-instrument, that will include field visits, will also feed information to this desk study.

Supplementary to the questions in section 5.1., adapted to the country programme level, the following questions should be considered in the desk studies of the two country programmes:

- i) What is the basis for the country programmes – how do the components of it come about? What are the mechanisms for ensuring complementarity with other donors and with the host government's own policy priorities?
- j) What is the role of the bilateral discussions and the donor coordination at country and at headquarter levels? How are the multilateral actors involved at the country level? What are the mechanisms used in the NGO programmes?
- k) How is complementarity monitored? What has the role of Finland been in these mechanisms? Are there any examples of concrete measures that Finland has taken to improve complementarity in the countries?
- l) Do the cross-cutting objectives feature in any way in the complementarity context and distribution of tasks between development aid instruments at the country level?
- m) How could vertical and horizontal complementarity be systematized so that NGOs and by the IKI-instrument could contribute to the implementation of the country programmes? Is complementarity to the country programmes a feature that features in the decisions on development research? What about decision-making in cooperation implemented through other ministries or institutions than the MFA?
- n) Does complementarity feature, and if yes, how, in funding decisions overall?
- o) How are the international frameworks, PD and AAA addressed in the country programmes?
- p) Can any particular achievements be identified, where Finland has successfully influenced others and acted so that better complementarity has been achieved?

As a result of these desk analyses, a clear understanding should emerge on the mechanisms of ensuring complementarity in the country programmes in terms of bilateral projects and interventions, multilateral funding and other funding through other channels and instruments that are not typically falling in the traditional multi-bi categories. An understanding should emerge of what has been Finland's practices in her own cooperation and her role in enhancing complementarity at different levels of interaction with other stakeholders, and the partner governments.

## **CASE III**

### **5.3 Case-evaluations of IKI- and NGO -instruments**

#### **5.3.1 Common evaluation issues**

The questions and issues included in CASE III evaluations will include the desk- and field-studies.

#### **Context and operational environment**

Both case-evaluations need to perform also the respective policy and context analysis pertinent to their theme, as well as the country desk-studies, when appropriate. These analyses will accumulate information on the overall frameworks and context, and also inform of the observed enabling factors and obstacles that have been or can be expected to be faced by these cooperation instruments in respect of the policy goal of the instruments being complementary to other cooperation instruments.

Some guiding questions:

- f) Can any common denominators of either enabling factors or obstacles to the implementation of complementarity be identified in the development cooperation of the two subjects of the case-evaluations?
- g) Are the current implementation modalities and models of NGO- and IKI-cooperation conducive to compliance with the Finnish development policy, with the development policies of the partner countries, and with the international frameworks of PD, AAA and the Busan. How have these national and international principles been addressed in the plans, monitoring and reports relevant to the IKI- and NGO-case-evaluations?
- h) What could be the completely new and innovative ways of using the NGO and IKI-instruments to achieve true *vertical and horizontal complementarity*, and at the same time, improved flow of benefits from the entire development cooperation programme? – In other words, could NGO and IKI-programmes be used in a new way to fill in gaps left by other instruments, in terms of the benefits reaching out to the target beneficiaries as defined in the development policy objectives and the programme and project documents?

## CASE III A

### 5.3.2 Specific issues to IKI -instrument

IKI-instrument has never before been evaluated. This evaluation will serve a dual purpose as explained in section 3.1. Currently there are active IKI interventions Eastern Europe, Africa, Asia, the Pacific, in Latin America and the Caribbean. Among these interventions there are also a few regional projects.

Some guiding questions:

#### The special value of IKI-instrument:

- a) Does IKI -instrument as a development cooperation modality fulfill the requirement of complementing other instruments? Currently IKI has been implemented in a great number of countries mostly outside the principal development cooperation partner countries of Finland. How would you characterize the advantages or disadvantages of the current modality against IKI being “disciplined” to operate mostly in the partner countries of Finland, and being subject to programming together with the rest of Finland’s programme in these countries?
- b) Are there any needs to adjust the eligibility for IKI-cooperation for better complementarity?
- c) Is there any specific value added in this modality, which could not be compensated by some other, more conventional development instruments? Would such value added be lost, should it happen that the geographic scope be limited or the timing of IKI-interventions planned to complement other development interventions or limitations of any such kind?

Questions by evaluation criteria:

#### Relevance

- Do the IKI-interventions fill in a particular gap in the development plans of the partner institutions?
- How are the institutional partnerships initiated?
- How is the timing of IKI-interventions defined? Do the other development interventions of Finland or other donors feature in the definition of the IKI-interventions and the respective discussions and decisions made in the Ministry?
- Should the types of IKI-interventions be diversified so that IKI would become part of the officially agreed country programmes, complementing a special slot in there? Should there be a diversification of IKI-programmes, to those being planned within the country programme and those outside?

## **Efficiency**

- What is the efficiency of IKI-interventions? Is the price level of IKI -cooperation reasonable as compared with other modalities of development cooperation and the observed results? If not, what could be the alternatives to IKI-projects or how could the IKI be developed to be more cost-effective and results-oriented?
- Is the current operational modality justifiable in terms of achievement of the objectives of the overall development cooperation when the costs are factored in?
- How do the available resources compare with the purpose and objectives of the IKI-interventions? Could you achieve the same or more with the used resources?
- Currently the Finnish technical assistance component is high, in terms of human resources involved and also costs involved?
- Does the support consult and its role bring in some quality value added that will compensate for the costs? Is there any efficiency gains achieved by this service, and does it meet with the expectation of freeing the Ministry's or the embassies' human resources in any way?

## **Effectiveness**

- IKI-interventions are usually short and focused: does this approach bring in some comparative advantages in terms of rapid capacity development and institutional development gains, professional networking or any other development outcomes? How could these components be characterized –plusses and minuses?
- To what degree were the objectives achieved overall? Did the document study or the field trip bring to the fore any concrete achievements against the set objectives?
- Currently many of the IKI-interventions are of short duration and with high Finnish technical input. How would you compare a situation in terms of capacity development of individuals and the institutions, if more emphasis be put on the use of local expertise? What would be the major gains and major obstacles or losses?
- Characterize the quality of planning documents and the project documents? Are they conducive to results-oriented work, monitoring and reporting? Major negative / positive features of the quality of the IKI-intervention documents, considering here also the international frameworks (f.ex. ownership, leadership, mutual benefits etc.) and cross-cutting objectives listed in the beginning of section 5.2.
- Is there an adequate aggregated reporting system by objectives and results, based on evidence of the monitoring reports? What is the quality of the reporting?

## **Sustainability**

- Sustainability of the results is an overall goal of development interventions? How could the sustainability dimension be characterized in IKI-interventions? Is there any ex-post follow-up when an intervention comes to an end? Is there any organized “end-of-project” assessment, evaluation or self-evaluation review, between the cooperating partners? If yes, what are the major topics of discussion and the conclusions?
- Do the partner institutions have any suggestions on how to alter the IKI-instrument to serve them better in terms of longer-term benefits?

- Are there examples, and if yes, what kind, of the activities initiated during the IKI-project, that are continued after the closure of the IKI-project?

### **Impact**

- The actual IKI-instrument was launched in 2008 as a result of the 2007 development Policy of Finland. It has been an instrument in progress all this time? Are there any examples, discernible either in the documentation or in the field, of longer-term impacts, negative or positive, direct or indirect, concrete or at the conceptual level? Has there been any spontaneous follow-up cooperation between the partner institutions?
- Can you think of any measures or alterations to the current modality of implementation that would improve the sustainability of the impact?
- What is your key assessment for the IKI-instrument as compared with its original purpose – capacity development? Does assessments towards the objective of capacity development come through in the progress reports?
- To what extent do the IKI-interventions results reach the stated target beneficiaries? On the basis of already completed IKI-interventions, are any longer-term effects / impacts detectable and if yes, what kind? Is the issue of final beneficiaries in any way discernible in the Ministry's documents, in the protocols of the quality group, comments on draft project documents or funding decisions made in the ministry?

### **Some special questions on the administrative arrangement and tools**

To lessen the administrative burden of managing a high number of IKI -interventions, the Ministry has, through competitive bidding, hired an external consultancy resource to assist in this task. The external consultant also assists the Finnish institutions in the compilation of the project documents and pre-screens their quality. The consultant compiles regular progress reports on performance of the interventions. Decisions are, however, done in the Ministry.

Some guiding questions:

- What is the special value added of this arrangement? Is it justified to be continued or should it be altered?
- Assess the quality of the products that have, through the consultant, arrived at the Ministry? Does the reporting give adequate results-based analyses of the status of the interventions, its compliance with the original purpose, on the possible problems, and how to solve them, and alerts of needs to intervene?
- Assess the process of reporting, is it participatory including the partner institutions?
- Assess the guidance given by the Ministry in relation to enabling the consultant to deliver quality products?
- What is the quality of the administrator's comments on project proposals? Do these comments include the requirements of the international frameworks, the CCOs and the results-orientation and complementarity? To which degree do they deal with results-orientation and the needs of the stated beneficiaries?



- Do the guidelines provided by the Ministry offer adequate advice and guidance to construct and implement high quality IKI -interventions, monitoring of implementation, reporting. If not, what are the aspects of dimensions that should be developed or that are missing?

### **A special aspect of lessons learned**

Climate sustainability and climate change, mitigation measures, adaptation and natural disaster preparedness have been policy goals for a number of years. There was a specific evaluation on natural disaster, climate change and poverty, which studied the meteorological cooperation as one entry point of Finland to this problem area (Evaluation report 2009:8). A significant number of the current IKI-interventions are in the field of meteorology.

- How do these IKI-interventions define the final beneficiaries? Do they define the modality, how the ultimate beneficiaries are reached? Is the end-to-end disaster preparedness concept in any way integrated in the planning?

## **CASE III B**

### **5.3.3 Specific issues to NGO -instrument**

#### **Complementarity in wider context and frameworks**

A particular context frame in this case-evaluation are the current development policy, the policy guidelines for NGO cooperation, and the country programmes of Finland. A major current issue, depicted in the 2012 development policy of Finland, is the question of finding innovative ways of using NGO-actors to complement development activities within the country programmes of Finland so as to achieve better reach-out and impact *in vertical and in horizontal sense*. Similarly, the issue of complementarity of the NGO-programmes in respect of **other** actors in development, including the multilateral, the host government, and business sector, is of interest and constitutes an important contextual sphere in this examination. These questions and context considerations arise from “*the holistic*” planning process that would use the different development instruments in a complementary way. This is a central message of the 2012 development policy of Finland.

#### **Complementarity within the NGO sector**

NGO-sector plays a particularly important role in the societies, including as advocates in human rights, environmental issues, gender and social equality, anti-corruption, democracy and rule of law, peace building and issues alike. The three NGO-instruments of Finland (INGO-, NGO-, and LFC -cooperation) address *different levels of societies (vertical complementarity)*, the INGO -cooperation reach from the international to the government, and even to local levels, the NGO-cooperation, working with local NGOs, much at the local level, and the LCF supporting the capacity of local CSOs. Some of the bigger Finnish NGOs also work in delivering of *humanitarian aid*, thus

having a *double* role. Complementarity already between these actors in any one country would undoubtedly bring in synergy dividends and minimize occurrence of development gaps.

### **Evaluation tasks and questions**

The difficulty in evaluation of complementarity **between** the three categories of NGO-support, and between the NGO-support and the other official development cooperation that is programmed, is the multitude of sectors and themes that are involved and the multitude of working modalities, as well as the widely scattered target countries and cultures in the current NGO-sector cooperation. Also the Finnish legislation pertinent to supporting the NGOs with development budget funding, may hinder more innovative ways of utilizing these instruments.

The evaluation tasks and questions of this case-evaluation include:

- 1) analysis of the current modalities of cooperation and administrative arrangements against the 2012 development policy and against the current policy guidelines of NGO-cooperation, including the LCF norms and guidance and the INGO guidelines;
- 2) assessment of the Finnish NGO-support interventions in terms of contributing to the results requirement of Finnish development cooperation, and the special value of these results in the local and national contexts of the countries concerned;
- 3) assessment of the significance of the NGO-instruments in the implementation of the “reaching out to the wider world”; should the constellation of the NGO-instruments’ use now be changed? In which way? – What could be gained and what be lost?
- 4) assessment of the complementarity factor of the NGO-support with Finland’s overall country development programme; what is the complementarity template in cases where there is no bilateral country programme or other project-based cooperation?
- 5) assessment of the complementarity of the NGO-interventions with the partner country’s development plans, and with the development objectives of the local CSOs, or their umbrella organisations? What sort of mutually reinforcing planning mechanisms are there in place?
- 6) assess the complementarity of the NGO-programmes with other development actors, multilateral programmes, business and trade interventions, programmes of other donors? what are the used mechanisms of informing each other?
- 7) should complementarity between the INGO-, NGO- and LCF-- instruments be pursued? What would be the losses and the gains in financial terms and in development results, with a tight complementarity requirement being imposed? The NGO-programmes operating in countries other than the principal partner countries of Finland, what is the significance of these programmes in terms of overall development results reporting by Finland in these countries?
- 8) Are there any examples of good practices in the division of labour within the NGO-sector? What are the success factors?

In addition to the overall NGO-sector case-evaluation, there is the special case of three organizations, the Finnish Red Cross, Fida International and the Finn-ChurchAid that will be assessed as the rest of the NGO-sector. A thorough assessment of the continuum aspect from humanitarian aid through reconstruction and development cooperation will be assessed in connection with another wider evaluation.

Here the evaluation will

- 9) study the complementarity between the humanitarian work of the three organizations and their reconstruction and development work; are there any examples of the dual role of these organizations and their accreditation to the ECHO/EU, that can be considered as having brought special benefits or value added to the organisations' work as agents implementing development cooperation programmes.

### **Organizing the NGO -instrument in a new way**

The whole issue of NGO-cooperation should be looked at from a new angle – should the “traditional” NGO-cooperation, that is planned by the NGOs themselves, continue as it is – and to what extent? Or, should part of the NGO-support be tied to the vertical or horizontal complementarity with regard of the country programmes? Should part of the NGO-funding be directed towards cooperation between NGOs and multilateral actors, or with local business community, or towards direct cooperation with partner governments? These questions would need a completely different mind-set and planning mode for the NGO-programmes and also to the country programmes. Yet, the value added of such new ways may enhance vertical flow of benefits to the most disadvantaged groups. Thinking should go from bottom-up and from to-down – critically identifying the current gaps – where does the chain break – and who could best serve in mending it?

The following questions may help in this thinking:

- 1) How should the criteria for NGO-funding appropriations be altered for the NGOs to be able to step in the country programme framework? Is current legislation conducive to such a change?
- 2) What are the conditions and modalities that should be deployed when deciding on the eligibility for an organization to be included in the “country programme –eligible” criterion?
- 3) Should the inclusion of Finnish NGOs to the “country programme support category” be opened to the organizations informing the ministry on voluntary basis? Or should the Ministry decide on the inclusion on the basis of past experience and invite organisations to participate?
- 4) How should a country programme be planned to enable the distinction of suitable tasks to the NGO-instruments and those to the more traditional implementing setups?
- 5) What would be the role of the partner governments? Should the NGO-sector cooperation overall be part of the bilateral negotiations? How would comple-

mentarity be addressed in countries with little or no other Finnish development activity? Should the dimension of complementarity be a compulsory requirement in NGOs funding proposal?

- 6) Should NGO-cooperation be part of the discussions with the multilateral sector actors, in business promotion and alike?
- 7) Is the current administration of NGO –support in the Ministry suitable for the new “two category” model? What about the administration of the INGO programmes? Some INGOs that are supported by Finland have even a multilateral organisation’s status with the OECD.

## IV SYNTHESIS

### 5.4 Synthesis evaluation

The synthesis evaluation document will bring together the major traits of the different case-evaluations of this entire study on complementarity.

The synthesis analyses will

- 1) assess the significance of the results of the individual case-evaluations and analyses carried out in the wider context of drawing lessons and concrete examples, as well as emerging ideas of potential effectiveness and impact gains through the complementarity factor that is written out in the current development policy programme of Finland (2012) and featured so clearly also in earlier policies: What is the actual status of complementarity at the moment? And what could it be in the future?
- 2) address the complementarity through the *vertical and the horizontal angles of development* and development partners in these angles;
- 3) propose any further study that might be necessary to achieve (or improve) division of labour internally in Finland and with external partners and give guidance on how to accomplish that?
- 4) give examples of concrete results by the different instruments and identified good practices to achieve complementarity;
- 5) address the system-wide results-orientation in planning, monitoring, reporting, and what benefits strong policy emphasis on complementarity has accomplished or potentially could bring in? How do the different instruments perform in respect of complementarity as a factor in better aid effectiveness and development results?
- 6) consider any other dimension or factor that has clearly emerged from the policy review, the case-evaluations, interviews or any other source used in this evaluation.

In addition to the synthesis evaluation report, a short (no more than 6 pages) policy brief will bring together in a crisp and succinct manner the major lessons learned, conclusions and recommendations that can be drawn from all the case-evaluations and the policy analyses in this study.

## 6 METHODS

The process of this evaluation requires partly joint and partly separate methodologies and tools to be utilised, depending on the case-evaluations and the policy studies. The methods will be a mix of qualitative and quantitative evaluation methods which enable triangulation in the drawing of results.

The inception report will give a detailed account of the methods, tools, judgment criteria, and indicators. There will be an evaluation matrix prepared, which should be drawn separately to each of the case-evaluations and to the synthesis assessments. The purpose of the matrix tool is simply to clarify thinking and open the evaluation questions into more narrow research questions. The inception report will clarify the thinking of the evaluators in how this comprehensive task is approached and implemented in practice.

## 7 EXPERTISE REQUIRED

### ***The evaluators***

As explained in the first section of these TORs (SETTING THE SCENE) this umbrella evaluation requires a wide, multidisciplinary evaluation team with mixed and complementary competences, senior experience level, abilities to work and inform internally and externally, and excellent coordination within the entire team.

The team of experts will include senior female and male experts, and be a mixture of senior experts from the developing and the industrialised countries.

All experts must have a minimum of M.Sc / M.A. university educations, be fluent in oral and written English (level 6). Experts assigned to the field visits in the Latin America region, must be fluent in Spanish. Knowledge of local administrative languages among the experts of the countries selected for the field visits will be an asset.

One of the senior experts will be identified as the Team Leader. The evaluation team will work under the leadership of the team leader, who ultimately carries the responsibility of completing this wide evaluation.

The team leader will have 15 years or more of experience in development policy and cooperation gained from a number of different kinds of assignments, including long-term (*3 years or more, the periods of individual service being more than one year each*) field experience and/or experience in international organisations and good understanding of the global development architecture, the change agenda, and how it has developed over the years. She/he has experience of methodologies of policy influence work and policy analyses. She/he has a track record of at least five (5) cases of leadership of multi-national and multi-theme / development evaluations, and in producing quality

outcomes of these evaluations. She/he must be able to exercise leadership and have clear vision over the evaluation task.

Each of the other senior experts will have

- more than eight (8) years of international experience relevant to development policy and cooperation and long-term (*defined above in “Team leader” paragraph*) working experience at the field level in developing country or countries, in different types of assignments relevant to development policy and cooperation.
- sound evaluator experience (*four evaluations*), either as team member or team leader of comprehensive size (*wider than single development project evaluations*) evaluation, and working experience in multinational teams.

Overall requirement of the senior experts is that the team will be a complementary mix between experts with the following competencies distributed among the experts:

- a) 5 years or more experience in NGO-sector cooperation, including INGO-cooperation;
- b) experience in the multilateral organisations at the field operations level, with good understanding of their programming operations;
- c) 4 years or more experience in the development planning processes at the partner country level;
- d) hands-on practical experience in institutional change processes and capacity building at different levels of development;
- e) 4 years or more experience in management of aid; results-based planning, monitoring, reporting and evaluation;
- f) through working experience gained understanding of policy coherence, complementarity, cooperation and experience in their implementation in practice;
- g) 5 years or more experience in development work on the mainstreaming and advocacy of the cross cutting objectives at the operational level;
- h) special working experience in the field visit countries would be an asset.

### **Document retrieval and other assistance to the evaluation team**

There will be 1-2 junior assistants, one of which will be a person who is a native speaker of Finnish language. He/She is required to be available at a short call. There is no opportunity to claim per diems, rental or residential expenses, or other travel than local public transport fees. She/he will serve in the document retrieval, practical organisation, logistics, and similar tasks **in Finland**. She/he may be required to review and summarise some documentation that exists only in Finnish language.

Another junior assistant may be appointed, but she/he will be from a developing country and serve in any of the he IKI or the NGO-case evaluation field-visit countries, and be resident there. The same conditions concerning travel, per diems and accommodation expenses, as stated above to the junior assistant working in Finland, will apply to this junior assistant.

The junior assistants are required to have a minimum academic qualification of M.Sc. or M.A., and a minimum of two years of working experience after the graduation. Both of the junior assistants will be fluent in oral and written English. In addition the junior assistant coming from the developing country will master the major local administrative language.

### **Quality assurance**

Two quality assurance experts will be required. These two experts need to be highly experienced, their expertise and experience corresponding the level and qualifications and experience of a team leader position. They have at least three (3) earlier occasions of service in the capacity of quality assurance of an evaluation process, and are familiar with the international frameworks of the OECD/DAC and the EU regarding the aid evaluation quality standards and the quality criteria of the evaluation reports.

The quality assurance experts will review all the deliverables and offer advice at each juncture of the evaluation process that includes submission of a deliverable (start-up note, inception, draft desk, semi-final, draft final and final reports). At the end of the evaluation process the quality assurance experts will fill in the EU's quality grid for evaluation reports. The reports of the quality assurance experts at each juncture of the deliverables will also be submitted to EVA-11.

## **8 DELIVERABLES**

All the deliverables produced in this umbrella evaluation are subject to being approved by EVA-11 as a pre-requirement for the evaluation process to progress to the next step.

It is foreseen and even desirable that all the case-evaluations will not be delivered at the same time (in tandem), but rather that the evaluations on IKI-instrument and the NGO-instruments and the country case-evaluations (ref: section 10) will be completed first, followed by the policy analyses and the final synthesis on complementarity, and the policy analysis.

The following deliverables will be prepared:

1. Start-up note: Will clarify the approach and understanding of the evaluation task as a next step from the tender documents. The start-up note will be prepared within three weeks from the signing of the contract. A start-up meeting will be organized by EVA-11 where the note will be discussed and the evaluation team may seek any clarifications they need regarding the assignment.
2. Inception report: Will be divided between the case-evaluations of the IKI, NGO-instruments, and the country programme desk-evaluations. The inception report for the policy analyses and the synthesis evaluation will constitute an umbrella report to these three. All of these partial reports can be presented as



a combined overall report with separate sections accordingly. – It is important that sound thinking goes in the preparation of this, in terms of the defining the appropriate methodologies and tools to be used and their clear description in relation to the tasks.

The inception report will also specify the time tables of delivering the different case-evaluation reports, fine tune the distribution of tasks between the team members and confirm the duration of their services. – All in all the inception report is a work plan that shows the understanding and flow of the evaluation from start to the final step.

The inception report is expected within six weeks from the start-up meeting, meaning nine weeks from the conclusion of the contract.

3. Draft desk reports on the 1) IKI-, 2) NGO- instruments, 3) country case-evaluation of Mozambique and on country-case evaluation of Zambia; 4) the policy analyses. These are based on document study.
4. Interview plans: These plans will observe the requirement of organizing group interviews and interviews (in particular at the top level of administrations) as mixed teams between the different sections of this evaluation, whenever feasible and possible.  
EVA-11 will introduce the interview plans to those planned to be interviewed. This rule applies to the Ministry's staff and the Embassies and as appropriate, as explained in the following section 5, also to institutions in the partner countries.
5. Inception notes for the field studies for the IKI- and the NGO-instruments, which will include the interview plans in the field. These plans will be forwarded through the embassies of Finland, whenever possible, to the main governmental or administrative authorities that the evaluators wish to meet. The introduction of this evaluation will thus be done through the Ministry and the Embassy of Finland, prior to the contacts made by the consultants. Cases where there is no Embassy of Finland, will be discussed separately when time comes.
6. Back from the field oral report with power point support. This reporting will be organized through conference call or web-based connection or wideolink.
7. Semi final draft reports of the IKI-, NGO-instruments, and country-case evaluations (separate for Mozambique and Zambia), and the policy analyses and synthesis on complementarity. These reports are subjected to a wide round of comments by stakeholders. The comments will be delivered to the evaluation team by EVA-11 for consideration.
8. Draft final reports on IKI-, NGO-instruments, country case-evaluations, and policy analyses and synthesis on complementarity. As explained earlier, these reports will be completed in this sequence, the case-evaluations feeding to the synthesis.
9. Final reports of IKI-, NGO-instruments, country-case evaluations (Mozambique and Zambia)
10. Final report on policy analyses combined with the synthesis on complementarity.
11. Draft Policy Brief on complementarity in Finland's development policy and co-operation.



12. Final Policy Brief paper.

13. Oral presentation in Helsinki, Finland, supported by power point(s) of the results of the evaluation, including separate presentations on the case- evaluations of IKI-instrument, NGO-sector and the country desk-studies on Mozambique and Zambia. The presentation of IKI- and NGO-component case-evaluation results can be organized at the time of completion of these reports, in September-October 2013.

A web-based recast of the power point supported presentation of the results of the evaluation(s) to the wider audience in the embassies of Finland and the other stakeholders in different countries.

The presentations of the evaluation results are expected to be no later than mid-December 2013.

All evaluation reports coming out of this evaluation process will show clear factual trail from the analyses to findings, conclusions and recommendations. It is important that the results are evidence-based. The recommendations must be actionable, in clear language and concluded from the findings and conclusions. The reports will clearly describe the limitations, special problems faced or reasons for omission of some issues and alike.

Clarity and brevity of expression are required in reports. The language of the reports must avoid highly technical expressions, since the reports are meant to be used also by the general informed public.

The written reports must comply with the instructions to authors of the Evaluation Reports of the Ministry. These instructions will be delivered to the team at the outset of the evaluation process. The team should from the beginning agree on common formats, for example, type of bullet points, model for tables and lists etc, and agree to follow the instructions to authors overall.

The authors must use precise referencing, including the web-page references, which must include the date of retrieval of information. It is advisable to compile the list of references while writing. Care must be taken for each of the references to comply with the instructions in the format they are listed. The abbreviations and acronyms must also be carefully checked and recorded according to the instructions. The final report, submitted, must have undergone a thorough checking of all details. The report submitted must be ready to print. – The team is advised to jointly peruse the instructions to authors of the evaluation reports, prior to embarking upon the writing of the deliverables.

The final draft reports must be in the format of the final reports, including the English Abstract and Summary. The round of comments on these reports is meant only to correct possible errors. Also the references and abbreviations must be carefully checked. The abstract and summary, including the summary matrix of findings, conclusions and recommendations, must already be included in the final draft report. The

principle is that only one round of comments by stakeholders and the Ministry will be enough. The evaluation team and the team leader in particular, will need to ensure, that the drafts delivered to the Ministry are of high quality.

It is essential that the final evaluation reports are completed carefully, copy-edited, and ready to print after EVA-11 will include the preface and the required information on the ISBN page. The language must be clear and concise, and understandable even to readers that are not experts in this field (could be classified as informed laypersons). If the main authors are not native English speakers it is advisable to have the language of the final reports checked before submitting to the Ministry. The Ministry will have the Abstract and the Summary translated in Finnish and Swedish languages.

In the quality of the evaluation process and the reports, the evaluation team should observe the OECD/DAC and the EU aid evaluation quality criteria. A merged table-format tool has been developed of these criteria by EVA-11, and they will be made available to the evaluation team at the outset of the evaluation process.

There will be penalties to the service provider, as specified in the contract, should it happen that the evaluation reports do not comply with the requirements spelled herein, in the instructions to authors, and as guided by the quality criteria provided to the authors at the outset of the work.

In addition to the assessments of the quality assurance experts, the evaluation reports will be subjected to external anonymous peer reviews of quality after completion.

## **9 BUDGET**

The maximum amount available for this evaluation is 600.000 euro + VAT 23% when applicable. The European Commission's directive on the VAT for foreign companies will be observed as appropriate.

## **10 TIMETABLE**

The start-up meeting will be organized in the second week of January 2013. The evaluation should be completed by the end of December 2013.

However, within this overall time schedule, it should be taken into account, when planning the sequence of the work, that the results of the IKI-instrument and the NGO- case-evaluations are needed as soon as it is possible, foreseen to be ready around August-September 2013. The rest of the deliverables will be by the end of 2013.

The first contacts with the selected service provider will be made immediately after completion of the contract, which is foreseen to take place before the Christmas break of 2012.

## **11 MANDATE**

The evaluation team has no immaterial rights to any of the material collected in the course of the evaluation or to any draft or final reports produced as a result of this assignment.

The consultants are expected to but they are not authorised to make any statements, commitments or act on behalf of the Government of Finland.

## **12 AUTHORIZATION**

Helsinki, 15 October 2012

Aira Päivöke

Director

Development Evaluation



## ANNEX 2: PEOPLE INTERVIEWED

N.B. Titles and positions reflect the situation that prevailed at the time of the interviews in 2013.

### Finland

#### Ministry for Foreign Affairs in Finland

##### Unit responsible for Development Evaluation (EVA-11)

Aira Päivöke, Director

Kristiina Kuvaja-Xanthopoulos, Counsellor

Riikka Miettinen, Evaluation Officer

Riitta Oksanen, Evaluation Officer

##### Department for Development Policy

##### Unit for Non-Governmental Organisations

Pirkko-Liisa Kyöstiä, Director

Petri Hautamäki, Senior Officer

Kirsi Pulkkinen, Senior Officer

Suvi Turunen, Officer

Lotta Hakala, Programme Officer

Kaisa Koivisto, Second Secretary

Markus Maunula, Intern

##### Unit for Humanitarian Assistance

Anna Gebremedhin, Director

Satu Lassila, Senior Adviser

Kaisa Heikkilä, Counsellor

Emmi Antinoja, Desk Officer

##### Department for the Americas and Asia

Katariina Hautamäki-Huuki, Programme Officer, Unit for Latin America and the Caribbean

##### Department for Africa and the Middle East

Matti Tervo, Desk Officer, Unit for Southern Africa

### Kepa

Auli Starck, Co-ordinator for Member Organisations

Kaisu Tuominen, Programme Adviser

Antti Turakka, Training Co-ordinator

Anni Vihriälä, Co-ordinator, Finnish Volunteer Programme, ETVO

## Foundations

### KIOS

Ulla Anttila, Acting Executive Director

Maarit Roström, Programme Co-ordinator

### Siemenpuu

Hanna Matinpuro, Director

Jaana Vormisto, Partner FIANT, PhD, former Director of Siemenpuu

## Humanitarian NGOs

Olli Pitkänen, Deputy Director for Development Co-operation, Fida International

Maria Suoheimo, Head of Programmes, International Operations and Programmes, Finnish Red Cross

### Finn Church Aid

Jouni Hemberg, Director of International Co-operation

Eila Alajarva, Head of Unit, Asia, Europe, Middle East, Latin America and the Caribbean

Miina Puntila, Programme Co-ordinator, public funding (MFA)

## Other Finnish NGOs

Gabriel Grönroos, Development Co-operation Co-ordinator, Frikyrklig Samverkan

Mika Hämäläinen, Project Co-ordinator, Nuevo Mundo

Päivi Haapasalo, International Secretary, 4H (Head, Heart, Hands, Health)

Aino Heikkinen, Development Co-operation Manager, Finnish Children and Youth Foundation (FCYF)

Leena-Maija Järvinen, Project Co-ordinator, Feminist Association Union

Merita Jokela, Project Co-ordinator, Feminist Association Union

Annikka von Kaufmann, Programme Manager, Plan Finland

Katri Koivula, Manager Latin America region, World Vision Finland

Timo Kuoppala, Finnish Federation of the Visually Impaired, Head of International Affairs

Panu Könönen, Suomen Latu/Finnish Outdoor Association, Head of Communication

Anja Malm Executive Director, Fidida

Santi Martinez, Member of the Board, Inter-Cultur

Katja Selkimäki-Gray, Grants and Business Development Manager, Save the Children Finland

N.B. Twenty representatives for same number of NGOs present at the meeting held on 3 April 2013 in the Hall of Estates.

## **Ecuador**

### **Partner organisations to Finnish NGOs**

#### **Plan Ecuador (partner with Plan Finland)**

Ramiro Alvear, National Manager of Strategic Alliances

Silvia Mora Brown, Fundraiser

#### **Fundación Esquel (partner with FCYF)**

Wendy Almeida, Co-ordinator of Plans

Humberto Salazar, Technical Co-ordinator General

#### **Federation of the Blind in Ecuador (FENCE) (partner with the Finnish Federation of the Visually Impaired - FFVI; project site visit in Riobamba).**

Luis Narvaez Angamarca, President

Miguel Gaviles Escobar, Director of Braille Printing House, Project Administrator

Joaquin Rodriguez Pino, Project Coordinator

Several staff members of the Braille printing house

#### **FUNORSAL, Salinas, partner with Nuevo Mundo**

Flavio Chunir, Director

Mika Hämäläinen, Project Co-ordinator (Nuevo Mundo on monitoring visit)

An ETVO Volunteer

#### **LCF grantees**

Fundación Marco, Riobamba

Carlos Falconi Uquillas, Executive Director

#### **CEPAM, Guayaquil**

Tatiana Ortiz, Executive Director

#### **NGO Forum Organisations**

#### **National Federation of Non-governmental Organisations for Persons with Disabilities (FENODIS)/Hermano Miguel Foundation**

Maria Eugenia de Suarez, Executive President

#### **The Ecumenical Human Rights Commission of Ecuador (CEDHU)**

Elsie Monge, Executive Director

## **Ethiopia**

### **Embassy of Finland Addis Ababa**

Janne Oksanen, Head of Co-operation

Meseret Mengistu, Project Officer (including for LCF)

Martha Solomon, Water and Agricultural Growth Adviser

Marianne Kujala-Garcia, Counsellor, Education

Workaferahu Eshetu, Programme Officer

### **Ministry of Finance and Economic Development**

Dereje Girma, Bilateral Co-operation Department

Wossen Demissie, Bilateral Co-operation Department

### **Partner organisation to Finnish NGOs**

#### **Ethiopian Centre for Disability and Development (ECDD)**

Yetnebersh Nigussie, Executive Director  
Rigbe Gebre-Hawariat, Abilis Facilitator  
Reta Getachew, Abilis Facilitator

#### **LCF Grantees**

#### **Help for Persons with Disabilities Organisation (HPDO)**

Abebe Yehualawork, Executive Director

#### **Jerusalem Children and Community Development Organisation (JeCCDO)**

Hailu Tafesse, Climate Change Adaptation and Livelihood Unit Head

Bogale Alemu, Senior Officer

## **Kenya**

#### **Embassy of Finland Nairobi**

Tiia Haapaniemi, Programme Officer, Trade and Political Affairs

Marjaana Pekkola, Counsellor for Rural Development

Heini Vihemäki, Counsellor for Natural Resources

Georginah Gichohi, Assistant Programme Officer, LCF

Emma Anderson, Programme Officer, Human Rights and Public Diplomacy

#### **Government of Kenya**

#### **NGO Co-ordination Board**

Richard Chesos and Zilpah Kwamboka,

#### **Partner organisations to Finnish NGOs**

#### **Little Angels Network**

Susan Achieng' Otuouma, Chief Executive Officer

#### **Sustainable Agriculture Community Development Programme (SACDEP)**

Polly Wachira, Senior Manager, Outreach and Networking Sectors

#### **Full Gospel Church of Kenya**

Nebert Makunyi, National Co-ordinator

#### **Save the Children**

Anne Kanene, Senior Advisor, East Africa Regional Office (International)

Job Ochieng, National Partnerships Manager (Kenya)

#### **Kianda Foundation**

Mercedes Otaduy, Project Manager

Lydia Kasina, Headmaster, (Kibondeni College)

#### **Plan Kenya**

Bwibo Adieri, Strategic Programme Support Manager

Paul Mabim, Learning Adviser

Dismus Obegi, Fundraising Manager

#### **Youth Alive! Kenya (YAK)**

Joan Kariuki, Executive Director

#### **Kenya Alliance for Advancement of Children (KAACR)**

Timothy Ekesa, Executive Director

#### **World Vision Kenya**

Daniel Mwebi, Programmes Director



Latheune Onenda, Finance Director  
Paulene Ollmaner, Deputy National Director

### **LCF Grantees**

#### **Forestry Society of Kenya**

Jamleck Ndambiri, Board Member

## **Lao PDR**

### **Embassy of Finland accredited to the Lao PDR in Bangkok**

Antti Inkinen, Counsellor and Head of Co-operation (by telephone)

Antti Niemelä, First Secretary and Deputy Head of Mission

Bhuripan Kalnaovkul, Programme Officer, Development Co-operation, LCF Co-ordinator

Lotta Kivinen, Intern

### **Finnish NGOs**

#### **Kepa Regional Mekong Office (covering Lao PDR) in Bangkok**

Helena Ahola, Regional Director

Tove Selin, Development Policy Officer

### **FIDA**

Jarmo Joensuu, Programme Manager

### **Partner organisations to Finnish NGOs**

#### **Plan International (PI) in Lao PDR (partner with Plan Finland)**

Mona Girgis, Country Director

Sanxay Inthasong, Finance Officer

#### **Quest College (partner with Frikyrklig Samverkan)**

Dr Phonetitip Viravongsa, Director

Dr Vongvaly Viravongsa, Deputy Director

### **Multilateral organisations**

#### **Delegation of the EU to Lao PDR**

Michel Goffin, Chargé d'Affaires

Jean-Bernard de Milito, Senior Officer

Phonesavan Sethanaphaixanh, Programme Officer

### **UNDP**

Minh H. Pham, Resident Co-ordinator

Sudha Gooty, Assistant Resident Representative, Head of Governance Unit

## **Namibia**

### **Embassy of Finland Windhoek**

Marika Matengu, Programme Co-ordinator

Päivi Joki-Kyyny, Acting Head of Mission

### **NGO Forum Organisations**

*Namibia NGO Forum (NANGOF)*

Ivin Lombardt, Executive Director

### **Partner organisations to Finnish NGOs**

#### **4H Namibia**

Delicia Beatrice Kotungondo, Director

#### **Namibia Federation of the Visually Impaired**

Daniel Trum, National Coordinator

#### **Labour Resource and Research Institute (LARRI)**

Dr. Hilma Shinodondola-Mote, Director

#### **LCF Grantees**

#### **Legal Assistance Centre**

Dianne Hubbard

## **Nepal**

### **Embassy of Finland Kathmandu**

Kari Leppänen, Counsellor, Deputy Chief of Mission

Tanja Rajamäki, Programme Co-ordinator

### **Government of Nepal**

*Social Welfare Council*

Madan Prasad Rimal, Director

### **Finnish NGOs**

#### **Fida International**

Sam Hatava, Regional and Country Director, Development Co-operation

Päivi Leppänen, Education Adviser

### **Partner organisations to Finnish NGOs**

#### **Nepal Environment and Tourism Initiative Foundation, (NETIF), project site visit**

Arun Shrestha, Project Director

Demal Lamichitane, General Secretary, Nagarkot Tourism Development Committee

Vikas Sakya, General Manager, Club Himalaya

Members of the Tourism Development Committee in Nagarkot

#### **General Federation of Nepalese Trade Unions (GEFONT) (partner with SASK)**

Ramesh Badal, Secretary, Department of Foreign Affairs

Jitendra Jonchhe, Secretary, Department of Finance

#### **Children and Women in Social Service and Human Rights (CWISH) (partner with Interpedia)**

Bishnu Timilsina, Team Leader

ETVO volunteers: Linda Majander and Petteri Pietinen

#### **Save the Children International in Nepal (partner with Save the Children Finland - SCF)**

Sanu Lai Maharjan, Programme Manager, Livelihoods

Mukesh Latt, SCF Senior Regional Adviser based in Delhi (participated on Skype)

*Loo Niva ("Dawn", Child Concern Group Nepal), partner with Interpedia*

Nurendra Dangol, Executive Director  
Sant Ram Dangol, Project Co-ordinator  
Gyan Bhakta Maharjan, District Programme Officer

**LCF grantees**

**NGO Federation of Nepal**

Daya Sagar Shrestha, Executive Director  
Gopal Lamsal, Secretary General  
Shaurabha Subedi, Project Officer

**Institute of Human Rights Communication Nepal (IHRICON)**

Kapil Kafle, Executive Director

## **Peru**

**Embassy of Finland Lima**

Outi Myatt-Hirvonen, Special Adviser, Development Co-operation (participated via Skype from Finland)

Sanna Alaluusua, Assistant Co-ordinator for Development Co-operation

Gustavo Pflücker Benza, Co-ordinator, LCF Co-operation

**Partner organisations to Finnish NGOs**

**Centro de información y educación para la prevención del abuso de drogas (CEDRO) (partner with the Finnish Children and Youth Foundation - FCYF)**

Alejandro Vasilaqui, Executive Director

Regina Aguirre, Project Co-ordinator

Rosa Maria Ugarte Diaz, Co-ordinator

Susana Sandoval Huertas, Field Co-ordinator

Ana Maria Alonso Yabar, Field Co-ordinator

**Asociación Casa Panchita (partner with the Finnish Feminist Union)**

Blanca Figueroa, President

Sofia Moreanu Becilio; Co-ordinator of the Casa Panchita

Johana Reyes, Tesorera

ETVO volunteer

**World Vision Peru (partner with World Vision Finland)**

Saúl Calle Sierra, Programme Director

Dina Tineo Carbojal, Co-ordinator of the El Salvador programme

José L. Ochoa, Director of Sustainability

**LCF Grantees**

**Coordinadora nacional de derechos humanos**

Rocio Silva Santisteban, Executive Secretary

**Capital Humano Social (CHS) Alternativo**

Ricardo Valdés Cavassa, President

Alberto Arenas, Director

**Asociación civil transparencia**

Gerardo Távora Castilio, Secretary General

Karina Huaraca Bruno, Co-ordinator

**NGO Forum organisations**

**Asociación de centros**

Maria Josefina Huaman, Executive Secretary

**Comisión de derechos humanos (COMISEDH) (recipient of KIOS grants)**

Pablo Rojas, President

Carola Falconi, Executive Director

Miguel Huerta Barron, Director General

## ANNEX 3: DOCUMENTS CONSULTED

MFA *Sine datum Preventing Corruption: A Handbook of Anti-Corruption Techniques for Use in International Development Cooperation*. Ministry for Foreign Affairs of Finland, Helsinki, 76p. <http://formin.finland.fi/public/download.aspx?ID=12374&GUID={875D9DC0-A2FA-40CC-87A1-25B1CFCB3360}> (Consulted 18.12.2013).

MFA *Sine datum Fund for Local Co-operation: Guidelines*. Ministry for Foreign Affairs of Finland, Helsinki, 13 p.

MFA 2004 *Finland's Rural Development Strategy for International Development*. Ministry for Foreign Affairs of Finland, Erweko Painotuote Oy, Helsinki, 20p. <http://formin.finland.fi/Public/download.aspx?ID=12402&GUID={5B07F4E2-E8F2-47CC-809C-61A63816BD49}> (Consulted 18.12.2013).

MFA 2008 *Finland's Aid for Trade Action Plan 2008-2011*. Ministry for Foreign Affairs of Finland, Erweko Painotuote Oy, Helsinki, 22 p. <http://formin.finland.fi/public/download.aspx?ID=32859&GUID={6B942BAC-20CD-433A-BCC8-0C290889061C}> (Consulted 18.12.2013).

MFA 2009 *Finnish development policy guidelines for environment*. Ministry for Foreign Affairs of Finland, Erweko Painotuote Oy, Helsinki, 28p. <http://formin.finland.fi/public/download.aspx?ID=49494&GUID={0642A6F1-77EC-4C02-A004-353DEAA53ED1}> (Consulted 18.12.2013).

MFA 2011 *Finland's Development Co-operation Annual Report 2010*. Ministry for Foreign Affairs of Finland, Helsinki, 16p. <http://formin.finland.fi/public/download.aspx?ID=79042&GUID={8C33442F-3CF4-4F46-83A3-83DC841A1B67}> (Consulted 18.12.2013).

MFA 2012 *Anti-Corruption Handbook for Development Practitioners*. Ministry for Foreign Affairs of Finland, Department for Development Policy, Erweko Oy, 2012, 214p. ISBN: 978-952-281-026-7.

MFA 2013 *Country Strategy for Development Cooperation with Mozambique (2013-2016)*. Ministry for Foreign Affairs of Finland, Helsinki, 25 p. <http://formin.finland.fi/public/download.aspx?ID=112593&GUID={DB8BDE09-743F-4179-9514-1FF88E-3708DA}> (Consulted 18.12.2013).

MFA 2013 *Country Strategy for Development Cooperation with Tanzania (2013-2016)*. Ministry for Foreign Affairs of Finland, Helsinki, 28 p. <http://formin.finland.fi/public/download.aspx?ID=112571&GUID={658D36DD-4D19-459B-B655-8B4FED514210}> (Consulted 18.12.2013).

MFA 2013 *Country Strategy for Development Cooperation with Zambia (2013-2016)*. Ministry for Foreign Affairs of Finland, Helsinki, 25 p. <http://formin.finland.fi/public/download.aspx?ID=112570&GUID={76360BE4-EB2C-4C44-B761-F002B721754A}> (Consulted 18.12.2013).

MFA 2013 *Country Strategy for Development Cooperation with Ethiopia (2013-2016)*. Ministry for Foreign Affairs of Finland, Helsinki, 26 p. <http://formin.finland.fi/public/download.aspx?ID=112584&GUID={094D8C86-E5EA-4B24-BBC2-D7F981D-58A3B}> (Consulted 18.12.2013).

MFA 2013 *Country Strategy for Development Cooperation with Kenya (2013-2016)*. Ministry for Foreign Affairs of Finland, Helsinki, 26 p. <http://formin.finland.fi/public/download.aspx?ID=112588&GUID={68E192DD-3E91-4525-8105-AE6D32EA2D4B}> (Consulted 18.12.2013).

MFA 2013 *Country Strategy for Development Cooperation with Nepal (2013-2016)*. Ministry for Foreign Affairs of Finland, Helsinki, 30 p. <http://formin.finland.fi/public/download.aspx?ID=112594&GUID={D13F0081-6826-4B4F-AEAB-F2E771185004}> (Consulted 18.12.2013).

MFA 2013 *Country Strategy for Development Cooperation with Vietnam (2013-2016)*. Ministry for Foreign Affairs of Finland, Helsinki, 28 p. <http://formin.finland.fi/public/download.aspx?ID=112572&GUID={8C86BEAD-73A5-45F5-A5BA-77A2F6ED1BCF}> (Consulted 18.12.2013).

Finnish Embassy Kathmandu, Meeting Memo, 30.11.2012: Matti Lahtinen's (MFA NGO Unit, KEO-30) feedback meeting of Nepal's visit 27.11.2012. An unofficial translation from Finnish to English.

MFA NGO Unit (KEO-30), 11 02 2013: *Travel Report Kenya 19-30th November 2012*. An unofficial translation from Finnish to English from the original Finnish document. [Ylitarkastaja Petri Hautaniemi hankaseurantamatka Etelä-Sudaniin ja Keniaan 1.3.-14.3.2013, Raportti 05.04.2013, HEL7M0230-4, 6 p.].

**NGO/CSO Programme/project documents**, covering the activities of sampled Finnish NGOs and their local partners in the following selected, ongoing or recently completed, projects in the seven field study countries as well as the latest comprehensive reporting of the same projects (when applicable, of the latest previous project phase):

### **Ethiopia**

Abilis Foundation, partner Ethiopian Centre for Disability and Development (ECDD), "Project Grant Programme".

Fida International, partner Ethiopian Full Gospel Believers' Church Development Wing: "Bethlehem Family Development Project (BFDP), Ethiopia, 2011-14".

### **Kenya**

Economic and Social Rights Centre, "Promoting People-Based Advocacy for Economic and Social Rights in Kenya" Project.

World Vision Finland, partner World Vision Kenya: "Meibeki Valley IPA".

### **Namibia**

Trade Union Solidarity Centre of Finland (SASK) and LaRRI – Project: "Cutting Edge Research on Labour and Development".

## **Peru**

Finnish Foundation for Children and Youth (FFCY), partner CEDRO: “Promotion of youth employment and life skills in Peru”.

Feminist Union, partner AGTR: “Promoting domestic work as a decent occupation for women (Casa Panchita)”.

SASK, partner Instituto de estudios sindacales (COSIMA)/CGTP: “Fortalecimiento de capacidades para el desarrollo de los servicios sindicales – Sector Manufactura”.

World Vision Finland, partner World Vision International, Peru: “1: Educational project, PEN, “El Salvador” Educational Project – Villa Maria del triunfo and Villa el Salvador Districts, Lima; 2: PEN 2: 6-11 years; 3: ADP (teenagers); 4: Health and Nutrition; 5:(SAAM) 2008-12 Administrative Services and Support to “the Ministry” (ADP El Salvador)”.

## **Ecuador**

Secretaría Técnica de Co-operación Internacional (SETECI), Ecuador: “Informe de actividades ONG extranjeras 2010”, 2011.

FFCY, partner Fundación Esquel: “Development of rural schools and communities with solar energy in Ecuador”.

Nuevo Mundo, partner Fundación de Organizaciones Campesinas de Salinas (FURNORSAL): « Escuela de Formación Empresarial de Salinas “Antonio Polo”.

Plan Finland, partner Plan Internacional Ecuador: “Protección de niñas, niños y adolescentes frente a la violencia y el abuso sexual”.

SASK, partner Internacional de Servicios Públicos-Oficina para los Países Andinos, Comité Nacional de co-ordinación Ecuador: “Unidad y Propuesta del Sindicalismo Público en torno al nuevo Estado Ecuatoriano”.

Finnish Federation of the Visually Impaired, FFVI, partner Federación Nacional de Ciegos del Ecuador FENCE/ Ecuadorin Sokeainliitto FENCE: “Desarrollo Cultural, Social, Económico y Equiparación de Derechos de las Personas con Discapacidad Visual de la República del Ecuador-DECSEDIV, ampliación, 4ta etapa”.

## **Lao PDR**

Fida, partner The Provincial Education Department: “High Schools’ Development Program in Savannakhet Province”.

Frikyrklig Samverkan, partner The Provincial Education Department: “Development of Quest College, Vientiane”.

Plan Finland, partner Plan Lao PDR: “Basic Education and Child Protection Programme”.

## Nepal

Fida, partner Rescue Nepal: “Holistic Community Development Programme”.

SASK, partner General Federation of Nepalese Trade Unions (GEFONT): “Strengthening the Trade Union Movement in Nepal (TV programme)”.

Save the Children (StC) Finland/StC in Nepal and Bhutan (SCiNB) Managing Member: Norway: “Creating a Protective Environment for Children in Sindhupalchowk”.

Save the Children in Nepal, Supported by Save the Children Finland:

- “Child Sensitive Social Protection (CSSP) in Nepal”, and
- “Safer Schools and Communities through Child-Centred Disaster Risk Reduction (CCDRR) Initiatives in Nepal”.

Suomen Latu and partner in Nepal, Environment & Tourism Initiative Foundation (NETIF): “Nepal Tourism, Outdoor and Environment Development Project (NTOEDP)”.



## ANNEX 4: NGO SURVEY ANALYSIS

### Methodological note

As a part of the NGO case evaluation, two web-based surveys were carried out to gather quantitative and qualitative information from Finnish NGOs that work in the development sector. The surveys were addressed to: 1) a small sample of 21 NGOs that were selected to represent partnership NGOs, small NGOs, Kepa and the Foundations; 2) a larger sample of the remaining 134 NGOs that currently operate co-operation projects, according to the MFA website. The surveys were designed to allow an insight into the complementarity-relevant NGO background and into the knowledge and attitudes of the NGOs on different aspects of complementarity.

The surveys represent one source of data collected and analysed for the purpose of the evaluation, and this data was further triangulated and analysed with information from other sources. The overall evaluation methodology is discussed in the main report, where also findings and evidence from other sources are presented and analysed, while this Annex solely presents the results of the surveys.

Table A. 1 provides an overview of the number of NGOs that were addressed for each survey, as well as the number of responses that were received.

**Table A. 1:** Survey responses – overview.

	Number of NGOs contacted	Number of answers received	Response rate
Survey 1 (Non-partner NGOs)	134	47	35%
Survey 2 (Sampled NGOs)	21	14	67%

### General

Table A. 2 shows the source of funding of the NGOs' international development co-operation activities. Responses showed that 43% of the sampled NGOs, as well as 55% of the non-partner NGOs, specify that, apart from the required own contribution, their international development co-operation is entirely funded by the Finnish Ministry for Foreign Affairs (MFA). Half of the sampled NGOs and more than one-third of non-partner NGOs stated that the major part of their international development budget comes from the MFA. Furthermore, 55% of the responding non-partner NGOs said that they have dedicated staff for international development co-operation, which represented a main activity in 46% of non-partner organisations.

**Table A. 2:** Extent to which your international development co-operation is funded by the Finnish Ministry for Foreign Affairs.

	Sampled NGOs		Non-partner NGOs	
	Number of organisations (n=14)	Share of organisations	Number of organisations (n=47)	Share of organisations
All except own contribution	6	43%	26	55%
The major part	7	50%	17	36%
A minor part	1	7%	4	9%

**Table A. 3:** In your NGO, is international development co-operation a main or side activity? (Non-partner NGOs).

	Non-partner NGOs	
	Number of organisations (n=46)	Share of organisations
Main activity	21	46%
Side activity	25	54%

**Table A. 4:** Do you have dedicated staff who mainly work with international development co-operation? (Non-partner NGOs).

	Non-partner NGOs	
	Number of organisations (n=47)	Share of organisations
Yes	26	55%
No	21	45%

## Co-operation in Finnish long-term partner countries

The majority of NGOs indicated that there were mechanisms for co-ordination with Finnish embassies (92% for sampled NGOs, and 63% for non-partner NGOs), and there were practices promoting complementarity with other Finnish ODA (73% of sampled NGOs). However, there seems to be less co-ordination in place with local CSOs supported by LCF (27% for sampled NGOs, 12% for non-partner NGOs).

**Table A. 5:** Are there mechanisms for co-ordination and/or information sharing between your NGO and Finnish embassies?

	Sampled NGOs		Non-partner NGOs	
	Number of organisations (n=12)	Share of organisations	Number of organisations (n=41)	Share of organisations
Yes	11	92%	26	63%
No	1	8%	15	37%

**Table A. 6:** Are there other procedures or practices that promote complementarity between your activities and official Finnish development co-operation? (Sampled NGOs).

	Sampled NGOs	
	Nr. of organisations (n=11)	Share of organisations
Yes	8	73%
No	3	27%

**Table A. 7:** Do you have examples of your projects being complementary to Finnish official development co-operation in specific sectors through advocacy or by mobilising civil society, such as in users' committees? (Sampled NGOs).

	Sampled NGOs	
	Number of organisations (n=11)	Share of organisations
Yes	7	64%
No	4	36%

**Table A. 8:** Are there examples of your activities being co-ordinated with activities of local civil society organisations that are funded by the Finnish embassies (Local Co-operation Funding)?

	Sampled NGOs		Non-partner NGOs	
	Number of organisations (n=11)	Share of organisations	Number of organisations (n=)	Share of organisations
Yes	3	27%	5	12%
No	8	73%	36	88%

The majority of the sampled NGOs (75%) also indicated previous involvement in the preparation of Finnish country programmes, and 67% indicated existing synergies with other Finnish-supported projects in the partner countries.

**Table A. 9:** Has your organisation ever been involved or consulted in the preparation of Finnish country development programmes (in countries where you have implemented projects or where you have many years of presence)? (Sampled NGOs).

	Sampled NGOs	
	Number of organisations (n=12)	Share of organisations
Yes	9	75%
No	3	25%

**Table A. 10:** In designing projects to be funded by Finland, do you consider the need to ensure synergy with other Finnish-supported projects in the partner countries? (Sampled NGOs).

	Sampled NGOs	
	Number of organisations (n=12)	Share of organisations
Yes	8	67%
No	4	33%

## Relations with partner civil society organisations (CSOs) and government

The relations with civil society organisation and the government of the partner countries were generally perceived as positive: While 10 out of the 14 responding sampled NGOs said they make efforts to align their Finnish-funded projects to the development policies and priorities of the government, all of them said they make similar efforts towards the development objectives of local CSOs. Also, non-partner NGOs confirmed that they make efforts to ensure alignment between their projects and the development plans of the local countries' governments.

**Table A. 11:** In the design and implementation of your Finnish-funded projects, do you make efforts to align them to the development policies and priorities of the governments in partner countries? (Sampled NGOs).

	Sampled NGOs	
	Number of organisations (n=14)	Share of organisations
Yes	10	71%
No	4	29%

**Table A. 12:** In the design and implementation of your Finnish-funded projects, do you make efforts to align them to the development objectives of local CSOs in partner countries? (Sampled NGOs).

	Sampled NGOs	
	Number of organisations (n=14)	Share of organisations
Yes	14	100%
No	0	0%

**Table A. 13:** Do you ensure that your projects are in line with the development plans of the government in the countries in which you are working? (Non-partner NGOs).

	Non-partner NGOs	
	Number of organisations (n=46)	Share of organisations
Yes	43	94%
No	3	7%

## Relations with other Finnish NGOs working in same countries or sectors

There was ongoing co-ordination between NGOs both on the global and country levels, indicated by about two-thirds of sampled NGOs as well as non-partner NGOs.

**Table A. 14:** Do you co-ordinate your activities with other Finnish NGOs, working in same countries or sectors, on the global level (at the headquarters in Finland)? (Sampled NGOs)  
Do you co-ordinate your activities on the global level (at the headquarters in Finland)? (Non-partner NGOs).

	Sampled NGOs		Non-partner NGOs	
	Number of organisations (n=13)	Share of organisations	Number of organisations (n=46)	Share of organisations
Yes	9	64%	27	60%
No	5	36%	18	40%

**Table A. 15:** Do you co-operate with other Finnish NGOs at the country level? (Sampled NGOs)  
Do you co-ordinate activities at the country level? (Non-partner NGOs).

	Sampled NGOs		Non-partner NGOs	
	Number of organisations (n=13)	Share of organisations	Number of organisations (n=46)	Share of organisations
Yes	11	79%	28	62%
No	3	21%	17	38%

**Table A. 16:** Do you co-operate in supporting same activities? (Non-partner NGOs).

	Non-partner NGOs	
	Number of organisations (n=44)	Share of organisations
Yes	21	48%
No	23	52%

## Relations with Finnish-funded international NGOs (INGOs) working in same countries or sectors

Only about one-third of sampled NGOs indicated co-ordination of activities from the central NGO level. The same was true for co-ordination at country level with other Finnish NGOs/INGOs working in the same sector.

**Table A. 17:** Is the planning of your support co-ordinated at the central NGO/INGO level? (Sampled NGOs).

	Sampled NGOs	
	Number. of organisations (n=14)	Share of organisations
Yes	5	36%
No	9	64%

**Table A. 18:** Are there mechanisms at country level to co-ordinate and/or share information between you and Finnish-funded INGOs working in same sectors? (Sampled NGOs).

	Sampled NGOs	
	Number of organisations (n=14)	Share of organisations
Yes	5	36%
No	9	64%

## Cross-cutting objectives in Finnish development co-operation

Explicit monitoring of cross-cutting objectives in project implementation was used by 69% of the sampled NGOs and 57% of non-partner NGOs. The latter almost unanimously (98%) confirmed addressing cross-cutting objectives in project documents.

**Table A. 19:** Do you use specific indicators for monitoring how cross-cutting objectives are accommodated in project implementation?

	Sampled NGOs		Non-partner NGOs	
	Number of organisations (n=13)	Share of organisations	Number of organisations (n=46)	Share of organisations
Yes	9	69%	26	57%
No	4	31%	20	44%

**Table A. 20:** Do you normally address the above cross-cutting objectives in project documents? (Non-partner NGOs).

	Non-partner NGOs	
	Number of organisations (n=47)	Share of organisations
Yes	46	98%
No	1	2%

## Added value

When asked about the added value of NGO support in Finnish development co-operation, 13 out of the 14 responding sampled NGOs suggested a more suitable approach to human rights issues. About half of the respondents also mentioned cross-cutting objectives (50%) and larger populations and more geographic areas in general (43%) as being more easily approachable through NGO support.

**Table A. 21:** Based on your experience, which are the major added value elements of NGO support compared to other Finnish development co-operation? (Multiple answers possible) (Sampled NGOs).

	Sampled NGOs	
	Number of organisations (n=14)	Share of organisations
It is more suitable to address sensitive human rights issues.	13	93%
It is more suitable to promote other cross-cutting objectives.	7	50%
It is more suitable to reach out to larger populations and more geographic areas.	6	43%
NGO co-operation does not have specific value added compared to other development co-operation instruments.	0	0%
Others	9	64%

*Other comments (Sampled NGOs):*

*FFVI is a DPO having a long experience in the field of visual impairments.*

*It is cheaper.*

*NGOs can work in the areas where official government is not accepted.*

*Strengthening of CSOs and democracy.*

*The space you have provided is too short.*

*Advocacy, awareness raising in youth work very good tool.*

*Special knowledge and motivation in some areas. A lot of passion.*

*Cultural understanding, works on practical levels, builds the civil society that is the only source of sustained development.*

## Possible new ways to increase complementarity

An overwhelming majority of the sampled NGOs (92%) connected improved complementarity with greater efficiency of development co-operation.

Both the sampled and non-partner NGOs seemed to be open to increased complementarity between NGO co-operation and other Finnish co-operation instruments, and the majority pointed to potential benefits that could result from increased complementarity.



**Table A. 22:** Does increased complementarity between Finnish NGO support and other Finnish support lead to improved efficiency of the overall Finnish development co-operation? (Sampled NGOs).

	Sampled NGOs	
	Number of organisations (n=12)	Share of organisations
Yes	11	92%
No	1	8%

**Table A. 23:** Do you see any contradiction between your objectives and increased complementarity between NGO co-operation and other Finnish co-operation instruments?

	Sampled NGOs		Non-partner NGOs	
	Number of organisations (n=)	Share of organisations	Number of organisations (n=43)	Share of organisations
Yes	4	29%	8	19%
No	10	71%	35	81%

**Table A. 24:** Do you think that increased complementarity between Finnish NGO support and other Finnish co-operation in the long-term partner countries could strengthen the linkage between co-operation on the state level and at the level of the citizens? (Sampled NGOs).

	Sampled NGOs	
	Number of organisations (n=)	Share of organisations
Yes	10	83%
No	2	17%

**Table A. 25:** Would you find it beneficial for your support that you participate in country programming negotiations between the Finnish Embassy and partner countries? (Sampled NGOs).

	Sampled NGOs	
	Number. of organisations (n=)	Share of organisations
Yes	10	77%
No	3	23%

Almost two-thirds of the responding non-partner NGOs said that increased complementarity would not influence the choice of countries in which they are working, while 35% confirmed a possible influence. When asked about potential consequences

for their administrative set-up and transaction costs, only a minority of the sampled NGOs (15%) recognised this possibility. In contrast, 43% of the responding non-partner NGOs perceived that consequences in this regard are possible.

**Table A. 26:** Do you think that such increased complementarity would influence the choice of countries in which you will be working? (Non-partner NGOs).

	Non-partner NGOs	
	Number of organisations (n=)	Share of organisations
Yes	16	35%
No	30	65%

**Table A. 27:** Do you think that strengthened complementarity between NGOs and other Finnish-funded support would have consequences for your administrative set-up and transaction costs? (Sampled NGOs).

	Sampled NGOs	
	Number of organisations (n=)	Share of organisations
Yes	2	15%
No	11	85%

**Table A. 28:** Do you think that increased complementarity between you and other actors would have consequences for your present administrative set-up and transaction costs? (Non-partner NGOs).

	Non-partner NGOs	
	Number of organisations (n=)	Share of organisations
Yes	19	43%
No	25	57%

## ANNEX 5: FIELD STUDY INTERVIEW GUIDES

(Semi-structured, generic, to be adapted to each of the countries/NGO projects)

### Finnish Embassy staff

1. Please describe your overall relations with Finnish development NGOs (Partnership NGOs and others), Foundations (Abilis, KIOS and Siemenpuu) and Finnish funded international NGOs (INGOs) that operate in countries covered by the Embassy.
2. To what extent and how do Finnish development NGOs contribute to the planning and programming of Finnish bilateral cooperation in (the country)?
3. To what extent and how are the cross-cutting objectives of Finnish development cooperation accommodated by the abovementioned Finnish NGOs and Finnish funded international NGOs?
  - a. Is the technical expertise of the above Foundations being used by the Embassy, incl. in relation to the monitoring of the implementation of the cross-cutting objectives of Finnish development cooperation?
4. How much and in which ways do you think that the activities of the Finnish development NGOs, Foundations, Finnish funded INGOs and Local Cooperation Funding (LCF) grantee local CSOs are complementary to each other?
  - a. How does the Embassy try to ensure such complementarity between the NGO-instruments?
5. Do you find that complementarity exists between the Finnish funded NGO cooperation and other relevant actors, such as multilateral organisation or the private sector?
6. Regarding the Finnish humanitarian NGOs (Finn Church Aid, Fida and the Finnish Red Cross), do you find that complementarity exists (as applicable in the country):
  - a. Between their humanitarian interventions) and their development projects?
  - b. Between these NGOs and other Finnish development cooperation?
7. How does the Embassy decide:
  - a. Whether to use the LCF instrument?
  - b. The granting criteria?
  - c. The distribution of grants between the countries covered by the Embassy (where applicable)?
  - d. How to administer the LCF grants?
8. How does the Embassy try to ensure complementarity between LCF and the other NGO instruments (as well as with the IKI instrument)?
9. How do you think that vertical/citizens complementarity (within same sectors) between Finnish bilateral cooperation and NGO cooperation could be strengthened?

10. How do you think that horizontal complementarity between Finnish bilateral cooperation and NGO cooperation could be strengthened?
11. Should Finnish NGOs participate systematically in country programming and in negotiations with the Government? If so, which ones and how could they be selected?
12. What would increased complementarity imply in terms of:
  - a. Embassy workload?
  - b. The relations of the Embassy with MFA HQ units?

## **Government officials**

### **Counterpart ministries for development cooperation with Finland**

1. How do you assess the role and importance of the development cooperation with
  - a. Finnish development NGOs?
  - b. Finnish funded international NGOs?
  - c. Finnish funded local CSOs?
2. In which ways do you think that this NGO cooperation complements the cooperation of the Government (of...) with the Finnish Government?
3. What is your opinion about Finnish NGOs possibly participating in the negotiations related to the planning and programming of the cooperation between the Government and the Finnish Government?

### **Units in charge of NGOs and NGO cooperation**

1. What is your overall assessment of the CSO role and contribution to the development of (the country)?
2. How do you assess the work conditions of the CSO community in (the country) and of its possibilities for influencing the direction of development?
3. How do you assess the overall role and contribution of foreign and international NGOs in relation to:
  - a. The national CSO community?
  - b. International development cooperation?
4. How do you assess the role and importance of the development cooperation with
  - a. Finnish development NGOs?
  - b. Finnish funded international NGOs?
  - c. Finnish funded local CSOs

### **Finnish NGOs and their local CSO partners**

1. Please describe your relations (if any) with:
  - a. The Finnish Embassy covering (your country)
  - b. Other Finnish development NGOs that have cooperation activities in (your country)
  - c. Finnish funded international NGOs with cooperation in (your country)
  - d. Civil society organisations (CSOs) that have received grants from the Finnish Embassy covering (your country)

- e. The three Finnish Foundations (Abilis: disability, KIOS: human rights and Siemenpuu: the environment), or
  - f. CSOs that have received grants from these Foundations.
  - g. The three Finnish humanitarian NGOs (Finn Church Aid, Fida and the Finnish Red Cross)
  - h. The national CSO community, such as through CSO forums, in (your country)
  - i. Finnish institutions (IKI) in (your country)
2. How do you implement and monitor the cross-cutting objectives of Finnish development cooperation in (your project)?
  3. Have you contributed to the Embassy's planning and programming of Finnish bilateral cooperation with (your country)?
  4. Have you, through (your project), been cooperating with other (Finnish, international or local actors), such as UN-organisations, other NGOs or the private sector?
  5. In which ways (if any) do you think that (your project) is complementary with Finnish bilateral cooperation (your country, where applicable)?
  6. In which ways (if any) do you think that the complementarity of (your project) with the cooperation of other Finnish funded NGOs in (your country, where applicable) could, or should, be strengthened?
  7. In which ways (if any) do you think that the complementarity of (your project) with Finnish bilateral cooperation (your country, where applicable) could or should, be strengthened?
    - a. In the same sector?
    - b. In relation to other sectors or other actors?
  8. (Partner NGOs): What is your opinion about (your NGO) possibly participating in the negotiations related to the planning and programming of the cooperation of your Government with the Finnish Government?
  9. Do you see such increased complementarity as something that you would benefit from, or as something that would make your life more difficult?

### **Local LCF grantees**

1. Is (the grant project) the first time that you have received support from the Finnish Embassy?
  - a. If not, how often and when have you received such support?
  - b. How much support did you receive earlier and for what purpose?
2. From which other sources (if any) have you received support:
  - a. Other international donors?
  - b. The private sector?
3. What has been the importance of the Finnish grant for your work?
4. Please describe your relations (if any) with:
  - a. The Finnish Embassy covering (your country), including:
    - i. Visits from the Embassy?
    - ii. Participation in meetings at the Embassy?
  - b. Other CSOs that have received grants from the Finnish Embassy

- c. Finnish development NGOs that have cooperation activities in (your country)
  - d. Finnish funded international NGOs with cooperation in (your country)
  - e. The three Finnish Foundations (Abilis: disability, KIOS: human rights and Siemenpuu: the environment), or
  - f. CSOs that have received grants from these Foundations.
  - g. Finnish institutions (IKI) in (your country)
5. Do you have any suggestions as to how your activities could become more coherent with other Finnish development cooperation in (your country)?

### **Local CSO Forums**

1. Please describe (the Forum) and its objectives in relation to cooperation with foreign NGOs?
2. Please provide your assessment of the work conditions of the CSO community in (country) and of its possibilities for influencing the direction of development.
3. Do you know if any Finnish NGOs, Foundations or Finnish funded international NGOs participate in the activities of your Forum?
  - a. If so, which ones?
  - b. In which ways?
4. What is your assessment of the role of Finnish NGOs or Foundations in relation to:
  - a. Their local CSO partners?
  - b. The national CSO community?
5. What is your assessment of the role (if any) of Finnish bilateral development cooperation in relation to the CSO community?
  - a. Incl. the CSA grants that it provides?
6. Do you have any suggestions as to how Finnish NGOs could strengthen their role in relation to you?
7. Do you have any suggestions as to how Finnish bilateral development could strengthen its role in relation to you?

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