



WORKING PAPER DECEMBER 2017

**ANALYTICAL FRAMEWORK FOR PORTFOLIO ANALYSES OF
SWEDISH DEVELOPMENT COOPERATION**

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Analytical framework for portfolio analyses of Swedish development cooperation

EBA Working Paper

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December 2017

Underlagsrapport 2017
till
Expertgruppen för Biståndsanalys (EBA)

The Expert Group for Aid Studies – EBA – is a Government committee analysing and evaluating Swedish international development aid. This report can be downloaded free of charge at www.eba.se

Please refer to the present paper as:

Nilsson, Annika and Lindgren Garcia, Johanna (2017), *Analytical framework for portfolio analyses of Swedish development cooperation*, EBA Working Paper, December 2017, Expert Group for Aid Studies, Sweden.

Cover design by Julia Demchenko

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Abbreviations and acronyms

A	Advocacy
AE	Aid Effectiveness
BISI	Sida's Statistical aggregation tool
CD	Capacity Development
CPAN	Chronic Poverty Advisory Network
CRS	Creditor Reporting System
CSO	Civil Society Organisation
DAA	Distributed Agreed Amount
DOX	Sida's contribution archive system
EBA	Expertgruppen för Biståndsanalys (Expert Group for Aid Studies)
Ekoadm	Sida department for Economic Administration
EU	European Union
GBS	General Budget Support
GF/SP	Gap Filling/Service Provision
HRBA	Human Rights Based Approach
IATI	International Aid Transparency Initiative
ID	Identification
II	Infrastructure Investments
IO	International Organisation
KD	Knowledge Development
LGBTQ	Lesbian, Gay, Bisexual, Transsexual and Queer
NGO	Non-governmental Organisation
OECD DAC	Organisation for Economic Cooperation and Development – Development Assistance Committee
OECD DAC CRS	OECD DAC Creditor Reporting System
ODI	Overseas Development Institute
Palasso	Sida's human resources and salary system
PLANit	Sida's statistical planning and monitoring system, replaced PLUS from mid-2016
PLUS	Sida's former statistical, budget and planning system
PLWHA	People Living With HIV/Aids
Sida	Swedish International Development Cooperation Agency
TRAC	Sida's electronic management system
U4BW	Sida's financial reporting system (Agresso)
UN	United Nations

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1. Background, aim and scope

This assignment is based on an expressed need at The Expert Group for Aid Studies (EBA) to supplement its research reports with portfolio analyses that describe what Swedish development cooperation does in a specific country or sector. In addition, there is a need to analyse what Sweden is doing in terms of non-discrimination, as part of a dialogue around the study “Do Anti- Discrimination Measures Reduce Poverty Among Marginalised Social Groups?” by Rachel Marcus, Anna Mdee and Ella Page, (EBA 2017:02).

The assignment therefore has three main parts:

1. To develop a generic model for portfolio analyses of Swedish bilateral development cooperation, which can be easily replicated across countries and sectors.
2. To conduct a portfolio analysis of two countries based on the generic model. Mozambique and Palestine were chosen, as they represent two different country categories in terms of Swedish international development cooperation.
3. To analyse and describe the non-discrimination measures that have been part of bilateral development cooperation in Palestine and Mozambique.

The report is structured as follows:

- Chapter 2 provides an outline of the analytical framework:
 - o Overview of available data sources: Where do we find the data needed for a generic portfolio analysis? What is available and accessible? Justification for choices of data sources.
 - o The model: What aspects of development cooperation are relevant to include in a generic portfolio analysis that respond to the needs of EBA’s research studies? This report also includes a section on how to identify and analyse non-discrimination measures, however this is additional and not a core component of the generic model.
 - o The method: How can we collate and analyse data to cover all aspects required for the generic portfolio analysis? A step-by-step approach is described.
- Challenges and lessons learnt are addressed in chapter 3.
- The Palestine portfolio analysis (Annex 1)
- The Mozambique portfolio analysis (Annex 2)

2. Outline of the analytical framework

2.1 Overview of available data sources

Before starting the development of the portfolio analysis model, a synthesis over available data sources was made. The figure below provides a very basic overview of the various data sources that are available on Swedish international development cooperation. A portfolio analysis has to rely on these sources. An important distinction to be made here is that the data sources in the triangle in Figure 1 below are internal to Sida and therefore only capture the bilateral development cooperation funds and contributions that fall under the mandate of Sida. The data sources that are listed in the rectangle in the figure are open and/or published data sources that include development cooperation from all Swedish authorities and civil society partners. The data from Sida's internal systems feeds into the published data in Openaid and the Organisation for Economic Cooperation and Development – Development Assistance Committee Creditor Reporting System (OECD DAC/CRS) data.

The civil society organisation (CSO) database is a platform that presents development cooperation statistics of the Swedish civil society framework organisations. Here it is important to note that CSOs can receive Swedish funding through four main channels:

- Through the Strategy for support to Swedish CSOs.
- Through the strategy for humanitarian assistance.
- Through direct support from the Embassies of Sweden in line with the respective country strategies.
- Through the strategy for information and communication.

The CSO database does not present all of the CSO contributions. Only the contributions that fall under the CSO strategy and information and communication strategy are included in the database. Funding that CSOs receive through Sida's humanitarian assistance strategy or from other departments at Sida is not included nor is the direct support they receive from the Embassies.

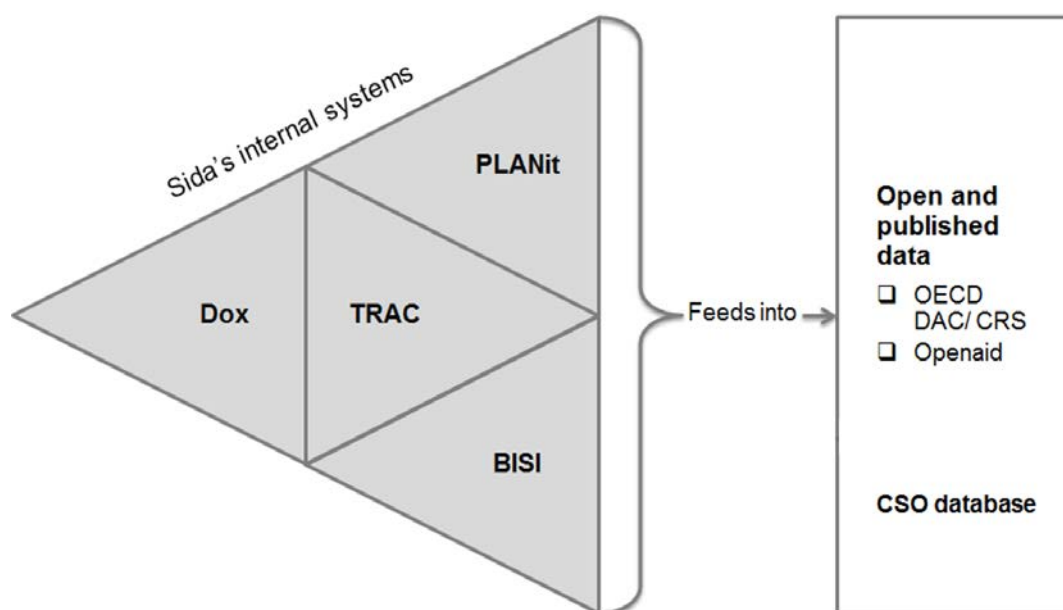


Figure 1: Data sources

A brief description of the data systems presented in Figure 1 follows:

Contribution management system ('TRAC'): Sida has an electronic management system, TRAC, designed to support Programme Officers, Controllers, Programme Administrators and Directors in their work with contribution management – from planning, appraising, monitoring, to completing a contribution. It is an online tool allowing users to generate mandatory contribution reports throughout the project cycle. It builds on a set of questions to Sida staff including cross cutting priorities on poor people's perspective; human rights based approach (HRBA), gender equality perspective, conflict perspective and climate and environment perspective.

Planning system and statistics ('PLANit'): PLANit is Sida's statistical planning and monitoring system and replaced the previous system PLUS as of mid-2016. Detailed information about each contribution is entered in PLANit, using the classification and coding system outlined in the Sida Statistical Handbook. This information is automatically transferred to TRAC. A contribution description (or 'Abstract') can be entered in both systems. This same contribution description is also published on Openaid. The description is not published if the contribution has been marked with "risk of secrecy" in PLANit. For these contributions, information has to be solicited from the background documents in TRAC or from the responsible Sida desk officer. Contributions via Swedish framework organisations presented in PLANit do not represent "real contributions" but are generated by an automatic distribution key. Therefore they do not have descriptions, but merely state that it is a "frame" contribution. For Swedish contributions to CSO framework organisations the CSO database is a more accurate source (see description below).

Statistical aggregation tool ('BISI'): BISI is a tool used to combine information from Sida's different systems (TRAC, PLANit, and the financial systems) into reports. It is Sida's main tool for analysis and is intended for use by all categories of staff involved in the planning, execution and follow-up of strategies. The reports cut the data from different angles and with different focuses to satisfy various needs and demands. BISI is also used to publish information on Openaid (www.openaid.com). BISI could possibly be developed to perform more complex portfolio analyses in the future, although Sida is not currently planning this.

Contribution archive ('Dox'): Dox is Sida's contribution archive system. Dox is linked to TRAC. All documents that have been archived are available from TRAC and can be accessed under each contribution case number.

Openaid: Openaid.se is a web-based information service about Swedish aid built on open government data. This site shows information on when, how, to whom and for what purposes Swedish development cooperation has been disbursed. The data on Openaid are open data, uploaded by Sida using selected filters to secure sensitive information or statistics. Openaid is updated with new data regularly, but not automatically.

OECD DAC CRS data: Sweden has a commitment to report on Swedish development cooperation to the OECD DAC. Sida is responsible for collecting and compiling these data from all Swedish authorities with contributions and disbursements that fall under the official international development cooperation budget ('expenditure area 7: International development cooperation' and to a certain extent also 'expenditure area 5: International cooperation'). Sida's statistics department is in charge of quality assuring all statistics that are published. One of the reports requested from the OECD DAC is the Creditor Reporting System (CRS++) report. This CRS report consists of detailed information for each contribution at the component level. The data originates from Sida's planning system PLANit (see above) and from data collected from other government authorities with international development budgets. The data can only be accessed through the Sida statistics departments (statistics@sida.se). However, it is official data and can therefore be accessed quickly. As with Openaid, classified information is not published, but hidden under very general descriptions of partners and purposes. There are no abstracts or descriptions for these contributions and the original identification (ID) numbers have been removed and replaced by differently formatted ID numbers. To be able to categorise and code these contributions, the original ID number must be solicited from the Statistics department so that the contribution documents can be found in TRAC.

CSO database: The CSO database contains information on the contributions of Swedish framework civil society organizations engaged in developing countries with support from Sida's unit for support via civil society. Presently the support is channelled through 17 Swedish CSOs with framework agreements with Sida (<http://cso.sida.se/>).

2.1.1 Overview of strengths and weaknesses of available data systems and databases

In the tables below we list some strengths and weaknesses with the various systems in terms of their usefulness for producing information for portfolio analyses of Swedish development cooperation:¹

Table 1: OECD CRS data reported by Sida

+	-
<ul style="list-style-type: none"> + Quality controlled, published data. Does not need to be legally vetted before being shared. + Includes the new OECD policy markers. + Includes the project abstracts, and is the same as in PLANit. + Uses the International Aid Transparency Initiative (IATI) identifiers² and can therefore easily be compared with Openaid data for completeness. + Includes the entire Swedish development cooperation portfolio, not only Sida's. 	<ul style="list-style-type: none"> - It does not include information on Sida's strategies and responsible units – these need to be included manually and can be transferred from the Openaid database. - There is no accurate categorisation and coding of the Swedish framework organisation contributions. Such information must be sourced from the CSO database and adjusted and transferred manually. - Sida data from contributions marked as locked and hidden are not visible, making it impossible to categorise them accurately unless Sida staff helps to trace them back to the TRAC system and the original ID number. ID number formats are changed for such contributions in the CRS database.

¹ Dox is not included below since this is a document archive only and is therefore useful as a source for data verification but not as a source for project statistics.

² Sida aims to use the IATI system for all its reporting in the future.

Table 2: Openaid

+	-
<ul style="list-style-type: none"> + Quality controlled, published data. Does not need to be legally vetted before being shared. + Includes the new OECD policy markers. + Includes the project abstracts, and is the same as in PLANit. + Uses IATI identifiers and can therefore easily be compared with Openaid data for completeness. + Includes the entire Swedish development cooperation portfolio, not only Sida's. + Documents from Dox can be visible as long as they are not classified by Ekoadm. + Will be subject to improvements as the openaid project is migrated from information department to the statistics department. 	<ul style="list-style-type: none"> - Is not updated continuously, so there can be regular differences. - TRAC data from contributions marked as locked and hidden are not visible. - Certain data marked as classified in PLANit will not be visible. This is filtered by Ekoadm at Sida.

Table 3: BISI

+	-
<ul style="list-style-type: none"> + Analytical tool that aggregates information from Sida's various systems (Trac, PLANit, and the financial system). + All statistical and financial information from PLANit is shown in BISI. 	<ul style="list-style-type: none"> - Project abstracts are not included. - Full database cannot be accessed – so we cannot get a good overview table. - Not comparable with the CSO database since it only reports at the level of the framework partner. More detailed and accurate information is sourced from the CSO database as explained above. - Only includes data from Sida. - TRAC data marked as locked and hidden will not be shown in BISI. - No documents from Dox are visible.

Table 4: PLANit

+	-
<ul style="list-style-type: none">+ Includes all statistics related to Sida's contributions.+ Links easily to ID numbers in TRAC.+ Includes all Sida contributions, also most of the information related to sensitive or classified information.	<ul style="list-style-type: none">- There is no accurate categorisation and coding of the Swedish framework organisation contributions. Such information must be sourced from the CSO database and adjusted and transferred manually.- Does not include contributions from authorities and institutions outside Sida.- Information is not quality checked and needs to be vetted and cleared before being released.

Table 5: CSO Database

+	-
<ul style="list-style-type: none">+ Includes statistics related to the contributions of Swedish framework civil society organizations.+ Will soon be linked to IATI ID numbers which will allow for traceability.	<ul style="list-style-type: none">- Does not include contributions beyond the CSO framework agreement held with Sida.- Information is not quality checked which adds to a degree of uncertainty.- Contribution documents are not available in TRAC which means that documents can only be accessed by contacting each organisation. Information in the database is limited to that which is presented in the project abstracts – if this has been included.- Uneven quality, including a mix of Swedish and English.- Sida encourages framework organisations to use IATI system for reporting in future, so this database may soon be changed.

Based on an analysis of the pros and cons of these data sources, we propose that the following sources should be used for the portfolio analyses:³

- The OECD DAC CRS database published by Sida.
- The Openaid database.
- The CSO project database.
- TRAC.

These four in combination enable the categorisation and coding of the most pertinent aspects of bilateral Swedish aid. The statistical databases recommended are all public and contain short abstracts describing most of the contributions. The OECD DAC CRS Excel file is updated annually and is requested from Sida, while the other two can be downloaded from the Internet.⁴ For Sida's contributions, the TRAC system can be consulted to access more detailed information if the abstracts in the CRS Excel file do not provide sufficient information to be able to categorise and code the contribution. To access the TRAC system, a Sida laptop computer needs to be requested with a personal login password.⁵ It normally takes approximately five working days from the date of the request to get the computer and login.

The CSO database provides a more accurate and detailed picture of the Swedish framework organisations contributions than the information available in the general Sida databases, where the CSO support is recorded (thematically and geographically) according to a distribution key, which represent a substantial part of Sida's support (50% of all contributions and 10 % of the funding). Our assessment is that the additional effort of soliciting data from the CSO database is worthwhile in order to get the exact descriptions of contributions, rather than to use information based on a distribution key (and no abstracts) as is the case in the other Sida databases.

³ This study was carried out during a period of transition and reorganisation of Sida's statistical and documentation systems. This is an additional reason for the decision to take our point of departure in statistics that is produced and quality assured for external use (for OECD DAC and the public) and in the Swedish CSO database managed by the framework organisations. In the future there may be easier ways of making analyses by using the internal systems and search engines. There is an ongoing development of the IATI reporting system.

⁴ Openaid.se and CSO project database (<http://cso.sida.se/>).

⁵ Physical presence at Sida is required for the first login into the system. After this the computer can be used remotely.

2.2 The model

The generic portfolio analysis model should be able to answer the most fundamental questions related to Swedish bilateral development cooperation. Based on a dialogue with EBA, it was agreed that these questions are:

1. *How are the Swedish result strategies reflected in the bilateral development cooperation?* What do these strategies say and how are they translated into funding to various components of the portfolio? How much does Sweden contribute through other authorities than Sida?
2. *What are the main thematic areas (sectors or purposes)⁶ addressed or influenced?* What are the most common combinations in case there are many themes? What are the specific issues addressed under the broad thematic areas of “democracy, human rights & gender equality” and “sustainable society development”, which are receiving a large share of the Swedish development cooperation funding?
3. *What types of actors are responsible for the implementation of the contributions?* It is not only interesting to know if the implementer is a local or foreign/international actor, but also to know what kind of implementing agency that is responsible, e.g. CSO, government, private sector actor or multilateral agency.
4. *How is funding channelled (i.e. type of funding modality)?* The aid effectiveness agenda has promoted increased core funding towards budgets and strategic plans of local actors and increased joint donor funding schemes for programmes and organisations. It is therefore of interest to analyse to what extent this is happening and to what extent funding is still project-based.
5. *What are the main intervention methods used?* How is Sweden trying to influence the situation for the better? E.g. how much is invested in infrastructure and knowledge development, service delivery/gap filling, capacity development of various stakeholders, advocacy or in monitoring, evaluation and aid effectiveness? What are the most common combinations of methods, in case there are many?
6. *How are non-discrimination interventions supported?⁷* What marginalised groups are most commonly targeted or included? In what way is discrimination addressed by Sweden? In what thematic areas?

⁶ The OECD DAC statistics use “purpose codes” while the Sida internal statistics use “sub-sector codes” to categorise contributions. These codes are identical. However, when data is aggregated to broader themes or “sectors”, Sida’s internal system and OECD DAC use different models. In this report we use the terms ‘purpose’ and ‘thematic area’ interchangeable. We do not use the terms “sub-sector” or “sector” because Sida is trying to move away from this terminology.

⁷ The section on anti-discrimination is additional to the portfolio analysis and is not proposed as part of the generic model. For future consideration, a generic model that includes markers for all four principles of a

The model has dealt with these six questions as follows:

2.2.1 How are the Swedish result strategies reflected in the bilateral development cooperation?

The model analyses how much funding that is channelled through the respective strategies and via other sources. The most relevant for Swedish development cooperation are often the Country Results Strategies, which outline the expected results of the support provided through the respective Embassies. The Country Strategies also provide information about the overall justification for and direction of the Swedish contributions in a country. Substantial support is often provided also under the CSO strategy, the Strategy for Humanitarian Assistance through Sida, the Strategy for Special Contributions to Democracy and Freedom of Expression and the Research Cooperation Strategy – but there are also other strategies that may affect the work at country level. There are furthermore contributions that are made outside these development cooperation strategies by other government authorities and institutions. In countries where there are many contributors, coordination and synergies could be an important aspect.

2.2.2 Who are the implementing actors?

The model analyses how funding is channelled through various types of implementing partners. The analysis is based on the categories already defined and available in the CRS statistics, which are clustered as follows:

- United Nations (UN) agencies and other multilaterals.
- European Union agencies.
- Swedish and international non-governmental organisations (NGOs).
- Developing country NGOs.
- Recipient Governments.
- Universities/research institutions.
- Sida 'itself' (often related to aid effectiveness efforts).
- Others.

2.2.3 What are the main thematic areas being addressed or influenced?

The model analyses the main thematic areas addressed by the contributions. This information is included in the existing statistical systems in quite some detail, using the CRS purpose codes.⁸ These detailed purpose codes can be aggregated into clusters as

human rights based approach (not only non-discrimination) should be considered, as this is a core element in Swedish development cooperation. The Palestinian case study exemplifies that this can be done.

⁸ In Sida's internal statistical systems and in the CSO database these are called sub-sector codes.

required. The clustering is done differently by the Sida and the CRS systems. For example, Sida clusters many of its contributions under the theme Democracy, human rights and gender equality, which is a very large cluster that often represents a substantial share of the development cooperation budget. The CRS system has a similar cluster called Government and civil society, which also covers a wide range of sub-themes. Sustainable societal development is another large Sida cluster that provides little guidance on the actual sub-themes. There is no similar cluster in the CRS system.

Our analytical model has customised the clustering so that the CRS purpose codes are used as a basis and clustering is applied when a purpose code received less than 1% of the total funding in the country under review and when the division in sub-themes is not meaningful in the Swedish development cooperation context. Clustering is done to facilitate an easy understanding of the profile of the portfolio. Where relevant this report names these clusters according to the Sida terminology for its thematic areas (e.g. market development). Please refer to Annex 4 for details on how the clustering was done.

Furthermore, the existing CRS purpose coding does not allow for multiple purposes/thematic areas of a contribution,⁹ although some cross-cutting aspects are covered by the recently introduced policy markers (such as for gender equality).¹⁰ When studying the theories of change and results frameworks of contributions it was found that often the purpose is two-fold, and includes short-term and long-term objectives. The contributions quite often aim at enhancing capacity or awareness of various stakeholders such as government bodies, CSOs, citizen groups etc. *in order for them to be able to influence* e.g. access to quality education or health services, environmental degradation, access to markets, or the respect for human rights. This is a consequence of the application of a human rights based approach, which is a basis for Swedish development cooperation. This means that improvements are sought by strengthening the capacity of those responsible for respecting, protecting and fulfilling human rights (duty bearers) and through the empowerment of citizen groups and civil society organisations representing people (rights holders) who's rights to education, health, non-discrimination, freedom from torture, reasonable standard of living etc. are not respected. This is why it is

⁹ A development contribution can target several development policy objectives. To avoid double counting the CRS policy marker system analyses each development policy objective separately. The question is to what extent the contribution targets the specific policy objective. Policy markers are a standardized method to try and capture multiple objectives in the contribution.

¹⁰ The DAC CRS system includes the following policy markers: GG marker – gender equality; PD/GG marker – participatory development/good governance; RMNCH marker – contributions to reproductive, maternal, newborn and child health; TD marker – trade development; BTR marker – gearing cooperation to objectives of the Conventions on Biological Diversity (Rio marker); DES marker - gearing cooperation to objectives of the Convention to Combat Desertification (Rio marker); KLA – marker adaptation to climate change (Rio marker); KLM marker – reduction of greenhouse gases (Rio marker); UR marker-environmental protection and resource conservation.

important to trace the funding to the various result areas as far as possible. Sometime this can be read in the CRS abstracts, but in a handful of cases the information can only be retrieved by accessing TRAC.

The portfolio analysis model has attempted to capture such multiple purposes by adding additional markers¹¹ for certain aspects such as gender equality, human rights, democratic participation and civil society (rights holder empowerment), public sector development (duty bearer accountability) and for other purposes that often appear in tandem. Please refer to the master spreadsheets for Palestine and Mozambique on the EBA website (www.eba.se) for details on the additional markers introduced. This additional coding of markers requires an analysis of project abstracts and other documentation for each and every contribution. Furthermore, it was noted when studying these abstracts and documentation that the original CRS purpose coding is not completely reliable (neither in the Sida produced database nor in the CSO database). The method therefore included a complete review of all purpose codes. Changes were made to approximately 10 % of the original purpose codes.

2.2.4 How is funding channelled?

The model analyses how funding is channelled (funding mechanisms used). The analysis is based on the categories already defined and available in the CRS statistics and in the CSO database. They have been clustered as follows:

- Project funding (“insats” in the CSO database), which means that funding is directed towards a specific project.
- Programme support, which means that funding is provided to a larger programme of an organisation or agency, e.g. a country program or a thematic programme.
- Core support (“kärnstöd” alt. ”organisationsstöd”), which means that the support provided is not earmarked for specific projects or programmes but towards the overall strategic plan and running of the organisation or institution.
- Pooled/basket funding (i.e. using a joint donor funding mechanism).
- Technical assistance/donor country personnel.
- Scholarships.
- Administrative costs.

¹¹ OECD DAC’s policy markers are meant to allow for comparability across OECD member states in key policy areas. The additional markers that are proposed for the portfolio analyses of Swedish development cooperation target areas of specific interest from a Swedish perspective.

One challenge is that sometimes a combination of funding mechanisms is used, for example pool funding towards a programme. For clarity, the proposed model has accepted the coding used in the official statistical systems without going into such combinations of funding mechanisms.

2.2.5 What are the main intervention methods used?

A gap in existing statistics was identified, as nothing explicit was said in the available databases about the intervention methods used. How is Sweden trying to influence the situation for the better? The model has attempted to capture these aspects by analysing abstracts and other documentation for more information. Based on an analysis of a sample of contributions, the following main intervention methods were identified and used as a basis for the manual coding:

- *Advocacy (A)* i.e. trying to influence people of power by lobbying, monitoring and reporting of performance, demonstrating models of good practice, media, exposure of good and bad practices etc.
- *Capacity development (CD)*, i.e. enhancing the competency, capacity, motivation and awareness of key stakeholders in government and/or civil society through e.g. trainings, exchange, technical advice, conferences, mentoring, coaching.
- *Knowledge development/generation (KD)* i.e. research, evaluations (aiming at learning for partners to improve their work) and studies.
- *Infrastructure investments (II)* e.g. building schools, water and sanitation, electricity, roads.
- *Gap filling/Service provision (GF/SP)* i.e. budget support, cash transfers, provision of health, education services, culture & leisure services, humanitarian aid etc.
- *Aid effectiveness(AE)*; e.g. evaluations (aiming at learning for Sida [and other donors] to improve its work), audits, capacity development of donor agencies or grant making CSOs to enhance their effectiveness.
- *Other* – specify (loan guarantees, etc.).

Often contributions use a combination of methods. In our coding the primary method was mentioned first followed by secondary methods. The model therefore allows for the analysis of various combinations of methods. The analysis found that knowledge development often serves as a basis for advocacy. Service provision is sometimes combined with capacity development to enhance sustainability – or vice versa to enhance public support and involvement for a longer term systemic change programme.

2.2.6 How are non-discrimination interventions supported?

In order to contribute to the EBA report 2017:02 it was agreed that the portfolio analysis should also include and describe Swedish non-discrimination measures.

“Anti-discrimination measures are defined as laws specifying non-discrimination or positive discrimination, including international conventions and their translation into national law; programmes or policies that translate such laws into activities intended to reduce discrimination or to strengthen capacity among commonly discriminated groups (affirmative action); and public information, education or campaigns that seek to change negative perceptions of, or stigma against, specific social groups.” (Definition in EBA 2017:02)

Based on an analysis of the contribution abstracts and additional documentation (when needed), it was found that non-discrimination measures were manifested in two different ways in Swedish development cooperation:¹²

- *Non-discrimination is the main focus of the contribution* (e.g. support to capacity development of disabled peoples organisations, supporting women’s political participation through women’s organisations and political parties, support to advocacy for legal protection of groups, social services or cash transfers for the poorest households, vocational training for youth with disabilities, etc.).
- *Non-discrimination is an aspect or component of a broader initiative* (e.g. development of basic education services with special focus on girls or children with disabilities, cultural activities with special focus on inclusion of marginalised youth, rural development with special focus on women from marginalised ethnic or religious groups, etc.).

The model has thus used the following categories:

- Targeted (non-discrimination is the main focus of the contribution).
- Inclusive (non-discrimination is a component or important aspect of the contribution).
- Zero (none of the above).

The analysis uses the following definition to identify non-discrimination contributions: A project/programme that deliberately and explicitly states in the programme documents that it is focussing on or including a discriminated group, has deliberate and explicit

¹² Verified also by earlier portfolio analyses of Sida’s work for women’s rights/gender equality, children’s rights, rights of LGBTI persons and persons with disabilities. Inclusive contributions are sometimes referred to as “mainstreamed”.

measures to do so, indicators to monitor non-discrimination outcomes (empowerment or changes in policies or practices) and reporting that reflects on these outcomes.

Coding of these aspects is based on information in abstracts and supplementary documentation from TRAC when needed. The model also includes analyses of the targeted and inclusive contributions to determine which social groups that are most commonly targeted and under what thematic areas non-discrimination measures are most common.

2.2.7 Added value of this portfolio analysis model

The added value of the portfolio analysis model compared to available statistics in various databases is that it:

- Analyses the multidimensional character of contributions with many purposes or thematic focus areas – in addition to the main focus or dimension.
- Analyses the methods used by Swedish development cooperation to achieve the desired changes.
- Analyses the extensive thematic area of “democracy and human rights” in more detail.
- Analyses the support channelled under the Sida CSO strategy in more detail, based on abstracts, while in the Sida statistics the CSO strategy contributions are coded according to a generic distributions key.
- Combines all Swedish channels of support, not only Sida-channelled development cooperation.

2.3 The method

We propose a step-by-step process to apply the above mentioned model for portfolio analyses. The first step is to create a master Excel table that includes all parameters of analysis that are of interest. The information should be retrieved from the CRS table, the CSO project database and Openaid (as described in chapter 2.1).

To create the master table for the analysis, the following steps need to be taken:¹³

1. Open the CRS table and Openaid tables for the country or subject area of analysis.
2. Sort the data by its IATI identifier code.
3. Create a new IATI ID column in Openaid table. This is done in order to be able to compare the data between the CRS and Openaid sources. Both sources need to be

¹³ An alternative to using Excel as in this example would be a statistical package (e.g. Stata) which would make step 1-8 below less time consuming.”

compared for completeness. The contributions need to align by row in order to match the right information with the right contribution. Furthermore, at times one database has more contributions than the other and it is important to identify, understand and if needed rectify any inconsistencies between the databases.

4. Control and mark the differences.
5. Copy the strategy list and the Sida sector list from the Openaid table to the CRS table.
6. Remove the minus/credit posts and contributions with no disbursements for the period of review from the CRS list.
7. Remove the contributions from the CRS list that relate to contributions to Swedish Framework NGOs (because they are based on a key distribution and do not represent real projects). For these contributions the code starts with '54...' in the column 'donor project no.'.
8. Add the CSO contributions from the CSO database and adjust the columns and coding to the CRS standards (type of support, purpose codes etc.). Also adjust the amounts from SEK (in CSO database) to KKR (in CRS system).
9. Add the new markers (making it possible to show multiple purposes), method used and non-discrimination aspects (including target group such as persons with disabilities, disadvantaged women, youth and children, people living with HIV/Aids (PLWHA), Lesbian, Gay, Bisexual, Trans and Queer (LGBTQ) persons, etc.¹⁴).
10. Check all purpose codes against abstracts to ensure correctness. If in doubt check underlying documentation and make corrections. Undertake the actual categorisation and coding of the purpose markers added, the method used and the non-discrimination measures taken, based on database abstract texts and TRAC documents. If needed, call Sida for more info on classified contributions. Make changes to the gender equality marker in CRS system if needed.

The time needed to produce the master data table will depend on the size and composition of the portfolio. However, in general terms we foresee that one country portfolio data table takes about two working days to produce and quality assure. This is under the assumption that all of the information is readily available and accessible.

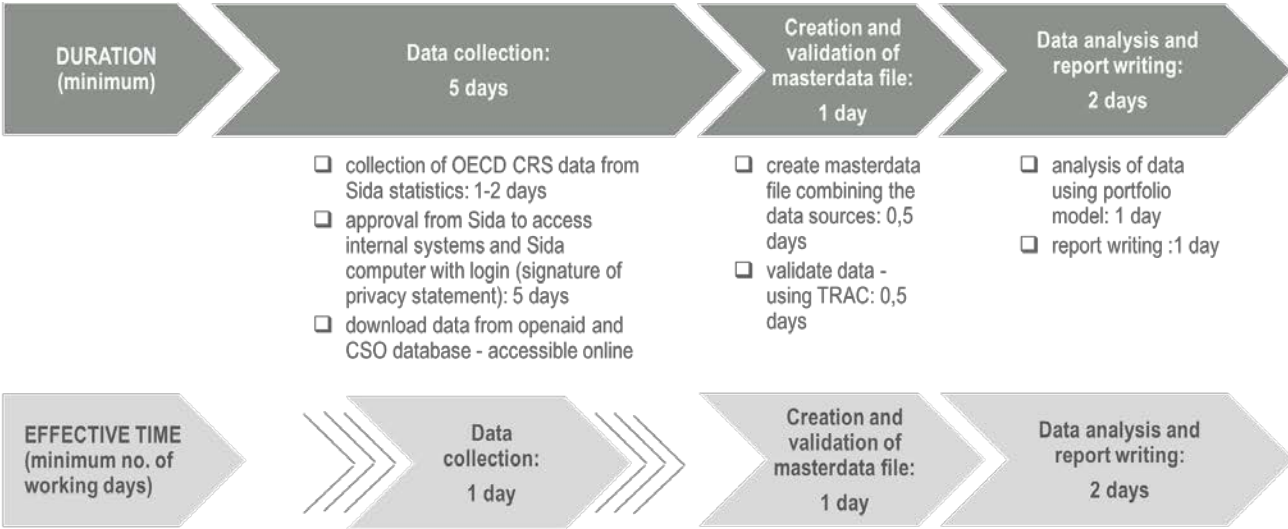
¹⁴ The analysis makes use of the target groups identified in EBA 2017:02. LGBTQ persons seem to be a more prominent target group in Swedish development cooperation.

Quality assurance of the coding requires access to Sida’s contribution system, TRAC, where project documents can be accessed and downloaded to get more detailed project information. Based on our testing of the analytical model on the country portfolios for Mozambique and Palestine we estimate that between 15-20% of the contributions need to be double checked in TRAC. This is mainly due to unclear or insufficient descriptions in the project abstracts. For information about classified contributions there is the need to contact Sida’s statistics unit to get basic information to be able to categorise them correctly without revealing classified information. These contributions are identified with a different ID number and do not have any text in the description column.

Once the master data table is created it can easily be analysed by using pivot tables. We estimate one working day for analysis and one working day for report writing. So in total we estimate four working days to produce one portfolio analysis with the scope presented below.¹⁵ In addition, calendar days need to be factored in for: 1. the collection of data from Sida for the CRS tables and Openaid tables (2-3 days); and 2. approval from Sida through a confidentiality agreement for the expert to gain access to a Sida computer and its TRAC system (minimum 5 days).

Figure 2 below provides an overview of the steps and timeframe needed for producing a portfolio analysis.

Figure 2: Timeframe for conducting a portfolio analysis



¹⁵ More time may be needed if the portfolio data requires a lot of quality assurance.

3. Challenges and lessons learnt

The analytical work was not as straight forward as we had anticipated. None of the databases had all the information required for the model, meaning that we had to combine four data sources into one Excel master document and add categories for various aspects not captured in any of the sources.

The main challenges in applying the model and method described above were:

- *Finding the right level of aggregation for a generic model, as it will depend on the specific interest and needs of each user.* The model uses a rather high level of aggregation. More details can be provided under each of the parameters. The statistical databases have detailed information about every contribution, but some aspects require additional manual coding and reading of project documents. The challenge lies in finding the right level of aggregation to ensure that the model is broadly applicable and still informative for analysis. Several rounds of testing were required to find a good balance.
- *Answering questions about contributions which are not captured in the existing statistical data.* The generic model has introduced one dimension that is not captured by the existing coding, namely the “intervention method” (that refers to the method applied to achieve the desired objective, e.g. capacity development, advocacy, infrastructure investments, service provision, etc.). Furthermore, the model has introduced markers to enable an analysis of multiple thematic focus areas (purpose codes/sub-sectors). These aspects had to be analysed, categorised and coded based on reading of contribution abstracts (and sometimes assessment memos and annual reports). In addition, the questions related to non-discrimination often required studies of additional documentation in TRAC, as these aspects were seldom apparent in existing coding and abstracts (except for the gender marker).
- *Quality of the categorisation and coding of contributions,* which sometimes have multiple purposes and are making use of many different methods can never be completely exact and will be subject to individual interpretations by Sida desk officers, independent researchers and other users of the data.
- *Deciding if the quantitative analyses should be based on numbers of contributions or on the funding distribution.* Both aspects are relevant and interesting as indicators of the portfolio. Sometimes a large number of small initiatives is a better illustration of the engagement than the size of the financial contributions. For example, if nine out of ten contributions focus on human rights but only use 10% of the funding, while one large contribution to a UN fund for water and sanitation makes up 90% of the funding, then to describe the portfolio only in terms of

funding distribution would give a skewed picture. Often both aspects (quantity and size of contributions) are necessary to get a complete understanding of the portfolio. Furthermore, in cases where an aspect of a portfolio is analysed (e.g. non-discrimination) and this aspect is only a limited component of a contribution, the funding level does not provide relevant information. The number of such “inclusive” contributions is more relevant. In this generic portfolio analysis model, funding levels have mostly been used to illustrate the portfolio, but sometimes numbers of contributions have been added to better illustrate its composition.

- *Classified contributions are not coded in great detail although they are included in the CRS statistics.* Classified contributions are not mentioned by name or implementing organisation and they do not have abstracts/descriptions. To categorise and code these correctly Sida’s support is needed. In the case of Palestine these contributions amounted to around 8% of the portfolio funding, a sufficiently large percentage to warrant the additional effort to get more information about these contributions.
- *The CRS database does not have detailed data on the contributions from Swedish framework organisations.* The framework organisation data therefore need to be replaced by information collected from the CSO database. This information must then be reorganised and recoded according to the same principles and categories as the CRS data. This will require a substantial amount of work in some countries where the Swedish framework organisations have many contributions. Nevertheless, we deemed it to be necessary to invest time in this as it represents a substantial part of the Swedish bilateral development cooperation (50% of the number of contributions and 10 % of the funding at the overall level).
- *A proper and quality assured portfolio analysis requires that each contribution is scrutinized in detail to verify and correct coding and to add coding that is missing.* This will require reading of abstracts and sometimes digging deeper into background documentation (assessment memos). In case of classified contributions this requires additional contact with Sida’s statisticians.
- *Abstracts and assessment memos often outline what the contribution intends to achieve and how it intends to work. There is no information in these data sources on what it actually achieved (thematically) and how it actually worked (method).* To solicit accurate information on the thematic results and the inclusion of marginalised groups and the methods used, there would have been a need to study annual reports and evaluations, which is not feasible within the scope of a portfolio analysis. We have taken the information expressed in abstracts and assessment memos at face value when doing the coding with the risk that this does not give a correct picture.

- *Users of data frequently bring their own experiences and prejudices and may therefore unconsciously interpret information in a biased manner.* To get quality analyses two persons should ideally check the coding independently and negotiate if there are disagreements. This will require more time (double).
- *Targeted non-discrimination contributions in Swedish development cooperation are often about empowering discriminated groups and their organisations* (as well as human rights institutions and defenders working on their behalf) to advocate, engage in dialogue, develop models and claim rights. Non-discrimination in public and private sector contributions are often expressed as a key principle (e.g. special attention to accessibility/inclusion of marginalised groups), which is part of the required human rights based approach.¹⁶ Such contributions are increasingly introducing power analysis as a basis for programme design and development of indicators that helps to monitor that the non-discrimination aspect is translated into action. Looking at the definition of anti-discrimination in EBA 2017:02, the Swedish contributions fit very well. However, empowerment of discriminated groups and their defenders is not mentioned as a prominent focus in the EBA 2017:02 study, nor is non-discrimination as an underlying principle in all programming. The examples rather focus on duty bearer’s formal actions against discrimination. If looking at the thematic areas in focus of the EBA 2017:02 study – political participation, education and labour markets – these areas are not prominent in Swedish non-discrimination efforts, at least not in the studied countries of Palestine and Mozambique.

The model proposed in this report has been tested through trial and error using the portfolios of two very different partner countries, Mozambique and Palestine. The analytical model could be applicable to all portfolios, both country- and thematic area-based. Both thematic and geographic portfolio analyses can take longer or shorter time, depending on the number of contributions included in the data set. The time needed is closely linked to the effort to categorise and code the contributions. Therefore the number of contributions is crucial for calculating time. Analysing a thematic area means that the “theme” (purpose/sector) is given and does not need further analysis. On the other hand there will be a need for analysis of geographic distribution. It is likely that a

¹⁶ Applying a HRBA approach means; Influencing or developing capacity of those who have power and formal obligations to promote, fulfil and protect human rights and empowering people, particularly the powerless (with hope, assertiveness, knowledge, skills, tools, communication channels, legal mechanisms etc.) to enable them to address their situation and claim their rights individually and collectively. HRBA is both about performance - what is to be achieved (reduced poverty and improved human rights situation) and about process - how programs are implemented (deliberate measures to ensure accountability, transparency, participation and non-discrimination). Human Rights Based Approach at Sida - Compilation of Thematic Area Briefs, Sida.

thematic area analysis will take slightly longer to complete than a country portfolio. However, the approach and method is applicable to both types of portfolio analyses. In terms of the data sources, the method proposed relies on using quality-assured open and published data. The reasons for this recommendation are both the more efficient use of time and also for data accuracy as the data have already been quality assured by Sida's statisticians.

Annex 1: The Palestine portfolio analysis 2015

The portfolio analysis below aims to describe Swedish development cooperation in Palestine for the year 2015. The analysis includes a special focus on Swedish contributions in the area of non-discrimination.

1. Context

The results strategy notes¹⁷ that the greatest obstacle to development in Palestine is the Israeli occupation, which has been ongoing since 1967. Israel's restrictions have contributed to the fragmentation of the Palestinian territory and hampered state-building and sustainable economic development. The development challenges are multiple and include the following:

- Limits of the freedom of movement of Palestinians. The Palestinian Authority does not have authority over more than 60% of the West Bank and Gaza. This has also affected the reach of development cooperation and humanitarian assistance. The illegal settlements and barriers have also diminished opportunities for Palestinians to use their land.
- The absence of reconciliation between Hamas and Fatah has also been an obstacle to development. The Palestinian Authority has long been prevented from acting in Gaza, no general elections have been held in Palestine since 2006, parliament has not been able to convene and laws have been passed by presidential decree.
- The situation for women has deteriorated over the last 20 years. Violence, including men's violence against women and children has increased. Women's economic participation, as well as their ability to influence political processes, is lower than in other countries in the region.
- In Gaza, the economic and social isolation has had serious humanitarian consequences for the civilian population, especially with regard to water, sanitation and electricity.
- Due to long-term overuse of natural resources, including by Israeli settlements in the West Bank, Palestine is experiencing major negative environmental impacts. To reverse the negative health and environmental trends over both the short and long term, improvements in natural resource governance are necessary. The water shortages experienced by the Palestinians are exacerbated by population growth, pollution of aquifers and the marine environment, as well as by depletion of the limited agricultural and grazing areas.

¹⁷ Strategy for Sweden's international development cooperation with Palestine 2015-2019.

Against this background, the **Swedish development cooperation with Palestine aims to contribute to:**

- a) Strengthened democracy, enhanced gender equality and increased respect for human rights.
- b) Improved environmental conditions and resilience against climate change and emergencies.
- c) Strengthened private sector development.

The Swedish humanitarian assistance, which supplements these efforts, aims to save lives, alleviate suffering and maintain human dignity¹⁸.

2. Analytical framework

The portfolio analysis answers the following six questions regarding the bilateral development cooperation to Palestine in 2015:

1. *Overview of portfolio – How are the Swedish government strategies reflected in the bilateral development cooperation?* How are the strategies translated into funding to various components of the portfolio? How much does Sweden contribute through other authorities than Sida?
2. *Who are the implementing actors?* It is not only interesting to know if the implementer is a local or foreign/international actor, but is also interesting to know what kind of implementing agency that is responsible e.g. CSO, government or multilateral agency.
3. *What are the main thematic areas (sectors or purposes¹⁹) addressed or influenced?* What are the most common combinations in case there are many themes? What are the specific issues addressed under the broad thematic areas of “democracy, human rights and gender equality” and “sustainable society development”, which are receiving a large share of the Swedish development funding?
4. *How is funding channelled (i.e. type of funding modality)?* The development cooperation effectiveness agenda has promoted increased core funding towards budgets and strategic plans of local actors and increased joint donor funding schemes for programmes and organisations. It is therefore of interest to analyse to what extent this is happening and to what extent funding is still project-based.

¹⁸ Strategy for humanitarian assistance provided by Sida.

¹⁹ The OECD DAC statistics use “purpose codes” while the Sida internal statistics use “sub-sector codes” to categorise contributions. These codes are identical. However, when data is aggregated to broader themes or “sectors”, Sida’s internal system and OECD DAC use different models. In this report we use the terms purpose and thematic area interchangeable. We do not use the terms “sub-sector” or “sector”, because Sida is trying to move away from this terminology.

5. *What are the main intervention methods used?* How is Sweden trying to influence the situation for the better? E.g. how much is invested in infrastructure and knowledge development? In service delivery/gap filling? In capacity development of various stakeholders? In advocacy? In monitoring, evaluation and aid effectiveness? What are the most common combinations of methods in case there are many?
6. *How is non-discrimination supported?* What marginalised groups are most commonly targeted or included? In what way is the discrimination addressed? In what thematic areas?

All data for the portfolio analysis has been collated from the OECD DAC Creditor Reporting System (CRS) obtained from Sida statistics unit and from Openaid.se and the CSO project database, which are both available on the external Sida website.²⁰

3. Overview of Palestinian portfolio

In 2015, a total of 125 Swedish contributions²¹ were identified in Palestine. The total amount spent was 465,2 MSEK. The contributions were guided by the following government strategies:

Table 6: Swedish contributions, by Swedish government strategies²²

Strategy	Number of contributions	Amount extended KKR	% of total
Strategy for international development cooperation with Palestine	28	266 696	57%
Strategy for Humanitarian Assistance 2011-2016	10	108 164	23%
Strategy for Support through Swedish civil society organisations 2010-2016	70	50 868	11%
Other institutions/authorities	16	29 510	7%
Global contributions for human security	1	10 000	2%
Total	125	465 238	100%

In Palestine, support via the Strategy for humanitarian assistance (10 contributions) and the Strategy for support via civil society (70 contributions) as well as support via other authorities/institutions than Sida (16 contributions) are prominent parts of the Swedish

²⁰ Information from these three sources has been coordinated in one common Excel sheet with a common format (CRS format). Where abstracts have not been sufficient to perform categorisation and coding of contributions, documentation in TRAC (assessment memos) have been consulted. Information on classified contributions has been sought from Sida desk officers.

²¹ A contribution represents the Swedish financial and technical inputs towards a particular project, programme, organisation or initiative.

²² Openaid.se, CSO project database and OECD DAC CRS database.

portfolio – alongside the country strategy. This means that the control and influence on the bilateral development cooperation is spread on many hands.

The Strategy for Palestine is reflecting these ambitions in its 28 contributions, see table 7.

Table 7: Contributions under the Swedish Strategy for Palestine, 2015

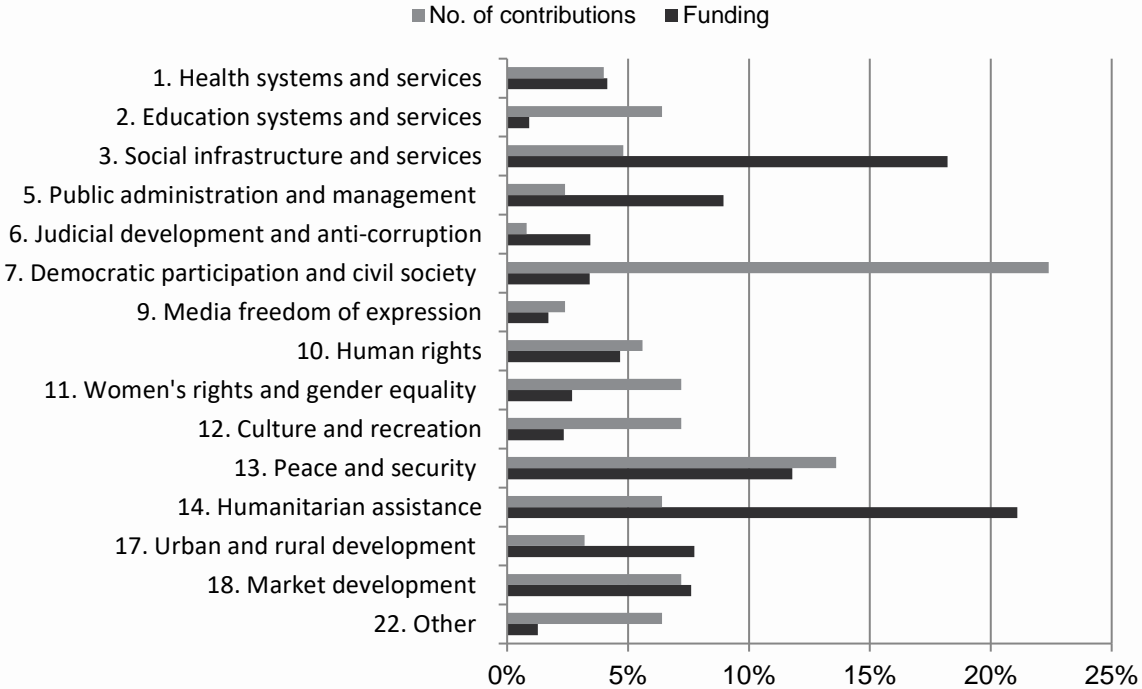
Strategic focus area	Amount extended KKR	Number of Contributions
Democracy, human rights, gender, peace building	64 518	12
Sustainable society development	56 035	5
Private sector development	32 585	4
Budget support, basic services, other	113 558	7
Total	266 696	28

Other support consists of budget support to the Palestinian authority and support to social and health services.

4. What thematic areas are in focus in Palestine?

An analysis of the thematic areas that the 125 Swedish contributions cover is presented in Figure 3.

Figure 3: Thematic areas by cluster²³, as share of total, 2015



²³ See annex 4 on the proposed clustering of OECD DAC purpose codes for the Swedish portfolio analysis.

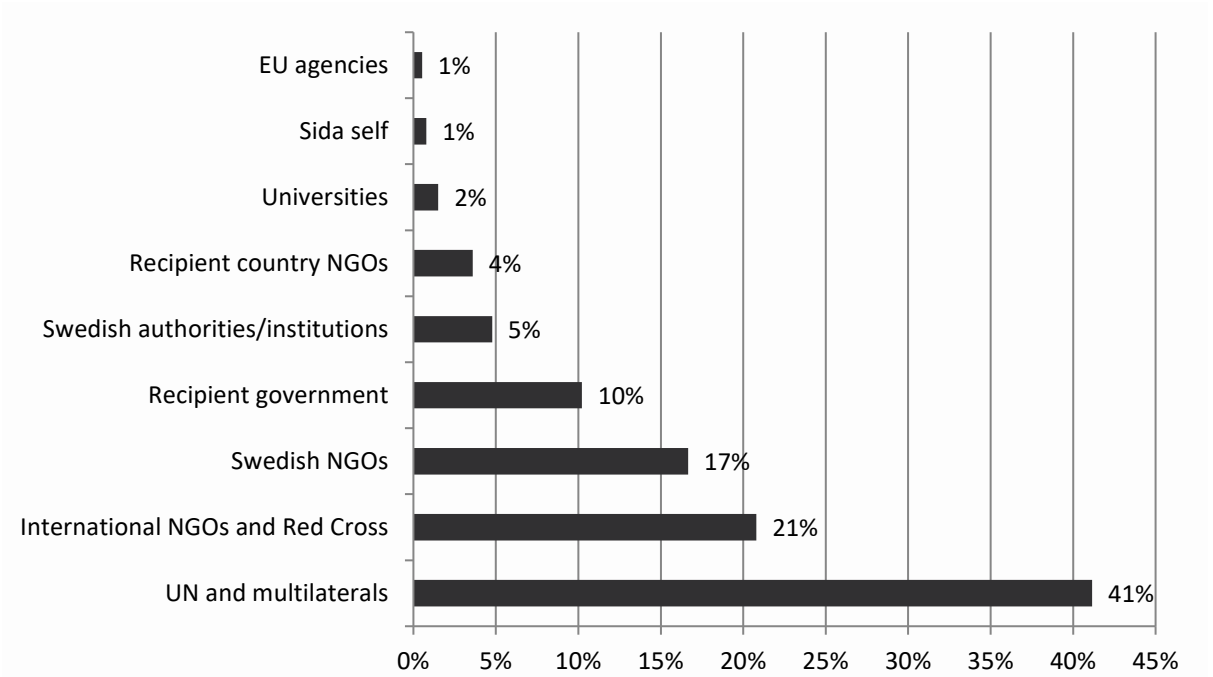
The analysis shows that most of the **funding** went to humanitarian support and basic social and health services (44% of the total). Substantial funding was also provided to state building, such as government functions and policy, urban development and management – including infrastructure investments (17% of the total). Actions to monitor peace and support to peace building made up 12% of funding, while democratic participation and civil society, culture and recreation, human rights and gender equality represent 18% of the funding. When looking at the number of contributions, democratic participation and civil society is by far the most prominent with 22% of the total number of contributions.

In addition, Figure 3 only shows the primary thematic focus of the 125 contributions. The analysis shows that around 50 contributions (40%) address more than one thematic area. For example, many contributions aim at improving capacity for democratic participation and civil society, in combination with another purpose such as women’s empowerment or human rights monitoring. It is also common that public policy and administration is combined with other themes, such as education or health.

5. Who are implementing partners in Palestine?

The contributions for Palestine (465,2 MSEK) were channelled through the following implementing partners:

Figure 4: Implementing partners, in percent of total funding

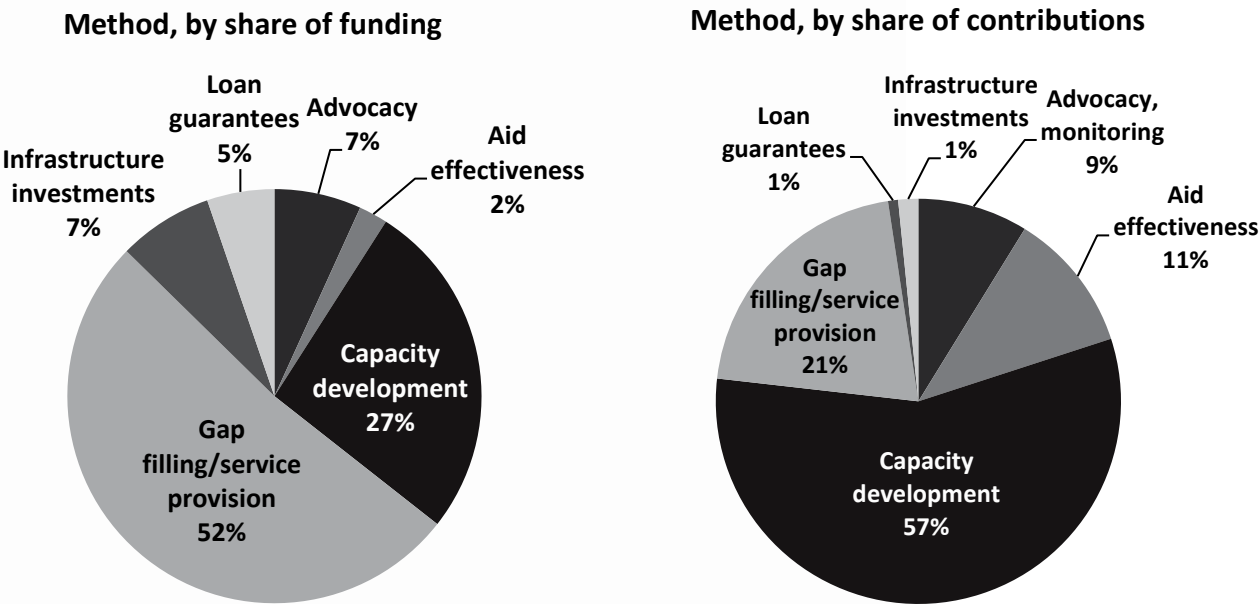


Palestine is categorised by Sweden as a conflict/post conflict country. A lot of support is therefore channelled through UN bodies, other Multilaterals and international NGOs. Among the Swedish framework organisations, Diakonia and Olof Palme International Centre are the most prominent followed by Save the Children and We Effect. Diakonia also makes up a substantial part of the contributions through international NGOs together with the Red Cross and the Norwegian Refugee Council. A large part of the funding through international NGOs is directed to a loan guarantee facility grant (24.5MSEK). Around 3.5 MSEK went to Sida’s own work with knowledge development and aid effectiveness²⁴, e.g. evaluations, studies.

6. What methods of implementation are used in Palestine?

In Palestine, most funding went to gap filling and service provision (52%). Capacity development is the second biggest method used in financial terms (27%).

Figure 5: Main methods of implementation



The methods are defined as follows:

- *Advocacy* i.e. trying to influence people of power by lobbying, monitoring and reporting of performance, demonstrating models of good practice, media, exposure of good and bad practices etc.

²⁴ Knowledge development aims to improve the knowledge and methods of the beneficiaries and/or recipients of development cooperation. Aid effectiveness aims to improve the methods of the development partner (such as Sida).

- *Capacity development*, i.e. enhancing the competency, capacity, motivation and awareness of key stakeholders in government and/or civil society through e.g. trainings, exchange, technical advice, conferences, mentoring, coaching.
- *Knowledge development/generation* i.e. research, evaluations and studies.
- *Infrastructure investments* e.g. building schools, water and sanitation, electricity and roads.
- *Gap filling/Service provision* i.e. budget support, cash transfers, provision of health, education services, culture & leisure services, humanitarian aid etc.
- *Aid effectiveness*; e.g. evaluations, audits, capacity development of donor agencies or grant making CSOs to enhance their effectiveness.
- *Other* – specify (loan guarantees, etc.).

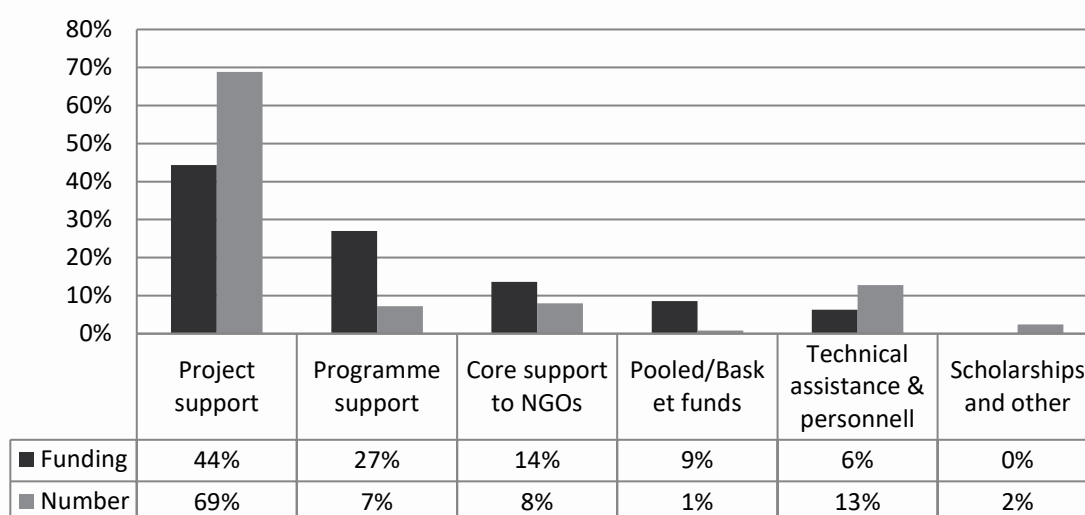
The figure illustrates the main method used in the contribution. 44% of the contributions combined more than one of these methods. Aid effectiveness was often combined with knowledge development (evaluations, research, studies). Capacity development and advocacy is another common combination. Many service provision projects also worked with advocacy or capacity development in combination.

When looking at the number of contributions in the portfolio rather than the funding distribution, capacity development is the most commonly used method (57%). A total of 71 contributions have this as its main method. Another 11 contributions has capacity development as a supplementary method.

7. How is funding channelled in Palestine?

The funding provided by Sweden was channelled as follows:

Figure 6: Funding modalities



Project funding is by far the preferred funding modality in Palestine. Almost half of the funding is channelled in this way. Contributions towards big programmes (often implemented by multilaterals) are also rather substantial. Core support to organisations or institutions and to joint donor baskets/pool funding is less prominent. Scholarships are mainly provided by the Swedish Institute. Technical assistance is mainly offered by other Swedish authorities. While the Swedish framework organisations receive core or programme support from Sida in Stockholm at the overall organisational level (not shown in this diagram), the support provided via these organisations at the country level in Palestine is mostly project support.

8. How is non-discrimination supported in Palestine?

The following definition has been used in identifying non- discrimination interventions:

“Anti-discrimination measures are defined as laws specifying non-discrimination or positive discrimination, including international conventions and their translation into national law; programmes or policies that translate such laws into activities intended to reduce discrimination or to strengthen capacity among commonly discriminated groups (affirmative action); and public information, education or campaigns that seek to change negative perceptions of, or stigma against, specific social groups.” (EBA 2017:02)

Discrimination is addressed in two different ways in Swedish development cooperation and humanitarian assistance:

- Non-discrimination is the main focus and the aim of the contribution (targeted).
- Non-discrimination is a component or aspect of a contribution with a broader scope and aim (inclusive). These measures can e.g. be in the form of identifying and removing barriers in order to make mainstream programmes more accessible to marginalised groups.

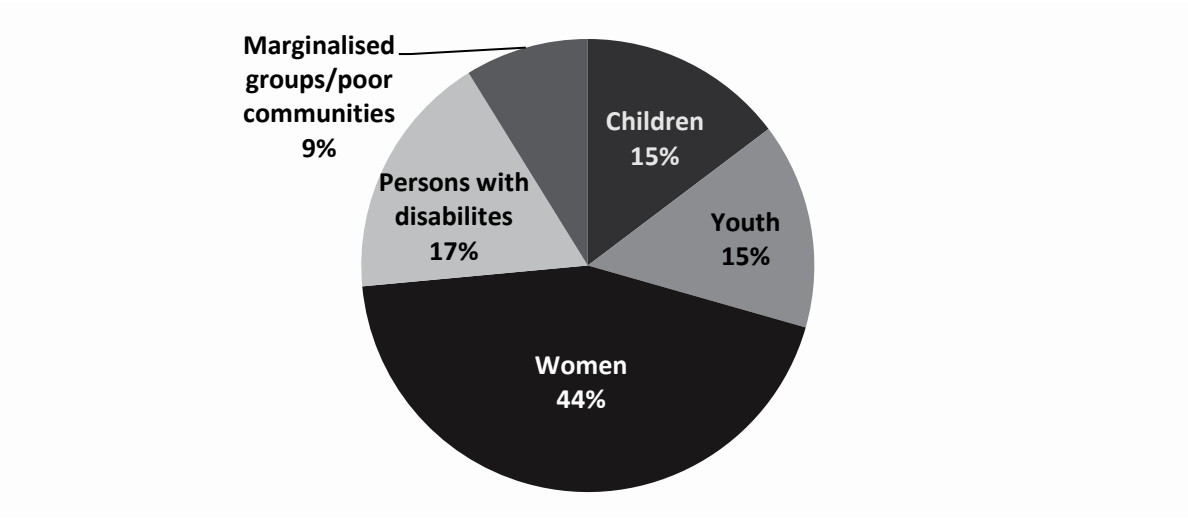
In Palestine, non-discrimination is a rather common component in the Swedish contributions, see table 8.

Table 8: Non-discrimination in Swedish contributions, 2015

Non-discrimination is	No of contributions	Share of contributions	Funding KKR	Share of funding
Component/inclusive	22	18%	105845	23%
Main focus/targeted	34	27%	104878	23%
Not mentioned	69	55%	254516	54%
Total	125	100%	465238	100%

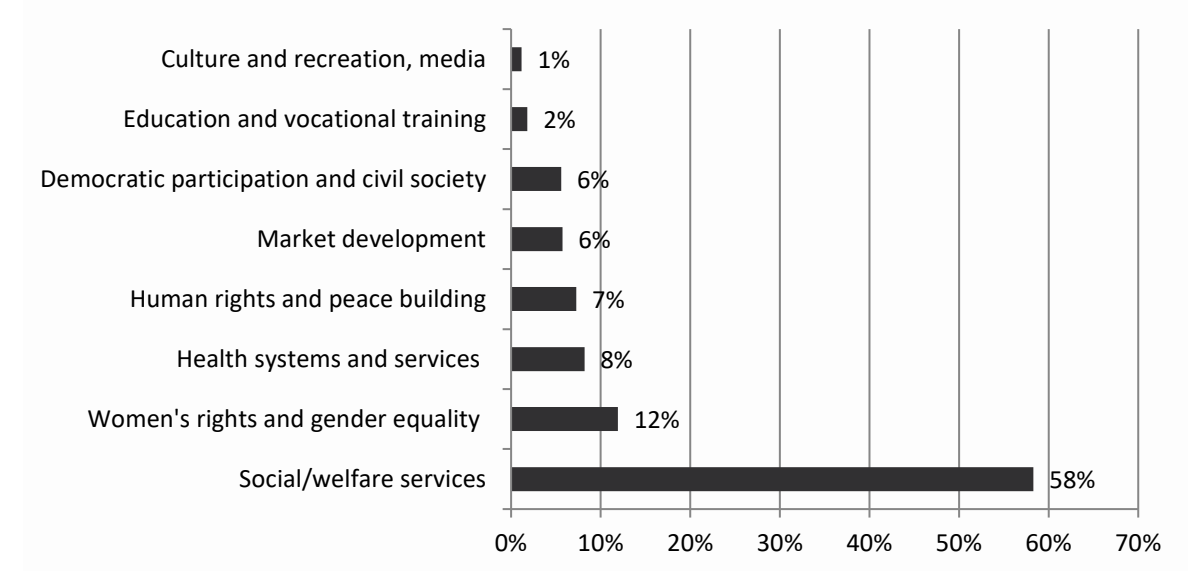
The main groups in focus of the 34 targeted non-discrimination efforts are shown in figure 7.

Figure 7: Main target groups for non-discrimination contributions, 2015



Although contributions in the thematic areas of Democratic participation and civil society as well as Women’s rights were by far the most common in terms of focus of targeted non-discrimination efforts (19 out of the 34 which represents 56% of total contributions), it only makes up a minority share of the funding. In terms of funding, the thematic area of Social services was the largest as shown in figure 8.

Figure 8: Thematic focus of targeted non-discrimination contributions



When looking at numbers of contributions rather than funding (table 9), the following pattern emerges in the analysis of the 22 inclusive and 34 targeted contributions (in total 56).

Table 9: Non-discrimination in Swedish contributions per thematic cluster

Thematic cluster	Inclusive	Targeted	Grand Total
Democratic participation and civil society	7	11	18
Women's rights and gender equality	0	9	9
Culture and recreation, media	5	3	8
Civilian peace building	3	1	4
Human Rights, legal and judiciary dev.	3	2	5
Education incl. vocational training	1	3	4
Social/welfare services	1	2	3
Humanitarian assistance	2	0	2
Grand Total	22	34	56

An analysis of the various aspects of non-discrimination in the portfolio also shows that 10 % of the total number of contributions had gender equality as main focus and 48% had it as a component or aspect.

Table 10: Gender equality

Gender equality	Share of total no. of contributions	Share of total funding
Component	50%	71%
Main focus	10%	3%

Empowerment of rights holders and organisations representing or working on their behalf was an important aspect of 56% of the number contributions representing 29% of the funding. Capacity building of duty bearers was an important aspect of 13% of the number contributions representing 23% of the funding.

Annex 2: The Mozambique portfolio analysis 2015

The portfolio analysis below aims to describe Swedish development cooperation in Mozambique for the year 2015. The analysis includes a special focus on Swedish contributions in the area of non-discrimination.

1. Context

The Swedish Results Strategy for Mozambique 2015-2020²⁵ notes that Mozambique is a country in rapid change. In two decades, the country has gone from being a country in conflict to becoming one of the world's fastest growing economies. Mozambique has a generous supply of natural resources, including natural gas, coal, hydropower, forests and agricultural land. If managed well, these offer opportunities for economic growth and poverty reduction. Expanded free trade can also contribute to more effective production and increased employment in Mozambique.

However, development challenges remain. More than half of the population lives below the national poverty line and there is extensive inequality. While progress has been made on both education and health, the education level is still low, and infant and maternal mortality continues to be among the highest in the world. Gender equality is lagging and women and girls in rural areas are particularly subject to discrimination. Mozambique is among the ten countries in the world with the highest percentage of child marriages. Climate and environment related crises, primarily flooding and drought, are common challenges. The political system is still characterised by weak accountability and a lack of transparency. Corruption is widespread and there are shortcomings in the business climate.

Against this background the Swedish Results Strategy for Mozambique (2015-2020) states that the Swedish development cooperation should contribute to the following three result areas:

1. Improved environment, reduced climate impact and strengthening resilience to environmental, climate change and natural disasters.
2. Strengthening democracy and gender equality, and respect for human rights.
3. Improved opportunities and tools for poor people to improve their living conditions.

In addition, the following Sida strategies guide Swedish contributions in Mozambique: support to research cooperation (2015-2021), support through Swedish civil society organisations (2010-2016), and humanitarian assistance (2011-2016).

²⁵ Strategy for funds channelled through the Sida appropriation for Mozambique.

2. Analytical framework

The portfolio analysis answers the following six questions regarding the bilateral development cooperation to Mozambique:

1. *Overview of portfolio - How are the Swedish government strategies reflected in the bilateral development cooperation?* How are the strategies translated into funding to various components of the portfolio? How much does Sweden contribute through other authorities than Sida?
2. *Who are the implementing actors?* It is not only interesting to know if the implementer is a local or foreign/international actor, but is also interesting to know what kind of implementing agency that is responsible e.g. CSO, government or multilateral agency.
3. *What are the main thematic areas (sectors or purposes²⁶) addressed or influenced?* What are the most common combinations in case there are many themes? What are the specific issues addressed under the broad thematic areas of “democracy, human rights & gender equality” and “sustainable society development”, which are receiving a large share of the Swedish development cooperation funding?
4. *How is funding channelled (i.e. type of funding modality)?* The aid effectiveness agenda has promoted increased core funding towards budgets and strategic plans of local actors and increased joint donor funding schemes for programmes and organisations. It is therefore of interest to analyse to what extent this is happening and to what extent funding is still project-based.
5. *What are the main intervention methods used?* How is Sweden trying to influence the situation for the better? E.g. how much is invested in infrastructure and knowledge development? In service delivery/gap filling? In capacity development of various stakeholders? In advocacy? In monitoring, evaluation and aid effectiveness? What are the most common combinations of methods in case there are many?
6. *How is non-discrimination supported?* What marginalised groups are most commonly targeted or included? In what way is the discrimination addressed? In what thematic areas?

²⁶ The OECD DAC statistics use “purpose codes” while the Sida internal statistics use “sub-sector codes” to categorise contributions. These codes are identical. However, when data is aggregated to broader themes or “sectors”, Sida’s internal system and OECD DAC use different models. In this report we use the terms purpose and thematic area interchangeable. We do not use the terms “sub-sector” or “sector”, because Sida is moving away from this terminology.

All data for the portfolio analysis has been collated from the OECD DAC CRS obtained from Sida's statistics unit, from Openaid.se and from the CSO project database, which are both available on Sida's website.²⁷

3. Overview of Mozambique portfolio

In 2015, a total of 70 Swedish contributions^{28,29} were identified in Mozambique³⁰. The total amount spent was 814,3 MSEK. The contributions were guided by the government strategies listed in table 11.

Table 11: Swedish government strategies

Strategy	Number of contributions	Amount extended KKR	% of total amount
Swedish Results Strategy for Mozambique 2015-20	37	717 465	88,1%
Strategy for Research cooperation 2015-2021	4	57 688	7,1%
Strategy for Support through Swedish CSOs 2010-2016	19	25 794	3,2%
Strategy for Humanitarian Assistance 2011-2016	1	88 00	1,1%
Other Swedish authorities	9	4 533	0,5%
Total	70	814280	100%

In Mozambique, support through the country strategy makes up 88% of the funding extended in 2015 (37 contributions). In addition, contributions through Swedish civil society organisations (19 contributions) is a prominent part of the Swedish portfolio, alongside the contributions to research cooperation which in terms of funding volume makes up a significant portion of the portfolio (>7%). Contributions funded through other Swedish authorities is present but marginal with 9 contributions making up about 0,5% of the total funding extended to Mozambique in 2015. Combined, this indicates that the implementation of the Swedish portfolio in Mozambique engages a multitude of stakeholders.

The disbursements by result area of the Swedish Strategy for Mozambique in 2015 are presented in the table below³¹.

²⁷ Information from these three sources has been combined in one common Excel sheet with a common format (CRS format). When abstracts have not been sufficient to perform categorisation and coding of contributions, documentation in TRAC (assessment memos) have been consulted. Information on classified contributions has been sought from Sida desk officers.

²⁸ A contribution represents the Swedish financial and technical inputs towards a particular project, programme, organisation or initiative.

²⁹ Sida and other Swedish authorities, universities etc.

³⁰ The raw list includes 138 contributions with multiple agreements. Where relevant and clearly part of the same contribution these were combined and reduced to 70. Also this list of contributions includes only those contributions where there have been disbursements made during the year. Repayments have also been excluded from the contribution analysis.

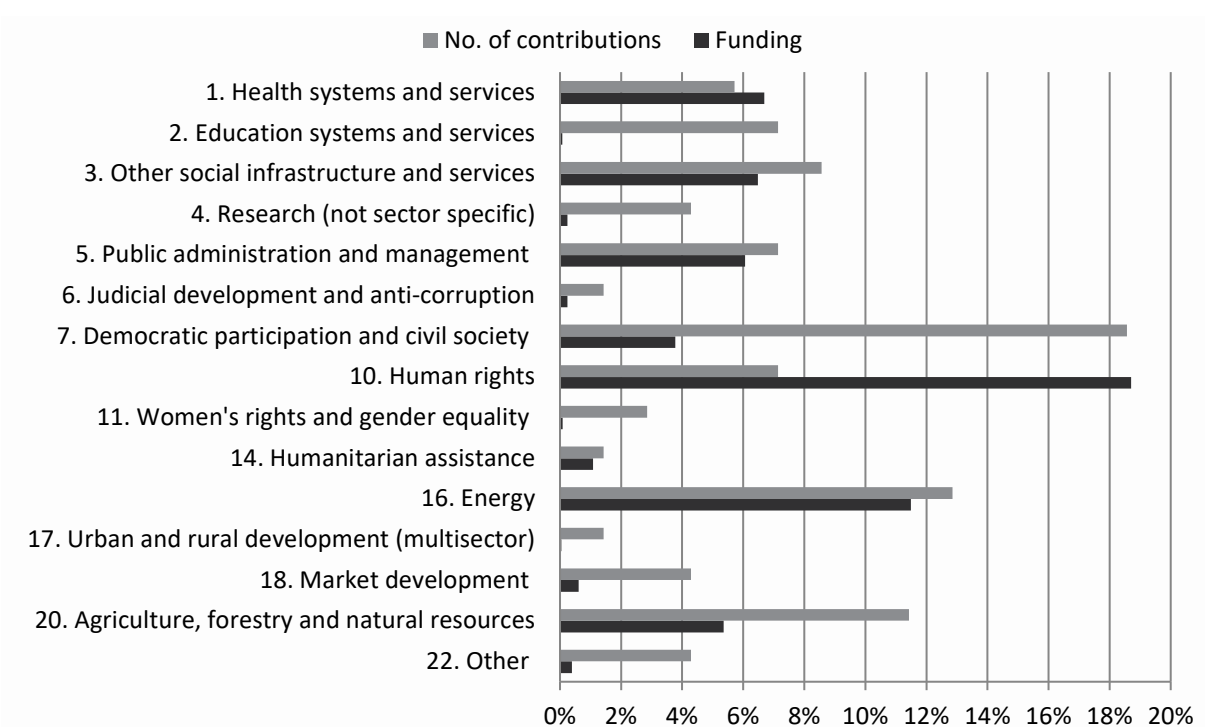
Table 12: Contributions under the Swedish Strategy for Mozambique, 2015

Strategic focus area	KKR	No. of contributions	% of total
Improved environment, reduced climate impact and strengthening resilience to natural disasters;	121 977	5	17%
Strengthening democracy and equality, and human rights;	423 019	18	59%
Improved opportunities and tools for poor people to improve their living conditions.	173 728	13	24%
Total	717465³²	37	

4. What thematic areas are in focus in Mozambique?

When analysing how the Swedish development cooperation priorities for Mozambique translate into contributions, the following emerges (see figure 9 below):

Figure 9: Thematic areas of the Swedish portfolio



The majority of contributions in terms of their count are in the area of democratic participation and civil society (19% of the total number of contributions), however this thematic area only represents 4% of total funding. Most of the funding was directed to

³¹ Source: Openaid.se, CSO project database and OECD DAC CRS database.

³² Of this total amount, 315 MSEK is distributed across the three result areas: 25%, 50% and 25% on result areas 1, 2 and 3 respectively (Source: Swedish strategy Mozambique, Results report, 2015).

general budget support (39%)³³. Substantial funding was also provided to the promotion of human rights (19%). When excluding the general budget support the share of funding for human rights contributions increases to 30% of the total portfolio to Mozambique for 2015. The Human Rights contributions include five large programmes of support to non-governmental organisations and the UN to promote issues relating to the rights of citizens (including a broad range of areas from land rights to sexual rights). Support to the energy sector in Mozambique also makes up a large part of the portfolio (>19%) when excluding the general budget support (and >12% when GBS is included). Support to public sector institutions and strengthening of public finance management is also linked to the sound management of natural resource revenues and public expenditure planning. Strengthening of research capacity is also an area of significant focus in development cooperation with Mozambique.

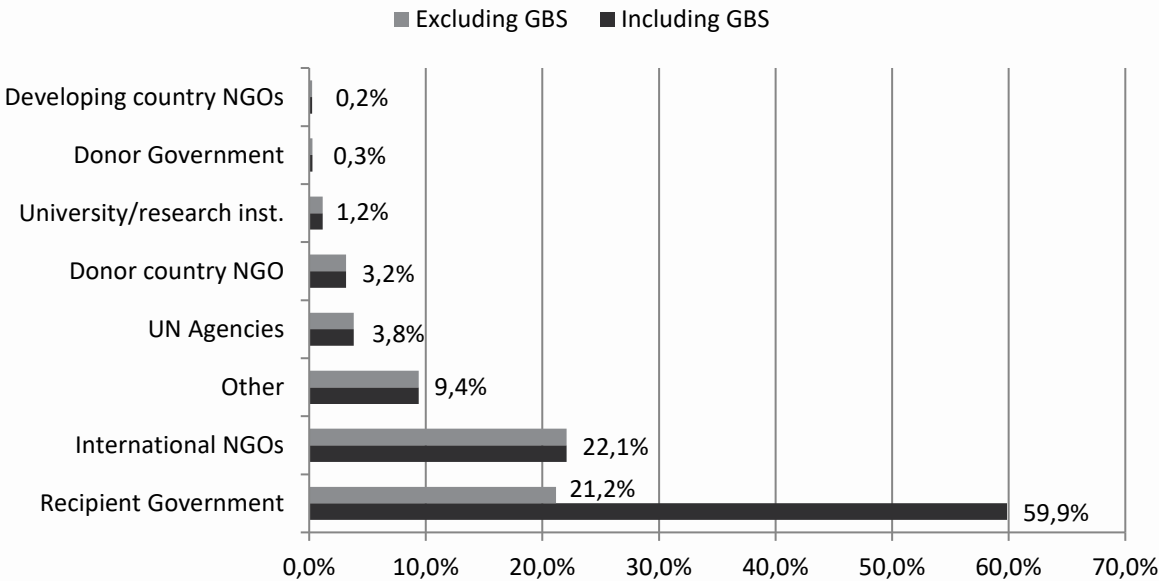
In addition, Figure 9 only shows the primary thematic focus of the 70 contributions. The analysis shows that over half of the contributions address more than one thematic area. For example, many contributions aim at civil society capacity enhancement in combination with another purpose such as women’s empowerment.

5. Who are the implementing partners in Mozambique?

The categories of implementing partners that the funds were channelled through are presented in figure 10.

Figure 10: Implementing partners, percent of total funding

A major part of the support is channelled to the government of Mozambique and the Ministry of Finance in particular. Even when the GBS is excluded from the analysis, a major part of the support is channelled through the recipient government institutions. As



³³ For visualization purposes General Budget Support is not included in figure 9.

a complement to the support provided to government institutions, Swedish development cooperation is also channelled through international and Swedish framework NGOs.

6. What methods of implementation are used in Mozambique?

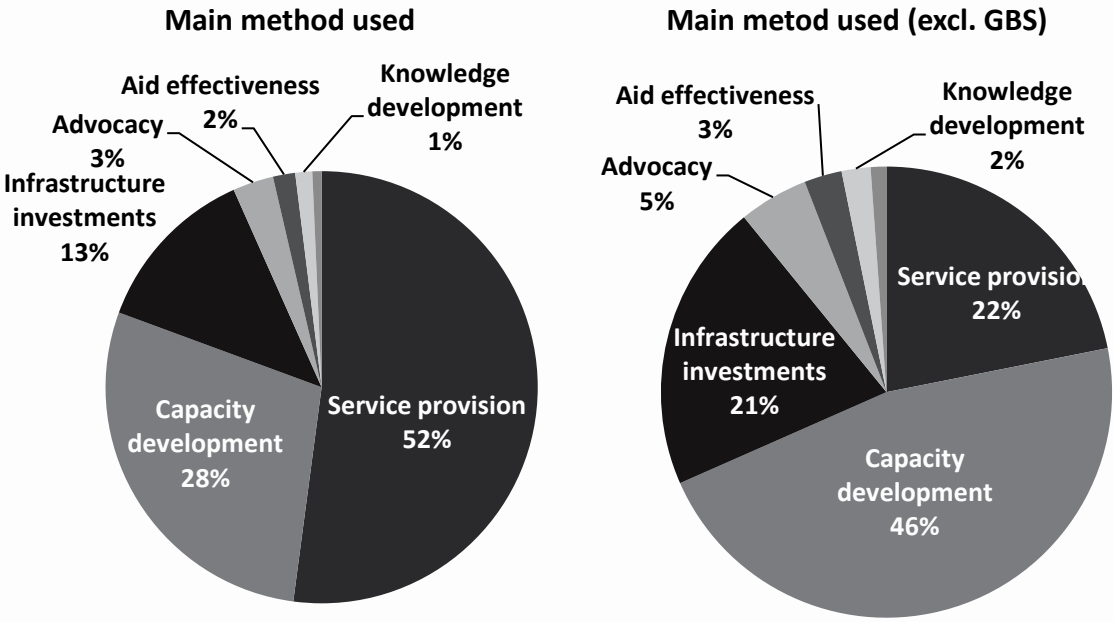
In Mozambique, most funding went to gap filling and service provision (52%) when including the general budget support contribution. However for comparability with other long term development cooperation countries the example below also shows the main methods used excluding the GBS. In the latter case capacity development is the most common method used for Swedish development cooperation in the country. Infrastructure investments emerge as the third major method used. This is mainly for construction of municipal buildings, some road works and rehabilitation of electricity production and distribution infrastructure. The figures below show the share of funding for each of the main methods used.

The methods are defined as follows:

- *Advocacy* i.e. trying to influence people of power by lobbying, monitoring and reporting of performance, demonstrating models of good practice, media, exposure of good and bad practices, etc.
- *Capacity development*, i.e. enhancing the competency, capacity, motivation and awareness of key stakeholders in government and/or civil society through e.g. trainings, exchange, technical advice, conferences, mentoring, coaching.
- *Knowledge development/generation* i.e. research, evaluations, studies.
- *Infrastructure investments* e.g. building schools, water and sanitation, electricity, roads.
- *Gap filling/Service provision* i.e. budget support, cash transfers, provision of health, education services, culture & leisure services, humanitarian aid, etc.
- *Aid effectiveness*, e.g. evaluations, audits, capacity development of donor agencies or grant making CSOs to enhance their effectiveness.
- *Other* – specify (loan guarantees, etc.).

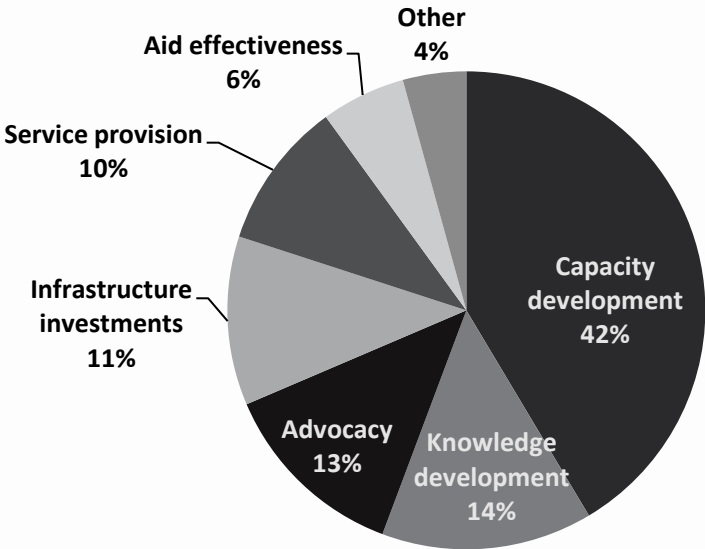
It should be noted that 85% of the projects combined more than one of these methods. For example aid effectiveness was often combined with knowledge development (evaluations, research, studies). Capacity development and advocacy is another common combination. Many service provision projects also worked with advocacy or capacity development or both.

Figure 11: Methods of implementation



When looking at the number of contributions in the portfolio rather than the funding distribution, a different picture appears. Capacity development is the most commonly used method. A total of 29 contributions (42%) have this as its main method. Another 5 contributions have capacity development as a supplementary method. Knowledge development and Advocacy also emerge more prominently as main methods with 10 and 9 contributions respectively, together making up 27% of the portfolio. An additional 7 contributions have Advocacy as a supplementary method.

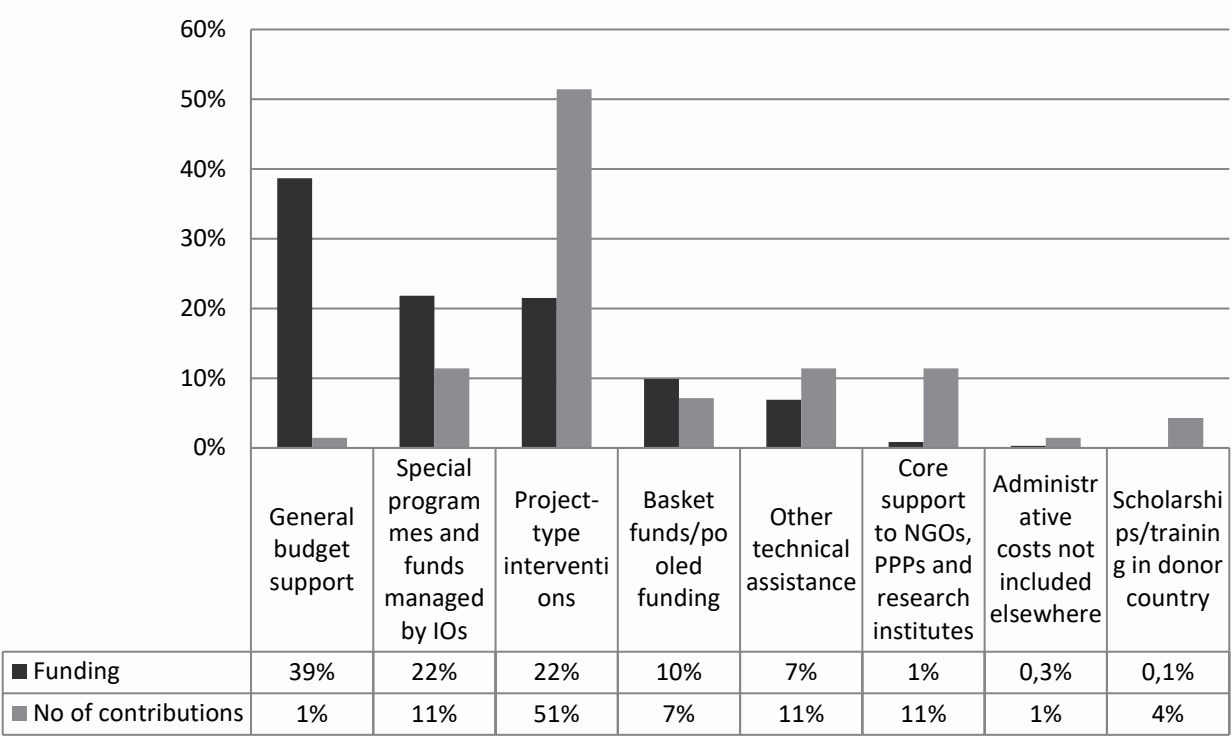
Figure 12: Main method, as share of contributions



7. How is funding channelled in Mozambique?

General budget support is by far the largest funding modality to Mozambique (39%), followed by project funding and funding provided to specific multilateral programmes, often managed by UN agencies (over 20% respectively). The type of support is presented in figure 13.

Figure 13: Funding modalities



8. How is non-discrimination supported in Mozambique?

The following definition has been used in identifying non-discrimination interventions:

“Anti-discrimination measures are defined as laws specifying non-discrimination or positive discrimination, including international conventions and their translation into national law; programmes or policies that translate such laws into activities intended to reduce discrimination or to strengthen capacity among commonly discriminated groups (affirmative action); and public information, education or campaigns that seek to change negative perceptions of, or stigma against, specific social groups.” (EBA 2017:02)

Discrimination is addressed in two different ways in Swedish development cooperation and humanitarian assistance:

- Non-discrimination is the main focus and the aim of the contribution (targeted).

- Non-discrimination is a component or aspect of a contribution with a broader scope and aim (inclusive). These measures can e.g. be in the form of identifying and removing barriers in order to make mainstream programmes more accessible to marginalised groups.

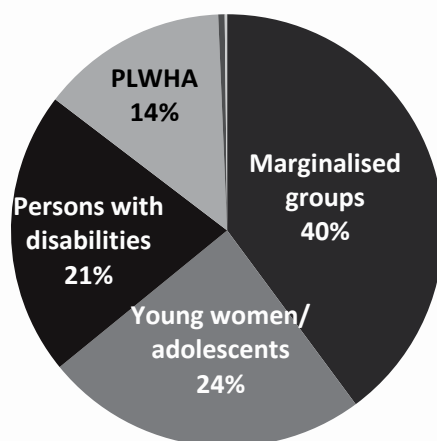
In Mozambique, non-discrimination measures were applied in about 25% of the contributions in 2015. The contributions that fall under this classification for non-discrimination are presented in table 13.

Table 13: Non-discrimination in Swedish contributions, Mozambique 2015

Non-discrimination is	No of contributions	Share of contributions	Funding KKR	Share of funding
Component/inclusive	10	14,3%	38391	4,7%
Main focus/targeted	10	14,3%	166082,6	20,4%
Not mentioned	50	71,4%	609806,4	74,9%
Total	70	100%	814280,1	100%

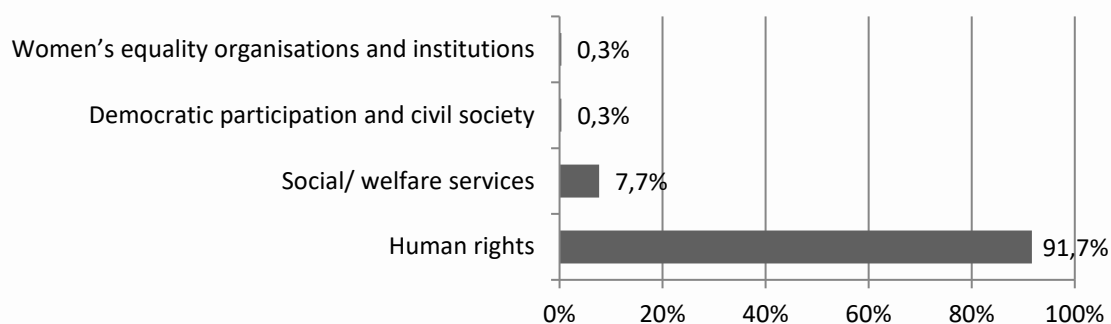
The target groups for the non-discrimination efforts (where non-discrimination is a main purpose) are presented in figure 14.

Figure 14: Main target groups for non-discrimination contributions, 2015



The type of contributions that focussed on non-discrimination was mainly social services and human rights initiatives.

Figure 15: Thematic focus of targeted non-discrimination contributions



When looking at numbers of contributions rather than funding, in the analysis of the 10 inclusive and 10 targeted contributions, the following patterns emerges, presented in table 14.

Table 14: Non-discrimination in Swedish contributions per thematic focus

Sector/purpose text	Inclusive	Targeted	Grand Total
Democratic participation and civil society	3	3	6
Human rights	0	5	5
Social/ welfare services	1	1	2
Women's equality organisations and institutions	1	1	2
Health systems and services	2	0	2
Agriculture	2	0	2
Humanitarian assistance	1	0	1
Grand Total	10	10	20

An analysis of the various aspects of non-discrimination in the portfolio shows that 3% of the number of contributions had gender equality as main focus and approximately 57% had gender equality as a component, see table 15.

Table 15: Gender equality

Gender equality	Including GBS		Excluding GBS	
	Share of number	Share of funding	Share of number	Share of funding
Component	57,1%	89,6%	56,5%	83%
Main focus	2,9%	0,68%	2,9%	1,1%
None	40%	9,7%	40,6%	15,9%

Annex 3: References and interviews

- Government Offices of Sweden, 2009. "Strategy for support through Swedish civil society organisations, 2010-2014".
- Government Offices of Sweden, 2011. "Strategy for humanitarian assistance provided through the Swedish International Development Cooperation Agency (Sida) 2011-2014
- Government Offices of Sweden, 2014. "Strategy for research cooperation and research in development cooperation 2015-2021".
- Government Offices of Sweden, 2015. "Strategy for Sweden's development cooperation for Mozambique 2015-2020".
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- Marcus, Rachel; Mdee, Anna and Page, Ella. 2017. "Do Anti- Discrimination Measures Reduce Poverty Among Marginalised Social Groups?" EBA 2017:02.
- OECD-DAC. 2016. "OECD DAC statistics code list".
<http://www.oecd.org/dac/financing-sustainable-development/development-finance-standards/dacandcrscodelists.htm>.
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- Sida. 2016. Statistikhandboken.
- Sida. 2015. Human Rights Based Approach at Sida - Compilation of Thematic Area Briefs.

Statistics databases:

- Sida, Statistics (2016) OECD CRS table converged (version 20160821)
<http://openaid.se/>
<http://cso.sida.se/>

Persons interviewed

- Franck Rasmussen, Sida.
Sophie Habram, Sida.
Jonathan Francis, Sida.
Carl Elmstam, Sida.

Annex 4: Clustering used for portfolio analysis

Clusters used in portfolio analysis model	DAC purpose text	DAC purpose codes	Comment
1. Health systems and services	Health	120xx	
	Health systems and policy	121xx	
	Basic health	122xx	
	Population policies and reproductive health	130xx	
	Medical research	12182	
2. Education systems and services	Education unspecified, systems and policy	111xx	
	Basic education	112xx	
	Secondary education, vocational	113xx	
	Post-secondary education	114xx	
	Education research	11182	
3. Other social infrastructure and services	Other social infrastructure and services	160xx	(except 16061 - Culture and recreation)
	Social/welfare services	16010	
	Statistical capacity building	16062	
	Social mitigation of HIV	16064	
4. Research (not sector specific)	Research/scientific institutions	43082	moved from "other multisector"
	Government and civil society	150 & 151	specified according to clusters 5-12 below
5. Public administration and management	Public sector policy and admin development	15110	Democracy, human rights, gender equality
	PFM	15111	Democracy, human rights, gender equality
	Decentralisation and local government	15112	Democracy, human rights, gender equality
	Domestic revenue mobilisation	15114	Democracy, human rights, gender equality
6. Judicial development and anti-corruption	Legal and judicial development	15130	Democracy, human rights, gender equality
	Anti-corruption organisations and institutions	15113	Democracy, human rights, gender equality
7. Democratic participation and civil society	Democratic participation and civil society	15150	Democracy, human rights, gender equality
8. Elections, parliaments and political parties	Elections	15151	Democracy, human rights, gender equality
	Legislatures and political parties	15152	Democracy, human rights, gender equality
9. Media freedom of expression	Media and free flow of information	15153	Democracy, human rights, gender equality
10. Human rights	Human rights	15160	Democracy, human rights, gender equality

11. Women's rights and gender equality	Women's equality organisation and institutions	15170	Democracy, human rights, gender equality
	Ending violence against women and girls	15180	Democracy, human rights, gender equality
12. Culture and recreation	Culture and recreation	16061	moved from "other social infrastructure and services"
13. Peace and security	Conflict prevention and resolution, peace and security	152xx	
	Civilian peace building, conflict prevention and resolution	15220	
	Participation in international peace keeping operations	15230	
14. Humanitarian assistance	Emergency response	720xx	
	Reconstruction relief and rehabilitation	730xx	
	Disaster prevention	740xx	
	Food and security assistance	520xx	
	Other commodity assistance	530xx	
15. Water and Sanitation	Water and Sanitation	140xx	
16. Energy	Energy generation and distribution	231xx	
	Energy generation, renewable sources	232xx	
	Energy generation, non-renewable sources	233xx	
17. Urban and rural development (multisector)	Transport and storage	210xx	
	Communications	220xx	
	Construction	323xx	
	Other multisector (urban and rural development)	430xx	(except 43082 - Research)
18. Market development	Banking and financial services	240xx	
	Business and other services	250xx	
	Industry	321xx	
	Trade policy and regulations	331xx	
	Tourism	332xx	
19. Environment and climate change	General environmental protection	410xx	
20. Agriculture, forestry and natural resources	Agriculture	311xx	
	Forestry	312xx	
	Fishing	313xx	
	Mineral resources and mining	322xx	
	Agriculture research	31182	
21. General budget support	General budget support	510xx	
	Debt relief	600xx	
22. Other	Administrative costs of donors	910xx	
	Refugees in donor countries	930xx	
	Unspecified	998xx	