

Transparency, Accountability, Aid and the European Union

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Abstract

In the midst of the international development agenda, two concepts have recently emerged, transparency and accountability. These concepts represent ideas, which have shaped the current direction in which development has been managed. Recent international agreements and partnerships, including the *Paris Declaration for Aid Effectiveness* and the *Accra Agenda for Action*, have mentioned transparency and accountability as principles that may create greater aid effectiveness. In a time of austerity, development aid has come under pressure to create results. Transparency and accountability are concepts that may allow for an efficient use of Overseas Development Assistance (ODA). Large donors of ODA shape the development agenda. Yet, many developed nations face questions from citizens regarding finances. The European Union (EU) has provided an example of integration and coherence within development policies. EU Member States and the EU are large donors of ODA. However, the austerity measures have caused a need to re-examine the way in which development aid is spent. Transparent and accountable policies may create effectiveness and efficiency within the deliverance of ODA. By examining the EU and EU Member States, the relevance of transparency and accountability may be understood. This thesis attempts to divulge the complex relationships between transparency, accountability, co-operation and the EU. Furthermore, primary data has been collected on the levels of transparency and accountability within the EU and EU Member States. The role of co-operation and partnership for these actors provides a greater understanding of the perspectives towards development aid. Transparency and accountability may allow for responsibility and trust to occur within co-operative efforts in implementing development aid. The relevance, purpose, and operationalisation of the concepts are central to this research.

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List of Abbreviations and Acronyms

ACP	Africa, Caribbean, and Pacific States
API	Acrobat Plug-In
BMZ	The Federal Ministry for Economic Co-operation and Development (Bundesentwicklungsministerium, Germany)
CDU	Christian Democratic Union (Germany)
CSU	Christian Social Union in Bavaria (Germany)
CSV	Comma-Separated Values
DFID	Department for International Development (United Kingdom)
ECHO	DG Humanitarian Aid and Civil Protection
ECJ	European Court of Justice
EDF	European Development Fund
EEC	European Economic Community
EESC	European Economic and Social Committee
EIB	European Investment Bank
EU	European Union
EuropeAid	Development and Co-operation Directorate-General
FDP	Free Democratic Party (Germany)
G8	Group of Eight
GPD	Global Partnerships Department (United Kingdom)
GNI	Gross National Income
HDI	Human Development Index

HTML	HyperText Mark-up Language
IATI	International Aid Transparency Initiative
IMF	International Monetary Fund
LI	Liberal Intergovernmentalism
MDGs	Millennium Development Goals
MLG	Multi-Level Governance
NGO	Non-Governmental Organisation
ODA	Overseas Development Assistance
OECD	Organisation for Economic Co-operation and Development
OECD-DAC	Organisation for Economic Co-operation and Development- Development Assistance Committee
PDF	Portable Document Format
Sida	Swedish International Development Co-operation Agency (Styrelsen för Internationellt Utvecklingssamarbete)
TR-AID	Transparency Aid
UN	United Nations
UN DESA	United Nations Department of Economic and Social Affairs
UNDP	United Nations Development Programme
UNESCAP	United Nations Economic and Social Commission for Asia and the Pacific
XML	Extensible Mark-up Language

Introduction

Background

In recent years, transparency and accountability have emerged as necessary concepts in the deliverance of Overseas Deliverance Assistance (ODA).¹ The goal of development aid remains the elimination of absolute poverty, however the concepts of transparency and accountability may facilitate the use of “aid money wisely.”² Simultaneously, greater aid effectiveness and efficiency have become of concern in times of austerity. Yet, the EU has remained committed to providing development assistance to emerging nations with a goal of 0.7% Gross National Income (GNI) by 2015.³ With the possibility that aid effectiveness may be increased through more transparent and accountable processes, new objectives have been created within international agreements. Additionally, support has been provided by the EU towards transparency and accountability initiatives. An accountability report was produced by the EU in 2012, while commitments towards transparency have been made clear through an *EU Transparency Guarantee*.⁴

Importantly, there has been international support for greater transparency and accountability. *The Paris Declaration on Aid Effectiveness* states that, “donors and partners are accountable for development results.”⁵ Additionally, codes of practices have been set out by the Organisation for Economic Co-operation and Development (OECD), which must be followed.⁶ It has become a necessity to provide full disclosure of items, which have been procured by public officials of development aid.⁷ The concepts have become essential to anti-corruption measures and good governance. Furthermore, the concepts are intricately connected, for example an increase in transparency will lead to greater accountability.⁸ Transparency and accountability may prove to be the most cost-efficient manner of delivering aid.⁹ Moreover, there is a sentiment that all modern

¹ Peter Eigen, “Preface,” in *Confronting Corruption: the Elements of a National Integrity System*, (Malaysia: Transparency International, 2000), p. xv

² EuropeAid, “The EU’s Commitment to Transparency,” accessed 18/04/2013, http://ec.europa.eu/europeaid/how/accountability/iati_en.htm

³ EuropeAid, “Financing for Development,” accessed 18/04/2013, http://ec.europa.eu/europeaid/what/development-policies/financing_for_development/index_en.htm

⁴ EuropeAid, “The EU’s Commitment to Transparency”

⁵ Organisation for Economic Development and Co-operation, *The Paris Declaration on Aid Effectiveness* (Paris, 2005), p. 8

⁶ Ibid.

⁷ Ibid.

⁸ Ibid.

⁹ Ibid.

systems of government require a form of accountability, in order to truly represent public interest.¹⁰ The transparency of finances has been seen as essential.¹¹

Nevertheless, scholarly work has not addressed the role of transparency and accountability in the deliverance of ODA by the EU. The concepts of transparency and accountability are relatively recent. Yet, the importance of research into the levels of transparency within governments and international organisations cannot be overlooked. Calls for comparative studies between governments have come from Non-Governmental Organisations (NGOs) such as, Transparency International. Florini addresses this need, “researchers could help considerably by evaluating the transparency policies of governments and international organisations, comparing them to one another and to absolute standards.”¹²

Structure of the Study

This thesis attempts to address several areas of transparency and accountability. The research has been spread over five chapters: *Introduction*, *Chapter 1: Transparency and Accountability*, *Chapter 2: Theoretical Overview*, *Chapter 3: Methodology*, *Chapter 4: Transparency and Accountability in Practice* and *Conclusion*. Each of these chapters provides dedicated explanation on one element of the research phenomenon. The first three chapters provide a foundation of understanding for data collected and provide a context.

Within the *Introduction* of this research, background to the study, definitions and research questions and objectives have been provided. *Chapter 1: Transparency and Accountability* delves into the intricacies of the two concepts of transparency and accountability. A literature review of material on the transparency is provided within this chapter. Following the review the chapter has been split into three distinct sections. The first section looks over an international framework for transparency and accountability. Within this section the relationship between freedom of information legislation and transparency is explained. The second section delves further into transparency and access to information, while the third section looks into accountability and mechanism, which facilitate accountability.

Chapter 2: Theoretical Overview explores theories within development and integration studies. A review of current literature has been included as part of the overview. A focus is drawn upon major

¹⁰ Jeremy Pope, *Confronting Corruption: the Elements of a National Integrity System*, (Malaysia Transparency International, 2000), p. 33

¹¹ Transparency International, “Poverty, Aid and Corruption,” Policy Paper 01 (2007), p. 19

¹² Ann Florini, “Campaigning for access to information,” in *Global Corruption Report 2003*, (Berlin: Transparency International, 2003), p. 12

theories within development and integration studies. Work from prominent scholars has been examined as part of the review. Following the literature review an in depth exploration of modernisation and dependency theories has been provided. Major theories and concepts within integration studies have explored including neofunctionalism and Liberal Intergovernmentalism (LI). Furthermore, concepts that have appeared in integration theories have been included such as good governance and subsidiarity.

Chapter 3: Methodology provides explanations on the methods employed within the research. This chapter has been divided into three sections. Within the first section a methodological stance is given. The following section looks at the intricacies of a mixed approach in the research through the use of both qualitative and quantitative approaches. Within the third section explanations of three data collection methods are provided. The rationale behind the particular cases selected in the research is explained within this section. Additionally, the types the sources of data are explained in the section through a discussion on archival method. The exact system of data analysis is also given within the third section.

Chapter 4: Transparency and Accountability in Practice goes over the four cases within this research of the EU, Sweden, United Kingdom and Germany. The role of partnership and co-operation in providing transparency and accountability is explained. Furthermore, the level of partnership between the EU and EU Member States is explored. Additionally, results from data collected from this research have been explained. The following chapter is the *Conclusion* of this thesis, and provides a summary of the thesis. Additionally, research questions have been re-visited and explained. Within this chapter limitations of the thesis have been acknowledged. Furthermore, the future direction for research is explored.

Definitions

This section brings clarity to the ideas and concepts introduced within the scope of this thesis. Definitions of the central concepts in this thesis, transparency and accountability are provided. These concepts are discussed in terms of aid effectiveness. As the Accra Agenda for Action notes, “transparency and accountability are essential elements for development results.”¹³ Other definitions that are central to arguments within this study have been included: access to information, accountability, aid effectiveness, good governance, legal frameworks, ODA, partnership and transparency.

¹³ Organisation for Economic Development and Co-operation, *Accra Agenda for Action* (Accra, 2008), p. 20

Access to Information

Information is an essential part of transparency. Through freedom of information, development policies can be made available. However, there must be legal provisions in place, in order to increase accessibility and availability of information. With the accessibility and availability of information, citizen participation may occur, bringing legitimacy to organisations and bodies.¹⁴ Access of information has been defined by Transparency International as:

The right by law — often through freedom of information legislation (acts or laws) — to access key facts and data from the government and any public body. Budgets, project approvals and evaluations are typically published although citizens can petition for more materials to be released.¹⁵

Accountability

The *Paris Declaration on Aid Effectiveness* states that, “donors and partners are accountable for development results.”¹⁶ Accountability deals with reporting standards and obligations of various parties. Importantly, an increase in accountability can also lead to an enhancement in public support for aid initiatives.¹⁷ In recent years, countries and donors have agreed to “become more accountable to each other and to their citizens.”¹⁸ Yet, this process can only occur through mutual commitment. As a result the *Paris Declaration for Aid Effectiveness* highlights the key elements of mutual accountability, and indicates that it is a “major priority.”¹⁹ Notably, accountability can also strengthen country partnerships and further increase aid effectiveness. Within the scope of this study, accountability is defined as; the obligations of all parties to correctly report the usage of resources, implement development strategies through partnership, and assess objectives at country levels.

Aid effectiveness

Since the *Paris Declaration on Aid Effectiveness*, there has been a push for consensus in the definition of aid effectiveness. This is particularly due to the importance of the concept in reaching the Millennium Development Goals (MDGs). Importantly, the idea looks at greater accountability.

¹⁴ Seiichi Kondo, “Fostering Dialogue to Strengthen Good Governance,” in *Public Sector Transparency and Accountability: Making it Happen*, (Paris: OECD, 2002), p. 9

¹⁵ Transparency International, *The Anti-Corruption Plain Language Guide* (Berlin, 2009), accessed 01/01/2013, http://www.transparency.org/whatwedo/pub/the_anti_corruption_plain_language_guide, p. 1

¹⁶ Organisation for Economic Development and Co-operation, *The Paris Declaration on Aid Effectiveness*, p. 8

¹⁷ Ibid.

¹⁸ Organisation for Economic Development and Co-operation, *Accra Agenda for Action*, p. 20

¹⁹ Organisation for Economic Development and Co-operation, *The Paris Declaration on Aid Effectiveness*, p. 8

Partnership between recipient and donor countries is also strengthened through greater aid effectiveness. The United Kingdom's Department for International Development (DFID) has defined the term:

...The importance of aid that is country-owned, aligned and harmonised, focused on the poorest, predictable and untied, delivered through effective institutions, and that focuses on results not inputs. Donors should also use minimal conditions, strengthen accountability and participation, and ensure their own policies are joined up behind the country's poverty strategy.²⁰

Good Governance

The World Bank has raised the profile of good governance in recent years. As Haynes has commented, "choice and implementation of public actions that are responsive to the needs of poor people [that] depend on the interaction of political, social and institutional processes."²¹ Yet, good governance has been criticised for being too narrow, focussing on one aspect of the broader picture.²² However, the concept is more than just about reducing corruption and too often it has been given a restrictive definition, as simply a reduction of corruption and an increase in transparency.²³ According to legal academics, good governance could also bring social legitimacy to the actions of the EU and move away from more economic issues.²⁴

Within the scope of this study, transparency and accountability are treated as elements of good governance within the administration of ODA. So, the concept can cover various activities conducted within the public sphere.²⁵ However, good governance is not always binding (as in the case of the Cotonou agreement), which can diminish its significance.²⁶ It may also be used to characterise public affairs within an entire country, in order to distinguish unstable systems.²⁷ In this study, good

²⁰ Department for International Development, "What is Aid Effectiveness?" accessed 04/08/2012, <http://webarchive.nationalarchives.gov.uk/+http://www.dfid.gov.uk/mdg/aid-effectiveness/what-is.asp>

²¹ Jeffrey Haynes, *Development Studies* (Malden, MA: Polity, 2008), p. 37

²² B Guy Peters and John Pierre, "Governance Approaches" in *European integration theory*, ed. Antje Wiener and Thomas Diez (Oxford: Oxford University Press, 2009), p.94

²³ *Ibid.*, p. 93

²⁴ Ulrich Haltern, "Integration through Law" in *European integration theory*, ed. Antje Wiener and Thomas Diez (Oxford: Oxford University Press, 2004), p.179

²⁵ Matthew Doidge and Martin Holland, *Development Policy of the European Union* (Basingstoke: Palgrave Macmillan, 2012), p. 192

²⁶ Maurizio Carbone, "The European Union, Good Governance and Aid Co-Ordination," *Third World Quarterly* Vol. 31, No. 1(2010), p. 14-15

²⁷ Sabine C. Zanger, "Good Governance and European Aid: The Impact of Political Conditionality," *European Union Politics*, 1, 3, 2000, p. 295

governance has been defined as, “being participatory, accountable, transparent, efficient, responsive and inclusive, respecting the rule of law and minimising opportunities for corruption.”²⁸

Legal Frameworks

In order to achieve the key concepts of good governance, aid effectiveness, transparency and accountability, a strong legal framework needs to set out. As Radaelli notes, “good legislation requires consultation, regulatory impact assessment, and systematic evaluation of the results achieved by European public policies. But it also requires transparency.”²⁹ The legal framework has been made up of the legal documents, both binding and non-binding that pertain to ODA. These documents include legislation at national, international and EU levels. For the scope of this study, the various documents are at international, EU and EU Member State levels. For this reason, it is important to note to what extent a particular document has effect or influence in another country

Overseas Development Assistance (ODA)

One of the most accepted definitions of ODA comes from the International Monetary Fund (IMF). The same definition has frequently been used by the OECD. ODA deals with the amount of cash flows administered by donor and recipient nations. The definition is as follows:

Flows of official financing administered with the promotion of the economic development and welfare of developing countries as the main objective, and which are concessional in character with a grant element of at least 25 percent (using a fixed 10 percent rate of discount). By convention, ODA flows comprise contributions of donor government agencies, at all levels, to developing countries (“bilateral ODA”) and to multilateral institutions. ODA receipts comprise disbursements by bilateral donors and multilateral institutions. Lending by export credit agencies—with the pure purpose of export promotion—is excluded.³⁰

Partnership

Partnership can be viewed as essential to accountability. Moreover, the concept of partnership has an essential role in the deliverance of ODA. This concept can have multiple meanings. Yet, no matter the definition, an element includes multiple parties and some degree of collaboration. Moreover, mutual interests may be involved, in order for a partnership to exist. Within this research, partnership refers strictly in terms of development assistance. Moreover, a definition provided by the World Health Organisation (WHO) has been used. “Partnership can be defined as a collaborative

²⁸ Transparency International, *The Anti-Corruption Plain Language Guide*, p. 22

²⁹ Claudio Radaelli, *Technocracy in the European Union* (London: Langdon, 1999), p. 5

³⁰ International Monetary Fund, *External Debt Statistics: Guide for Compilers and Users* – (Washington DC, 2003), Appendix III, Glossary

relationship between two or more parties based on trust, equality, and mutual understanding for the achievement of a specified goal. Partnerships involve risks as well as benefits, making shared accountability critical.”³¹

Policy Coherence for Development

With coherent decision-making, development aid may be more effectively delivered. The concept of policy coherence for development is related to the need for partnerships and co-operation in the deliverance of ODA. A definition has been provided by the OECD, “policy coherence means different policy communities working together in ways that result in more powerful tools and products for all concerned. It means looking for synergies and complementarities and filling gaps among different policy areas so as to meet common and shared objectives.”³²

Transparency

At the heart of the *Paris Declaration for Aid Effectiveness* are the key concepts of transparency and accountability.³³ The term does not just pertain to development studies, but holds a wider scope. Transparency should be viewed as a key concept in all forms good governance. The United Nations Economic and Social Commission for Asia and the Pacific (UNESCAP) and United Nations Department of Economic and Social Affairs (UN DESA) have defined transparency as the correct implementation of decisions through legal processes, with reliable information made available to parties affected by decisions.³⁴ The details of such information have been laid out in the *Accra Agenda for Action*, section 24. Within the scope of this study, section 24 has been used as guidance. This section looks at availability of financial information at recipient and donor levels, assessment reviews, along with accountability mechanisms.³⁵

Within the scope of this study transparency has been defined as,

Characteristic of governments, companies, organisations and individuals of being open in the clear disclosure of information, rules, plans, processes and actions. As a principle, public officials, civil servants, the managers and directors of companies and organisations, and board

³¹ World Health Organisation, “Building a Working Definition of Partnership: African Partnerships for Patient Safety (APPS),” accessed 26/04/2013, http://www.who.int/patientsafety/implementation/apps/resources/defining_partnerships-apps.pdf

³² Organisation for Economic Development and Co-operation, “Development Co-operation Report 2001,” *The DAC Journal*, (Paris, 2002)

³³ Organisation for Economic Development and Co-operation, *Accra Agenda for Action*, p. 20

³⁴ United Nations Economic and Social Commission for Asia and the Pacific, “What Is Good Governance?” accessed 2/05/2012, <http://www.unescap.org/huset/gg/governance.htm>.

Elia Armstrong, “Integrity, Transparency and Accountability in Public Administration: Recent Trends, Regional and International Developments and Emerging Issues” (New York: United Nations, 2005), p. 1

³⁵ Organisation for Economic Development and Co-operation, *Accra Agenda for Action*, p. 20

trustees have a duty to act visibly, predictably and understandably to promote participation and accountability.³⁶

Research Questions and Research Objectives

This section examines the main research question within the thesis, along with sub-questions. The sub-questions have been divided into five parts that address elements of the central research question. The main research question and sub-questions have been posed around accountability and transparency in EU ODA. EU institutions are large donors of ODA, according to the OECD contributing \$US 13 226 million (constant \$US for 2009) for the 2010 period.³⁷ Furthermore, effective use of aid has become essential in times of austerity. Both transparency and accountability touch upon the underlying issue of aid effectiveness. An element of transparency is based on the availability of information. Furthermore, the presentation of financial information may alter decisions at political, social or economic levels. International standards deal with the presentation of such information, and require the upmost consistency. It is important that both recipients and donors have equal access to vital data, in order to avoid poor decision-making. However, without accountability mechanisms in place, information may lead to little change. The concepts of transparency and accountability underpin the thesis, and are inter-related.

Central to the exploration of these issues is the research question. Both transparency and accountability are part of the research question. Through public management frameworks the concepts can be examined. Additionally, the administration of EU ODA deals with the deliverance of aid. Cases have been used, so three EU Member States, United Kingdom, Germany and Sweden have been selected and analysed along with the EU. The main research question is: *To what extent do public management frameworks at EU levels require transparency and accountability in the administration of EU Overseas Development Aid ODA activities? How do these public management frameworks compare to those of EU Member States'?*

As the sub-questions have been divided into five parts that address elements of the central research question, the first two sub-questions look at public management frameworks. The first sub-question looks at EU public management frameworks: *What are the EU public management frameworks regarding the administration of ODA?* The second sub-questions looks at the EU Member States' public management frameworks: *What are the Member States' public management frameworks regarding the administration of ODA?*

³⁶ Transparency International, *The Anti-Corruption Plain Language Guide*, p. 44

³⁷ Organisation for Economic Co-operation and Development- Development Assistance Committee, "EU Institutions," accessed, 23/07/2012, <http://www.oecd.org/dac/aidstatistics/44284290.gif>

Without addressing the rationale behind transparency and accountability in the administration of EU ODA, it is difficult to understand the phenomenon. The third sub-question addresses the issue of purpose: *What is the purpose of the requirements for transparency and accountability?* This sub-question looks at the specific requirements within transparency and accountability initiatives. For example, whether requirements have been made in order to make more informed decisions at a higher authority, or whether they are used as a future point of reference that may aid efficiency in the administration of ODA.

Whether transparency and accountability are present in the administration of ODA may depend on which actor or actors have decided to manage a particular programme or project. Furthermore, there may be external influences for creating transparency and accountability. The fourth and fifth questions look at how administration can be affected by various actors. The fourth sub-question is: *What level of ODA administration is shared between the EU and EU Member States?* As evaluation is part of administration, it seems apt to wonder whether there is an overlap between the various actors. In order to increase efficiency in the deliverance of ODA, evaluation may only occur once, using set through mutually agreed criterion. The fifth sub-question addresses the role of the international community in creating standards for transparency and accountability within the deliverance of ODA: *What is the international legal framework supporting transparency and accountability within the deliverance of ODA?*

Chapter 1: Transparency and Accountability

Introduction

The central argument within this thesis revolves around the concepts of transparency and accountability. So, it is only apt that the first chapter of this research explains the various elements within these concepts in full. Firstly, a literature review of current material regarding the concepts is presented. Secondly, the linguistic construction of these concepts is explored within the literature review. Thirdly, a section on an international development aid legal framework supporting transparency and accountability is explained. An overview of the concept of transparency follows. Additionally, the role of transparency in good governance and access to information is explored. Following this section is an overview on accountability and its role in financial responsibility. An explanation of the National Integrity System is given. Accountability mechanisms are then broken into the categories: public accountability, political accountability, legal accountability, administrative accountability and whistle-blowing. Lastly, the role of accountability in citizen participation is given.

Literature Review

Introduction

This literature review touches upon the concepts of transparency and accountability, along with international legal documents. These documents are critical to the transparency and accountability of ODA. Partnerships between actors may result in more effective aid, yet a degree of transparency and accountability is needed. These relationships play a central role in the structure of ODA. Early literature from the 1990s regarding the concepts of transparency and accountability comes particularly from Non-Governmental Organisations (NGOs) such as, Transparency International. However, the concepts have also previously appeared in public management literature. The linguistic origins of the concepts are also explored. A focus on transparency and accountability is brought by looking at the concepts within policies from the EU. By looking at the EU a holistic overview of the concepts can be taken within policy discourse from the region.

Language

Language within the development industry has had a profound impact on policies. With each decade, a new form of language has emerged. Words such as, colonial have disappeared from the agenda for donors.³⁸ In the last 60 years, these changes have led several commentators to conclude

³⁸ Naomi Alfini and Robert Chambers, "Words Count: Taking a Count of the Changing Language of British Aid," in *Deconstructing Development Discourse: Buzzwords and Fuzzwords*, (Rugby: Practical Action Pub. in association with Oxfam GB, 2010), p. 33

that language has become a particular substrate of policy-making in development.³⁹ The changing nature of the international arena has brought change to language used for development. Transparency and accountability are not immune to such changes, and are viewed as currently in “vogue.”⁴⁰ Often the power of language in development has been overlooked, yet language can denote power and challenge ideas.⁴¹ As Nietzsche once said, “all things are subject to interpretation; whichever interpretation prevails at a given time is a function of power and not truth.”⁴²

Criticisms have emerged, which stem from the ambiguity of language in development.⁴³ This ambiguity may trace back to the origins of development which denotes both economic growth and a set of beliefs. Therefore, it is appropriate to conclude that language has been given several purposes.⁴⁴ Eade notes that language within development is, “descriptive and normative, concrete and aspirational, convictions of nothing, whilst requiring aspects of the modernising agenda.”⁴⁵ Due to such ambiguity, both transparency and accountability may also hold several interpretations. Depending on the stakeholder position, transparency and accountability may be used in different ways.⁴⁶ Essentially, the terms’ importance rests upon how they are defined.⁴⁷ It is only appropriate then, that the several interpretations of these two words and their wider implications are explored.

Transparency and accountability can be interpreted depending on the position of the stakeholder. As such, the concrete definitions of these words are intrinsically important. As Fox notes, “one person’s transparency is another’s surveillance. One person’s accountability is another’s persecution. Where one stands on these issues depends on where one sits.”⁴⁸ Such variety in interpretation highlights how the terms could be used in a different manner, than the original intention. Nevertheless, organisations such as the Organisation for Economic Co-operation and Development (OECD) have attempted to provide concrete definitions in policy documents, such as

³⁹ Deborah Eade, “Preface,” in *Deconstructing Development Discourse: Buzzwords and Fuzzwords*, (Rugby: Practical Action Pub. in association with Oxfam GB, 2010), p. viii

⁴⁰ Alfini and Chambers, “Words Count,” p. 29

⁴¹ Eade, “Preface,” p. ix

⁴² Friedrich Nietzsche, “Meaning,” in *Wisdom for the Soul: Five Millennia of Prescriptions for Spiritual Healing*, edited by Larry Chang (Washington, USA: Gnosophia Publishers), p. 498

⁴³ Eade, “Preface,” p. ix

⁴⁴ Gilbert Rist, *The History of Development: From Western Origins to the Global Faith* (London: Zed, 2002), p. 24

⁴⁵ Eade, “Preface,” p. ix

⁴⁶ Jonathan Fox, “The uncertain relationship between transparency and accountability,” *Development in Practice*, 17:4, 2007, p. 664

⁴⁷ Ibid.

⁴⁸ Jonathon Fox, “The Uncertain Relationship between Transparency and Accountability,” in *Deconstructing Development Discourse: Buzzwords and Fuzzwords*, (Rugby: Practical Action Pub. in association with Oxfam GB, 2010), p. 245

the *Accra Agenda for Action*.⁴⁹ The organisation has asserted that, “ensuring Accountability and Transparency in the Public Sector, is important to all countries.”⁵⁰

Transparency and accountability may refer to a wide number of activities.⁵¹ Yet, it is important to note, that transparency and accountability are related, but they are not one and the same. In essence, “transparency generates accountability.”⁵² However, some commentators have also argued that in order for accountability to truly occur, transparency may need to lessen.⁵³ Yet, in this argument, neither accountability nor transparency have been defined in regard to a particular situation. Both transparency and accountability are multi-layered concepts with different elements. For example, accountability may refer to the responsibility of civil servants, while transparency may refer to availability of information.⁵⁴ Yet, the concepts may also refer to good governance and policy-making.⁵⁵

Transparency

The intricacies between the two concepts of transparency and accountability have been noted by scholars. As Fox has noted, transparency leads to accountability.⁵⁶ Traditionally, the origins of transparency are debatable. Yet, some scholars have taken commentary from prominent figures to support arguments regarding transparency. One of these arguments pertains to the founding fathers of the United States of America.

A popular government without popular information, or the means of acquiring it, is but a prologue to a face or a tragedy or perhaps both. Knowledge will forever govern ignorance, and a people who mean to be their own governors must arm themselves with the power knowledge gives.⁵⁷

An element of transparency and accountability within the deliverance of ODA deals with financing of development activities. However, it may only through a balance of power within government that the finances of development activities be uncovered.⁵⁸ According to NGOs a certain arms of

⁴⁹ Organisation for Economic Development and Co-operation, *Accra Agenda for Action*, p. 20

⁵⁰ Kondo, “Fostering Dialogue to Strengthen Good Governance,” p. 7

⁵¹ Fox, “The Uncertain Relationship between Transparency and Accountability,” p. 665

⁵² *Ibid.*, p. 664

⁵³ *Ibid.*, p. 245

⁵⁴ Kondo, “Fostering Dialogue to Strengthen Good Governance,” p. 7

⁵⁵ *Ibid.*, p. 9

⁵⁶ Fox, “The Uncertain Relationship between Transparency and Accountability,” p. 245

⁵⁷ The University of Chicago Press, “The Founders' Constitution: Volume 1, Chapter 18, Document 35,” accessed 12/04/2013, <http://press-pubs.uchicago.edu/founders/documents/v1ch18s35.html>

⁵⁸ Peter Eigen, “Introducing the Global Corruption Report 2003,” in *Global Corruption Report 2003* (Berlin: Transparency International, 2003), p. 2

government are essential in providing transparency through accessibility and availability of information.⁵⁹ Criticisms have been made by NGOs regarding the balance of power within institutions. According to Transparency International, parliament provides transparency through analysis of public funds.⁶⁰ Nevertheless, governments may often hold more power through the executive.⁶¹ Questions have also been raised regarding the accuracy of figures related to financial activities.⁶² Additionally, it may also be important to empower the judiciary, in order to increase transparency. This may reduce corruption through the rule of law. According to some scholars, it is also necessary to also have mechanisms in place that allow for more effective accountability.⁶³

Within literature on transparency, an element pertains to trust. In recent years, there has been public support for greater transparency.⁶⁴ Often these demands may stem from a need for accessibility and availability of information, in order for trust in governments to ensue.⁶⁵ Yet, as some scholars have noted there is a complex relationship between privacy and greater transparency. A requirement of transparency is a degree of trust in public and private institutions.⁶⁶ Yet, as Joly highlights trust may only be restored if there is transparency initially. Moreover, the two concepts of trust and transparency may have become substitutes for one another.⁶⁷

Access to information has been viewed as another aspect of transparency. As George Bernard Shaw has noted, “the right to know is like the right to live. It is fundamental and unconditional in its assumption that knowledge, like life, is a desirable thing.”⁶⁸ Furthermore, information held within governments should be viewable to its citizens.⁶⁹ Nevertheless, citizens may not need to be given large amounts of irrelevant information. This means information is needed in an organised manner. Not only that but reliable and truly informative.⁷⁰ Moreover, independent bodies may also be able to verify and track spending within the deliverance of ODA through access of information.⁷¹

⁵⁹ Eigen, “Introducing the Global Corruption Report 2003,” p. 2

⁶⁰ Ibid.

⁶¹ Ibid.

⁶² Ibid.

⁶³ Ibid.

⁶⁴ Jeremy Pope, “Access to Information: Whose Right and Whose Information,” in *Global Corruption Report 2003*, (Berlin: Transparency International, 2003), p. 15

⁶⁵ Ibid.

⁶⁶ Ibid., p. 6

⁶⁷ Ibid., p. 15

⁶⁸ George Bernard Shaw, “Preface on Doctors: The Flaw in the Argument,” in *The Doctor’s Dilemma* (Maryland: Wildside Press LLC, 2003), p. xl

⁶⁹ Pope, “Access to Information,” p. 14

⁷⁰ Ibid., p. 15

⁷¹ Eva Joly, “Preventing Corruption: empowering the judiciary,” in *Global Corruption Report 2003*, (Berlin: Transparency International, 2003), p. 2

Calls for transparency have been made alongside anti-corruption measures. According to Transparency International, budget transparency may play a vital role in creating disclosure of financial activities and support anti-corruption measures.⁷² This form of transparency often refers to donor contributions to projects in recipient nations. Transparency International has also noted that donors should make budget transparency mandatory in all transactions between partners. Notably, this form of transparency should also be mutual between partners to ensure greater effectiveness.⁷³

Practical approaches towards transparency have been provided by some scholars. Fagan provides information regarding transparency initiatives at national levels.⁷⁴ According to Fagan, a legal framework is necessary for transparency.⁷⁵ Additionally, information should be made available to citizens regarding their rights to transparent information.⁷⁶ Fagan also refers to the International Aid Transparency Initiative (IATI) as another channel towards transparency through national pledges.⁷⁷ The IATI was created in order to have greater transparency in deliverance of ODA in *the Paris Declaration for Aid Effectiveness*. Importantly, Fagan also notes that transparency has legal foundations in *the Universal Declaration for Human Rights, Accra Agenda for Action and the United Nations (UN) Convention against Corruption*.⁷⁸

Accountability

Important questions have been raised through public management regarding the role of accountability.⁷⁹ The reason for accountability has been addressed by some scholars.⁸⁰ Additionally, the policy implementation and success of achieving objectives set by government has been questioned. The extent to which accountability should be used is a question, which has also been raised.⁸¹ As Oliver summarises, “accountability has said to entail being liable to be required to give an account or explanation of actions and, where appropriate, to suffer the consequences, take the blame or undertake to put matters right if it should appear that errors have been made.”⁸²

⁷² Transparency International, “Poverty, Aid and Corruption,” p. 21

⁷³ Ibid., p. 21

⁷⁴ Craig Fagan, *The Anti-Corruption Catalyst: Realising the MDGs by 2015*, (Berlin: Transparency International, 2010), p. 8

⁷⁵ Ibid.

⁷⁶ Ibid.

⁷⁷ Ibid.

⁷⁸ Ibid.

⁷⁹ Dawn Oliver, *Government in the United Kingdom: The Search for Accountability, Effectiveness, and Citizenship* (Milton Keynes: Open University Press, 1991), p. 23

⁸⁰ Ibid.

⁸¹ Ibid.

⁸² Ibid., p. 22

For some scholars accountability may appear in forms. Pope suggests that within democratic nations, two forms of accountability occur.⁸³ “Vertical accountability” is a form whereby state authorities have control over scenarios and produce results.⁸⁴ “Horizontal accountability” is a form in which those state authorities are looked over by independent bodies.⁸⁵ Furthermore, “vertical accountability” refers to a vertical plane or hierarchy in which accountability moves upwards within bodies. Conversely, “horizontal accountability” refers to a structure whereby institutions are accountable to one another.⁸⁶ No particular body has greater power over other institutions. In essence these two forms refer to the difference between a hierarchical structure of governance and a distribution of power within governance. According to Pope, vertical accountability is more ideally suited to democracies, as discontent citizens are in a position to vote out despotic regimes.⁸⁷ Yet, he also notes that horizontal accountability removes the possibility of “absolute power.”⁸⁸

Notably, a move towards vertical accountability has occurred with more scholars focussing on institutions, which are accountable to one another. Many of the bodies that provide accountability include the Auditor General’s Office, Parliaments, Ombudsman, Judiciary and Legislature.⁸⁹ Within literature from NGOs, a so-called National Integrity System has been created in which complex accountability relationships occur between institutions.⁹⁰ These bodies may also be viewed as accountability mechanisms. Essentially, “horizontal accountability” can also be viewed as a system of interactions between these bodies.

In relation to the deliverance of ODA, accountability mechanisms can be designed by both recipient and donor nations.⁹¹ According to Transparency International, the stakeholders involved may be able to design processes between the various bodies that increase accountability.⁹² Essentially, these processes could be viewed as a form of mutual accountability. Both recipients and donors provide access to information, and ensure that the deliverance of ODA occurs within a vigorous legal framework.⁹³ According to Transparency International, parliament has a vital role in ensuring that accountability occurs.⁹⁴

⁸³ Pope, *Confronting Corruption*, p. 24

⁸⁴ Ibid.

⁸⁵ Ibid.

⁸⁶ Ibid., p. 33

⁸⁷ Ibid., p. 25

⁸⁸ Ibid., p. 26

⁸⁹ Ibid., p. 33

⁹⁰ Ibid., p. 35

⁹¹ Transparency International, “Poverty, Aid and Corruption,” p. 8

⁹² Ibid., p. 21

⁹³ Ibid., p. 19

⁹⁴ Ibid.

The role of the media has also been addressed by organisations, such as Transparency International.⁹⁵ A free and independent media may often bring about a form of accountability, and can be viewed as an accountability mechanism. Furthermore, media organisations have often played a role against corruption.⁹⁶ Yet, government regulations or advertising policies may hinder the media's role as an accountability mechanism.⁹⁷

The importance of accountability within development aid has been addressed within NGO literature. Trust may be diminished between partners due to perceptions of opaque information. According to Pope, "lack of accountability" may have reinforced these perceptions.⁹⁸ Additionally, the details of projects or programmes may be concealed by administrative procedures. The citizens that development aid may be intended to help, may be unaware of the situation due to a lack of transparency and accountability.⁹⁹ Citizen involvement can be viewed as a vital element of accountability.

Notably, there has been a growing concern for greater accountability globally.¹⁰⁰ Some arguments for accountability include recognition that the concept may promote public interest.¹⁰¹ Concern over the influence of private parties has led some commentators to note that accountability has become an integral element of governance.¹⁰² Within developing nations, a perception of "secrecy" may be counteracted by accountability.¹⁰³

Transparency and Accountability in the European Union

In recent years, the EU has begun addressing issues surrounding accountability and transparency. Jurisdictional issues have resulted in issues of accountability.¹⁰⁴ Country strategy papers between recipient nations and the EU have outlined the direction of development.¹⁰⁵ There has been an emphasis on efficiency, division of programmes, indicative programmes, individual commitments and payments.¹⁰⁶ Partnerships play a central role in the structure of ODA along with Millennium Development Goals (MDGs). The focus on MDGs has also been criticised as ODA may need to go

⁹⁵ Transparency International, "Poverty, Aid and Corruption," p. 19

⁹⁶ Ibid.

⁹⁷ Ibid.

⁹⁸ Pope, "Access to Information," p. 9

⁹⁹ Ibid.

¹⁰⁰ Fox, "The Uncertain Relationship between Transparency and Accountability," p. 664

¹⁰¹ Pope, *Confronting Corruption*, p. 33

¹⁰² Ibid.

¹⁰³ Pope, "Access to Information," p. 3

¹⁰⁴ Claudia Apel et al., "Hit and Run Development," ed. Greg Aitken (Brussels: Counter Balance: Challenging the European Investment Bank, 2010), p. 17

¹⁰⁵ EuropeAid, "Aid Funding – Investing in a Better Future," accessed 1/05/2012, http://ec.europa.eu/europeaid/where/acp/overview/index_en.htm.

¹⁰⁶ Ibid.

beyond their scope.¹⁰⁷ Alternatively, guidelines created through MDGs may be side-lined.¹⁰⁸

According to a working paper from the European Commission, annual reports and follow up reports may increase effectiveness.¹⁰⁹ There is also a need for collective benchmarking, which may involve Member States to ensure transparency.¹¹⁰ Criticisms from Member States have shown that the current level of information needs to go beyond an annual report produced by the European Court of Auditors to demonstrate some form of accountability.¹¹¹

The European Consensus on Development has outlined two goals and two target: re-enforce effectiveness, strengthen profile, increase efficiency and co-ordination. Furthermore, partnerships are increasingly important.¹¹² The Cotonou agreement also displays the importance of dialogue and partnership between donors and recipients.¹¹³ Yet, this partnership has not resulted in equal alignment during budgetary decisions.¹¹⁴ Nor, has the partnership meant equal responsibility while conducting evaluation, as a joint parliamentary assembly has noted.¹¹⁵ The agreement has played a central role in the place of transparency and accountability within ODA activities, and refers to the role of good governance.¹¹⁶ Good governance is broad term that pertains to various levels of management.¹¹⁷ The term emerged in the late 1980s at the World Bank, and was driven by Bretton Woods Institutes.¹¹⁸ In part good governance is related to transparency and accountability, and as such, some have argued that it should be a “fundamental and positive element”, instead of an

¹⁰⁷ Andrew Willis, "EU Aid Policy to Target Fewer States and Good Governance," *EUObserver* 2011.

¹⁰⁸ Florent Sebban, "EU Aid Masks Big Bully Tactics in Developing World," *EUObserver* 2007.

¹⁰⁹ "Commission Staff Working Paper – Annex to the Communication from the Commission" *EU Strategy for Africa" - Impact Assessment*, in *52005SC1255*, ed. Commission of the European Communities (Brussels: EUR-Lex: European Communities, 2005).

¹¹⁰ *Ibid.*

¹¹¹ Marjorie Lister, *The European Union and the South: Relations with Developing Countries* (USA and Canada: Routledge, 1997), p. 126

¹¹² Carbone, "The European Union, Good Governance and Aid Co-ordination," p. 14

¹¹³ Stephen R. Hurt, "Co-operation and Coercion? The Cotonou Agreement between the European Union and ACP states and the End of the Lomé Convention," *Third World Quarterly* Vol. 24, No. 1(Feb 2003), p. 163

¹¹⁴ Lister, *The European Union and the South: Relations with Developing Countries*, p. 127

¹¹⁵ "Joint Parliamentary Assembly of the Partnership Agreement between the Members of the African, Caribbean and Pacific Group of States and the European Community and Its Member States – Resolution on EDF Management," in *22001P0920(17)* (Libreville: EUR-Lex: European Communities, 20/09/2001). Sec. C

¹¹⁶ Delegation of the European Union to Sierra Leone, "Africa-EU Relations," accessed 1/05/2012, http://eeas.europa.eu/delegations/sierra_leone/africa_eu/africa_eu_relationship/index_en.htm.

Gordon Crawford, "The EU and Democracy Promotion in Africa: High on Rhetoric, Low on Delivery?" In *EU Development Policy in a Changing World: Challenges for the 21st Century*, ed. Andrew Mold (Amsterdam: Amsterdam University Press, 2007), p. 184

EuropeAid, "The Cotonou Agreement," accessed 1/05/2012, http://ec.europa.eu/europeaid/where/acp/overview/cotonou-agreement/index_en.htm.

¹¹⁷ Doidge and Holland, *Development Policy of the European Union*, p. 192

¹¹⁸ Carbone, "The European Union, Good Governance and Aid Co-ordination," p. 14-15

“essential element” within the agreement as the difference may diminish its importance.¹¹⁹ There have also been criticisms that “bad governance” has been rewarded by donors.¹²⁰

In 1997 the European Economic and Social Committee (EESC) published a paper that highlighted the need for greater decentralisation.¹²¹ Suggestions were made regarding decentralised administrative measures that would allow specialists and guides to participate in projects and ensure that those projects be carried out.¹²² A later opinion from the EESC highlighted the importance of results rather than input.¹²³ The opinion also expressed that the way in which evaluation operated needed to be altered.¹²⁴ Greater transparency was also recommended, however the means to achieve such transparency was not mentioned.¹²⁵

The European Committee on Development has highlighted some of the issues which have arisen from the current system of financial management within the deliverance of development aid.¹²⁶ Concerns about a lack of transparency in European Investment Bank (EIB) loans have arisen, particularly regarding tax governance.¹²⁷ Labour sourcing at an international level rather than a donor level in a project cycle has also been viewed as a hindrance to development.¹²⁸

Summary

The current literature on transparency and accountability is diverse. Scholarly information on the subject is scarce and this review draws greatly from work by Transparency International. The origin of literature is still debatable due to the various areas that the concepts pertain to, including management and policy-making. There has been more recent interest in the language of development policy. Importantly, transparency and accountability have been viewed as multi-layered even from a linguistic perspective. The two concepts can be viewed as integrally connected, yet focus on different issues. Transparency may be viewed as an over-arching concept for the access

¹¹⁹ Carbone, "The European Union, Good Governance and Aid Co-ordination," p. 21
Crawford, "The EU and Democracy Promotion in Africa: High on Rhetoric, Low on Delivery?" p. 184
“(AE) Development Aid: Citizens' Overwhelming Support for Development Aid,” *Agence Europe* 2011.

¹²⁰ Zanger, "Good Governance and European Aid," p. 311

¹²¹ "Opinion of the Economic and Social Committee on the 'Green Paper on Relations between the European Union and the ACP Countries on the Eve of the 21st Century - Challenges and Options for a New Partnership'," in *51997AC0775*, ed. Economic and Social Committee (EUR-Lex: European Communities 1997), Sec 7.7

¹²² *Ibid.*, Sec. 7.9

¹²³ ""Opinion of the Economic and Social Committee on 'Making Sure That EC Aid Produces the Best Possible Results'," in *52000IE0370*, ed. Economic and Social Committee (EUR-Lex: European Communities 2000), Sec 1.2

¹²⁴ *Ibid.*, Sec 6.7

¹²⁵ *Ibid.*, Sec 9.13

¹²⁶ "Opinion of the Committee on Development for the Committee on Budgetary Control on the European Investment Bank (EIB) – Annual Report 2010 ", in *2011/2186(INI)* (Brussels, 2012)

¹²⁷ "Opinion of the Committee on Development for the Committee on Budgetary Control on the European Investment Bank (EIB) – Annual Report 2010"

¹²⁸ *Ibid.*

of information. Moreover, trust may be created through a presence of transparency. Similarly, accountability may appear in various forms and address particular issues. So-called “vertical” and “horizontal” accountability refers to governance through institutions or hierarchy. Accountability may also occur through mechanisms, which come in the form of institutions such as Parliament, the Auditor General’s Office, and the Judiciary. A growing concern for greater transparency and accountability has appeared in literature regarding development aid. The EU has addressed some of these concerns. The Cotonou Agreement represents a change in development policy discourse for greater transparency and accountability. Although transparency and accountability are examined within other EU Member States in this research, only the EU literature was selected in this review. There is evidence of the concepts present in EU policy-making, however scholarly work remains scarce.

International legal framework

Law is essential in achieving efficient, effective and open public administration. The concepts of transparency and accountability are rooted within fundamental human rights. Part of the concept of transparency pertains to access and availability of information as such, the freedom of information is important. The *Universal Declaration of Human Rights* and the *Convention for the Protection of Human Rights and Fundamental Freedoms* shape part of the legal framework, by establishing freedom of information. In addition, this framework is a crucial requirement for creating transparency and accountability.¹²⁹ However, it must be accompanied by appropriate legal provisions for implementation.¹³⁰ This includes public bodies with responsibilities towards transparency, which require compliance.¹³¹ Additionally, regulation and law in place must also establish responsibility towards transparency.¹³² Public officials may also need to be trained appropriately, in order to provide transparency.¹³³ More importantly, there needs to be an expressed desire from parties for the creation of an effective legal framework.¹³⁴ In recent years, the aspiration for greater transparency and accountability has appeared in the *Paris Declaration for Aid Effectiveness* and *Accra Agenda for Action*. The creation of the International Aid Transparency Initiative (IATI) has facilitated the commitments made in Paris and Accra. The recent *High Level Forum on Aid Effectiveness* in Busan has also reiterated the need for transparency and accountability in development aid. This section explains the origin of transparency and accountability in the

¹²⁹ Cláudio Weber Abramo, “Access to Information- A Long Way to Go,” in *Public Sector Transparency and Accountability: Making it Happen* (Paris: OECD, 2002), p. 146

¹³⁰ *Ibid.*, p. 146

¹³¹ *Ibid.*

¹³² *Ibid.*

¹³³ *Ibid.*

¹³⁴ *Ibid.*

Universal Declaration of Human Rights and the Convention for the Protection of Human Rights and Fundamental Freedoms. Furthermore, declarations and partnerships in recent years regarding transparency and accountability within development aid are explored. The concepts in the context of *the Paris Declaration on Aid Effectiveness, Accra Agenda for Action, and Busan Partnership for Effective Development Co-operation* have been explained.

Universal Declaration of Human Rights and the Convention for the Protection of Human Rights and Fundamental Freedoms

Information is essential to the concepts of transparency and accountability. Without the availability of information and the freedom of expression, neither concept would have the same legal basis.¹³⁵ The proverb “information is power” summarises the influence that knowledge may have.¹³⁶ Without accessible and understandable information, authority over public administration may remain opaque. Importantly, freedom of information legislation is intertwined with the concepts of transparency and accountability. Article 19 of the *Universal Declaration of Human Rights* establishes the right to information.

In essence, freedom of information gives citizens the “right to know.”¹³⁷ The United Nations *Universal Declaration of Human Rights* adopted in 1948 and the Council of Europe *Convention for the Protection of Human Rights and Fundamental Freedoms* adopted in 1950 are important to the origins of transparency and accountability.¹³⁸ Furthermore, these documents form the basis for access to information and can be used as a start point for legislators.¹³⁹ However, the documents need to be enshrined in constitution and be properly implemented, in order to be effective.¹⁴⁰

Article 19 of the *United Nations Universal Declaration of Human Rights* states that, “everyone has the right to freedom of opinion and expression; this right includes freedom to hold opinions without interference and to seek, receive and impart information and ideas through any media and regardless of frontiers.” The freedom to seek and receive information is integral to transparency. Furthermore, “frontiers” mentioned in the article deal with particular obstacles that may occur, if officials or documents are not made available.

Article 10 of the *Council of Europe Convention for the Protection of Human Rights and Fundamental Freedoms* states that, “everyone has the right to freedom of expression. This right shall include

¹³⁵ Fox, “The Uncertain Relationship between Transparency and Accountability,” p. 663

¹³⁶ *Ibid.*, p. 664

¹³⁷ Pope, *Confronting Corruption*, p. 237

¹³⁸ Fox, “The Uncertain Relationship between Transparency and Accountability,” p. 663

¹³⁹ Pope, “Access to Information,” p. 16

¹⁴⁰ *Ibid.*

freedom to hold opinions and to receive and impart information and ideas without interference by public authority and regardless of frontiers...”¹⁴¹ The concept of transparency is important for this right to occur, as it deals with the receipt of information. Furthermore, article 10 also indicates that there will be no “interference by public authority.”¹⁴² In order for full transparency to occur, information needs to be made available without interference. Moreover, public officials can be held accountable, if they interfere with information.

The Paris Declaration on Aid Effectiveness and Accra Agenda for Action

In recent years, the OECD has set the agenda for transparency and accountability. *The Paris Declaration on Aid Effectiveness* and *Accra Agenda for Action* have been the key policy documents for transparency and accountability. Yet, *the Paris Declaration on Aid Effectiveness* may have emphasised on a single cure to poverty, as a broad consensus was needed.¹⁴³ Moreover, there have been criticisms that *The Paris Declaration* is “apolitical.”¹⁴⁴ Nevertheless, the two documents address the concepts and assert definite statements such as, “we will be more accountable and transparent to our publics for results.”¹⁴⁵

The importance of transparency is shown through section 24 of *the Accra Agenda for Action*. According to section 24, “transparency and accountability are essential elements for development results.”¹⁴⁶ Notably, it is difficult to measure development without an amount of transparency and accountability. The article breaks down responsibilities for donors including, “publicly disclose regular, detailed and timely information on volume, allocation and, when available, results of development expenditure to enable more accurate budget, accounting and audit by developing countries.”¹⁴⁷ Both accountability and transparency have been encompassed in the article. Accounting, auditing and budgeting are all elements of accountability, while timely information refers to transparency.

The Accra Agenda for Action provided an agreement, which addressed the need for transparency within development aid. Additionally, the move towards greater transparency provided an

¹⁴¹ Council of Europe, *Convention for the Protection of Human Rights and Fundamental Freedoms as amended by Protocols No. 11 and No. 14*, (Rome, 4.XI.1950), accessed 6/10/2012, <http://conventions.coe.int/treaty/en/treaties/html/005.htm>

¹⁴² Ibid.

¹⁴³ Rosalind Eyben, “Harmonisation: How is the Orchestra Conducted?” in *Deconstructing Development Discourse: Buzzwords and Fuzzwords*, ed. by Andrea Cornwall and Deborah Eade, (Rugby: Practical Action Pub. in association with Oxfam GB, 2010),” p. 218

¹⁴⁴ Ibid.

¹⁴⁵ Organisation for Economic Co-operation and Development, *Accra Agenda for Action*, p. 20

¹⁴⁶ Ibid.

¹⁴⁷ Ibid.

opportunity for greater citizen understanding of development aid.¹⁴⁸ Transparent aid also signified more timely and predictable aid for recipients.¹⁴⁹ However, in order to ensure the success of the *Accra Agenda for Action*, a body to facilitate and oversee transparent and accountable flows of aid needed to be set up.

International law provides part of a wider legal framework for transparency and accountability. *The Paris Declaration on Aid Effectiveness* and *the Accra Agenda for Action* address the need for transparency and accountability in development aid. The commitments in *the Accra Agenda for Action* led to the creation of the IATI. The desire for transparency and accountability is reiterated by the IATI by insisting upon consistent reporting standards, and encourages efficiency, transparency and accountability. The multi-stakeholder initiative addresses concerns by both recipients and donors, and implements mutual accountability through transparency. Donor nations saw the need to display how pledges within *the Paris Declaration for Aid Effectiveness* were being implemented.¹⁵⁰

International Aid Transparency Initiative (IATI)

In 2008, the IATI was created as a result of the *Accra Agenda for Action*, involving bilateral, multilateral, foundations and civil society organisations.¹⁵¹ The primary objective of the IATI is to create and employ a “common” and “unified” standard of transparency, which donors and recipients could follow.¹⁵² Furthermore, the IATI aims to reduce poverty, by creating systems of aid transparency, and implementing the commitments made in section 24 of the *Accra Agenda for Action*. In essence, the IATI asserts that, “information about aid spending easier to access, use and understand” through transparency.¹⁵³

As part of the formation of the *IATI*, the *International Aid Transparency Initiative Accra Statement* was created, and recognised the importance of transparency and accountability. Donor and recipient partnerships have been central to effective deliverance of ODA. The statement recognised the importance of transparency, in providing information regarding aid flows to actors.¹⁵⁴ In addition, the relationship between accountability and transparency was recognised, as a means to increase

¹⁴⁸ Transparency International, “Making Aid Effective: An Anti-Corruption Agenda,” Policy Paper 06 (2011), p. 5

¹⁴⁹ Ibid.

¹⁵⁰ Ibid., p. 220

¹⁵¹ International Aid Transparency Initiative, “Who’s involved,” accessed 28/11/2012, <http://www.aidtransparency.net/about/whos-involved>

¹⁵² Transparency International, “Making Aid Effective,” p. 5

¹⁵³ International Aid Transparency Initiative, “Frequently Asked Questions: IATI Governance and Process,” accessed 24/11/2012, <http://www.aidtransparency.net/about/faq>

¹⁵⁴ International Aid Transparency Initiative, *International Aid Transparency Initiative Accra Statement*, (Accra, 2008), p. 1

ownership and reduce corruption.¹⁵⁵ Importantly, in order to create aid effective partnership, mutual accountability needed to be present.¹⁵⁶ The role of transparency within mutual accountability was stressed by the IATI.¹⁵⁷

The need for access to information for citizens of recipient nations was addressed within the statement.¹⁵⁸ Likewise, the rights of citizens within recipient nations to information regarding aid flows are highlighted.¹⁵⁹ The requirements for accessible information regarding aid to complement local accountability and efficient public administration were also laid out.¹⁶⁰ According to the IATI, so-called, “better information” regarding ODA, may be used to help recipient nations to manage resources more efficiently and effectively.¹⁶¹ Moreover, planning and implementation may be more informed by all parties.¹⁶²

According to the statement created in Accra, the IATI committed to providing direction to various actors in order to create a unified reporting standard for aid information, in order to create transparency.¹⁶³ Timely, reliable and detailed information would also be shared and made accessible to actors.¹⁶⁴ The conditions of aid projects would also be made transparent, including expected results and outputs.¹⁶⁵ The systems to be put in place would be created according to the various actors and would include definitions.¹⁶⁶ The statement encourages other organisations to join the IATI, and emphasises the need to adhere to standards of transparency.¹⁶⁷

Institutions within partner countries have been encouraged to better monitor aid and implement accountability mechanisms.¹⁶⁸ Currently, the IATI has twenty-two endorsements from partner countries.¹⁶⁹ In addition, the Initiative runs independently from the OECD. The European Commission, Sweden, United Kingdom and Germany are all signatories of the IATI. Notably, the

¹⁵⁵ International Aid Transparency Initiative, *International Aid Transparency Initiative Accra Statement*, p.1

¹⁵⁶ *Ibid.*

¹⁵⁷ *Ibid.*

¹⁵⁸ *Ibid.*

¹⁵⁹ *Ibid.*

¹⁶⁰ *Ibid.*

¹⁶¹ International Aid Transparency Initiative, “Frequently Asked Questions: IATI Governance and Process,” accessed 24/11/2012, <http://www.aidtransparency.net/about/faq>

¹⁶² *Ibid.*

¹⁶³ International Aid Transparency Initiative, *International Aid Transparency Initiative Accra Statement*, p. 1

¹⁶⁴ *Ibid.*

¹⁶⁵ *Ibid.*

¹⁶⁶ *Ibid.*

¹⁶⁷ *Ibid.*

¹⁶⁸ International Aid Transparency Initiative, “Frequently Asked Questions: IATI Governance and Process.”

¹⁶⁹ International Aid Transparency Initiative, “Why does IATI matter for Partner Countries?” accessed 28/11/2012, <http://www.aidtransparency.net/partner-country-perspectives>

United Kingdom Department for International Development (DFID) was the first donor to use the IATI's common standard to publish information.¹⁷⁰

The IATI has a Standard, which provides set guidelines on how information should be published. In 2011, the Standard was agreed upon as a technical publishing framework. Importantly, the IATI Standard does not undermine previous information made available through the OECD, as it attempts to continue and create one Standard for information in development aid.¹⁷¹ No matter which donor the information comes from, the IATI Standard aims to provide information in the same readable mode for recipients.¹⁷² The IATI Standard mostly deals with development activities. Several key areas are touched upon for a set presentation of information including the identification of an activity, basic activity information, geopolitical information, classifications, financial information, financial transaction information, related information and performance information.¹⁷³ For those nations and organisations who have signed up for the IATI, implementation of this Standard is essential.

The IATI provides a registry in which information is made available. Essentially, the registry is similar to a central online catalogue, where information can be searched and located.¹⁷⁴ However, it is not a database as information is only tracked.¹⁷⁵ Nevertheless, the registry provides links to information and allows for a preview of the information. No copies of information are kept on the IATI registry.¹⁷⁶ Essentially, the IATI data registry provides "raw data."¹⁷⁷ Information is made available in the Extensible Mark-up Language (.xml) format.¹⁷⁸ Currently, 140 organisations have published with the IATI data registry.¹⁷⁹

Busan Partnership for Effective Development Co-operation: Fourth High Level Forum on Aid Effectiveness, 2011

In 2011, the *Busan Partnership for Effective Development Co-operation* made commitments towards greater transparency and accountability. These commitments were in keeping with the *Paris*

¹⁷⁰ International Aid Transparency Initiative, "Frequently Asked Questions: IATI Governance and Process."

¹⁷¹ International Aid Transparency Initiative, "What is IATI," accessed 03/05/2013, <http://iatistandard.org/getting-started/what-is-iati/>

¹⁷² Swedish International Development Co-operation Agency, "Swedish aid data open and internationally comparable," accessed 20/04/2013, <http://www.sida.se/English/About-us/How-we-operate/Transparent-reporting/>

¹⁷³ International Aid Transparency Initiative, "What is an IATI Activity?" accessed 03/05/2013, <http://iatistandard.org/wp-content/uploads/2012/05/What-is-an-IATI-Activity.pdf>

¹⁷⁴ EuropeAid, "The EU's commitment to transparency."

¹⁷⁵ Ibid.

¹⁷⁶ Ibid.

¹⁷⁷ International Aid Transparency Initiative, "Welcome to IATI Data Registry," accessed 02/05/2013, <http://www.iatiregistry.org/>

¹⁷⁸ Ibid.

¹⁷⁹ Ibid.

Declaration for Aid Effectiveness and the *Accra Agenda*. Mutual accountability was viewed as a necessity for citizens of donor and recipient nations, along with organisations and actors involved in the deliverance of development aid.¹⁸⁰ Moreover, transparency was viewed as an avenue for accountability, in order to produce desirable outcomes.¹⁸¹

Busan brought a focus on development results. The institutions, which facilitated outcomes, were to be supported. Moreover, emerging nations were encouraged to strengthen policies and institutions, in order to create public management frameworks through partnership.¹⁸² Importantly, recipient nations, which initiated transparency in outcomes and frameworks, would be provided with common tools.¹⁸³ Indicators for development would then be derived from transparent frameworks. The use of external frameworks, in order to assess performance was viewed as inconsistent with recipients' development strategies.¹⁸⁴ In addition, mutual assessment reviews within developing nations were encouraged through participation by all actors involved in the deliverance and facilitation of ODA.¹⁸⁵

The need to improve access to information was highlighted in Busan, as aid activities remained opaque. Information regarding the financing of development activities, and their terms and conditions would be made publicly available¹⁸⁶. Furthermore, the outcomes of development activities would also be made accessible.¹⁸⁷ Nevertheless, information may still remain inaccessible if information was deemed "commercially sensitive."¹⁸⁸ To support greater access of information, information systems would be strengthened.¹⁸⁹ In addition, information made available would be used more effectively and efficiently to aid decision-making and increase accountability within development aid.¹⁹⁰ Notably, Busan signalled the start of a common standard for information. Timely and detailed resources would be made available with the assistance of the OECD- DAC, and the IATI.

¹⁸⁰ Fourth High Level Forum on Aid Effectiveness, *Busan Partnership for Effective Development Co-operation: Fourth High Level Forum on Aid Effectiveness*, (Busan: 2011), p. 3

¹⁸¹ *Ibid.*

¹⁸² *Ibid.*, p. 5

¹⁸³ *Ibid.*

¹⁸⁴ *Ibid.*

¹⁸⁵ *Ibid.*

¹⁸⁶ *Ibid.*, p. 6-7

¹⁸⁷ *Ibid.*

¹⁸⁸ *Ibid.*

¹⁸⁹ *Ibid.*

¹⁹⁰ *Ibid.*

¹⁹¹ The common standard would provide both comprehensive information regarding aid to development nations, along with requirements, procedures and policies from donor nations.¹⁹²

Along with the *Paris Declaration on Aid Effectiveness* and the *Accra Agenda for Action*, Busan emphasised the need for actors to be accountable to one another.¹⁹³ Both indicators and frameworks were viewed as essential in creating aid effectiveness.¹⁹⁴ In addition, the role of emerging nations in the formation of such frameworks was stressed.¹⁹⁵ Mutual accountability of processes would allow for aid effectiveness.¹⁹⁶ Mutual accountability within development aid is reliant on the formation of appropriate procedures and policies supported by public management frameworks.¹⁹⁷ According to the *Busan Partnership* results of frameworks and indicators should be made public.¹⁹⁸

Looking forward the *Busan Partnership for Effective Development Co-operation* provides a new Global Partnership for Effective Development Co-operation, ensuring accountability of development at various political levels.¹⁹⁹ The Partnership was designed to be representative of the interests involved in deliverance of development aid.²⁰⁰ Furthermore, the Partnership would be an open forum that will monitor the direction of development aid.²⁰¹ Importantly, the regular exchange of information, frameworks, policies and practices signals the relevance of transparency and accountability in the current aid agenda.²⁰²

Transparency

A global concern for greater transparency and accountability has emerged within the last decade.²⁰³ Transparency can be treated as the correct implementation of decisions through legal processes, with reliable information made available to parties affected by decisions.²⁰⁴ In essence, transparency deals with access to information, particularly procedures and policies. Furthermore, the concept is

¹⁹¹ Fourth High Level Forum on Aid Effectiveness, *Busan Partnership for Effective Development Co-operation*, p. 6-7

¹⁹² *Ibid.*

¹⁹³ *Ibid.*, p. 12

¹⁹⁴ *Ibid.*

¹⁹⁵ *Ibid.* p. 12

¹⁹⁶ *Ibid.*

¹⁹⁷ Transparency International, "Poverty, Aid and Corruption," p. 19

¹⁹⁸ Fourth High Level Forum on Aid Effectiveness, *Busan Partnership for Effective Development Co-operation*, p. 12

¹⁹⁹ *Ibid.*

²⁰⁰ *Ibid.*

²⁰¹ *Ibid.*

²⁰² *Ibid.*

²⁰³ Eigen, "Preface," p. xv

²⁰⁴ United Nations Economic and Social Commission for Asia and the Pacific, "What Is Good Governance?" Armstrong, "Integrity, Transparency and Accountability in Public Administration," p. 1

essential to the anti-corruption measures and good governance. According to some observers, through an increase in transparency, greater accountability will occur.²⁰⁵ Transparency and accountability may prove to be the most cost-efficient manner of delivering aid.²⁰⁶ Currently, there is a sentiment that all modern systems of government require a form of accountability, in order to truly represent public interest.²⁰⁷ Transparency of finances has been seen as essential.²⁰⁸ Moreover, accountability through mutuality of donors, recipients and citizens, may retain trust within the deliverance of development aid.²⁰⁹

Steps must be taken in order to promote transparency. At present, there are debates regarding the efficiency of the global aid system.²¹⁰ Transparency, accountability and responsibility are necessary within such debates. Yet, the concepts need to be operationalised within international pledges, in order to bring about effective change.²¹¹ Firstly, information regarding the progress of programmes and projects supporting the Millennium Development Goals (MDGs) must be made available and accessible. Additionally, information regarding governance and anti-corruption efforts should also be published and made available. It has been suggested that MDG reports produced by donors and recipients may assist transparency and accountability. Strategies papers detailing implementation of the development goals may also assist greater aid transparency.

Secondly, access to information laws need to be implemented to create transparency. It is only through the availability of information that citizens can become informed regarding the development aid. A legal framework can be developed at a national level, in order to create full transparency.²¹² Furthermore, pledges by governments may also occur through occur at an international level. *The Paris Declaration on Aid Effectiveness, Accra Agenda for Action and Busan Partnership for Aid Effectiveness* all signalled a move towards greater transparency and accountability.²¹³ Moreover, these pledges are supported by the *Universal Declaration of Human Rights* and the *Convention for the Protection of Human Rights and Fundamental Freedoms*, which allow for the freedom of information.²¹⁴

²⁰⁵ United Nations Economic and Social Commission for Asia and the Pacific, "What Is Good Governance?" Armstrong, "Integrity, Transparency and Accountability in Public Administration," p. 1

²⁰⁶ Ibid.

²⁰⁷ Pope, *Confronting Corruption*, p. 33

²⁰⁸ Transparency International, "Poverty, Aid and Corruption," p. 19

²⁰⁹ Ibid.

²¹⁰ Transparency International, "Making Aid Effective," p. 7

²¹¹ Ibid.

²¹² Fagan, *The Anti-Corruption Catalyst*, p. 8

²¹³ Ibid.

²¹⁴ Fagan, *The Anti-Corruption Catalyst*, p. 8

From aid transparency, accountability can emerge. Mechanisms facilitating accountability come from the legislature, judiciary, the Supreme Audit Institution and Ombudsman. These mechanisms make up public, political, legal and administrative accountability. In addition, a whistle-blowing mechanism may decrease corruption. The role of parliament is important within these mechanisms, as parliamentarians have called for greater oversight of development aid. Possibilities to monitor finances, policies, programmes and projects have been created through parliament.

Donors have a vital role in creating discussion for greater aid transparency. Through accountability mechanisms, ownership and responsibility can be shaped within donor nations.²¹⁵ Furthermore, donors can assist citizen empowerment in recipient nations by providing the information vital for efficient and effective deliverance of development aid. However, unsupported external conditionalities should not be imposed upon recipient nations.²¹⁶ Donors may have a role to play in ensuring greater accountability. Nevertheless, there must be support from donor citizenry.²¹⁷ Presently, interest from citizens for greater accountability within donor nations remains low, as taxpayers view development aid as an expense of “overseas” nature.²¹⁸

Until recently, the mention of corruption has been taboo. Yet, transparency and accountability are vital in the fight against corruption.²¹⁹ Furthermore, through greater transparency and accountability greater efficiency and effectiveness can be achieved.²²⁰ Instead of replacing unreliable systems of administration with NGOs, donors may eliminate inefficient systems through transparency and accountable policies.²²¹

Transparency: Good Governance and Corruption

Transparency is an integral part of good governance, dealing with accessibility and availability of policy information.²²² Moreover, both transparency and accountability are involved in various activities of good governance.²²³ In recent years, international institutions such as, the World Bank and OECD have raised the profile of good governance. In essence, “good governance means clean government.”²²⁴ The basis of good governance has been referred to as the “principle of honesty.”²²⁵

²¹⁵ Transparency International, “Poverty, Aid and Corruption,” p. 21

²¹⁶ Pope, *Confronting Corruption*, p. 162

²¹⁷ Transparency International, “Poverty, Aid and Corruption,” p. 11

²¹⁸ Ibid.

²¹⁹ Pope, *Confronting Corruption*, p. 162

²²⁰ Ibid.

²²¹ Ibid.

²²² Kondo, “Fostering Dialogue to Strengthen Good Governance,” p. 9

²²³ Fox, “The Uncertain Relationship between Transparency and Accountability,” p. 664

²²⁴ Kondo, “Fostering Dialogue to Strengthen Good Governance,” p. 8

²²⁵ Ibid.

This concept deals with both financial and public administration, along with citizen participation.²²⁶ Often, references to good governance only deal with corruption, and ignore other essential elements such as citizen participation. Good governance can be viewed as a form of political conditionality. According to one scholar, “the credibility of the state is now seen as an essential ingredient to lay the foundations of development.”²²⁷ Similarly, various groups in society should be part of the process which increases the level of good governance.²²⁸

For critics, good governance has also been given a restrictive definition, as simply a reduction of corruption and an increase in transparency.²²⁹ Nevertheless, there are requirements for the quality of EU legislation, which have been laid out under the Amsterdam Treaty. Thus, “good legislation requires consultation, regulatory impact assessment, and systematic evaluation of the results achieved by European public policies. But it also requires transparency.”²³⁰ According to legal academics, good governance could bring social legitimacy to the actions of the EU, and move away from more economic issues.²³¹

There have also been criticisms that the term may not be applicable to wider issues.²³² Notably, definitions of good governance do not focus on corruption, as the concept only deals with the reduction of corruption to create effective and efficient public administration.²³³ Nevertheless, corruption is still an important part of good governance, and related to transparency and accountability. Good governance may also be used to distinguish stable and unstable systems of public administration within a country.²³⁴ The presence of transparency and accountability may reduce corruption, as they require the presence of information. Yet, it is an assumption that transparency can reduce corruption, without other measures. Often, transparency and good governance may have different focuses.²³⁵ Transparency deals with creating general effective and efficiency within institutions.²³⁶ This may include reducing corruption, but may not necessarily be a primary focus.²³⁷

²²⁶ Kondo, “Fostering Dialogue to Strengthen Good Governance,” p. 8

²²⁷ Ozay Mehmet, *Westernizing the Third World* (New York: Routledge, 1999), p. 164

²²⁸ Haynes, *Development Studies*, p. 37

²²⁹ Peters and Pierre, “Governance Approaches,” p. 93

²³⁰ Radaelli, *Technocracy in the European Union*, p. 5

²³¹ Haltern, “Integration through Law,” p.179

²³² Peters and Pierre, “Governance Approaches,” p.94

²³³ *Ibid.*, p. 93

²³⁴ Zanger, “Good Governance and European Aid,” p. 295

²³⁵ Kondo, “Fostering Dialogue to Strengthen Good Governance,” p. 8

²³⁶ *Ibid.*

²³⁷ *Ibid.*

Nevertheless, there is a legal requirement to deal with corruption using concepts of accountability and transparency. Article 24 of the *Accra Agenda for Action* looks at the role of accountability and transparency in dealing with corruption in developing countries, “developing countries will address corruption by improving systems of investigation, legal redress, accountability and transparency in the use of public funds.”²³⁸ Furthermore, both donor and recipients have to respect the *UN Convention against Corruption* according to article 24.²³⁹ Underlying the mention of corruption in the article is effectiveness and efficiency of financial resources.²⁴⁰

Transparency: Access to Information

Access to information is a form of transparency.²⁴¹ Through freedom of information, policies are made available, and can be easily understood.²⁴² Underlying the concepts of transparency and accountability is need for accessibility and availability.²⁴³ Good governance deals with access to information and citizen participation through transparency.²⁴⁴ Access of information is part of transparency.²⁴⁵ Legal provisions are made through the principle of transparency to increase accessibility and availability of information.²⁴⁶ With the accessibility and availability of information, citizen participation may occur, bringing legitimacy to organisations and bodies.²⁴⁷ Citizen engagement may also garner support for activities, and allow for effective implementation of policies.²⁴⁸ This is particularly relevant for democracy promotion.²⁴⁹ Information may lead to strategic change by stakeholders.²⁵⁰ Nevertheless, openness of information means that public bodies and organisations are required to take into account the position of various stakeholders in policy-making, which may be beneficial for creating legitimacy.²⁵¹ Moreover, a wider range of sources may

²³⁸ Organisation for Economic Co-operation and Development, *Accra Agenda for Action*, p. 20

²³⁹ *Ibid.*

²⁴⁰ *Ibid.*

²⁴¹ Neal D. Finkelstein, “Transparency in Public Policy,” in *Transparency in Public Policy: Great Britain and the United States*, (Basingstoke: Macmillan, 2000), p. 6

²⁴² *Ibid.*

²⁴³ Andrea Cromwell, “Introductory Overview- Buzzwords and Fuzzwords: Deconstructing Development Discourse,” in *Deconstructing Development Discourse: Buzzwords and Fuzzwords*, (Rugby: Practical Action Pub. in association with Oxfam GB, 2010), p. 9

²⁴⁴ Kondo, “Fostering Dialogue to Strengthen Good Governance,” p. 9

²⁴⁵ *Ibid.*

²⁴⁶ *Ibid.*

²⁴⁷ *Ibid.*

²⁴⁸ *Ibid.*

²⁴⁹ *Ibid.*

²⁵⁰ Fox, “The Uncertain Relationship between Transparency and Accountability,” p. 667

²⁵¹ Kondo, “Fostering Dialogue to Strengthen Good Governance,” p. 7

be used in order to create policies, with more stakeholders informed.²⁵² Resources and other information, otherwise unavailable may also be used through informed stakeholders.²⁵³

Transparency can have various goals, including bringing focus to financial and budget activities. Transparency can appear in various forms, for example, budget transparency. Budget transparency means, “the full disclosure of all relevant fiscal information in a timely and systematic manner.”²⁵⁴ Budget transparency can occur on both macro and micro levels. At a micro level, the details of particular contracts, reports, and grants would be revealed.²⁵⁵ This would allow for public assurance, that money has been appropriately used.²⁵⁶ Furthermore, the consequences of the financing on wider projects, programmes and agencies would also be revealed.²⁵⁷ The wider consequences deal with the macro level.²⁵⁸ In order for any budget transparency to occur, information needs to be available and accessible.²⁵⁹ Furthermore, third parties may be involved in auditing and evaluating quality of information and accuracy.²⁶⁰

Financial responsibility occurs through budget transparency.²⁶¹ This form of transparency can be viewed as a precondition for accountability.²⁶² Information regarding development funds is provided through budget transparency.²⁶³ Moreover, the manner in which finances are spent is offered.²⁶⁴ In effect, the various actors, involved, including donor and recipient citizens are provided information regarding development funds.²⁶⁵ This can allow citizens and actors to participate and comment regarding the deliverance of ODA.²⁶⁶ Transparency and accountability need each other, in order to exist. However, budget transparency provides an essential component of providing financial information.²⁶⁷ This form of transparency not only opens up fiduciary information, the integrity of a nation’s finances can be discovered through it.²⁶⁸

²⁵² Kondo, “Fostering Dialogue to Strengthen Good Governance,” p. 9

²⁵³ Ibid.

²⁵⁴ Ibid.

²⁵⁵ Fox, “The Uncertain Relationship between Transparency and Accountability,” p. 666

²⁵⁶ Ibid.

²⁵⁷ Ibid.

²⁵⁸ Ibid.

²⁵⁹ Ibid.

²⁶⁰ Ibid.

²⁶¹ Transparency International, “Making Aid Effective,” p. 6

²⁶² Ibid.

²⁶³ Ibid.

²⁶⁴ Ibid.

²⁶⁵ Ibid.

²⁶⁶ Ibid.

²⁶⁷ Ibid.

²⁶⁸ Ibid.

Access to information is essential to budget transparency. Access and availability of information is necessary for stakeholders involved in decision-making. Within development, both donors and recipients need the same amount of information, in order to have an equal partnership. The importance of joint partnership has been addressed in the *Paris Declaration of Aid Effectiveness*.²⁶⁹ Donor responsibility is set out in the document. Section 48 of the document covers the involvement of various partners.²⁷⁰ Furthermore, section 49 of *the Paris Declaration on Aid Effectiveness* states, “donors commit to: Provide timely, transparent and comprehensive information on aid flows so as to enable partner authorities to present comprehensive budget reports to their legislatures and citizens.”²⁷¹

Access to information is not simply created through legal provisions. Proactive dissemination of information is particularly important for greater transparency.²⁷² This refers to information provided by public bodies regarding activities.²⁷³ Some EU Member States have attempted to strengthen the role of citizens and increase regulatory transparency, by allowing for open access of information.²⁷⁴ Furthermore, systems of complaint handling have been set up.²⁷⁵ Whistle-blower mechanisms are part of accountability mechanisms. However, these mechanisms only function if the correct contact information of relevant people, departments or bodies is made available. Furthermore, the responsibilities of particular people and their capacity within departments need to be made available.²⁷⁶

It is important to note, information needs to be easy to find and understandable, in order to be truly accessible.²⁷⁷ This also means that policy documents need to be written in multiple languages, if various actors do not use the same language. Essentially, information needs to be in the languages that both donors and recipients use. Furthermore, plain language is essential in documents, in order for information to be accessible.²⁷⁸ Furthermore, personal or political biases, which may occur, need to be omitted from documents, as they are not appropriate for public use.²⁷⁹ Clear goals and rules need to be given, as they provide boundaries and limitations for government and public bodies.²⁸⁰

²⁶⁹ Organisation for Economic Co-operation and Development, *The Paris Declaration on Aid Effectiveness*, p.

18

²⁷⁰ Ibid.

²⁷¹ Ibid.

²⁷² Fox, “The Uncertain Relationship between Transparency and Accountability,” p. 665

²⁷³ Ibid.

²⁷⁴ Bartle, “Legitimising EU Regulation,” p.138-9

²⁷⁵ Ibid., p.139

²⁷⁶ Fox, “The Uncertain Relationship between Transparency and Accountability,” p. 667

²⁷⁷ Kondo, “Fostering Dialogue to Strengthen Good Governance,” p. 9

²⁷⁸ Finkelstein, “Transparency in Public Policy,” p. 6

²⁷⁹ Kondo, “Fostering Dialogue to Strengthen Good Governance,” p. 9

²⁸⁰ Ibid.

Additionally, obligations to citizens and limits of power need to be provided.²⁸¹ Consultation procedures and processes need to be made clear.²⁸²

Access to information refers to how citizens can receive and distribute data.²⁸³ Citizens need to understand the role, in which they can play in decision-making and policy implementation.²⁸⁴ The internet has been used as a solution to the concept of transparency. Yet, many citizens globally do not have access to the internet. Until, the internet penetrates these areas, other solutions need to be found, so that information is equally accessible and available. Systems need to be into place where resources can be easily accessed through data retrieval mechanisms.²⁸⁵ Furthermore, these mechanisms need to be organised so that information can be allocated.²⁸⁶ Part of the issue is devising the systems needed, as there needs to be physical areas where information can be accessed. Kondo offers a solution of, “interfaces that would be operated by front-line... who would in turn interact with interested citizens.”²⁸⁷

Laws dealing with freedom of information not only encourage transparency and accountability, state decision-making is required to be more open.²⁸⁸ The aim of such laws may be to provide access to information, when information is of public interest.²⁸⁹ However, exceptions to access and rights of appeal need to be detailed within legislation.²⁹⁰ Furthermore, the details of how a government should facilitate access of information should be provided in legislation. As internal procedures and processes may not be apparent, this may need explanation.²⁹¹ Additionally, the format of records may also need clarification.²⁹²

Information needs to be accessible. However, people do not need to be given large amounts of irrelevant information. This means information needs to be organised. Not only that but be reliable and truly informative.²⁹³ Even if regulation is enforced giving citizens, recipients and donors access to information, disorganised material would limit accountability.²⁹⁴ Furthermore, government records

²⁸¹ Kondo, “Fostering Dialogue to Strengthen Good Governance,” p. 9

²⁸² Ibid.

²⁸³ Abramo, “Access to Information- A Long Way to Go,” p. 147

²⁸⁴ Finkelstein, “Transparency in Public Policy,” p. 6

²⁸⁵ Ibid.

²⁸⁶ Ibid.

²⁸⁷ Ibid.

²⁸⁸ Pope, *Confronting Corruption*, p. 240

²⁸⁹ Ibid., p. 237

²⁹⁰ Ibid.

²⁹¹ Ibid.

²⁹² Ibid.

²⁹³ Pope, “Access to Information,” p. 14

²⁹⁴ Pope, *Confronting Corruption*, p. 245

may be viewed as untrustworthy by citizens.²⁹⁵ The efficiency and effectiveness of records would also be weakened.²⁹⁶ In order to restore trust in government, access of information to reliable and informative information will be necessary in the promotion of transparency.²⁹⁷

Procedures and Policies

Policies are procedures are necessary in the deliverance of Overseas Development Assistance (ODA). Nonetheless, these procedures and policies have often taken the place of the reality of deliverance.²⁹⁸ Some contradictions' in donors' policies lead to a large quantity of reporting and planning without the measurable outcome desired.²⁹⁹ Results may not always be quantifiable, therefore difficult to measure for reporting purposes. The Millennium Development Goals (MDGs) have been used to set out desirable outcomes. Yet, the MDGs are based on social change as much as infrastructure and economic development.³⁰⁰ Often social change may be difficult to measure, as the impacts may be long term or require further study. Yet, there is a relationship between social outcomes and good governance, which requires transparency.³⁰¹ And with transparency comes reporting and planning with measurable outcomes. Therefore, there is a balance between transparency and policies and procedures.³⁰²

Nevertheless, the good governance of development aid is reliant on open processes which allow for transparent policy formation and implementation.³⁰³ Moreover, it has been noted that good governance can provide greater economic and social outcome.³⁰⁴ In order to reach the fine balance between policies and transparency, a degree of flexibility is essential.³⁰⁵ Public bodies and organisations can provide time in policy-making to allow for citizen participation.³⁰⁶ Similar means may also be set up to integrate recipient concerns towards policy decisions.³⁰⁷ Transparency may also become an asset rather than a hindrance for both donors and recipients, as more information regarding policies is made available.

²⁹⁵ Pope, *Confronting Corruption*, p. 245

²⁹⁶ Ibid.

²⁹⁷ Eigen, "Introducing the Global Corruption Report 2003," p. 6

²⁹⁸ Cromwell, "Introductory Overview- Buzzwords and Fuzzwords," p. 7

²⁹⁹ Ibid.

³⁰⁰ United Nations, "Millennium Development Goals," accessed 15/10/2012,

<http://www.un.org/millenniumgoals/>

³⁰¹ Organisation for Economic Co-operation and Development, *OECD Best Practices for Budget Transparency*, p. 7

³⁰² Ibid.

³⁰³ Ibid.

³⁰⁴ Ibid.

³⁰⁵ Kondo, "Fostering Dialogue to Strengthen Good Governance," p. 10

³⁰⁶ Ibid.

³⁰⁷ Ibid.

Importantly, transparency implications of procedures and policies are not isolated from aid harmonisation. Common measures are important in creating efficiency and effectiveness in the deliverance of ODA.³⁰⁸ Furthermore, recipients may only need to deal with one party, as bureaucracy has been reduced.³⁰⁹ With concise processes from donors and recipients, reporting and monitoring measures can be minimised. The emphasis can shift from procedures to desirable outcomes. However, transparency in procedures and policies is not a substitute for accountability. Arguably, powerful elites may provide transparency in the place of accountability in order to avoid sanctions.³¹⁰ The concepts of transparency and accountability are necessary in procedures and policies, as they are not mutually exclusive.

Accountability

The Paris Declaration on Aid Effectiveness states that, “donors and partners are accountable for development results.”³¹¹ Accountability deals with reporting standards and obligations of various parties. Importantly, an increase in accountability can also lead to an enhancement in public support for aid initiatives.³¹² Without any form of responsibility, accountability cannot occur. In essence, accountability leads to responsibility.³¹³ The OECD provides responsibility through the Supreme Audit Institution and citizenry. Codes of practices set out by the OECD must be followed.³¹⁴ Often these practices need to be accompanied by a culture of honesty.³¹⁵ Rules and regulation may not be sufficient, if there is no environment to support responsibility.³¹⁶ Furthermore, conduct by public officials at all levels must be disclosed and present in all forms of responsibility.³¹⁷ Strong leadership along with tools that support administrators of development aid may bring about responsibility through accountability.³¹⁸ In the past, questions of gifts remained unclear. It has become a necessity to provide full disclosure of items, which have been procured by public officials of development aid.³¹⁹ Through systems of review, public administration can remain transparent, rather than opaque.³²⁰

³⁰⁸ Eyben, “Harmonisation,” p. 215

³⁰⁹ Ibid.

³¹⁰ Fox, “The Uncertain Relationship between Transparency and Accountability,” p. 664

³¹¹ Organisation for Economic Co-operation and Development, *The Paris Declaration on Aid Effectiveness*, p. 8

³¹² Ibid.

³¹³ Kondo, “Fostering Dialogue to Strengthen Good Governance,” p. 8

³¹⁴ Ibid.

³¹⁵ Ibid.

³¹⁶ Ibid.

³¹⁷ Ibid.

³¹⁸ Ibid.

³¹⁹ Ibid.

³²⁰ Ibid.

These systems should provide clear reporting and management procedures and practices.³²¹

Moreover, accountability may need to be supported through financial policies.³²²

Central to budget transparency is responsibility. Elements of responsibility are present in accounting policies, financial systems and audits. The OECD provides the best practices for accounting policies.

³²³ Firstly, a summary with definitions and explanations of accounting policies should be provided in all reports.³²⁴ This should be provided alongside a summary, which follows the Generally Accepted Accounting Polices (GAAP).³²⁵ The GAAP are internationally agreed policies for accounting.³²⁶ All of the policies should be consistent with other reports published, or else provide an explanation of changes made.³²⁷ Full disclosure of information from periods should also be provided. This includes adjustments made.³²⁸

Through systems, greater financial responsibility may also occur. Internal, along with external reports support a system of accountability and responsibility.³²⁹ Internal reviews and audits should be in place, in order to guarantee the integrity and transparency of information.³³⁰ The authors of financial reports should be clearly stated within the report.³³¹ This may include a statement from a senior official and a minister of finance.³³²The responsibility of the report should then lie on both the official and minister.³³³ To further guarantee responsibility of accountability mechanisms, an audit by the Supreme Audit Institution should be provided yearly.³³⁴ This audit should also follow the GAAP.³³⁵

Additionally, the accountability mechanisms of the Supreme Audit Intuition and parliament should interact to fully understand finances within institutions delivering ODA.³³⁶ The names of individuals and departments should all be provided to citizens.³³⁷ Through the availability of information,

³²¹ Kondo, "Fostering Dialogue to Strengthen Good Governance," p. 8

³²² Ibid.

³²³ Organisation for Economic Co-operation and Development, *OECD Best Practices for Budget Transparency*, p. 14

³²⁴ Ibid.

³²⁵ Ibid.

³²⁶ Ibid.

³²⁷ Ibid.

³²⁸ Ibid.

³²⁹ Ibid.

³³⁰ Ibid.

³³¹ Ibid.

³³² Ibid.

³³³ Ibid.

³³⁴ Ibid.

³³⁵ Ibid.

³³⁶ Ibid.

³³⁷ Ibid.

responsibility can be ensured. Furthermore, joint assessment reviews between donors and recipients may occur.³³⁸ Complementary accountability mechanism between donors and recipients may also increase performance, understanding and efficiency of aid deliverance. Moreover, corruption may be eliminated from policy-making through responsibility.³³⁹ Full responsibility may create greater trust between governments and their citizens.³⁴⁰

The National Integrity System

The National Integrity System was created by Transparency International, in order to determine accountable and transparent governance within society.³⁴¹ The System looks at various areas of good governance and creates rules and practices, which can be assessed using indicators.³⁴² The various areas of governance are legislature, executive, judiciary, auditor-general, watchdog agencies, public service, media, civil society, private sector and international actors.³⁴³ The system argues that these various areas are based on society's values.³⁴⁴ Underpinning these areas are concepts, which are crucial to the effectiveness of good governance.³⁴⁵ These concepts are quality of life, rule of law and sustainable development.³⁴⁶ The integrity of the system relies on these concepts and on public awareness.³⁴⁷

Some of the areas of governance mentioned in the National Integrity System can be viewed as accountability mechanisms. Public awareness and society's values can be analysed through accountability and citizen participation. A perceived secrecy in emerging nations towards development aid can hinder effective deliverance.³⁴⁸ Through a National Integrity System both donors and recipients can use accountability mechanisms to remove such perceptions. The details of assistance and loans can move from being opaque to transparent.³⁴⁹ Furthermore, the areas of governance can complement and support anti-corruption measures.³⁵⁰

³³⁸ Organisation for Economic Co-operation and Development, *Accra Agenda for Action*, p. 20

³³⁹ Ibid.

³⁴⁰ Ibid.

³⁴¹ Pope, *Confronting Corruption*, p. 35

³⁴² Ibid.

³⁴³ Ibid.

³⁴⁴ Ibid.

³⁴⁵ Ibid.

³⁴⁶ Ibid.

³⁴⁷ Ibid.

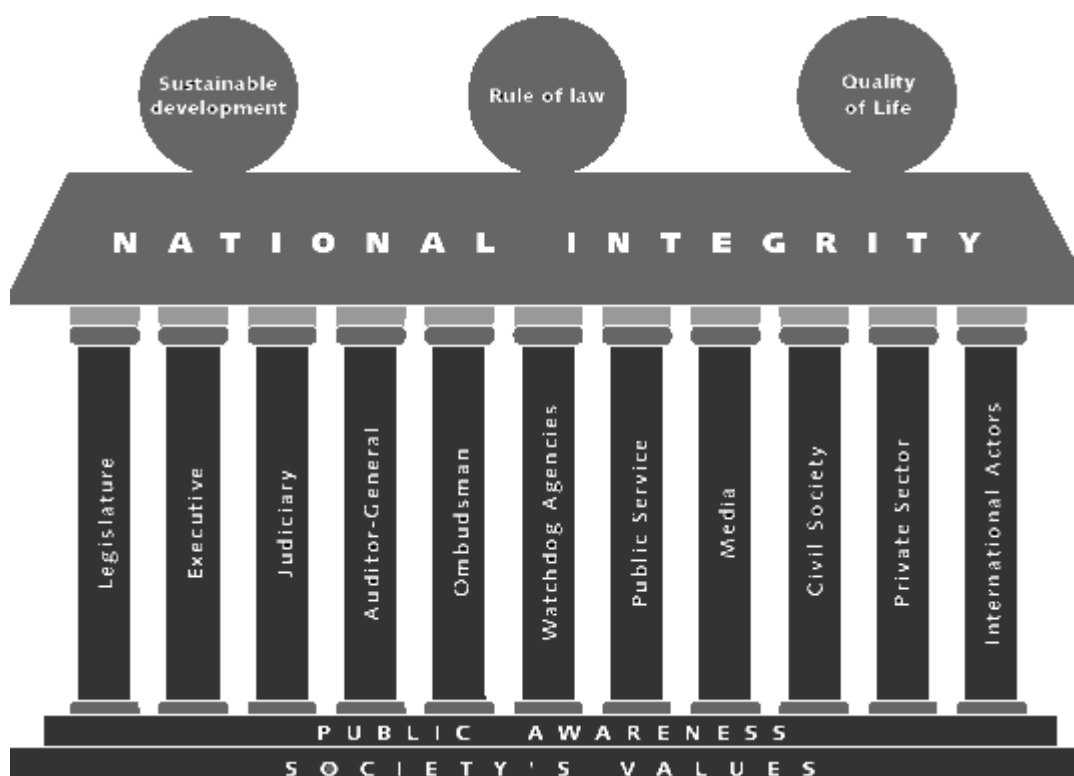
³⁴⁸ Ibid., p. 3

³⁴⁹ Transparency International, "Making Aid Effective," p. 7

³⁵⁰ Ibid.

The following illustration displays the National Integrity System as a temple. The pillars within the temple represent an accountability mechanism within public administration.³⁵¹ The foundations of the temple are built upon the values, which transparency and accountability can be derived.³⁵² Conversely, the round balls at the top of the temple represent the ideals, which are necessary, in order to create transparent and accountable public administration.³⁵³ Importantly, each of the pillars within the temple makes up part of what can create transparency and accountability.³⁵⁴ When one or more of the pillars is removed the weight is transferred to another pillar, which eventually weakens the structure of the National Integrity System.³⁵⁵

Figure I: Illustration of the Institutional Pillars of the National Integrity System³⁵⁶



Accountability Mechanisms

Accountability entails liability, providing explanations of events, or else taking responsibility, when required.³⁵⁷ Through mechanisms, an account of actions can be taken. Checks and balances are an

³⁵¹ Pope, *Confronting Corruption*, p. 35

³⁵² Ibid.

³⁵³ Ibid.

³⁵⁴ Ibid.

³⁵⁵ Ibid.

³⁵⁶ Ibid.

³⁵⁷ Oliver, *Government in the United Kingdom*, p. 22

essential element of effective accountability.³⁵⁸ Accountability mechanisms comprise part of a national system, which has been designed for optimal efficiency.³⁵⁹ Through accountability, various institutions within public management can minimise corruption and conflicts, which may arise.³⁶⁰ Transparency and accountability can bring about prevention and penalties through a national effort for integrity.³⁶¹ Furthermore, dispersed power within the various institutions may also create a structure of management, which may require the branches of government to be accountable to one another.³⁶²

Mechanisms, which facilitate and assist accountability, can be viewed through these institutions within public management. The pillars or institutions of the National Integrity System are interconnected. In a similar sense, accountability mechanisms are inter-dependent.³⁶³ In essence, all elements need to be present in order to create good governance. According to some critics, one accountability mechanism may be more appropriate than another.³⁶⁴ Institutions, which make up accountability mechanisms, do not simply stand alone.³⁶⁵ It is through the inter-relationships and inter-dependence of mechanisms that accountability can have a combined impact on decision-making.³⁶⁶ Separate policies and practices may be appropriate in individual analyses of transparency and accountability, however over-arching results may not be discovered.³⁶⁷ Additionally, accountability mechanisms from the National Integrity System can be divided into the areas of public, political, legal and administrative accountability, along with whistle-blowing.

Public Accountability

Public accountability is closely connected to transparency. This form of accountability is dependent on the availability and accessibility of information to the public.³⁶⁸ One method of promoting effectiveness is to increase accountability.³⁶⁹ However, effectiveness of public accountability is based on how the public reacts.³⁷⁰ There is a need for access of information, where the media and the internet play an important role.³⁷¹ In order for public accountability to function, rights and legislation

³⁵⁸ Pope, *Confronting Corruption*, p. 34

³⁵⁹ Ibid.

³⁶⁰ Ibid.

³⁶¹ Ibid.

³⁶² Ibid.

³⁶³ Ibid., p. 37

³⁶⁴ Oliver, *Government in the United Kingdom*, p. 25-28

³⁶⁵ Pope, *Confronting Corruption*, p. 37

³⁶⁶ Ibid.

³⁶⁷ Ibid.

³⁶⁸ Oliver, *Government in the United Kingdom*, p. 25

³⁶⁹ Ibid., p. 30

³⁷⁰ Ibid., p. 25

³⁷¹ Ibid.

need to be given for the public to access information.³⁷² Due to privacy concerns, public accountability may not always be appropriate.³⁷³ Yet it touches upon the concept of citizen participation in accountability.

Political Accountability

Parliaments are a necessity in enforcing integrity within a system of democratic accountability.³⁷⁴ It is through parliaments or legislations that political accountability is brought about. The modern parliament can ensure good governance with public management.³⁷⁵ Furthermore, public accountability is a demonstration of democracy.³⁷⁶ Activities by public agencies and officials may be scrutinised by parliament or the legislature, ensuring full transparency and accountability.³⁷⁷ An inherent deterrence against corruption and an increase in accountability can occur within democratic institutions, such as parliament.³⁷⁸ In a sense, political accountability is a display of the checks and balances necessary for transparency and accountability.³⁷⁹

Political accountability may now involve citizen participation, as more legislatures establish electronic means of communication, and allow for greater access to information through the internet.³⁸⁰ Details of forthcoming legislation, petitions and relevant committees may be accessible to citizens.³⁸¹ A well-informed citizenry may then comment or contribute to the drafting of law. Importantly some commentators have noted that the public should be informed during the drafting of legislation, in order to guarantee good governance.³⁸²

Legal Accountability

An open and independent judiciary is a vital element of creating a system of legitimacy and accountability. Legal accountability can occur through an informed judiciary, which in turn can hold governments and other institutions in public management to account. Legal accountability is accountability through judicial bodies.³⁸³ Unlike other pillars within the National Integrity system the judiciary can stand independent from political influence, and is held responsible to citizenry, along

³⁷² Oliver, *Government in the United Kingdom*, p. 25

³⁷³ *Ibid.*, p. 26

³⁷⁴ Pope, *Confronting Corruption*, p. 47

³⁷⁵ *Ibid.*

³⁷⁶ *Ibid.*

³⁷⁷ *Ibid.*

³⁷⁸ *Ibid.*

³⁷⁹ *Ibid.*

³⁸⁰ *Ibid.* p. 58

³⁸¹ *Ibid.*

³⁸² *Ibid.*, p. 33

³⁸³ Oliver, *Government in the United Kingdom*, p. 26

with values placed upon judicial rectitude.³⁸⁴ Importantly, the rule of law is enforced through the judiciary.³⁸⁵ Systems within the judiciary can allow for appeals and justice.³⁸⁶ Furthermore, the judiciary links in to other accountability mechanism, as officials within the judiciary may be responsible to an independent commission or their peers.³⁸⁷ However, legal accountability has been criticised as a form of interference in bodies and organisations, yet this form of mechanism may provide accountability through independence and reinforce democratic values.³⁸⁸ In essence, the courts provide a mechanism for good governance.³⁸⁹

Administrative Accountability

A delicate balance between the power of the state and democracy can be reached through the construction of a framework of accountability. Administrative bodies within the National Integrity System provide mechanisms to achieve accountability. Moreover, administrative accountability is present through bodies, such as auditors and ombudsman.³⁹⁰ This form of accountability may require several of these bodies or authorities.³⁹¹ Furthermore, administrative accountability is based on a democratic system in which the exercise of power falls into public bodies.³⁹² These bodies use their authority in public interest and are constrained by legal frameworks.³⁹³ Through sound administrative practices the financial operations of institutions can be made transparent. Moreover, information regarding policies and practices can be viewed as a form of currency within administrative accountability, as information can provide power.³⁹⁴ Officials within public administration may be unwilling to provide information, so the quality or quantity of information may remain uncertain.³⁹⁵ However, bodies within administrative accountability, such as Ombudsman can prevent or even eliminate maladministration.³⁹⁶

The role of the Ombudsman is to analyse decisions, procedures and policies, which may not follow the rule of law.³⁹⁷ The body would then examine whether rationale behind decision-making can be

³⁸⁴ Pope, *Confronting Corruption*, p. 33

³⁸⁵ Ibid.

³⁸⁶ Ibid.

³⁸⁷ Ibid.

³⁸⁸ Ibid., p. 30

³⁸⁹ Ibid., p. 63

³⁹⁰ Oliver, *Government in the United Kingdom*, p. 28

³⁹¹ Ibid.

³⁹² Ibid.

³⁹³ Ibid.

³⁹⁴ Pope, *Confronting Corruption*, p. 75

Fox, "The Uncertain Relationship between Transparency and Accountability," p. 664

³⁹⁵ Pope, *Confronting Corruption*, p. 75

³⁹⁶ Ibid., p. 86

³⁹⁷ Ibid., p. 84

justified and viewed as unbiased.³⁹⁸ If the grounds for decision-making have been influenced by corrupt practices then administration may be found inefficient, ineffective and inept. Officials and bodies involved in poor administration may be held responsible.³⁹⁹ Essentially, standards of good governance are used to enforce the rule of law and eliminate maladministration.⁴⁰⁰ Importantly, the office of the Ombudsman must remain independent, but have support from other pillars within the National Integrity System, such as parliament, and bodies, such as the Supreme Audit Institution.⁴⁰¹ Sufficient resources should be provided to the Ombudsman.⁴⁰² Moreover, citizenry should be informed of the existence of the office and its functions, in order to ensure democratic responsibility.⁴⁰³

Administrative accountability encompasses the Supreme Audit Institution (also referred to as the Office of the Auditor-General or Comptroller), which can provide accountability of financial practices within administration.⁴⁰⁴ The power of the Supreme Audit Institution should be clearly stated in law and Constitution, where issues regarding authority and selection are clarified.⁴⁰⁵ Similar to the Ombudsman, the Supreme Audit Institution remains independent of political influence.⁴⁰⁶ The body is given the power to audit all financial resources involved in processes of public management.⁴⁰⁷ Furthermore, despite authorities in charge or recipients of finances, the Supreme Audit Institution should have the power to audit funds.⁴⁰⁸ According to Pope, the body, “stands at the pinnacle of the financial accountability pyramid.”⁴⁰⁹

Whistle-blowing

Disclosure of poor practice within the National Integrity System can often hold the key to creating transparent and accountable public management. Whistle-blowing can provide information about dis satisfactory administration.⁴¹⁰ The practice of whistle-blowing refers to the ability of individuals or entities within an organisation to inform, regarding issues, which may have arisen.⁴¹¹ Whistle-blowers should be provided protection against harm, and be allowed to investigate

³⁹⁸ Pope, *Confronting Corruption*, p. 84

³⁹⁹ *Ibid.*

⁴⁰⁰ *Ibid.*, p. 86

⁴⁰¹ *Ibid.*, p. 91

⁴⁰² *Ibid.*

⁴⁰³ *Ibid.*

⁴⁰⁴ *Ibid.*, p. 75

⁴⁰⁵ *Ibid.*

⁴⁰⁶ *Ibid.*

⁴⁰⁷ *Ibid.*

⁴⁰⁸ *Ibid.*

⁴⁰⁹ *Ibid.*

⁴¹⁰ Transparency International, “Whistleblowing: an effective tool in the fight against corruption,” Policy Paper 01 (2010), p. 2

⁴¹¹ *Ibid.*

maladministration.⁴¹² Notably, whistle-blowers may be anonymous. However, if the identity of a whistle-blower is disclosed, protection should extend to people with connections to them.⁴¹³ Legal provisions for protection through legal frameworks are necessary to allow for a culture of transparency in public management.⁴¹⁴ These provisions should be properly implemented through independent and autonomous bodies, which can investigate complaints.⁴¹⁵ Additionally, the burden of proof should lie with the organisation accused of maladministration.⁴¹⁶

Accountability: Citizen Participation

Democracies are often characterised by transparency.⁴¹⁷ Information is made available and accessible to citizenry. However, it is only through the citizens that transparency may be demanded. Additionally, through an informed citizenry, who understand the processes and practices involved in decision-making accountability may occur.⁴¹⁸ Moreover, an informed public lie at the bottom of the National Integrity System, providing a foundation for accountability mechanisms and successful deliverance of ODA.⁴¹⁹ Importantly, without the co-operation of people, development cannot occur effectively.⁴²⁰ Citizen participation is a necessity for creating accountability and transparency.⁴²¹ Governments can provide citizens with tools to participate in decision-making.⁴²² Moreover, governments have an obligation to provide citizens with information, regarding consultations.⁴²³ Frameworks should be put in place, where the public may provide suggestions and comments.⁴²⁴ These may include public hearings and electronic information.⁴²⁵ Reports, which provide the way in which public inputs are utilised, may also be provided.⁴²⁶ Additionally responsibilities of officials should be publicly acknowledged, while contact information is required for full responsibility to occur.⁴²⁷

⁴¹² Transparency International, "Whistleblowing," p. 4

⁴¹³ *Ibid.*

⁴¹⁴ *Ibid.*

⁴¹⁵ *Ibid.*, p. 4-5

⁴¹⁶ *Ibid.*, p. 4

⁴¹⁷ Pope, *Confronting Corruption*, p. x

⁴¹⁸ *Ibid.*, p. 247

⁴¹⁹ *Ibid.*

⁴²⁰ *Ibid.*, p. x

⁴²¹ Drafted by Marc Gramberger, *Citizens as Partners: OECD Handbook on Information, Consultation and Public Participation in Policy-making* (Paris: OECD, 2001), p. 87

⁴²² *Ibid.*

⁴²³ *Ibid.*

⁴²⁴ *Ibid.* p. 87

⁴²⁵ *Ibid.*

⁴²⁶ *Ibid.*

⁴²⁷ *Ibid.*

A possible mechanism for citizen participation may be a citizen charter.⁴²⁸ These charters can provide a framework for dealing with complaints.⁴²⁹ However, the focus of the charter is to provide constructive feedback and create a channel for communication.⁴³⁰ Complaints no longer have to be seen in a negative manner, as comments can be used to improve public management.⁴³¹ Additionally, the charters facilitate access to information, as information regarding government organisations may be required within the charter.⁴³² Yet, citizen's charters do not have to be enforced by law so only act as a form of guidance.⁴³³

With the help of citizen participation, accountability mechanisms, such as parliament can provide a strong voice, and create systems suitable to the public.⁴³⁴ In addition, citizen's charters can provide parliament with the information necessary for good practice.⁴³⁵ According to the *Accra Agenda for Action*, good public practice can emerge through parliament and its citizens.⁴³⁶ Furthermore, donors and recipients can be held accountable to another through citizenry and parliament.⁴³⁷ So, desirable results within country development and aid policies may be aided through the citizens of nations.⁴³⁸

Conclusion

This chapter examines central elements of transparency and accountability. A literature review of the concepts, their linguistic origins and forms, along with presence within EU development policy has allowed for an understanding of past data. Furthermore, scholarly perspectives on the concepts of transparency and accountability and their usage within institutions have been examined within the literature review. Following the literature review an international legal framework for understanding transparency and accountability was examined. Elements of the legal framework relate to the freedom of information. The legal origins of transparency can be traced back through freedom of information, because access to information is an integral part of transparency. The *Universal Declaration of Human Rights* and the *Convention for the Protection of Human Rights and Fundamental Freedoms* shape freedom of information international legislation. More recent agreements regarding the concepts are also examined within *the Paris Declaration on Aid Effectiveness* and *Accra Agenda for Action*. From these agreements an international initiative was

⁴²⁸ Pope, *Confronting Corruption*, p. 247

⁴²⁹ *Ibid.*, p. 248

⁴³⁰ *Ibid.*

⁴³¹ *Ibid.*

⁴³² *Ibid.*

⁴³³ *Ibid.*

⁴³⁴ Fox, "The Uncertain Relationship between Transparency and Accountability," p. 665

⁴³⁵ *Ibid.*

⁴³⁶ Organisation for Economic Co-operation and Development, *Accra Agenda for Action*, p. 20

⁴³⁷ *Ibid.*

⁴³⁸ *Ibid.*

created, the IATI. Commitments for greater mutual accountability were made in the more recent *Busan Partnership for Effective Development Co-operation*. Following the international legal framework were separate sections on transparency and accountability. A need for greater transparency was uncovered, in light of efforts to combat corruption and create good governance. A further explanation was provided of transparency and access to information. The relationship between responsibility and accountability was touched upon in subsequent section. The National Integrity System created by Transparency International was explained. Accountability mechanisms were touched upon thereafter. Furthermore, accountability alongside citizen participation was explained. Through the various sections in this chapter, a fundamental basis for understanding the normative concepts and transparency is provided.

Chapter 2: Theoretical Overview

Introduction

This chapter outlines a theoretical framework, in order to understand transparency and accountability in the deliverance of ODA. The concepts of transparency and accountability have appeared within discourse of development effectiveness in the last three decades. However, a theoretical grounding for the concepts has not been previously created. This chapter attempts to address theoretical understandings within development and integration studies. As transparency and accountability have appeared in development policy discourse, development theories may bring light to possible explanations of the research phenomenon. Furthermore, due to the European nature of this research it was deemed appropriate by the researcher to look at integration theories, for a possible understanding for effectiveness in the deliverance of ODA, and consistency in the usage of accountability and transparency by EU Member States. The chapter has been divided into three sections. The first section reviews current theoretical literature on two subject areas, development studies and integration studies. The second section delves further into the complexities of development theories and the role the theories may play in analysing transparency and accountability. The third section goes further into integration theories, which may be applied to this research.

Literature Review

Introduction

This literature review touches upon the place of transparency and accountability within development studies. The concepts have only recently appeared within development studies through policy discourse, and as a result there is little theoretical background that touches upon the subject of transparency and accountability. This literature review has instead looked at influential theories, which may be applied in hindsight to transparency and accountability in the deliverance of ODA. The first part of this literature review delves into theories, which have had impacts on the deliverance of ODA. A number of theories have played a role in shaping development over the decades. Within this literature review, a focus is brought to the modernisation theory and dependency theories. Additionally, neo-liberalism and post neo-liberalism will also be discussed in relation to development studies. The second part of this review discusses integration theories, which could result in greater transparency and accountability. This part of the literature will focus on Liberal Intergovernmentalism (LI) and neofunctionalism. The decision to select these two integration theories was based on previous literature, which used the two theories to complement one

another.⁴³⁹ Nevertheless, these two integration theories may also be viewed as two opposing viewpoints. In addition, literature on policy networks and governance approaches has been reviewed. As both policy networks and governance approaches may only play a minor role in the theoretical framework of this research, the literature reviewed is comparatively smaller.

Development Theories

Development theories have been characterised by altruistic attitudes. Willy Brandt displays this attitude. He comments that, “the rich cannot progress without progress by the poor.”⁴⁴⁰ The key objectives of development theories have been to eliminate absolute poverty.⁴⁴¹ Within this research, questions regarding transparency and accountability in the deliverance of ODA have been addressed. In some regard, through the elimination of opaque information, efficiency of aid may be increased. Inevitably, greater efficiency may lead to a focus on elimination of issues within the developing world. Two types of theories have had great influence over decision-making in the deliverance of ODA. These two types of theories are modernisation theory and dependency theories. The literature on both has been reviewed in the following sections. In addition, literature on neo-liberalism and post neo-liberalism in development policy has been included.

Modernisation Theory

Modernisation theory emerged in the 1950s and dominated discourse within the West. Principle ideas behind the theory came from Darwinian evolution. Growth of state was viewed as something similar to the growth of creatures in the natural world.⁴⁴² Institutions and social structures were considered “directional.”⁴⁴³ Under modernisation theory the structure of traditional society was arguably detrimental to development. Modern societies had evolved away from traditional ways of life. Agriculture was no longer considered of great importance, while the possession of manufactured goods and materials was of prime importance. Western societies had been moving a “trajectory” of “naturalisation.”⁴⁴⁴ Essentially, the Western world had been progressing naturally towards modernisation.⁴⁴⁵

⁴³⁹ Martin Holland, *The European Union and the Third World* (New York: Palgrave, 2002), p. 238

⁴⁴⁰ Willy Brandt, *North-South: a programme for survival; report of the Independent Commission on International Development Issues*(Cambridge, Mass, MIT, 1980), p. 270

⁴⁴¹ Ibid., p. 271

⁴⁴² Sharmila Joshi, “Theories of Development: Modernisation vs. Dependency,” Infochange: Defining Development, accessed 15/04/2013, <http://infochangeindia.org/defining-development/theories-of-development-modernisation-vs-dependency.html>

⁴⁴³ Ibid.

⁴⁴⁴ Ibid.

⁴⁴⁵ Ibid.

According to some scholars the theory evolved in several waves. The first wave in the 1950s and 1960s considered Western society and economic development.⁴⁴⁶ The second wave in the 1970s looked at the influences of Western culture and economics.⁴⁴⁷ The third wave in the 1980s was more neutral towards the concept of modernisation.⁴⁴⁸ Yet, one of the most influential modernisation theories that remained was Walt Rostow's stages of growth. Within Rostow's model there were five stages of growth: traditional society, preconditions for take-off, take-off, drive to maturity, and age of mass consumption.⁴⁴⁹ The theory was essentially evolutionist in nature.⁴⁵⁰

Some modernisation theorists made observations regarding the relationship between democracy and development. Lipset was one of the first scholars to find a relationship between democracy and development through comparative politics.⁴⁵¹ According to Lipset, the greater the level of development, the more likely there would be a successful and sustainable democracy.⁴⁵² Przeworski and Limongi reiterate this point by noting that the modernisation of a state was a process in which structures were influenced by causal relationships.⁴⁵³ These relationships occurred in particular areas and institutions. Essentially, modernisation was a result of social changes creating democratisation.⁴⁵⁴

According to Huntington, there are nine characteristics, which define the process of modernisation. These characteristics were "revolutionary," "complex," "systematic," "global," "lengthy," "phased," "homogenising," "Irreversible," and "progressive" processes.⁴⁵⁵ These processes summarised the move of a nation from a traditional society to a modern society. Furthermore, Huntington considered, "the...difference between modern and traditional society... in the greater control which modern man has over his natural and social environment."⁴⁵⁶ Additionally, Huntington viewed the

⁴⁴⁶ University of Twente, "Modernisation Theory," accessed 16/04/2013, <http://www.utwente.nl/cw/theorieenoverzicht/Theory%20clusters/Media,%20Culture%20and%20Society/Modernization%20Theory.doc/>

⁴⁴⁷ Ibid.

⁴⁴⁸ Ibid.

⁴⁴⁹ W.W. Rostow, *The Stages of Economic Growth: A Non-Communist Manifesto* (Cambridge: Cambridge University Press, 1960), p. 4

⁴⁵⁰ "Modernisation Theory," accessed 16/04/2013, <http://www.school-portal.co.uk/GroupDownloadFile.asp?GroupId=46114&ResourceId=133786>

⁴⁵¹ Adam Przeworski and Fernando Limongi, "Modernisation: Theories and Facts," *World Politics*, Vol. 49, No. 2 (Jan., 1997), p. 158

⁴⁵² Seymour Martin Lipset, *Political Man, The social bases of politics* (Baltimore, Maryland: The John Hopkins University Press, 1981), p. 28.

⁴⁵³ Przeworski and Limongi, "Modernisation", p. 158

⁴⁵⁴ Ibid.

⁴⁵⁵ Samuel P Huntington, "The Change to Change: Modernization, Development, and Politics," in *Analyzing the Third World: Essays from Comparative Politics*, ed. Norman Provizer (United States of America: Shenkman Publishing Company, 1978), pp. 35-37

⁴⁵⁶ Ibid., p. 33

modernisation of a state as an intellectual activity.⁴⁵⁷ A modern society would hold a large body of knowledge, which would be shared among citizens.⁴⁵⁸ Furthermore, agriculture would no longer be of primary importance.⁴⁵⁹

Dependency Theories

Dependency theories emerged in the 1960s mainly from Latin America. These theories are not “homogeneous,” but argued along similar lines.⁴⁶⁰ International markets play a key role in understanding development.⁴⁶¹ Moreover, underdevelopment is caused due to development in other nations.⁴⁶² Essentially, nations are integrated within processes.⁴⁶³ Dependency theories could be viewed as an opposition to modernisation theory, which was seen as a failure due to its shortcomings. Assumptions regarding international, domestic and political contexts were made under modernisation theory. Exponents of the theory emerged including Andre Gunder Frank, Raúl Prebisch, Immanuel Wallerstein, Theotonio Dos Santos, Samir Amin and Fernando Henrique Cardoso. The term dependistas was coined for proponents of the dependency theories, due to the Latin American nature of many of the scholars.

One of the more prominent scholars was Raúl Prebisch, Secretary to the United Nations Economic Commission for Latin America during the late 1950s.⁴⁶⁴ Prebisch attempted to explain the lack of growth within Latin America through economics.⁴⁶⁵ According to Prebisch, primary goods were sent to developed countries and those goods were resented as new products with added value.⁴⁶⁶ Essentially, a basic explanation of the value chain widely used in current management literature was given. The value chain is a process in which goods take from raw material to finished product. As the goods sent away would be sold for a lower price than they were brought in, poorer nations would never earn enough to make up for the difference.⁴⁶⁷

⁴⁵⁷ Huntington, “The Change to Change,” p. 34

⁴⁵⁸ Ibid.

⁴⁵⁹ Ibid.

⁴⁶⁰ Ibid.

⁴⁶¹ Ibid.

⁴⁶² Ibid.

⁴⁶³ Ibid.

⁴⁶⁴ Ezequiel Jimenez, “The Infamous Son: Raul Prebisch’s Dependency Theory in Post Peronist Argentina,” accessed 15/04/2013, http://www.academia.edu/994291/The_Infamous_Son_Raul_Prebischs_Dependency_Theory_in_Post-Peronist_Argentina

⁴⁶⁵ Vincent Ferraro, “Dependency Theory: An Introduction,” in *The Development Economics Reader*, ed. Giorgio Secondi (London: Routledge, 2008) pp. 58-64, accessed 15/04/2013, <https://www.mtholyoke.edu/acad/intrel/depend.htm>

⁴⁶⁶ Ibid.

⁴⁶⁷ Ibid.

Theotonio Dos Santos reinforced the continuous cycle that poorer nations faced. According to Dos Santos, dependency could be viewed as a “historical condition.” Furthermore, “the economy of a certain group of countries is conditioned by the development and expansion of another economy, to which their own is subjected.”⁴⁶⁸ Samir Amin also emphasised the need to move away from world markets by using Cote d’Ivoire as a case study.⁴⁶⁹ According to Amin, economic growth was occurring in the nation without development.⁴⁷⁰ In Amin’s view, growth was external due to an export orientated economy, and there was a need for greater internal “dynamics.”⁴⁷¹

Other influential figures differed from this view point, including Fernando Henrique Cardoso. Cardoso was a social scientist that became President of Brazil. According to Cardoso, development could occur, however it would be “associated-dependent” development.⁴⁷² This form of development occurs if there is substantial ownership of industries domestically.⁴⁷³ Cardoso focussed mainly on internal issues of nations. He asserted that a strong political and social structure could provide development. The way in which nations with “associated-dependent” development then behaved with the rest of the global economy differed from how other dependency theorists had viewed nations.

Dependency theories were often criticised for generalisations. Immanuel Wallerstein greatly influenced dependency theories by introducing the concepts of the core, periphery, semi-periphery and the external in his World Systems theory.⁴⁷⁴ Although Wallerstein has not always been viewed as a dependency theorist, there are some similarities in his work with other dependency theorists.⁴⁷⁵ These concepts provided categories in which types of countries were placed.⁴⁷⁶ Those nations that were the most developed were at the core, while those in declining economies were placed in the semi-periphery, and those that only exported raw materials and were colonial were placed in the periphery.⁴⁷⁷

⁴⁶⁸ Theotonio Dos Santos, "The Structure of Dependence," in *Readings in U.S. Imperialism* eds., K.T. Fann and Donald C. Hodges, (Boston: Porter Sargent, 1971), p. 226

⁴⁶⁹ Samir Amin, *Le Développement du Capitalisme en Cote d'Ivoire* (Paris: Les Editions de Minuit, 1971), p. 68

⁴⁷⁰ Ibid.

⁴⁷¹ Ibid.

⁴⁷² F. H. Cardoso, and E. Faletto, *Dependency and Development in Latin America* (Berkeley: University of California Press, 1979), p. 176

⁴⁷³ Ibid., p. 173

⁴⁷⁴ Immanuel Wallerstein, *The Modern World-System: Capitalist Agriculture and the Origins of the European World-Economy in the Sixteenth Century* (New York: Academic Press, 1976), p. 229-233

⁴⁷⁵ Gaylord George Candler, “Cardoso, Dependency Theory and Brazil,” paper presented at the International Studies Associations, Midwest, St Louis, 19 October 1996, p. 7

⁴⁷⁶ Ibid., 229-233

⁴⁷⁷ Ibid.

Importantly, a rejection of Eurocentric views emerged within dependency theories. One prominent scholar, Andre Gunder Frank, perceived development from a world-historical perspective, where the global West was no longer dominant.⁴⁷⁸ According to Frank, in order to understand development, social and economic history must first be understood in underdeveloped countries.⁴⁷⁹ Frank viewed the colonial past of many underdeveloped nations as essential in addressing current issues.⁴⁸⁰ Furthermore, he rejected the usefulness of many the terms used within development discourse, including capitalism and socialism.⁴⁸¹

Neo-liberalism and Post Neo-liberalism

Two prominent schools of thoughts with a debatable role, post neo-liberalism and neo-liberalism, have been applied to development aid.⁴⁸² There has been a shift from a more market oriented to an institution based approach.⁴⁸³ However, questions regarding the neo-liberal model of democracy, and reducing poverty, still play a role in the discussion regarding the importance of EU ODA.⁴⁸⁴ The move away from government control has had some query the role of anti-statism in development aid.⁴⁸⁵ Yet a partner based approach has come about from a post neo-liberal approach, as there is move towards closer co-ordination and harmonisation in order to relieve the administration of aid from one partner.⁴⁸⁶ Similarly there have been calls to reduce bureaucratic interests as it is seen to hinder the process of delivering aid.⁴⁸⁷

Decentralisation has been a key component in decreasing central government support, and increasing the power of individual decision makers.⁴⁸⁸ However accountability is a necessity not only for donors, but partners. An independent report points towards two groups of thoughts, 'planners' and 'searchers', along with issues of incentives and accountability.⁴⁸⁹ There have also been

⁴⁷⁸ Barry K Gils, "Andre Gunder Frank," *The Guardian*, Wednesday 4 May 2005

⁴⁷⁹ Andre Gunder Frank, "The Development of Underdevelopment," *Monthly Review Press*, Volume 18, no. 4, September 1966

⁴⁸⁰ Ibid.

⁴⁸¹ Gils, "Andre Gunder Frank."

⁴⁸² Wil Hout, "Development Cooperation, Poverty Reduction and the European Union," in *EU Development Policy and Poverty Reduction: Enhancing Effectiveness*, ed. Wil Hout (Burlington, VT: Ashgate, 2007). p, 2

⁴⁸³ Ibid. p. 6

⁴⁸⁴ Crawford, "The EU and Democracy Promotion in Africa: High on Rhetoric, Low on Delivery?" p 184

⁴⁸⁵ Ibid. p. 185

⁴⁸⁶ Hout, "Development Cooperation, Poverty Reduction and the European Union," p. 6

⁴⁸⁷ Gordon Rye Olsen, "Bureaucratic Interest and Europe Aid to Sub-Saharan Africa," in *European Union Development Policy*, ed. Marjorie Lister (Houndmills, Basingstoke: Macmillan Press, 1998), p. 92

⁴⁸⁸ Samuel Wangwe, "Foreign Aid, Accountability and Service Delivery in Africa" (Dar es Salaam: Daima Associates Limited), p. 23

⁴⁸⁹ Ibid.

arguments supporting an analytical framework centred on agencies rather than central government.⁴⁹⁰

Incentive based issues of accountability have also been observed due to institutional pressure to commit and disburse development aid.⁴⁹¹ The existence of multiple donors may lead to difficulties during the evaluation process as various actors may have different expectations in the deliverance of aid.⁴⁹² Interactions between levels of governance within a single project are usually not evaluated, even though this may increase efficiency, as the focus is of corruption.⁴⁹³

Integration theories

Through an understanding of the integration of the EU, the consistencies between the deliverance of ODA may be understood. Greater transparency and accountability may occur, if greater co-operation were to occur between EU Member States. In the following sections, literature on neofunctionalism, Liberal Intergovernmentalism (LI), new institutionalism and multi-level governance has been reviewed. Literature from prominent scholars in integration theories has been reviewed including Moravcsik, Haas, Schmitter and Lindberg.

Neofunctionalism

Neofunctionalism emerged in the late 50s and early 60s.⁴⁹⁴ In essence, integration within neofunctionalism may be viewed as a process, instead of a series of negotiations.⁴⁹⁵ According to Moravcsik, neofunctionalism theorists viewed European integration is a state of “becoming” rather than “being.”⁴⁹⁶ Moreover, one of the major figures within neofunctionalism, Ernst Haas viewed integration as a movement towards a centre.⁴⁹⁷ According to Dosenrode, Haas along with Philippe Schmitter attempted to create an applicable theory to the project of greater European integration.⁴⁹⁸ The concept of “spillover” was introduced as a framework of understanding integration.

⁴⁹⁰ Carol Lancaster, *Aid to Africa: So Much to Do, So Little Done* (London: University of Chicago Press, 1999), p. 77

⁴⁹¹ Wangwe, "Foreign Aid, Accountability and Service Delivery in Africa," p. 32

⁴⁹² Ibid. p. 33

⁴⁹³ Ibid. p. 34

⁴⁹⁴ Arne Niemann and Philippe C. Schmitter, “Neofunctionalism” in *European integration theory*, ed. Antje Wiener and Thomas Diez (Oxford: Oxford University Press, 2009), p. 45

⁴⁹⁵ Maurizio Carbone, *The European Union and International Development: The Politics of Foreign aid* (New York: Routledge, 2007), p. 15

⁴⁹⁶ Andrew Moravcsik, “The European Constitutional Compromise and the Neofunctionalism Legacy,” *Journal of European Public Policy*, 12:2 April 2005, p. 350

⁴⁹⁷ Ernst Haas, *The Uniting of Europe: Political, Social and Economic Forces, 1950-1957: Second Edition* (Calif: Stanford University Press, 1968), p. 16

⁴⁹⁸ Søren Dosenrode, “Federalism Theory and Neo-Functionalism: Elements for an analytical framework,” *Perspectives on Federalism*, Vol. 2, issue 3, 2010, p. 22

Lindberg further explains this phenomenon. According to Lindberg, independent positions of Member States may be forgone, and instead joint decisions may be reached. Institutions may also hold a position of importance in decision-making.⁴⁹⁹ Lindberg also explains a key concept within neofunctionalism of “spillover”. The concept of “spillover” according to Lindberg, referred to the need to continuously take further action, in order to accomplish particular goals.⁵⁰⁰ “spillover” may be interpreted as the logic behind integration due to functional or economic independence.⁵⁰¹ Holland explains the concept as a representation of the “the inter-related nature of policy development with the EU.”⁵⁰²

The theory of neofunctionalism was modified in the mid-80s to address some of these issues and the expansion of the EC. Automatic “spillover” was rejected by Schmitter. The revision looks at how structures are related to one another. It also looks at socialisation and deliberation rather than rational choice.⁵⁰³ Schmitter proposed alternative strategies including, “spill-around,” “build-up,” “retrench,” “muddle-about,” “spill-back,” and “encapsulate.”⁵⁰⁴ Despite the introduction of these concepts, the theory remained centred around actors, and did not look at structural factors.⁵⁰⁵ Additionally, interest groups may also be overestimated.⁵⁰⁶

Liberal Intergovernmentalism (LI)

In the 1990s, Liberal Intergovernmentalism (LI) emerged as a theory based upon the notion that the Member States are the root of integration.⁵⁰⁷ Additionally, the role of external changes at an international level is no longer the focus. The EU is viewed as a result of interstate bargaining.⁵⁰⁸ Moreover, Member States are in pursuit of their self-interests.⁵⁰⁹ According to Rosamond, Member States act rationally, and the behaviour of nations within negotiations reflect the interests held by states.⁵¹⁰ Additionally, governments attempt to avoid risk.⁵¹¹

⁴⁹⁹ L Lindberg, *The Political Dynamics of European Economic Integration* (Stanford: Stanford University Press, 1963), p. 149

⁵⁰⁰ *Ibid.*, p. 10

⁵⁰¹ Niemann and Schmitter, “Neofunctionalism,” p. 49

⁵⁰² Holland, *The European Union and the Third World*, p. 239

⁵⁰³ Niemann and Schmitter, “Neofunctionalism,” p. 55

⁵⁰⁴ Ben Rosamond, *Theories of European Integration* (New York: St. Martin's Press, 2000), p. 65

⁵⁰⁵ Niemann and Schmitter, “Neofunctionalism,” p. 51

⁵⁰⁶ *Ibid.*, p. 53

⁵⁰⁷ Ron H Ginsberg, *The European Union in International Politics: Baptism by Fire* (United States of America: Rowman & Littlefield Publishers), p. 34

⁵⁰⁸ *Ibid.*

⁵⁰⁹ Carbone, *The European Union and International Development*, p. 14

⁵¹⁰ Rosamond, *Theories of European Integration*, p. 142

⁵¹¹ *Ibid.*

One of the leading scholars within LI literature is Andrew Moravcsik. Moravcsik presented a critical perspective of neofunctionalism. Particular criticisms focussed upon the concept of “spillover” within neofunctionalism.⁵¹² For Moravcsik neofunctionalism was “detached” from current political theories.⁵¹³ Arguably, Moravcsik provided greater critique rather than explanations regarding integration.⁵¹⁴ Nevertheless, Moravcsik and Schimmelfennig also presented the concept of bargaining between EU Member States in creating the EU. According to the scholars, the concept of hard bargaining comes into play in integration, as collective and individual interest conflict, but cooperation is inevitable at an international level.⁵¹⁵

Moravcsik focussed upon several events within EU integration as case studies for his theoretical arguments. Focus was brought to the Treaty of Rome, Common Agricultural Policy, Single European Act, and the Treaty on the European Union.⁵¹⁶ Moreover, LI could be used to explain integration in most circumstances.⁵¹⁷ Moravcsik was brought under criticism for the selected case studies. For Scharpf, economic concerns may help create outcomes instead of the positions held by individual governments.⁵¹⁸ Similarly, for Nugent LI presents an “uncompromising framework,” and notes that institutions may also have influences on outcomes. Moreover, the formulation of government policies may be overlooked.⁵¹⁹

New Institutionalism and Multi-Level Governance

In the 1980s and 1990s, scholars moved away from intergovernmentalism and neofunctionalism in an attempt to answer questions regarding the functions of governments and institutions. As Caporaso notes, the debates between the two theories had become “uninspired.”⁵²⁰ Bache and George viewed the theories that emerged during the time period in two categories, new institutionalism and governance and policy networks.⁵²¹ Within both approaches governments were

⁵¹² Andrew Moravcsik, “Preferences and Power in the European Community: A Liberal Intergovernmentalist Approach,” *Journal of Common Market Studies*, Volume 1, no. 4, December 1993, pp. 474-476

⁵¹³ *Ibid.*, p. 477

⁵¹⁴ Ian Bache and Stephen George, *Politics in the European Union: Second Edition* (New York: Oxford University Press), p. 13

⁵¹⁵ Andrew Moravcsik and Frank Schimmelfennig, “Liberal Intergovernmentalism,” in *European integration theory*, ed. Antje Wiener and Thomas Diez (Oxford: Oxford University Press, 2009), p. 71

⁵¹⁶ Bache and George, *Politics in the European Union*, p. 14

⁵¹⁷ Moravcsik and Schimmelfennig, “Liberal Intergovernmentalism,” p. 76

⁵¹⁸ F Scharpf, “Review Section Symposium- The choice for Europe: Social Purpose and State Power from Messina to Maastricht. Selecting Cases and Testing Hypotheses,” *Journal of European Public Policy*, 6, p. 165

⁵¹⁹ Neil Nugent, *The Government and Politics of the European Union: Sixth Edition* (United States of America: Duke University Press, 2006), p. 566

⁵²⁰ J Caporaso, “Regional Integration Theory: Understanding our Past and Anticipating our Future,” *Journal of European Public Policy*, 5, 1998, p. 341

⁵²¹ Bache and George, *Politics in the European Union*, p. 22

viewed as one of several actors, which lead to a more complex approach.⁵²² Several new theories emerged within new institutionalism, including rational choice institutionalism, historical institutionalism and sociological institutionalism.⁵²³ The theories were based upon comparative politics. Bulmer notes that within new institutionalism, “the examination of governance structures places a large amount of emphasis upon institutions, decision-making procedures and rules.”⁵²⁴

One of the more prominent theories that emerged within literature on governance and policy networks was multi-level governance. Multi-level governance emerged in the early 1990s and resembled some aspect of neofunctionalism.⁵²⁵ According to Holland, domestic interests also diminish as Member States share governance, so multi-level governance shares similarities to neofunctionalism.⁵²⁶ The theory was created as an explanation of the EU, after the process of integration. The theory attempted to show the complex processes within the EU. According to Rosamond, the “variability, unpredictability and multi-actorness” were certain aspects of multi-level governance.⁵²⁷ Furthermore, Gary Marks referred to multi-level governance as a “system” operating at various levels.⁵²⁸

Summary

Literature within development studies comes from scholars of different perspectives and political viewpoints. Nevertheless, the primary objective of poverty elimination was central to arguments by academics. The emergence of Modernisation theory in the 1950s signalled an era in which principle ideas were based on the Darwinian science. Rostow’s stages of growth model embodied the notions within modernisation theory. Conversely, dependency theories were broad in nature and came from various scholars in Africa and Latin America. Some of the more prominent literature came from Andre Gunder Frank, Raúl Prebisch, Immanuel Wallerstein, Theotonio Dos Santos, Samir Amin and Fernando Henrique Cardoso. In contrast to development theories, integration theories had a different focus. For integration theorists the focus was on an explanation of EU integration and the nature of the EU. Academics focussed their efforts by creating concepts in explaining integration. The concept of “spillover” was central to the theory of neofunctionalism, while bargaining was a concept within LI. Several new theories emerged within the last three decades, which attempted to

⁵²² Peters and Pierre, “Governance Approaches,” p. 92

⁵²³ Bache and George, *Politics in the European Union*, pp. 22-28

⁵²⁴ Simon J. Bulmer, “The Governance of the European Union: A New Institutional Approach,” *Journal of Public Policy*, 13, 4, p. 355

⁵²⁵ Bache and George, *Politics in the European Union*, p. 33

⁵²⁶ Holland, *The European Union and the Third World*, p. 240

⁵²⁷ Rosamond, *Theories of European Integration*, p. 111

⁵²⁸ G Marks, “Structural Policy and Multilevel Governance in the EC,” in *The State of the European Community, Vol. 2 the Maastricht Debates and Beyond*, ed. A Cafruny and G Rosenthal, (Boulder: Lynne Rienner; Harlow: Longman, 1993), p. 392

go beyond debates on whether the EU was a process. New institutionalism examined governance structures, rather than the process of integration.

Development Theories

Introduction

In order to understand aid effectiveness, transparency and accountability, it is important to analyse the development theories which have shaped the discourse surrounding them. Some critics have argued that it was simply a delusion to believe that investing large amounts in developing nations would lead to change.⁵²⁹ These fundamental concerns may have arisen due to a lack of understanding regarding the effectiveness of development aid. This section looks at development theories which may be used to understand EU policy-making, and the deliverance of ODA.

Modernisation and dependency theories have been highly influential in development studies, so they are at the core of the theoretical discussion.

Modernisation theory

In the wake of the Second World War, new theories explaining development had emerged. One of the most prominent, which still influences development studies, is the modernisation theory. It emerged in the 1950s and 1960s as an explanation of modern industrial societies.⁵³⁰ The theory looks at some of the domestic factors of development, such as, economic and political structures.⁵³¹ According to Durkheim, traditional society is the collective, while modern society is revolved around the individual. Under modernisation theory the structure of traditional society is arguably detrimental to development. The theory also provided a solution on how decolonised nations could achieve economic growth in order to become developed nations.⁵³²

Three elements made up the theory: international bipolarity, containment, and aid-donor competition.⁵³³ However, these elements may not be as pertinent today, as they refer to Cold War struggles. One of the leading figures in modernisation theory Walt Rostow summarises Cold War attitudes towards communism, “a kind of disease [communism] which can befall a transitional society if it fails to organise effectively those elements within...which are prepared to get on with the job of modernisation.”⁵³⁴ As such the first element of the modernisation which dealt with the power struggle between the USA and the USSR within a global system was viewed as a form of

⁵²⁹ Rist, *The History of Development*, p. 45

⁵³⁰ P. W. Preston, *Development theory: An introduction* (Oxford, England: Blackwell Publishers, 1996), p. 166

⁵³¹ Haynes, *Development Studies*, p. 24

⁵³² Rist, *The History of Development*, p. 94

⁵³³ Preston, *Development theory*, p. 166

⁵³⁴ Rostow, *The Stages of Economic Growth*, p. 164

international bipolarity.⁵³⁵ Secondly, containment focussed on the threat of communism. Similarly, the third element dealt with the degree of competition between Western and Communist donors, particularly during the Cold War.⁵³⁶

Nevertheless, there may still be a degree of aid-donor competition within the deliverance of ODA, albeit in a different manner than when this theory was constructed. This can be particularly observed between key actors such as China, the United States of America (USA) and the EU. The theory has also paved way for Walt Rostow's influential stages of growth theory, which has provided objectives for ODA. Moreover, modernisation was one of the first theories within development which attempted to provide aims for development aid. Even though there is no longer a threat from communism, it is important to note the purpose of accountability mechanisms. Within a modernisation perspective, aid effectiveness is simply the achievement of modernity, and with it comes a strengthening of accountability and transparency mechanisms. Furthermore, the term underdeveloped may stem from modernisation theory.⁵³⁷

Stages of growth

In 1960, Walt Rostow introduced a new theory in *Stages of Economic Growth: A Non-Communist Manifesto*, which came to highly influence developmentalists. It would later simply be referred to as the stages of growth. Furthermore, this model has been labelled as the "apogee" of modernisation theory.⁵³⁸ The stages of growth are almost Darwinian in its outlook and rely upon continual growth, and models of consumption. Essentially, economic growth is achieved and sustained through continuous consumption. For Rostow, the stages of growth "constitute, in the end, a theory about economic growth and a more general, if still highly partial, theory about modern history."⁵³⁹ Due to broad reach of this theory it seems appropriate in the context of ODA.

The model breaks down societal growth and development into five stages.⁵⁴⁰ The first stage looks at traditional society where pre-Newtonian science and technology are used, and a rigid social structure is in place. The economy is also mainly based on agriculture. The second stage provides the preconditions for take-off, as there is an outside influence for change. Institutions are created, and the economy moves into industrial production. Trade is also expanded in this stage to move from subsidiary ways of living to international and national markets. The third stage is the take-off. There is increased investment and production within the economy. Institutions at both political and social

⁵³⁵ Preston, *Development theory*, p. 168

⁵³⁶ Ibid., p. 169

⁵³⁷ Rist, *The History of Development*, p. 102

⁵³⁸ Preston, *Development theory*, p. 175

⁵³⁹ Rostow, *The Stages of Economic Growth*, p. 1

⁵⁴⁰ Haynes, *Development Studies*, pp. 21-22

levels are also solidified. The fourth stage is the drive to maturity. There is a high rate of investment and continual political change within society. Finally, the fifth stage refers to the age of mass-consumption. This stage is the final transition from a traditional society to a modern society. Institutions have been fully modernised, and consumers are at the centre of the economy.

Arguably, Rostow has divided the goals of ODA into five stages. The stages of growth may also be used to distinguish developed nations from those which are still emerging. Similarly, the less developed a nation, the lower the stage. Despite providing a clear and structured approach to development, there are particular issues surrounding Rostow's ideas. Firstly, there have also been examples in recent history that deviate from the growth model. Countries such as Iran and Yugoslavia have departed from the model, particularly due to other influences.⁵⁴¹ As a result the model may be too simplistic to be applied to all situations. The stages of growth do not look at the consequences of conflict. Similarly, there have been criticisms that the model lacks consideration for cultural and religious factors. The complexity involved in effective development may also be overlooked.⁵⁴²

Nevertheless, Rostow's stages of growth provide a rough outline of what could be seen if aid is effective. Even though the theory does not touch upon transparency and accountability, it does provide some objectives. Additionally, the theory introduced one of the first ideas of transition for societies and nations, and it is this key concept which has fuelled the drive for ODA. This theory may be used in conjunction with other development theories, as it provides examples of change in society, which may show aid effectiveness.

Dependency theories

During the 1960s several Latin American development theories emerged, that became known as dependency theories. Dependency theorists or dependistas argue that countries can be separated into the core, semi-periphery and periphery.⁵⁴³ Essentially, countries are divided by their position in the world economy using these three terms, with the core referring to developed nations and periphery to emerging nations. These theories emerged as a response to the failures by structural economists to industrialise countries in Latin America after World War II.⁵⁴⁴ Under dependency

⁵⁴¹ Haynes, *Development Studies*, p. 24

⁵⁴² *Ibid.*, p. 23

⁵⁴³ *Ibid.*

⁵⁴⁴ Preston, *Development Theory*, p. 179

theories, countries in the region occupy a lower position in the world economy. However, this theory was also later applied to sub-Saharan Africa by scholars in the 1970s.⁵⁴⁵

The dependency theories reject Rostow's notions of growth, and how modernisation occurred. The theory lies in opposition to modernisation theory as even the prospect of development in emerging nations is disregarded.⁵⁴⁶ It is important to note that modernisation theory describes a broad shift of nations into modernity.⁵⁴⁷ However, it is mainly based on a Western model, which may not have been appropriate for the Latin American experience. Moreover, dependistas argue that there is no straight line towards modernity, as formulaic steps towards development are viewed as ineffective.⁵⁴⁸ This means a dismissal of the stages of growth. In effect, dependency theorists argue that development should go beyond a simple Western legacy.

Many of the concerns of dependency theorists stem from perceived exploitation. In essence, countries in a lower position in the world economy or periphery nations supply primary products to the Northern countries, in exchange for high-technology products. Moreover, there is a one-way cultural and political exchange. So, first-world concepts and ideas from developed nations or core countries are imposed upon those in the periphery. Under dependency theories trade barriers are imposed, in order to protect local markets and stop this exploitation. Dependistas also argued for some contribution from minority voices, and national participation.

One of the most influential dependency theories is the world-systems theory. According to this theory, each country is exploited by the next, with key exploiters in the North. The theory looks at three categories: core, periphery and semi-periphery. Categories can change and movement can occur between the groups.⁵⁴⁹ The dependency on world systems, the core relationships of exploitations, is often seen as a chain reaction.⁵⁵⁰ However, it should be noted that the dependency does not provide all of the answers. The rise of the so-called Asian Tigers contradicts many of their ideas, as these nations were viewed to be in the semi-periphery or periphery. As result there should not have been such a rapid development increase. This example shows that it is not just about an international system that forces constraints.

Nevertheless, dependency theory highlights some of the core issues around development aid. The importance of citizen participation and good governance is reinforced by dependency theorists.

⁵⁴⁵ Haynes, *Development Studies*, p. 24

⁵⁴⁶ *Ibid.*

⁵⁴⁷ Preston, *Development Theory*, p. 178

⁵⁴⁸ Haynes, *Development Studies*, p. 24

⁵⁴⁹ Katie Willis, *Theories and Practices of Development* (London: Routledge, 2005), p. 74

⁵⁵⁰ *Ibid.*, pp. 70-71

Furthermore, the idea of joint partnership between donor and recipient nations stems from this theory. These issues are pertinent to understanding transparency and accountability. Moreover, mutual accountability is a necessary element of joint partnership.

Self-reliance model and the grassroots approach

The self-reliance model is a result of dependency theory. The exact origins of the concept of self-reliance are still debatable, with some scholars arguing that it came from Gandhi's ideas of village self-sufficiency.⁵⁵¹ This form of self-sufficiency may have been based on Gandhi's concepts of swadeshi roughly translated as "self-sufficiency" or "of one's own country," and sarvodaya or "awakening of one and all in the society in every respect."⁵⁵² Gandhi argued that individuals should work towards a common good in order to create a collective self-supporting structure.⁵⁵³ Effectively, the approach rejects imported models, allows for resource management, establishes local control, and most importantly does not rely upon international trade.⁵⁵⁴

One of the first applications of this model was the creation of Ujamaa village or village models by former President Julius Nyerere of Tanzania during his presidency in the 1960s and 1970s.⁵⁵⁵

According to Rist, "the principle of self-reliance (or independence) was the logical conclusion of the work of the dependency school."⁵⁵⁶ In essence, the self-reliance model moves away from the global economic order, due to the perceived fluctuations and uncertainties in the world market.⁵⁵⁷

Importantly, aid and private investment are still available to local communities, as long as it does not cause reliance.⁵⁵⁸ The goals of development are also kept in perspective using this model, as it forces understanding of where aid is delivered. Both transparency and accountability are essential in this context, as development is centred on empowerment and an effective usage of resources. The rejection of foreign models may also indicate that recipient nations are more willing to consider efficiency. Therefore, accountability and transparency initiatives with local co-operation may be possible.

⁵⁵¹ Rist, *The History of Development*, p. 124

⁵⁵² Ibid.

H. M. D R. Herath, "Moral Education for Environmental Protection: The Sarvodaya Model," *Indira Gandhi National Centre for the Arts*, (1998), accessed 04/09/2012, http://ignca.nic.in/cd_07017.htm

"Swadeshi," *Metta Center for Nonviolence*, accessed 04/09/2012, <http://mettacenter.org/definitions/gloss-concepts/swadeshi/>

⁵⁵³ Bjorn Hettne and Gordon Tamm, "The Development Strategy of Gandhian Economics," *Journal of Indian Anthropological Society*, 6 (I), April 1976, pp. 51-66

⁵⁵⁴ Rist, *The History of Development*, p. 130-131

⁵⁵⁵ Ibid., pp. 131-132

⁵⁵⁶ Ibid., p. 130

⁵⁵⁷ Ibid.

⁵⁵⁸ Ibid.

Nevertheless, the model can be viewed as a great failure in many countries. These include Cuba and North Korea, which have both used this model. Yet, these are extreme examples as there is almost complete isolation from the global economy. The model may also reduce mobility and create a split between regional and urban populations. This can be seen through Nyerere's village models, which were a creation of forced resettlement.⁵⁵⁹ These examples are an extreme application of the self-reliance model. Nonetheless, this has allowed for the introduction of the grassroots approach.

The grassroots approach to development argues that development cannot be enforced from the outside.⁵⁶⁰ The approach has been adopted in development studies during the last two decades, as a reaction to the ineffectiveness of aid strategies.⁵⁶¹ The approach emerged particularly in the 1990s as part of social movements. Criticisms from dependency theorists have played a large role in the establishment of this approach, as the role of society became increasingly important. The failure of aid was also attributed to the usage of Western models on local communities.

As highlighted by dependency theorists, development may be ineffective if there is a one-way exchange of ideas and concepts. Arguably, systems cannot be imposed on pre-existing ideas or beliefs without certain issues arising. Similarly, evaluation methods cannot be transposed from one field of thought to another, as it will have less of an effect. Accountability and transparency mechanisms organically cultivated within development are more effective in transparency initiatives.⁵⁶² Through a grassroots approach there are efforts at local levels to increase development. Importantly, authorities and officials participate at a local level, which may increase transparency and accountability. Furthermore, the failure of aid efforts may be attributed to a lack of co-operation at a grassroots level.⁵⁶³

Summary

Development theories have influenced decision-making within the EU. Particular theories in this section are relevant to this research, due to the influences they have had over aid effectiveness. For example, the dependency theories call attention to the core issues surrounding aid, such as good governance and joint partnership. The theory also has a presence in EU decision-making. In contrast, theories which have been critical of the place of development have also been explained.

Nevertheless, development theories only provide part of the theoretical framework. As this research uses a comparative approach between EU Member States and the EU, integration theories are also

⁵⁵⁹ Rist, *The History of Development*, 132

⁵⁶⁰ Willis, *Theories and Practices of Development*, p. 112

⁵⁶¹ *Ibid.*, p. 27

⁵⁶² Rist, *The History of Development*, p. 29

⁵⁶³ Haynes, *Development Studies*, p. 29

part of the framework. In addition, consistency between the actors may be explained through integration theories.

Integration theories

Introduction

In order to understand transparency and accountability within EU ODA, it is important to also understand external factors which have shaped development policy. As a result, the influences of international relations and development theories in shaping policies of transparency and accountability have been noted. A broader framework encompassing both integration theory and development allows for the construction of a wider picture. Integration theories have also been used to explain the policy-decision making within Europe and to a certain extent may be applicable to this research.⁵⁶⁴ This section looks at some integration theories, which may be applicable to this research.

Intergovernmentalism and Liberal Intergovernmentalism (LI)

Intergovernmentalism can be seen as a reaction to neofunctionalism. Arguably, it is based on realism, where European co-operation is central. Similarly, Member States are pursuant of their self-interests.⁵⁶⁵ The EU's external relations are also linked to its continuous expansion and further integration.⁵⁶⁶ The theory rests on the idea of rational interstate bargaining, with the influence of domestic politics. Decisions are reached based on the economic benefits of Member States. Notably, non-state actors hold little power or influence over the bargaining.⁵⁶⁷ Supranational institutions are seen to be below the power of the Member States.⁵⁶⁸ As a result, decisions are a reflection of Member States' common interests. Furthermore, dominant actors such as, France, UK and Germany might hold a representative amount of power.

A revisionist theory of intergovernmentalism, LI was led by Moravcsik. He made several key assumptions within the theory and divided LI into three stages: national preference, formation, and inter-state bargaining. Firstly, actors are rational, and act in self-interest, with risk aversion. In this stage, national preference is chosen using economic interests of influential local groups. Secondly, governments represent part of society but are restricted by interests and international relations. Using strategies already developed, this stage involves hard bargaining in order to achieve goals.

⁵⁶⁴ Holland, *The European Union and the Third World*, p. 242

⁵⁶⁵ Carbone, *The European Union and International Development*, p. 14

⁵⁶⁶ Holland, *The European Union and the Third World*, p. 15

⁵⁶⁷ *Ibid.*, p. 236

⁵⁶⁸ *Ibid.*

Thirdly, state behaviour, reflects state interests.⁵⁶⁹ In this stage, authority is delegated to supranational institutions in order to avoid issues associated with contracting, compliance and monitoring.⁵⁷⁰

Under LI, co-operation is important in particular areas, which are politically less sensitive. These include economic and social policies. Conversely, Member States retain full sovereignty in more sensitive political areas, such as political affairs and foreign policy. Importantly, the EC is seen as a passive organisation without actual power, except what has been given by Member States. Furthermore, there is no centralised authority dictating policy; much rather bargaining and negotiation are used to achieve results.⁵⁷¹ States are also seen as rational, defining preferences and adjusting or creating institutions to achieve outcomes.⁵⁷²

The theory of bargaining is used, as national preferences are driven by mostly economic concerns. The concept of hard bargaining comes into play, as collective and individual interests' conflict, but co-operation is inevitable at an international level.⁵⁷³ However, asymmetric information is an issue. Asymmetric information can occur when states bargain. Yet, there is also a rejection of federalist and neofunctionalist ideas that transactions are high within LI.⁵⁷⁴

Nevertheless, federal ideology is displayed by EU institutions, as they are either technocratic institutions, or concerned with Member States, in order to ensure their future security. Member States are viewed as a single actor. In terms of institutional choice, there is some agreement with neofunctionalism. Power is given to other institutions so that domestic politics does not conflict or influence decisions.⁵⁷⁵ Nation-states adapt to integration, but do not treat the EU as a replacement.⁵⁷⁶ However, power delegated to supranational organisations, may not be used for the Member States' preferences.⁵⁷⁷ As a result, unintended consequences can occur.

The theory can be applicable to everyday EU decision-making.⁵⁷⁸ However, it has been criticised by historical institutionalists that argue the supremacy of the European Court of Justice. There is an argument that LI best applies to social preferences, but is not a universal theory. It does explain

⁵⁶⁹ Rosamond, *Theories of European Integration*, p. 142

⁵⁷⁰ Carbone, *The European Union and International Development*, pp. 14-15

⁵⁷¹ Moravcsik and Schimmelfennig, "Liberal Intergovernmentalism," p. 73

⁵⁷² *Ibid.*, p. 68

⁵⁷³ *Ibid.*, p. 71

⁵⁷⁴ *Ibid.*

⁵⁷⁵ *Ibid.*, p. 72

⁵⁷⁶ *Ibid.*, p. 73

⁵⁷⁷ *Ibid.*, p. 72

⁵⁷⁸ *Ibid.*, p. 74

integration in most circumstances.⁵⁷⁹ Yet, the EU is a resilient institution that does not necessarily have to move towards a federal union in order to survive. The so-called bicycle theory, keep going or fall off, is not applicable.⁵⁸⁰

The use of LI is a reminder of the importance of Member States.⁵⁸¹ As a result, there is also a concern for good governance and from Member States.⁵⁸² In order to avoid asymmetric information, both transparency and accountability need to be present. Furthermore, if Member States wish to retain full sovereignty, EU institutions with delegated power need to be answerable. Similarly, transparency and accountability may only be reached through the type of co-operation seen in the theory of bargaining. As a result LI may be partially applicable to this research, as it addresses the need for good governance.

Neofunctionalism

Neofunctionalism was created to deal with the political and economic changes, due to economic integration in Europe in the late 50s and early 60s.⁵⁸³ The theory views the integration of Europe as a process, rather than a series of negotiations.⁵⁸⁴ To some extent there are similarities with functionalism, particularly in the sense of technocratic duties. Both neofunctionalism and intergovernmentalism can be used to complement one another.⁵⁸⁵ The theory has a more complex way of viewing the relationships between actors. Neofunctionalists differ from intergovernmentalists in various areas. While intergovernmentalists look at isolated incidents, where there has been a power struggle, neofunctionalists are more pluralistic. States are not viewed as unified actors, as regional integration is seen to be diverse.⁵⁸⁶

Fundamental to neofunctionalism is the concept of “spillover”. According to Haas, there are several types of “spillover,” functional, political and geographic. “Spillover” means that the actions towards greater integration in one area can spread. Similarly, “spillover” shows the interrelated characteristics of EU policy-making, and its ability to produce outcomes.⁵⁸⁷ The concept of “spillover” is a description for further integration. According to this theory, integration is achieved through

⁵⁷⁹ Moravcsik and Schimmelfennig, “Liberal Intergovernmentalism,” p. 76

⁵⁸⁰ *Ibid.*, p. 84

⁵⁸¹ Holland, *The European Union and the Third World*, p. 237

⁵⁸² *Ibid.*

⁵⁸³ Rosamond, *Theories of European Integration*, p. 87

Niemann and Schmitter, “Neofunctionalism,” p. 45

⁵⁸⁴ Carbone, *The European Union and International Development*, p. 15

⁵⁸⁵ Holland, *The European Union and the Third World*, p. 238

⁵⁸⁶ Niemann and Schmitter, “Neofunctionalism,” p. 47

⁵⁸⁷ Holland, *The European Union and the Third World*, p. 239

functional or economic independence.⁵⁸⁸ Functional “spillover” describes integration in one sector leading to integration in another sector, as sectors are interdependent.⁵⁸⁹ This occurs because integration is only functional when this occurs. Sectors cannot be separated. Accommodation of actors and meeting mutual interest is termed engrenage.⁵⁹⁰ A pressure by elites at both national and EU levels is termed political “spillover”.⁵⁹¹ The role that the EC plays in integration or associated institutions is called cultivated “spillover”.⁵⁹²

There are five key assumptions which have been made by neofunctionalists. The first is that actors can change their preferences. Self-serving interests can shift, as they are not constant. During the integration process actors may change their position due to local interests.⁵⁹³ Secondly, institutions can make their decisions based on their own interests. Institutions can bring about further integration by influencing elites, which in turn influences national interests. The third assumption is that unintended consequences can occur. Actors may go between decisions without realisation. Fourthly, knowledge which leads to decision-making may not always be complete. Fifthly, compromises are reached between actors rather than through a veto, where nobody would benefit.⁵⁹⁴

Neofunctionalism has been criticised for overgeneralising integration. Large assumptions have been made, and the theory may be presumptuous in particular circumstances. Member States need to be quite well-developed in order for the theory to make sense. Furthermore, neofunctionalism only answers particular questions for integration. It is not appropriate in all circumstances.⁵⁹⁵ Similarly, “spillover” may not necessarily be inevitable. Some delimitations have been put in place. For example, tasks assigned to an EU institution are indeed expansive.⁵⁹⁶ The theory is also relatively centred on actors, and does not look at structural factors.⁵⁹⁷ There are clear examples from history which refute the theory, including the French empty chair incident with Charles de Gaulle, and Margaret Thatcher’s resistance towards further European integration. There are also assumptions made that all Member States would receive rewards from continued integration and there would be further economic growth. External relations are also relatively ignored.⁵⁹⁸ Thus, the theory may not

⁵⁸⁸ Niemann and Schmitter, “Neofunctionalism,” p. 49

⁵⁸⁹ *Ibid.*

⁵⁹⁰ *Ibid.*, p. 50

⁵⁹¹ *Ibid.*

⁵⁹² *Ibid.*

⁵⁹³ *Ibid.*, p. 48

⁵⁹⁴ *Ibid.*, p. 49

⁵⁹⁵ *Ibid.*, p. 51

⁵⁹⁶ *Ibid.*

⁵⁹⁷ *Ibid.*

⁵⁹⁸ *Ibid.*

appropriate for this research. There is also an underestimation of national leadership, which is mostly ignored. Interest groups may also be overestimated.⁵⁹⁹

Governance approaches and Multi-Level Governance (MLG)

To some, governance is partially normative, so it should go beyond just academic ideology.⁶⁰⁰

Arguably, integration and governance are inherently linked. Governance means the “capacity to overcome collective action problems in ways that are agreed by the participants in the society.”⁶⁰¹

Neither actor is seen as better. The contrast between government and governance is senseless as the separation is based on assumptions that one is bureaucratic and the other is more efficient. This does not achieve anything, much rather it removes any functionality that could have existed.

Governments are also viewed as one of several actors.⁶⁰²

The governance approach is relatively functional as it is open to both state and non-state actors, who both play a role. It should be noted that the concept of governance does not include good governance. Approaches to governance within European integration theories include, political process, goal setting and achieving goals.⁶⁰³ There are several governance approaches, including democratic governance and new governance. Democratic governance looks at the enhancement of democracy through the public sector.⁶⁰⁴ While new governance looks at soft intervention in demands for economy and society. Similarly, network governance looks at systems, which may not be effective in decision-making and may cause issues.

There have been criticisms of the government without a governance approach. This theory brings legitimacy to the EU, as governance is still relatively undemocratic. Some aspects of the EU have governance capacity, compared to others which increase its legitimacy.⁶⁰⁵ Moreover, governance approaches requires a number of mechanisms so that issues can be resolved. Common goals and the means to achieve results can also be established.⁶⁰⁶ It is only with the establishment of these mechanisms that any level of transparency and accountability be achieved within EU ODA.

⁵⁹⁹ Niemann and Schmitter, “Neofunctionalism,” p. 53

⁶⁰⁰ Peters and Pierre, “Governance Approaches,” p. 91

⁶⁰¹ Ibid.

⁶⁰² Ibid., p. 92

⁶⁰³ Markus Jachtenfuchs and Beate Kohler-Koch, “Governance and Institutional Development,” in *European integration theory*, ed. Antje Wiener and Thomas Diez (Oxford: Oxford University Press, 2004), p. 99

⁶⁰⁴ Peters and Pierre, “Governance Approaches,” p. 93

⁶⁰⁵ Ibid., p. 103

⁶⁰⁶ Ibid., p. 92

MLG looks at the characteristics of EU policy making, through different actors and various levels. The approach lies in opposition to many intergovernmentalists.⁶⁰⁷ Most importantly, the complexity at various levels viewed through this framework. Moreover, the theory combines some aspects of intergovernmentalism, while still downplaying concerns about the role of the state.⁶⁰⁸ Decision-making is shared between Member States and supranational institutions. The EC influences decision-making by aligning with non-state actors at EU and Member States' levels. Domestic interests also diminish as Member States share governance. As a result, there are similarities to neo-functionalism.⁶⁰⁹ Additionally, this theory highlights the importance of both national and regional governments.⁶¹⁰

Summary

This section has addressed how the EU copes with integration. Yet more importantly, it is only through integration that consistency be found. In order to achieve transparency and accountability, a degree of co-operation between states needs to occur. Nearly all of the integration theories discussed, attend to the issue of co-operation. For example, the theory of bargaining visible in LI looks at how national preferences are achieved. In addition, LI addresses the need for good governance. Likewise, governance approaches require a number of mechanisms so that issues can be resolved. It is only with the establishment of these mechanisms that any level of transparency and accountability be achieved. Nevertheless, it should be noted that integration is only part of the picture. None of the theories in this section were designed to address issues of transparency and accountability within development aid, and as a result only parts of integration theories are used within this research. These theories are used in addition to several development theories.

Conclusion

This chapter attempted to understand theoretical perspectives through a multi-layered framework. As the concepts of transparency and accountability have not emerged from any particular theory, a wide multi-layered approach was taken. Firstly, literature within development studies comes from scholars of different perspectives and political viewpoints. Nevertheless, the primary objective of poverty elimination was central to arguments by academics. Following the literature review, development theories, which have influenced decision-making within the EU and EU Member States, was explored. The theories in this section are relevant to this research, as they may have influenced overall perceptions of aid effectiveness. Dependency theories call attention to the need for good

⁶⁰⁷ Rosamond, *Theories of European Integration*, p. 111

⁶⁰⁸ Holland, *The European Union and the Third World*, p. 239

⁶⁰⁹ *Ibid.*, p. 240

⁶¹⁰ Peters and Pierre, "Governance Approaches," p. 95

governance and joint partnership. Additionally, the theories have been taken out in decision-making regarding development policies. However, development theories have been critical of the deliverance of ODA. Due to the comparative nature of this research and analysis of EU Member States and the EU, it was viewed necessary to also explore integration theories. Integration theories may explain rationale for and against consistent processes and aid effectiveness between these actors. In order to achieve transparency and accountability, a degree of co-operation between states needs to occur. Concepts such as “spillover” within neofunctionalism and “bargaining” within LI addressed co-operation to an extent. Additionally, governance approach theories necessitate mechanisms within institutions, which may lead to accountability. Notably, none of the theories in this chapter were initially designed with transparency and accountability in mind. Only through the conjunctive use of development and integration theories can the theoretical framework be complete.

Chapter 3: Methodology

Introduction

The application of methodology to the research is explained in this chapter. The discussion delves into the ways of research and a methodological stance. Transparency and accountability have been viewed as a complex web by the researcher as a result the mixed approach has been applied to this research. The complexities of the research phenomenon can be duly covered by aspects of qualitative and quantitative research. Further explanations regarding the mixed research approach, along qualitative and quantitative aspects of this research have been included in this chapter. Furthermore, aspects of the three methods used are elaborated. These are the case study approach, archival method and content analysis. Validity concerns regarding methods are addressed, followed by the delimitations of the study.

Methodology

In 1960, Karl Popper first raised this fundamental question at the centre of methodology, creating part of post-positivism. "How do we hope to detect and eliminate error?"⁶¹¹ Following his rationale, all methods are inherently flawed as nothing is essentially perfect, so a number of different methods need to be employed, in order to reduce the rate of error. In this research, the case study approach, content analysis and archival method have been used. The case study approach looks at three EU Member States, Germany, United Kingdom and Sweden. Content analysis complements the approach, along with the archival method.

By following the post-positivist tradition it should be noted that "absolute truth" may never be accomplished by human authority, as "truth" is above humankind.⁶¹² However, multiple "realities" can be uncovered.⁶¹³ By looking at how the various EU Member States perceive transparency and accountability, in comparison to the EU, the research problem can be observed from different angles. These "realities" are not different worlds, much rather different beliefs towards the governance of ODA.⁶¹⁴

Transparency and accountability have been high on the global agenda, addressed within the *Paris Declaration for Aid Effectiveness*, *Accra Agenda for Change* and *Busan Partnership for Aid*

⁶¹¹ Karl Popper, "Knowledge without Authority," in *Popper Selections*, ed. David Miller (Princeton, New Jersey: Princeton University Press, 1985). p. 52

⁶¹² *Ibid.* p. 57

Nicholas C. Burbules and D. C. Phillips, *Postpositivism and Educational Research* (Lanham, MD: Rowman & Littlefield Publishers, 2000), p. 3

⁶¹³ *Ibid.* p. 37

⁶¹⁴ *Ibid.*

Effectiveness. Yet, the concepts have a long tradition in the international arena, with freedom of information given through the Universal Declaration on Human Rights. Due to the complexity of the international legal framework, an “absolute truth” may never be discovered. Yet, the way in which the EU and EU Member States have adapted these international legal provisions, within their own legal frameworks may be discovered. Additionally, institutions used to achieve accountability, such as the judiciary, legislature, Ombudsman and the Supreme Audit Institution may show multiple realities for achieving responsibility.

Theories of integration and development can complement the concepts of transparency and accountability. A theoretical framework is essential in uncovering the multiple “realities.” Pledges for greater transparency and accountability at an international level have been influenced by major development theories. According to White, “the novelty of transnational integration... and the uncertainty of where it may lead, heightens an awareness of the interplay between methodology, theory and evaluation.”⁶¹⁵

Concepts of accountability and transparency come from legal and financial backgrounds. So, an interdisciplinary framework has been used. A so-called “natural selection theory of knowledge” has occurred in order to find the theory most suited to the research.⁶¹⁶ Information from various fields is essential in understanding the phenomenon. Firstly, the presentation of financial information may affect decision-making, even though not all aspects of a report may be relevant. Secondly, legal frameworks support freedom, access and availability of information, resulting in a need to understand the rule of law in guaranteeing transparency and accountability. Thirdly, systems of public management need to be analysed. Due to the variety of information, various approaches and methods have been used in this research.

Mixed Approach

In order to understand complexities behind the requirements for transparency and accountability, a mixed approach has been applied. As Popper once stated, “quantitatively and qualitatively by far the most important source of our knowledge- apart from inborn knowledge is tradition.”⁶¹⁷ Increasingly, a mixed approach has been applied to research in European studies. Furthermore, cross-disciplinary efforts to achieve a holistic view of research problems have been recognised in development

⁶¹⁵ Jonathan White, “Problems of Comparative Qualitative Research,” Paper presented at the Conference on European Citizenship Revisited, University of Oxford, 2008, p. 1

⁶¹⁶ Margaret Myers, “Qualitative Research and the Generalizability Question: Standing Firm with Proteus,” *The Qualitative Report*, no. No. 4, ¾, accessed 16/01/2013, <http://www.nova.edu/ssss/QR/QR4-3/myers.html>

⁶¹⁷ Popper, “Knowledge without Authority,” p. 54

research.⁶¹⁸ Additionally, the complexity of research and importance of inter-disciplinary efforts have also been recognised by the European Commission.⁶¹⁹ The challenges that an inter-connected and inter-related world poses to researchers may only be solved through a mixed approach.⁶²⁰

So-called “difficult problems” need to be broken down into smaller pieces.⁶²¹ However, the manner in which these pieces can be analysed is dependent upon the researcher. The central research problem addresses public management frameworks, which require transparency and accountability in the administration of ODA at EU and EU Member State levels. However, the various components of the research problem then need to be addressed.⁶²² It is only through a mixed approach can these pieces be truly understood.⁶²³ According to Friedman, “only then can you understand the system.”⁶²⁴

Researchers have been asked to leave the quantitative, qualitative debate, in order to meet and solve problems, which have arisen.⁶²⁵ The concepts of transparency and accountability go beyond the traditional divide between qualitative and quantitative data. Efforts to bridge the gap should be made, particularly, when the central research problem, not only explores financial issues affecting transparency and accountability, but public management frameworks at EU and EU Member State levels. Cross-disciplinary efforts are now viewed as essential to problem-solving within European studies⁶²⁶. Moreover, EU institutions have promoted the use of multi-disciplinary efforts.⁶²⁷ Since the creation of the First Framework Programme for Research and Technology in 1984, the EU has encouraged co-operation not only between EU Member States, but between various disciplines.⁶²⁸

Nevertheless, a mixed approach beyond the scope of qualitative and quantitative debates requires wider support from policy-makers.⁶²⁹ Importantly, historical preferences by policy-makers towards a more quantitative approach to research need to be abolished.⁶³⁰ Additionally, the role, which qualitative research may have also needs to be acknowledged.⁶³¹ The research problem requires

⁶¹⁸ Jane Atterton, Vânia Ceccato, and Paul Courtney, “The DORA Project – Methodological Considerations at the European Level,” Paper presented at the 5th Conference of the European Sociological Association, Visions and Divisions, RENCORE Research Network, August 28-September 1, 2001, Helsinki, Finland, p. 7-8

⁶¹⁹ Ibid.

⁶²⁰ Ibid.

⁶²¹ T Friedman, *The Lexus and the Olive Tree: Understanding Globalisation* (HarperCollins, 2000), pp. 27-28

⁶²² Ibid.

⁶²³ Ibid.

⁶²⁴ Ibid.

⁶²⁵ Courtney, Atterton and Ceccato, “The DORA Project,” p. 7-8

⁶²⁶ Ibid.

⁶²⁷ Ibid.

⁶²⁸ Ibid.

⁶²⁹ Ibid.

⁶³⁰ Ibid.

⁶³¹ Ibid.

both qualitative and quantitative approaches, in order to be understandable.⁶³² Current debates regarding the future of development aid have often been simplified, centred around greater efficiency rather than understanding. An opaque situation has been created, in place of transparency. So, while financial information that brings about transparency and accountability may be quantifiable, it is not necessarily more understandable. For example, the OECD has provided requirements for definitions of accounting practices from the Generally Accepted Accounting Practices (GAAP) in reports.⁶³³ The qualitative explanations in the form of definitions have proved to be necessary, along with quantitative, financial data. In essence, qualitative research brings context to an otherwise intricate scenario.

Yet, there are some short-comings of a mixed approach. According to Morgan, “the conflict between Qualitative and Quantitative Research is so fundamental that it is impossible to combine them.”⁶³⁴ Qualitative research involves a small sample size, which is in direct conflict the large sample size present within quantitative research. Additionally, forms of evidence are different depending on approach. Qualitative research involves a discovery of a “reality” through logical understanding of relationships, while quantitative research relies heavily upon empirical findings. However, this research moves beyond the so-called “conflict.” A combination of the two approaches allows for an examination of the entire phenomenon through different perspectives. For example, qualitative evidence from theoretical and conceptual frameworks can provide for explanations of quantitative data analysis.

Qualitative Approach

Qualitative research plays an essential role within this research, as key elements of the phenomenon have been understood through qualitative data. The use of qualitative data is often to uncover a so-called “reality” through logical inference.⁶³⁵ The research problem lies in the midst of complexity, which may only be illuminated through understanding of qualitative data. The theoretical framework and key concepts all come from this understanding. Furthermore, transparency and accountability originate from a theoretical consideration of public management based on qualitative evidence and observation.

⁶³² Courtney, Atterton and Ceccato, “The DORA Project,” p. 7-8

⁶³³ Organisation for Economic Co-operation and Development, *OECD Best Practices for Budget Transparency*, p. 14

⁶³⁴ David L Morgan, “Paradigms Lost and Pragmatism Regained: Methodological Implications of Combining Qualitative and Quantitative Methods,” *Journal of Mixed Methods Research*, *Journal of Mixed Methods Research*, 1: 48, 2007, p. 52

⁶³⁵ White, “Problems of Comparative Qualitative Research,” p. 2

Additionally, patterns can be observed through qualitative data and explanations can be considered by the researcher.⁶³⁶ Importantly, the amount of transparency and accountability within the deliverance of ODA is present in a number of qualitative forms. Primary and secondary sources have been consulted including legal documents and academic commentary. An immense “web” of relationships has occurred in understanding the transparency and accountability within development aid.⁶³⁷ The ultimate objective of this “web” is to uncover the rationale of particular actions.⁶³⁸ Through qualitative research a discovery can be made regarding the research problem.

Criticisms have been made of public and international management due to a lack of theoretical understanding of a particular phenomenon.⁶³⁹ A strong support for qualitative research within the field has been made.⁶⁴⁰ Although this research only contains an element of management through the concepts of transparency and accountability, the need for greater explanation of actions cannot be overlooked. Qualitative research provides the flexibility of understanding a phenomenon by looking at contributing factors and relationships.⁶⁴¹

Due to the nature of this study, qualitative research has been employed in the understanding of multiple cases. The research problem has been discovered through the four cases of the EU, United Kingdom, Germany and Sweden. A small-n sample allows for greater depth and detail in understanding of the phenomenon.⁶⁴² Furthermore, the complex “web” surrounding transparency and accountability in the deliverance of ODA can be fully understood.⁶⁴³ Archival data from primary sources of governmental agencies in the EU, United Kingdom, Sweden and Germany have been used, in order to support and understand the cases. Additionally, qualitative evidence is used in the literature reviews and theoretical and conceptual frameworks.

Nevertheless, qualitative has often been criticised for a lack of empirical understanding. Qualitative research may not be as rigorous in nature. Moreover, qualitative research may also be viewed as inexact. Qualitative data within this research may also be open to interpretation. Nevertheless, qualitative research provides a holistic structure in which the research phenomenon has been

⁶³⁶ White, “Problems of Comparative Qualitative Research,” p. 2

⁶³⁷ Ibid.

⁶³⁸ Ibid.

⁶³⁹ Shaukat Ali, “Research Methodology: Back to Basics,” *ABAC Journal*, 18 (1), 2008, accessed 4/12/2012, http://www.journal.au.edu/abac_journal/jan98/article5.html

⁶⁴⁰ Ibid.

⁶⁴¹ Ibid.

⁶⁴² White, “Problems of Comparative Qualitative Research,” p. 2

⁶⁴³ Ali, “Research Methodology: Back to Basics”

studied.⁶⁴⁴ Since transparency and accountability are relatively new to development studies a holistic approach can be seen as essential in providing a clear picture of the research phenomenon.

Quantitative Approach

Quantitative research plays a small, yet important role in the understanding of data within this thesis. This form of research is essential in content analysis of documents and descriptive statistics. Quantitative evidence has been used in order to provide support to qualitative arguments. Furthermore, the extent to which transparency and accountability are present within development agencies in Germany, United Kingdom, Sweden and the EU can only be examined through quantitative data. Levels of transparency and accountability within development agencies can be only be examined through descriptive statistics, incremental in quantitative research.

Often, criticisms of qualitative research stem from criticisms of its inexact nature. Conversely, quantitative research provides well-defined classifications and measurements. In essence, “quantitative techniques... attempt to verify theory with the aim of producing universal truths and knowledge in a way that can be directly replicated by others.”⁶⁴⁵ Quantitative data requires the use of validity and reliability through resources that have been thoroughly considered. Particular methods are ideal for the understanding of quantitative data. One of the methods used within this research is content analysis. Within this research, content analysis of indicators pertaining to transparency and accountability provide the necessary categories for understanding the research phenomenon. A well-structured layout for content analysis using statistics software allows for an individual examination of a particular element of the research phenomenon. Importantly, the process in which data has been collected in content analysis, allows for replication by other researchers.

Summaries of data are allowed through statistics software allowing for the use of descriptive statistics. Descriptive statistics have been used in order to understand the indicators. With the intricacies of transparency and accountability it was necessary to find a manner in which data could be reduced to a “simpler summary.”⁶⁴⁶ Through descriptive statistics the data could be interpreted. The average for a particular indicator could be discovered across each of the agencies. Additionally, the amount of documents available for any particular indicator could also be summarised.

⁶⁴⁴ Ali, “Research Methodology: Back to Basics”

⁶⁴⁵ Courtney, Atterton and Ceccato, “The DORA Project,” p. 2-3

⁶⁴⁶ Research Methods Knowledge Base, “Descriptive Statistics,” accessed 11/04/2013, <http://www.socialresearchmethods.net/kb/statdesc.php>

Yet, quantitative research often overlooks the complexity of a situation. The concepts of transparency and accountability within the deliverance of ODA are relatively complex, and can be viewed as an embodiment of a web of knowledge. It is only through the conjunctive use of qualitative research that this web can truly be understood. One of the delimitations of this form of research is that experiences from an individual standpoint cannot be used.⁶⁴⁷ There are also often little opportunities to uncover further information, which may bring light to processes that have caused the research phenomenon to occur.⁶⁴⁸ In this research, it is the complex public management frameworks and interactions which provide explanation to quantitative research.

Data Collection Methods

This section discusses the various methods employed within the thesis. Three methods have been used within this research, the case study approach, archival method and content analysis. The three methods allow for a triangulation of data and provide explanation from various forms of information. The case study approach allows for an in depth examination of the research phenomenon by looking at three national development agencies along with the EU development agency. The archival method brings detail through primary and secondary data and allowing for a form of qualitative research. The content analysis focusses on the levels of transparency and accountability through classifications and categorisations. Each of these methods brings a different angle to the extent to which transparency and accountability are present within the deliverance of ODA.

The Case Study Approach

The case study approach is a form of empirical enquiry.⁶⁴⁹ The approach remains particularly valid for phenomenon, where the boundaries are uncertain.⁶⁵⁰ For this research, transparency and accountability are at the heart of the phenomenon, yet the context in which they can be studied remains unclear.⁶⁵¹ The development industry has moved towards greater transparency and accountability, in order to create the most cost-efficient system of management.⁶⁵² However, mechanisms, provisions and frameworks that facilitate transparency and accountability may remain

⁶⁴⁷ Courtney, Atterton and Ceccato, "The DORA Project," p. 2-3

⁶⁴⁸ Ibid.

⁶⁴⁹ Robert K. Yin, *Case Study Research: Design and Methods*, 4th ed. (Los Angeles: Sage Publications, 2009), p.

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⁶⁵⁰ Ibid.

⁶⁵¹ Ibid.

⁶⁵² Eigen, "Preface," p. xv

unknown for recipients, donors and citizens. Through examination of cases the researcher can discover the “how” or “why” of the core concepts in the deliverance of development aid.⁶⁵³

Furthermore, case studies have often been used to examine scenarios, which have been previously unstudied.⁶⁵⁴ Transparency and accountability are currently seen as a “vogue” issue, yet there is only modest academic research in the area.⁶⁵⁵ Policy documents at a multiple of levels have been analysed within the scope of the research. Importantly, only the transparency and accountability of donor nations have been analysed. The EU and three EU Member States, Sweden, United Kingdom and Germany have been selected and analysed. Multiple cases have been used so that the findings could be applicable to other scenarios.⁶⁵⁶ As a result, a large amount of sources have also been used, along with another approach, in order to triangulate data collection.

Due to the size of the EU, it would have been difficult to study all EU Member States within the scope of a master’s thesis. A selection of three countries, Sweden, Germany and United Kingdom has been made, to represent large donor nations within the EU. The following tables from the OECD illustrate the amount of ODA that these three nations and the EU have contributed in the 2009-2010 period. As large donors, the nations selected may have more influence over policy making within the EU, compared to smaller donors.

EU Institutions

Net ODA	2009	2010	Change 2009/10
Current (USD m)	13 444	12 679	-5.7%
Constant (2009 USD m)	13 444	13 226	-1.6%
In Euro (million)	9 654	9 573	-0.8%

Figure II: Net ODA from EU Institutions for 2009-2010⁶⁵⁷

SWEDEN

Net ODA	2009	2010	Change 2009/10
Current (USD m)	4 548	4 533	-0.3%
Constant (2009 USD m)	4 548	4 232	-7.0%
In Swedish Kronor (million)	34 713	32 651	-5.9%
ODA/GNI	1.12%	0.97%	
Bilateral share	66%	64%	

Figure III: Net ODA from Sweden for 2009-2010⁶⁵⁸

⁶⁵³ Eigen, “Preface,” p. 13

⁶⁵⁴ Jeanne Ellis Ormrod and Paul D. Leedy, *Practical research: Planning and design* (Upper Saddle River, N.J.: Pearson/Merrill Prentice Hall, 2005), p. 135

⁶⁵⁵ Alfini and Chambers, “Words Count,” p. 29

⁶⁵⁶ Ibid.

⁶⁵⁷ Organisation for Economic Co-operation and Development, “EU Institutions.”

⁶⁵⁸ Organisation for Economic Co-operation and Development- Development Assistance Committee, “Sweden,” accessed, 23/07/2012, <http://www.oecd.org/dac/aidstatistics/44285469.gif>

GERMANY

Net ODA	2009	2010	Change 2009/10
Current (USD m)	12 079	12 985	7.5%
Constant (2009 USD m)	12 079	13 545	12.1%
In Euro (million)	8 674	9 804	13.0%
ODA/GNI	0.35%	0.39%	
Bilateral share	59%	62%	

Figure IV: Net ODA from Germany for 2009-2010⁶⁵⁹

UNITED KINGDOM

Net ODA	2009	2010	Change 2009/10
Current (USD m)	11 283	13 053	15.7%
Constant (2009 USD m)	11 283	12 780	13.3%
In Pounds Sterling (million)	7 223	8 452	17.0%
ODA/GNI	0.51%	0.57%	
Bilateral share	66%	61%	

Figure V: Net ODA from Great Britain for 2009-2010⁶⁶⁰

The EU and all of the EU Member states in this study are also signatories of the IATI created in response to the *Paris Declaration for Aid Effectiveness*, and *Accra Agenda for Action*. The initiative was created in 2008, in order to improve transparency so that governments in developing countries manage aid more effectively.⁶⁶¹ Additionally, donors may also be able to see how aid is being used and the possible benefits. Currently, the IATI is voluntary and based upon a multi-stakeholder perspective.⁶⁶² Essentially, greater transparency through the Initiative “means that each dollar will go as far as possible towards fighting poverty.”⁶⁶³

Rather than simply studying the EU Member States and the EU as a whole, in regard to transparency and accountability in ODA, information from governmental (and EU) aid agencies has been used. Although the EU Member States and EU have been discussed, the national development aid agencies are the case studies. These agencies represent the actors, EU, Sweden, UK, and Germany respectively. These agencies include EuropeAid, “the Directorate-General (DG) responsible for designing EU development policies and delivering aid through programmes and projects.”⁶⁶⁴ Likewise, the Swedish International Development Co-operation Agency (Sida) “is a government organization under the Swedish Foreign Ministry. [And]... administer[s] approximately half of Sweden's budget for development aid.”⁶⁶⁵ Department for International Development (DFID) - UK aid, part of the British government is also one of the four agencies. The German agency looked at is the Federal Ministry for Economic Co-operation and Development (BMZ).

⁶⁵⁹ Organisation for Economic Co-operation and Development- Development Assistance Committee, “Germany,” accessed, 23/07/2012, <http://www.oecd.org/dac/aidstatistics/44284478.gif>

⁶⁶⁰ Organisation for Economic Co-operation and Development- Development Assistance Committee, “United Kingdom,” accessed, 23/07/2012, <http://www.oecd.org/dac/aidstatistics/44285551.gif>

⁶⁶¹ International Aid Transparency Initiative, “The International Aid Transparency Initiative,” accessed 10/09/2012, <http://www.aidtransparency.net/>

⁶⁶² Ibid.

⁶⁶³ Ibid.

⁶⁶⁴ EuropeAid, “Who are we,” accessed 10/09/2012, http://ec.europa.eu/europeaid/who/index_en.htmw

⁶⁶⁵ Swedish International Development Co-operation Agency, “About us,” accessed 10/09/2012, <http://www.sida.se/English/About-us/>

There are a number of validity concerns, as the case study method only offers a small number of cases. The three EU Member States countries selected have been analysed in depth. However, this may not necessarily mean that findings are applicable to other scenarios. Comparisons between the EU and the EU Member States have been made, as identical sub-questions and central research question were asked. However, other cases could have been selected to analyse the transparency and accountability of EU ODA. They may not necessarily have provided the same findings as the three selected. Moreover, the findings uncovered in this research may not be the same as another set of case studies. Nevertheless, due to the nature of content analysis and careful documentation of information, the three cases selected may be retraced and replicated.

Archival Method

It is through the use of so-called “archives,” that data has been collected in this research.⁶⁶⁶ This method relies about data from a number of sources.⁶⁶⁷ Due to such a variety, the information needs to be systematically collected and analysed.⁶⁶⁸ As noted by Corti, “for the social scientist, archival research can be defined as the locating, evaluating, and systematic interpretation and analysis of sources found in archives.”⁶⁶⁹ The original sources of information consulted in the archival method may also provide new insight into the wider phenomenon, as new questions may be posed regarding the data.⁶⁷⁰

The research problem involves management and legal frameworks at EU and EU Member States’ levels, which are largely available as archival information. Furthermore, the key ideas which are central to the research problem, transparency and accountability, exist in an archival form, legal documents. So, due to the inherent archival nature of the research problem, it seems appropriate that the archival method has been used. Furthermore, a broad theoretical understanding can be formed from archival information. Supplementary secondary sources of information from NGOs, and multilateral organisations have also provided a complementary perspective of the research problem.

The primary sources of information used in this research are policy documents, which also shape the legal framework surrounding the key terms, transparency and accountability. These sources also include, information regarding the organisational structure of a development agency available through the internet. Country strategy papers have been used, including main aid strategies from

⁶⁶⁶ Camden, “Chapter 3. Archival and Survey Research Methods,” accessed 11/09/2012, <http://www.camden.rutgers.edu/~bwhitlow/Courses/Experimental/Ch3archival.pdf>, p. 1

⁶⁶⁷ Ibid.

⁶⁶⁸ Ibid.

⁶⁶⁹ Louise Corti, “Archival Research,” Sage Research Methods, accessed 11/09/2012, <http://srmo.sagepub.com/view/the-sage-encyclopedia-of-social-science-research-methods/n20.xml>

⁶⁷⁰ Ibid.

each developmental agency. Information regarding the financial operations of development agencies is also a primary source of data, including, annual reports and financial reports from each development agency.

A number of validity concerns need to be noted. Firstly, the phenomenon has not been observed through events as they occur. Information found in documents has been accepted as they are, so any inconsistencies can only be explained from written information. As a result, any discourse surrounding the research problem, which may be unspoken cannot be discussed. Strategy papers from the EU and EU Member States have allowed for a glance at future decision-making. Unofficial discussions or documents that may affect decisions surrounding the research problem have not been analysed.

Content Analysis

Content analysis involves the concentration of a larger phenomenon, in order to understand the purpose of particular concepts or ideas.⁶⁷¹ According to Elo and Kyngäs, “through content analysis, it is possible to distil words into fewer content-related categories.”⁶⁷² Within the scope of this study the key terms which represent ideas and concepts are transparency and accountability. Through content analysis these concepts can be further developed or used to analyse the wider problem setting. Moreover, this method makes valid inferences using data found within the appropriate context.⁶⁷³ Notably, content analysis also has, “the purpose of providing knowledge, new insights, a representation of facts and a practical guide to action.”⁶⁷⁴

This method does provide some degree of insight into the research problem. Through content analysis aspects of the public management frameworks at EU levels can be placed into a number of content-related categories. The same form of categorisation can also be applied to the management frameworks at Member States’ levels. Furthermore, key themes may emerge within the categories, which may explain the role of transparency and accountability in the administration of EU and EU Member States’ ODA. Information was gathered from four development agencies, EuropeAid, BMZ, Sida and DFID. All information was collected in English. This information was checked against information in other languages for accuracy, availability and accessibility. Points were given only for the English form. However, it should be acknowledged that Sida, BMZ and EuropeAid were accessible in different languages. Additionally, information on recipient nations from all of the

⁶⁷¹ Satu Elo and Heveí Kyngäs, “The Qualitative Content Analysis Process,” *Journal of Advanced Nursing*, 62(1), p. 108

⁶⁷² Ibid.

⁶⁷³ Ibid.

⁶⁷⁴ Ibid.

development agencies was often available in more than one language. Notably, all of the development agencies analysed provided an English version of all information, so no issues arose.

Content analysis was used to complement the case study approach and archival method. Microsoft Excel has been used to codify the data. The primary sources of data have been divided into four indicators. These indicators have been taken from an Access Info report and described in a table format (see appendix 1).⁶⁷⁵ The indicators used a point system with a maximum score for indicators. Each indicator was designed to represent an element of transparency and accountability. The points have been given at the discretion of the researcher. Points were given on the basis accessibility and availability. Comprehensive and detailed information for each indicator received the maximum number of points. If no information was made available for an indicator, zero was automatically given. A percentage has been extrapolated from the points gathered, and further broken down in the findings. Sub-totals were taken for each indicator, which contributed towards a final total for each development agency. Both percentages and actual scores were taken for each indicator. Descriptive statistics were used to allow for an overall comparison of data. The mean and standard deviation of indicators across all of the development agencies were taken.

It should be noted that five country programmes have been selected for indicators 4.1, 4.2, and 4.3 (see appendix 1). The same countries have been used for all country programmes for EU Member States and the EU. The countries chosen represent various regions of ODA. Nevertheless, as not all development agencies deliver aid to all regions around the world, not all regions with developing nations were analysed. As there was no single Latin American and European developing nation that received aid through all of the development agencies, the regions were not represented. Only nations, which received aid through all of the development agencies, were selected. The five recipient nations chosen were the Palestinian Territories (Middle-east), Bangladesh (Asia), Tanzania (East Africa), Democratic Republic of Congo (West Africa) and Vietnam (South-east Asia).

The units for analysis have allowed for careful examination of the research problem. The *physical unit* throughout the content analysis are documents from the EU and EU Member States. The *sampling units* in the content analysis are the type of document. This may be divided into country programmes, financial reports, annual reports etc., depending on the indicator. The *recording units* are the indicators for aid transparency monitoring. Moreover, the country, institution, name, date published, and any possible authors have also been noted down as *referential units*. The data was collected over a one month period from 19 January 2013 to 18 February 2013.

⁶⁷⁵ Lydia Medland and Helen Darbishire, *Not Available! Not Accessible! Aid Transparency Monitoring Reporting* (Madrid: Access Info, 2009), Annex A, pp. 52-54

There are a number of validity concerns as content analysis may not prove intent. The political, social and economic climate has to be analysed separately from any legal documents. Consequences of a particular document or event cannot be directly proven. Analysis has also been restricted to indicators, institutions and reference information related to the research problem. However, further information could have been divulged from the document, which may not necessarily be related to the research problem. The other information provided in the document may explain the rationale behind the document. However, the decision was made to restrict such analysis to the sub-questions and central research question. The data used in content analysis may also be limited to accessibility and availability of information. It should also be noted that the data provides a snapshot of transparency and accountability in a one month period. Research conducted over a longer period of time or taken at another time period may provide different results.

Conclusion

Essential to the validity of any research is the elimination of error.⁶⁷⁶ Transparency and accountability are concepts, which create a complex web of knowledge within the deliverance of ODA. Three methods have been employed in order to form a triangulation of data. Through the use of both quantitative and qualitative research, both financial and legal issues surrounding transparency and accountability can be understood. Descriptive statistics provide evidence for material discovered through qualitative research. The three methods employed within this research have provided a fundamental basis for understanding. The content analysis of primary data has been collected through publicly available data from EU and EU Member States' development agencies. In addition, through the archival method international agreements towards aid effectiveness were drawn upon as primary sources. Legal documents from EU Member States were also analysed using the archival method. Additionally, secondary data was found through the archival method including books, reports by Non-Governmental Organisations (NGOs), book chapters and journal articles. An inter-disciplinary approach has dominated this research creating a holistic view of the research phenomenon. Although an "absolute truth" may not be reached within this research, a "reality" has been uncovered regarding the governance of ODA through the use of a mixed approach and multiple methods.⁶⁷⁷

⁶⁷⁶ Popper, "Knowledge without Authority," p. 52

⁶⁷⁷ Ibid.

Burbules and Phillips, *Postpositivism and Educational Research*, p. 37

Chapter 4: Transparency and Accountability in Practice

This chapter elaborates on the role transparency and accountability in partnerships. The concept of partnership is frequently used within development studies. Yet, this concept may also be central in producing transparent and accountable results. Structurally, this chapter has been divided into two sections. The first section looks at transparency and accountability through co-operation and partnership. Within this first section, two sub-sections have been included on mutual accountability and transparency through partnership. The second section looks at the movement towards policy integration between the EU and EU Member States. The role of partnerships and transparency within the EU, Sweden, Germany and United Kingdom has been explored. Within this section an analysis of the DFID, Sida, BMZ, EuropeAid has been provided. The four development agencies have been analysed using transparency and accountability indicators, the results have been explored in detail within this chapter.

Mutual Accountability and Transparency through Partnership

This section explores the intricate relationship between the mutual accountability and partnership, along with the role of partnership in transparency. Notably, for either mutual accountability or transparency to occur a form of partnership must first exist. The concepts of mutual accountability and transparency have been important to the creation of effective aid. The first sub-section explores the mutual accountability and partnerships. Some of the issues in the implementation of mutual accountability are briefly addressed. The second sub-section goes over transparency through partnership. Additionally, the historical progression of the concept of partnership is briefly discussed.

Mutual Accountability

Partnerships are central to the concept of mutual accountability. In order for mutual accountability to occur, all parties involved must hold some responsibility. Within development aid, these parties take the role of partners. A necessity is present for collaboration, in order to achieve mutually beneficial results. A partnership is thus created between recipients and donors. Moreover, both recipients and donors are required to be accountable to each other and their citizens. The concept of accountability has a historical root, as Thomas Paine explained, “all power being originally inherent in, and consequently derived from, the people; therefore all officers of government,

whether legislative or executive, are their trustees and servants, and at all times accountable to them.”⁶⁷⁸

In order for mutual accountability to exist, a partnership must also be present. Mutual accountability may be viewed as an agreement between multiple parties in partnership to hold themselves and one another responsible. Within development aid, recipients are responsible to donors, while donors are responsible to recipients. Additionally, there may be mechanisms in place to facilitate mutual accountability. In recent years, there have been criticisms that mutual accountability may exist in one direction, with recipients being accountable to donors.⁶⁷⁹ Donors have been viewed as less accountable, as recipient nations have less power to enforce accountability mechanisms.⁶⁸⁰ Moreover, donor nations have greater access to funds, thus having greater control over the deliverance of ODA.⁶⁸¹ The concept of partnership again becomes important, as through equal partnership, an equal amount of accountability may occur.

The concept of mutual accountability was established as significant to the deliverance of ODA within *the Paris Declaration for Aid Effectiveness*. According to the document, mutual accountability means that, “donors and partners are accountable for development results.”⁶⁸² Importantly, mutual accountability refers to partner responsibilities. Essentially, both donors and recipients of ODA are required to be accountable, transparent and responsible for results. Furthermore, commitments were made within *the Paris Declaration* to increase transparency and mutual accountability. Additionally, mutual accountability became a “major priority” for partners.⁶⁸³ Three commitments pertaining to mutual accountability were made. Firstly, partner nations committed to consolidating the role of parliament, increasing participation efforts and assessing national development strategies.⁶⁸⁴ Secondly, donors committed to greater transparency of information regarding aid flows.⁶⁸⁵ Thirdly, both partner nations and donors committed to joint assessment and use of partnership commitments.⁶⁸⁶

⁶⁷⁸ Thomas Paine, *The Political Writings of Thomas Paine: Secretary to the Committee of Foreign Affairs in the American Revolution : to which is Prefixed a Brief Sketch of the Author's Life, Volume 1* (Charleston: George Davidson, 1824), p. 370

⁶⁷⁹ “Mutual Accountability: The Key Driver for Better Results: A Background Paper,” *Third International Roundtable on Managing for Development Results*, Hanoi, Vietnam, 5-8 February 2007, p. 4

⁶⁸⁰ Ibid.

⁶⁸¹ Ibid.

⁶⁸² Organisation for Economic Co-operation and Development, *Paris Declaration for Aid Effectiveness*, p. 8

⁶⁸³ Ibid.

⁶⁸⁴ Ibid.

⁶⁸⁵ Ibid.

⁶⁸⁶ Ibid.

Despite the importance of mutual accountability within *the Paris Declaration for Aid Effectiveness* the concept has been labelled “controversial” and “lagging.”⁶⁸⁷ In spite of the theoretical concept of mutual accountability providing reciprocal responsibilities and commitments, the concept also requires the presence of accountability mechanisms. Essentially, several bodies within government such as parliament may act as accountability mechanisms. Yet, such institutions may be underdeveloped within emerging nations. Though recipient nation institutions have increased in capacity in recent years, they remain weak comparatively.⁶⁸⁸ Nevertheless, accountability may still occur in donor nations. Joint efforts from donor nations within projects require a level of accountability. Furthermore, the concept of mutual accountability has links to a results-oriented approach in the deliverance of ODA.

Despite the criticisms the concept of mutual accountability has incurred, the concept remains important. Mutual accountability provides a practical approach to greater transparency and accountability at donor and recipient national levels.⁶⁸⁹ Furthermore, mutual assessment through accountability practices may allow greater monitoring of results. An argument has been put forward by some policy makers that mutual accountability may lead to more effective use of development aid.⁶⁹⁰ In 2006, a report produced by the World Bank noted that mutual accountability was “central to accelerating performance,” and the focus of international efforts.⁶⁹¹

Transparency through Partnership

The concept of partnership has a historical foundation in political thinking. Aristotle first touched upon the importance of political partnership in his explanations regarding states and individuals. Although the partnership discussed within this research is between recipients and donors of ODA, the importance of political partnership cannot be overlooked. For Aristotle, a political partnership was an “impulse” for all men. States and individuals were inseparable as neither individual nor state could be “whole” without the other.⁶⁹² Importantly, the concept of partnership has also been viewed in economic and legal terms. During the late 1800s and early 1900s, the term partnership was

⁶⁸⁷ Capacity Development for Development Effectiveness Facility for Asia Pacific, “Mutual Accountability,” accessed 24/04/2013, <http://www.aideffectiveness.org/The-Paris-Principles-Mutual-Accountability.html>
Australian Government: AusAid: Office of Development Effectiveness, “Getting Practical about Mutual Accountability,” ODE Briefs, November 2011, p. 1

⁶⁸⁸ Ibid.

⁶⁸⁹ Liesbet Steer and Cecilie Wathne, “Mutual Accountability at Country Level: Emerging Good Practice,” ODI: Overseas Development Institution, April 2009, p. 1

⁶⁹⁰ “Mutual Accountability,” p. 2

⁶⁹¹ International Monetary Fund, *Global Monitoring Report 2006: Millennium Development Goals: Strengthening Mutual Accountability, Aid, Trade and Governance* (Washington, 2006), p. xi and xvii

⁶⁹² Aristotle, *Aristotle in 23 Volumes, Vol. 21*, translated by H. Rackham (Cambridge, MA, Harvard University Press; London, William Heinemann Ltd, 1944), book 1, section 1253a

diffused through the British Empire.⁶⁹³ The idea of partnership encompassed a form of gain, which usually occurred within a business setting. Yet, by the end of World War II the term embraced the notion of co-operation.⁶⁹⁴

In modern terms, the concept of partnership has been used in the scope of good governance. As Buchanan noted, “we live now in an era of collaboration and partnership between governments and communities.”⁶⁹⁵ Partnership has been predominantly utilised within development policies. A shift has occurred towards more equal deliverance of ODA. Criticisms from dependency theorists have resulted in a greater focus on the needs of recipient nations. The concept of an equal and global partnership provided answers for greater aid effectiveness. Furthermore, with the creation of the MDGs, global partnerships have gained importance. Partnerships undertook a supportive role in the achieving the MDGs and ensuring greater transparency, accountability, good governance and aid effectiveness.

Transparency may occur due to equal partnerships. The concept of transparency has gained importance over the last decade as a way to increase aid effectiveness. Furthermore, transparency may allow for a degree of trust between partners to be built, upon access to information. Objectives necessary for the creation of transparency require joint action between partners. According to Kanani, Mattsson and Mathew, making information public, accessible and available requires participatory efforts by all partners.⁶⁹⁶ Moreover, information should be transparent for the benefits of citizens of partner nations. The EU has reiterated that the idea of a partnership caters for a participatory democracy. According to a European Commission discussion paper, “developing and consolidating democracy is also the Community’s general policy objective in its co-operation with developing countries.”⁶⁹⁷

Transparency may be viewed as a fundamental in creating mutual accountability. Jones and Picanyol note that initiatives towards transparency enable mutual accountability.⁶⁹⁸ Despite a lack of

⁶⁹³ Doina Căjvăneanu, *A Genealogy of Government. On Governance, Transparency and Partnership in the European Union*, a dissertation submitted in partial fulfilment of the requirements for the degree of doctor of philosophy, (Trento: University of Trento, 2011), p. 201

⁶⁹⁴ Ibid., p. 203-204

⁶⁹⁵ Robert Buchanan, “Transparency and Accountability in Government Decision-Making: Devolved Service Delivery,” paper presented for the Conferenz 6th Annual Public Law Forum, Wellington, New Zealand May 2004

⁶⁹⁶ Alma Kanani, Per-Ola Mattsson and Divya Mathew, “Transparency Building Block: Pushing the Boundaries on Transparency for Predictability,” Concept note, Four High Level Forum on Aid Effectiveness, Busan Korea, 2011, p. 1

⁶⁹⁷ Romano Prodi and Neil Kinnock, “The Commission and Non-Governmental Organisations Building a Stronger Partnership,” The European Commission, Commission Paper, 18 January 2000 p. 4

⁶⁹⁸ Stephen Jones and Clara Picanyol, *Mutual Accountability- Progress since Accra and Issues for Busan*, Oxford Policy Management, Oxford, 4 July 2011, p. iii

emphasis on transparency in *the Paris Declaration for Aid Effectiveness*, the concept may be viewed as a “fundamental contingency” in the implementation of other principles.⁶⁹⁹ Moreover, transparency was addressed within *the Accra Agenda for Change*. The concept was viewed as a “cross-cutting issue.”⁷⁰⁰ Commitments were made to “make aid more transparent,” through public access to information regarding aid flows.⁷⁰¹ Nevertheless, transparency remained difficult to implement. Assessing progress has been difficult as there is no universal standard to measure transparency. However, the OECD has proposed reporting through its statistical system.⁷⁰² Additionally, the IATI provides guidelines for transparency. Yet, the IATI is voluntary and the extent to which transparency guideline are implemented is dependent on partners.

Towards Policy Integration: Strategic Partnerships and Co-operation

Partnership and co-operation are essential elements of transparency. This section elaborates upon the role of partnership and co-operation between the EU and EU Member States in the deliverance of ODA. Firstly, the historic role of EU development aid is explored. Furthermore, the current relationship between the EU and EU Member States in the deliverance of ODA is elucidated. This section has been divided into four parts. Each part is dedicated to each of the four cases, EU, Germany, Sweden and the United Kingdom. The role of transparency and policy coherence between the EU and each EU Member State is explored. A brief background regarding each of the respective development agencies for the cases is provided. The results of data collected have been explained in detail for each case.

European Union

Since 1975, partnership has been an essential element of EU rhetoric with the creation of the Lomé Convention.⁷⁰³ The partnership between the EU and African, Caribbean and Pacific (ACP) nations has led to greater co-operation and coordination of development activities.⁷⁰⁴ Importantly, partnership has been part of EU development policy and wider external action activities.⁷⁰⁵ The current Cotonou agreement follows the spirit of partnership, which has proved essential to the efficient and effective deliverance of ODA. Transparency and accountability were brought to the forefront with Cotonou.

⁶⁹⁹ Australian Government, “Getting Practical about Mutual Accountability,” p. 2

⁷⁰⁰ Organisation for Economic Co-operation and Development, *Aid Effectiveness 2005-10: Progress in Implementing the Paris Declaration*, 2011, p. 77

⁷⁰¹ Organisation for Economic Co-operation and Development, *Accra Agenda for Action*, p. 20

⁷⁰² Organisation for Economic Co-operation and Development, *Aid Effectiveness 2005-10*, p. 77

⁷⁰³ Pope, *Confronting Corruption*, p. 163

⁷⁰⁴ Ibid.

⁷⁰⁵ Ibid

Moreover, partnership can lead to mutual accountability. Importantly, if the EU has partnership and co-operation with states, this can lead to greater accountability.

In recent years, the EU has appeared as a leading donor of ODA. Yet, there remains a lack of information regarding the manner in which aid is administered by the EU. Putzel has raised questions regarding the access of information on the governance of EU ODA.⁷⁰⁶ Moreover, the EU has faced criticisms regarding relevance by some EU Member States. The United Kingdom is currently conducting its own audit regarding the role of EU ODA.⁷⁰⁷ Moreover, in a recent OECD DAC review it was noted that “EU institutions need to make more progress.”⁷⁰⁸ The management and administration of ODA needs to be clarified, in order to create more effective use of development aid. Questions remain regarding policy coherence.⁷⁰⁹ Nevertheless, the EU has supported EU Member States in the deliverance of ODA, in order to create greater aid effectiveness.

Currently the EU stands at twenty-seven Member States, soon to be twenty-eight with the addition of Croatia. With the growth of the EU, the amount of aid delivered to developing nations has increased. Countries in the Mediterranean, Latin America, Central, and Eastern Europe are all recipients of development aid. Systems to facilitate the deliverance of aid have also evolved, as have the measures to implement transparency and accountability. CSPs and GSPs have been drawn out to facilitate co-ordinated programming.⁷¹⁰ These papers allow for a stream-lined decision-making process, that gives a strategic and financial direction.

Efforts to achieve a form of uniformity need to transcend legal barriers, often imposed due to political or economic pressures. Co-ordination between EU and partners may be essential, in order to reach aid objectives. The Development Co-operation Instrument, created in 2007, has re-enforced the strategic direction of ODA.⁷¹¹ Various types of programmes have been created under this body, including; thematic, geographic, and accompanying measures.⁷¹² Different themes are covered using these programmes, including the accomplishment of the MDGs.⁷¹³ The MDGS have shaped recent EU

⁷⁰⁶ James Putzel, “The Business of Aid: Transparency and Accountability in European Union Development Assistance,” *The Journal of Development Studies*, Vol. 34, No. 3, February 1998, p. 71

⁷⁰⁷ The National Archives, “The European Union,” accessed 21/04/2013, <http://webarchive.nationalarchives.gov.uk/20130128103201/http://www.dfid.gov.uk/What-we-do/Who-we-work-with/The-European-Union/>

⁷⁰⁸ Organisation for Economic Co-operation and Development, *European Union: Development Assistance Committee (DAC) Peer Review 2012* (Paris, 2012), p. 13

⁷⁰⁹ Ibid.

⁷¹⁰ EuropeAid, “How we finance,” accessed 8/05/2012, http://ec.europa.eu/europeaid/how/finance/index_en.htm

⁷¹¹ EuropeAid, “Development Co-operation Instrument,” accessed 8/05/2012, http://ec.europa.eu/europeaid/how/finance/dci_en.htm

⁷¹² Ibid.

⁷¹³ Ibid.

development policy, however programmes funded by EU development bodies by not always be aimed at accomplishing them.

In order to reach development objectives, certain documents have been created. In 2005, the first document regarding policy coherence for development was created.⁷¹⁴ These were to assist the MDGs in twelve policy areas. The European Commission also produces a policy coherence for development report every two years. In line with coherence, the European Commission works with the OECD.⁷¹⁵ Similarly, the European Consensus on Development works with Member States, in order to create a “common vision for development.”⁷¹⁶ Co-operation with local authorities also increases the likelihood of successful outcomes.⁷¹⁷ Five principles from the Paris Declaration on Aid Effectiveness are used to ensure that development aid creates outcomes, when dealing with local authorities.⁷¹⁸ These principles include; ownership, alignment, harmonisation, results-based management, mutual accountability.⁷¹⁹

In 2011 during the *Busan for Effective Development Co-operation*, the EU moved towards greater transparency. The EU Transparency guarantee was introduced in order to lead “initiatives which are open to our [EU] partners.”⁷²⁰ The EU Transparency Guarantee was seen as an extension to efforts made through the IATI. Moreover, the EU and EU Member States were viewed as “leading donors on transparency.”⁷²¹ With the introduction of the EU Transparency Guarantee, a system tool called Transparency Aid (TR-AID) will implemented by the end of 2013.

The EU Transparency Guarantee outlines commitments by the European Commission and EU Member States in several key areas. Firstly, information regarding the amount of development aid and allocation must be made public.⁷²² Furthermore, this information should be accessible and hold similarities to current global information on development aid.⁷²³ Secondly, information should be made available to stakeholders regarding the future direction of development aid and potential

⁷¹⁴ EuropeAid, "Policy Coherence for Development," accessed 16/05/2012, http://ec.europa.eu/europeaid/what/development-policies/policy-coherence/index_en.htm.

⁷¹⁵ Ibid

⁷¹⁶ EuropeAid, "The European Consensus on Development," accessed 16/05/2012, http://ec.europa.eu/europeaid/what/development-policies/european-consensus/index_en.htm.

⁷¹⁷ EuropeAid, "Development Role of Local Authorities," accessed 16/05/2012, http://ec.europa.eu/europeaid/what/development-policies/intervention-areas/governance/localgov_en.htm

⁷¹⁸ Ibid.

⁷¹⁹ Ibid.

⁷²⁰ Andris Piebalgs, "The European Union Announces New Initiatives to Increase Transparency and improve Coordination in Aid Delivery," *European Commission*, last updated 02/05/2013, accessed 02/05/2013, http://ec.europa.eu/commission_2010-2014/piebalgs/headlines/news/2011/11/20111129_en.htm

⁷²¹ Ibid.

⁷²² EuropeAid, "The EU's commitment to transparency."

⁷²³ Ibid.

budgets at national levels.⁷²⁴ Thirdly, partner nations should be given access to appropriate aid flows, in order to create transparency at a recipient nation level.⁷²⁵ Essentially, national governments should be transparent towards its institutions including parliament and its citizens.⁷²⁶ By providing information national financial documents can be kept in order and provide accurate data. Fourthly, information shall be made on the IATI registry.⁷²⁷

The TR-AID will allow for greater accessibility of data and allow for information to be easily searchable.⁷²⁸ The tool will be implemented in co-operation with the Joint Research Centre.⁷²⁹ In essence, TR-AID will be based on the web and allow for numerous of sources to be consulted, in order to provide the most complete information.⁷³⁰ The aim of the TR-AID system tool is to provide information for reporting and decision-making purposes.⁷³¹

Directorate-General for Development and Co-operation-EuropeAid

In 2011, the Directorate-General for Development and Co-operation-EuropeAid was created. The new Directorate-General was created from the EuropeAid Co-operation Office and Directorate-General for Development and Relations with African, Caribbean, and Pacific States.⁷³² Through newly established EuropeAid the goal of more effective implementation of development aid was established. Moreover, EuropeAid was given the essential responsibility of shaping EU development policy. The recently created Directorate-General undertook several roles. Firstly, EuropeAid designs development policy across developing countries and regions.⁷³³ Secondly, the Directorate-General has improved policy coherence, implementation and delivery mechanisms.⁷³⁴ Thirdly, the future direction of development aid is given through EuropeAid.⁷³⁵ Moreover, EuropeAid aims to contribute to global standards within development policy. European aid is aimed to gain “visibility.”⁷³⁶

⁷²⁴ EuropeAid, “The EU’s commitment to transparency”

⁷²⁵ Ibid.

⁷²⁶ Ibid.

⁷²⁷ Ibid.

⁷²⁸ Ibid.

⁷²⁹ Ibid.

⁷³⁰ Ibid.

⁷³¹ Ibid.

⁷³² EuropeAid, “About Development and Co-operation- EuropeAid,” accessed 20/04/2013, http://ec.europa.eu/europeaid/who/about/index_en.htm

⁷³³ Ibid.

⁷³⁴ Ibid.

⁷³⁵ Ibid.

⁷³⁶ EuropeAid, “Directorate General for Development and Co-operation- EuropeAid Main missions of DEVCO Directorates & Units,” accessed 20/04/2013, http://ec.europa.eu/europeaid/who/about/documents/devco-mission_statement_en.pdf p. 4

Importantly, EuropeAid coordinates with other institutions within the EU and EU Member States, in order to most effectively use development aid.⁷³⁷

Analysis of Transparency and Accountability within the Directorate-General for Development and Co-operation- EuropeAid

This section provides an analysis of data on the levels of transparency and accountability within EuropeAid. The sub-section has been divided into four parts, which outline an element of transparency and accountability. The first part explores key elements of EuropeAid including its organisation structure, main aid strategy and financial statements. The second part looks over evaluations, contracts and grants. The third part goes over corruption risk assessment, accountability mechanisms, and gifts or assets declaration. The final part looks specifically at information on recipient nations. Five recipient nations have been selected for the indicators. With information available on each recipient nation for indicators points were awarded. This part goes over the EuropeAid's country programmes, strategies, aid modalities, budgets and activities for recipient nations. Figures have been provided for each part. Each figure outlines the points given to EuropeAid for a particular indicator and the mean and standard deviation of scores across all of the development agencies. Importantly, EuropeAid received an overall percentage of 67.55% for transparency and accountability, according to indicators and points analysed. However, for one group of indicators, indicators 3.1: corruption risk assessment, 3.2: gifts/assets declarations and 3.3: accountability mechanisms, no information was available.

Figure VI: Indicators 1: Directorate-General for Development and Co-operation- EuropeAid⁷³⁸

	Maximum number of points	Score	Mean score across all agencies	Standard deviation of score across all agencies
1.1: Organisational Structure	6	4	4.625	0.95
1.2: Main Aid Strategy	6	6	4.75	0.96
1.3 Aid Budget	6	6	5	2.00
1.4: Annual Report	6	6	4.5	3.00
1.5: Financial Report	6	0	1.5	3.00

EuropeAid received the maximum number of points for indicators 1.2: main aid strategy, 1.3: aid budget and 1.4: annual report. However, EuropeAid scored below the mean for indicators 1.1:

⁷³⁷ EuropeAid, "About Development and Co-operation- EuropeAid"

⁷³⁸ See Appendix II for further information.

organisational structure and 1.5: financial report. Two key documents were made available for indicator 1.1: organisational structure.⁷³⁹ Firstly, a brief description of key officials was provided.⁷⁴⁰ Secondly, an organisational chart with the roles of different departments was made available.⁷⁴¹ Nevertheless, there was no staff directory and only the names of heads of staff were given. Due to the lack of availability of a staff directory four points were given for indicator 1.1. Three documents detailing future strategy, planned activities and criteria for allocating development aid were made available for indicator 1.2: main aid strategy.⁷⁴² These documents outlined the direction in which EuropeAid was taking development. Furthermore, they looked over the agenda for change, the impact of EU development policy and European consensus on development.⁷⁴³ For indicator 1.3: aid budget, information was broken into several elements. The EU budget and external co-operation, financial, thematic and geographic instruments all touched upon the aid budget for EuropeAid.⁷⁴⁴ For indicator 1.4: annual report, several annual reports could be found.⁷⁴⁵ The latest annual report for the 2011-2012 period was available.⁷⁴⁶ No financial reports were available for EuropeAid, as a result no points were given for indicator 1.5: financial report.

Figure VII: Indicators 2: Directorate-General for Development and Co-operation- EuropeAid⁷⁴⁷

	Maximum number of points	Score	Mean score across all agencies	Standard deviation of score across all agencies
2.1: Consultations	3	2	2	1.41
2.2: Public Procurement procedure and tenders	3	2	2	1.41
2.3: Current Contracts	3	1	1.75	1.50
2.4: Grant Application Policy and Procedures	3	2	2	1.41
2.5: Current Grants	3	1	1.25	1.26
2.6: Evaluation Information	3	3	3	0.00

⁷³⁹ See Appendix III for further information.

⁷⁴⁰ Ibid.

⁷⁴¹ Ibid.

⁷⁴² Ibid.

⁷⁴³ Ibid.

⁷⁴⁴ Ibid.

⁷⁴⁵ Ibid.

⁷⁴⁶ Ibid.

⁷⁴⁷ See Appendix II for further information.

Overall, the scores for indicators 2 for EuropeAid were at the average for all development agencies, except for indicators 2.3: current contracts and 2.5: current grants. For indicator 2.1: consultations, clear information was available on public consultations.⁷⁴⁸ This information included open and closed public consultations. For indicator 2.2: public procurement procedure and tenders, information was made available by EuropeAid on procurement procedures and procurement notices.⁷⁴⁹ Additionally, EuropeAid made calls for procurement proposals.⁷⁵⁰ One point was given to indicator 2.3: current contracts and indicator 2.5: current grants, as actual contracts and grants were made available.⁷⁵¹ However, the reporting and roles of other partners, particularly contractors and sub-contracting agents was not available. For indicator 2.4: Grant Application Policy and Procedures, information was available on grant policies, criteria for awarding grants and time frames.⁷⁵² This information was available through a registration database and a brief overview of funding opportunities. For indicator 2.6: evaluation information, systematic and thorough explanations were provided on evaluation, methodology and reports.⁷⁵³

Figure VIII: Indicators 3: Directorate-General for Development and Co-operation- EuropeAid⁷⁵⁴

	Maximum number of points	Score	Mean score across all agencies	Standard deviation of score across all agencies
3.1: Corruption Risk Assessment	3	0	2	1.41
3.2: Gifts / Assets Declarations	3	0	0	0.00
3.3: Accountability Mechanisms	3	0	1.25	1.50

There was no information available for indicators 3.1: corruption risk assessment, 3.2: gifts/assets declarations and 3.3: accountability. No points were awarded due to the lack of information. However, it should be noted that none of the development agencies analysed received any points for indicator 3.2: gifts/assets declarations. This particular indicator looked at the asset declaration of key individuals, and policies on gifts.

⁷⁴⁸ See Appendix III for further information.

⁷⁴⁹ Ibid.

⁷⁵⁰ Ibid.

⁷⁵¹ Ibid.

⁷⁵² Ibid.

⁷⁵³ Ibid.

⁷⁵⁴ See Appendix II for further information.

Figure IX: Indicators 4: Directorate-General for Development and Co-operation- EuropeAid⁷⁵⁵

	Maximum number of points	Score	Mean score across all agencies	Standard deviation of score across all agencies
4.1: Country Programmes: Strategy	15	5	10	5.77
4.2: Country Programmes: Projects Information	15	15	11.25	7.50
4.3: Country Programmes: Information on aid via channel	15	15	11.25	7.50

For indicators 4.2: country programmes: projects information and 4.3: country programmes: information on aid channel, the maximum number of points was given. Additionally for these two indicators the points awarded were above the mean. However, indicator 4.1: country programmes: strategy received score of five, which was below the mean across the development agencies of ten points. Indicators 4 specifically focus upon information for recipient nations. For indicator 4.1 overall strategies were provided for the Palestinian Territories, Bangladesh, Tanzania, Democratic Republic of Congo and Vietnam. However, information on aid modalities and references to the recipient nations own strategies for development were not provided.⁷⁵⁶ Nevertheless, the maximum number of points was given for indicators 4.2 and 4.3 as comprehensive information was available on aid flows and the budget for each recipient nation.⁷⁵⁷

Summary

EuropeAid received a modest amount of points from the transparency and accountability indicators. Yet, there were areas in which information remained unavailable, which resulted in points not being given. The focus of each group of indicators was on a different area. Firstly, indicators 1 looked at the way in which EuropeAid was structured, financial documents and the main aid strategy. EuropeAid was given the maximum number of points for indicators 1.2: main aid strategy, 1.3: aid budget and 1.4: annual report. Secondly, indicators 2 focussed upon contracts, grants, evaluations, consultations and procurements. EuropeAid received the same number of points for these indicators as the mean except for indicator 2.3: current contracts and 2.5: current grants, which received

⁷⁵⁵ See Appendix II for further information.

⁷⁵⁶ See Appendix III for further information.

⁷⁵⁷ Ibid.

points slightly below the mean. Thirdly, indicators 3 focussed upon corruption risk assessment, gift/assets declarations and accountability mechanisms. Notably, no information was available, and no points were given for indicators 3. Fourthly, indicators 4 looked at the information available from EuropeAid on activities in recipient nations. The maximum number of points was given for indicators 4.2: country programmes: project information and 4.3 country programmes: information on aid via channel.

Germany

Global partnerships have been supported by the German government. For Germany, in order to achieve the MDGs and reduce poverty, supportive efforts must be created at a national level.⁷⁵⁸ Development partnerships allow for cooperative efforts in the deliverance of ODA. Moreover, multilateral and bilateral development co-operation may allow for an alignment of priorities for all stakeholders.⁷⁵⁹ BMZ has highlighted three key aspects in which development partners can benefit from co-operation with Germany. Firstly, trust may be implemented.⁷⁶⁰ Secondly, German technical expertise may be made available to partners.⁷⁶¹ Thirdly, German development instruments may be made available and applied flexibly, in order to provide the most effective approach to reduce poverty.⁷⁶² Currently, partnerships include co-operation with German federal ministries, civil society, German private sector, universities and research institutions and multilateral actors such as the EU.⁷⁶³

In recent years, the German government has engaged with the EU, in order to create greater policy coherence. Germany has moved towards greater co-operation with the EU. For Germany, integration includes focussing upon development policy.⁷⁶⁴ Furthermore, efforts have been made to “interlink” policy instruments, and create a uniform approach towards developing nations from various regions.⁷⁶⁵ Germany has emphasised upon the need for EU policy reform, in order for greater co-operation and coherence. For the EU, priority areas have been identified for greater policy coherence. Moreover, Germany has also focussed upon several priority areas. Of the priority areas for the EU, four priority areas have been identified for greater policy coherence for Germany:

⁷⁵⁸ The Federal Ministry for Economic Co-operation and Development, *Strategy for Development Co-operation with Global Development Partners (2011-2015)*, BMZ Strategy Paper 6, 2011e, p.6

⁷⁵⁹ Ibid.

⁷⁶⁰ Ibid. p. 8-9

⁷⁶¹ Ibid.

⁷⁶² Ibid.

⁷⁶³ Ibid. p. 13-17

⁷⁶⁴ Angela Merkel et al. *Growth. Education. Unity: The Coalition Agreement between the CDU, CSU and FDP*, (Berlin, 2009), p. 184

⁷⁶⁵ Ibid.

conflict and fragile states, international trade and markets, food security, climate change and sustainable use of resources.⁷⁶⁶

Transparency has appeared within the German development agenda as a condition for budget management.⁷⁶⁷ In 2008, Germany joined the IATI as part of the founding members.⁷⁶⁸ Nevertheless, BMZ has only recently begun implementing transparency standards. In 2012, a national schedule was created, in order for the standards to be implemented for BMZ data.⁷⁶⁹ The data will also be made available on a BMZ database.⁷⁷⁰ The focus for Germany in making data available has been the presentation of current information regarding projects and countries. Unlike, DFID and Sida, BMZ has noted that the OECD DAC reports statistical information on past and future data.⁷⁷¹ For Germany, the IATI provides access to present data, which the OECD DAC does not present.⁷⁷² In essence, through IATI standards complementary data may be provided. The first step towards greater transparency was taken at the end of March 2013.⁷⁷³ Firstly, current information on projects and will be made available online, and will be machine-readable.⁷⁷⁴ According to a statement released by BMZ, data will be published on a half yearly basis.⁷⁷⁵ Moreover, the types of information will increase to include strategy papers and evaluations.⁷⁷⁶

The Federal Ministry for Economic Co-operation and Development (BMZ)

BMZ is the German governmental agency that facilitates the deliverance of ODA. According to BMZ, development co-operation is provided under efforts to protect human rights.⁷⁷⁷ The government agency focusses upon several key areas including: education, good governance, health, rural

⁷⁶⁶ Organisation for Economic Co-operation and Development, *Germany: Development Assistance (DAC) Peer Review 2010* (Paris, 2012), p. 40-41

⁷⁶⁷ Angela Merkel et al., *Growth. Education. Unity*, p. 183

⁷⁶⁸ The Federal Ministry for Economic Co-operation and Development, "Transparency for greater effectiveness," accessed 20/04/2013, http://www.bmz.de/en/what_we_do/approaches/transparency-for-greater-effectiveness/index.html

⁷⁶⁹ Ibid.

⁷⁷⁰ Ibid.

⁷⁷¹ Ibid.

⁷⁷² The Federal Ministry for Economic Co-operation and Development, "Transparency for greater effectiveness"

⁷⁷³ The Federal Ministry for Economic Co-operation and Development, "BMZ implements international transparent standards," accessed 22/04/2013, http://www.bmz.de/en/press/aktuelleMeldungen/2013/april/130410_BMZ-implements-international-transparency-standards/index.html

⁷⁷⁴ The Federal Ministry for Economic Co-operation and Development, "Transparency for greater effectiveness"

⁷⁷⁵ The Federal Ministry for Economic Co-operation and Development, "BMZ implements international transparent standards"

⁷⁷⁶ Ibid.

⁷⁷⁷ The Federal Ministry for Economic Co-operation and Development, "Aims," accessed 22/04/2013, http://www.bmz.de/en/what_we_do/principles/index.html

development and sustainable use of resources.⁷⁷⁸ Furthermore, BMZ also provides technical co-operation in the deliverance of ODA alongside partners.⁷⁷⁹

Analysis of Transparency and Accountability within the Federal Ministry for Economic Co-operation and Development (BMZ)

The following section goes over scores from indicators measuring levels of transparency and accountability for BMZ. The section has been divided into four parts. Firstly, indicators that look at organisational structure, strategy and financial information of BMZ have been explained within indicators 1. Secondly, the process of distribution development aid through contract and grants has been explored within indicators 2. Additionally, information on public procurement and evaluations has been assessed within indicators 2. Thirdly, corruption risk assessment, gift/assets declarations and accountability mechanisms have been explored within indicators 3. Fourthly, the last group of indicators look at how BMZ provides information on recipient nations. Indicators 4 look at recipient country strategies, project information and aid modalities. The development agency was given the lowest score among the four development agencies analysed. Information remains unavailable and inaccessible from BMZ, which resulted in an overall low score. BMZ was given an overall total of 19.61% from the transparency and accountability indicators. Additionally, BMZ received the maximum number of points for only one indicator, 2.6: evaluation information.

Figure X: Indicators 1: Federal Ministry for Economic Co-operation and Development (BMZ)⁷⁸⁰

	Maximum number of points	Score	Mean score across all agencies	Standard deviation of score across all agencies
1.1: Organisational Structure	6	4	4.625	0.95
1.2: Main Aid Strategy	6	4	4.75	0.96
1.3: Aid Budget	6	2	5	2.00
1.4: Annual Report	6	0	4.5	3.00
1.5: Financial Report	6	0	1.5	3.00

BMZ scored below average for indicators 1.1, 1.2, 1.3, 1.4, and 1.5. This was mainly due to a lack of information provided for indicators 1.4 and 1.5 regarding BMZ annual and financial reports. Neither one of these documents were made available through BMZ. Nevertheless, several documents were

⁷⁷⁸ The Global Mechanism, "German Federal Ministry for Economic Co-operation and Development (BMZ)," accessed 21/04/2013, <http://global-mechanism.org/en/bilateral/german-federal-ministry-for-economic-co-operation-and-development-bmz>

⁷⁷⁹ Ibid.

⁷⁸⁰ See Appendix II for further information.

made available regarding the direction, budget and structure of BMZ. For indicator 1.1 regarding organisation structure clear information was made available on the roles within BMZ.⁷⁸¹ However, no staff directory was made available, although there was some information regarding prominent figures within BMZ.⁷⁸² Since there was little information on staff, a total score of 4 was given for indicator 1.1. For indicator 1.2 regarding the main aid strategy, the aims and role of BMZ were clearly outlined.⁷⁸³ Furthermore, the coalition agreement between the FDP, CDU and CSU was made available. Within this document the aims of BMZ were outlined. Yet, planned activities were not outlined within the aid strategy, which resulted in a score of 4.

Figure XI: Indicators 2: Federal Ministry for Economic Co-operation and Development (BMZ)⁷⁸⁴

	Maximum number of points	Score	Mean score across all agencies	Standard deviation of score across all agencies
2.1: Consultations	3	0	2	1.41
2.2: Public Procurement procedure and tenders	3	0	2	1.41
2.3: Current Contracts	3	0	1.75	1.50
2.4: Grant Application Policy and Procedures	3	0	2	1.41
2.5: Current Grants	3	0	1.25	1.26
2.6: Evaluation Information	3	3	3	0.00

BMZ received the lowest scores for these indicators as information was publicly unavailable. Moreover, the scores were below average, except for indicator 2.6, which looked at evaluation information. Nevertheless, several documents were made available regarding evaluation methods.⁷⁸⁵ Information regarding both evaluation and auditing methods was available. Furthermore, there was evidence that recipient nations were consulted in regards to evaluation.

Figure XII: Indicators 3: Federal Ministry for Economic Co-operation and Development (BMZ)⁷⁸⁶

	Maximum	Score	Mean score	Standard deviation
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⁷⁸¹ See Appendix IV for further information.

⁷⁸² Ibid.

⁷⁸³ Ibid.

⁷⁸⁴ See Appendix II for further information.

⁷⁸⁵ See Appendix IV for further information.

⁷⁸⁶ See Appendix II for further information.

	number of points		across all agencies	of score across all agencies
3.1: Corruption Risk Assessment	3	2	2	1.41
3.2: Gifts / Assets Declarations	3	0	0	0.00
3.3: Accountability Mechanisms	3	0	1.25	1.50

BMZ received a mixture of scores for indicators 3.1, 3.2, 3.3. Several documents were available regarding corruption.⁷⁸⁷ BMZ had presented several ways in which corruption may be dealt with, however no reports of corruption assessments were available. Nevertheless, one document described the link between transparency and corruption. None of the development agencies analysed had any gifts or assets declarations including BMZ. However, BMZ did not receive any score for indicator 3.3, which looked at accountability mechanisms. This particular indicator looked at whistle-blowing mechanisms and complaints of corruption. No information was made available by BMZ, in order to deal with such mechanisms. Due to a lack of information, a score of 0 was given for indicator 3.3.

Figure XIII: Indicators 4: Federal Ministry for Economic Co-operation and Development (BMZ)⁷⁸⁸

	Maximum number of points	Score	Mean score across all agencies	Standard deviation of score across all agencies
4.1: Country Programmes: Strategy	15	5	10	5.77
4.2: Country Programmes: Projects Information	15	0	11.25	7.50
4.3: Country Programmes: Information on aid via channel	15	0	11.25	7.50

Indicators 4.1, 4.2 and 4.3 looked over the levels of information on recipient nations from BMZ. The development agency scored well below average for providing this information. A score of 0 was given for indicators 4.2 and 4.3 regarding information on projects and aid channels as no information was made available. However, a score of 5 was given for indicator 4.1 regarding country

⁷⁸⁷ See Appendix IV for further information.

⁷⁸⁸ See Appendix II for further information.

programmes and strategy. Although no information was made available from BMZ regarding recipient nations, references and links were given to documents regarding the recipient nations' development strategy.⁷⁸⁹ Furthermore, BMZ provided a brief overview of each of the five recipient nations, the Palestinian Territories, Bangladesh, Tanzania, Democratic Republic of Congo and Vietnam. The overview included the situation and co-operation of relations between Germany and the recipient nations.

Summary

Germany received the lowest overall scores from the transparency and accountability indicators. The focus on each group of indicator differed, yet information was unavailable for many of the indicators. For the first group of indicators the focus was on organisational structure, strategy and financial information of BMZ. There was some information on the organisational structure and strategy of BMZ. However, this information was not comprehensive as no staff directory was provided. For the second group of indicators, little information was available, which resulted in no points for the majority of indicators. The focus of the second group of indicators was on consultations, procurements, contracts, grants and evaluations. However, no information was available on these areas, except for evaluations. Full marks were given to indicator 2.6: evaluation as comprehensive and detailed information was available on evaluations. For the third group of indicators the focus was on corruption risk assessment, gifts/assets declarations and accountability mechanisms. No points were awarded for indicators 3.1: gifts/assets declarations and 3.3: accountability mechanisms as no information was available. Nevertheless, some information was available on how BMZ treated corruption, which resulted in two points being given for indicator 3.1: corruption risk assessment. The fourth group of indicators focussed upon how BMZ provided information on recipient nations. Nevertheless, information was unavailable on recipient nation projects and aid modalities and channels. Points were awarded for indicator 4.1: country programmes: strategy as there were some references to recipient countries' own strategies.

Sweden

In recent years, a results oriented approach has shaped the Swedish development agenda.⁷⁹⁰ In essence, effective and efficient systems have been needed. Co-operation with the EU may contribute towards greater aid effectiveness. Partnerships have been a vital tool in the deliverance of Swedish ODA. Both external and internal co-operation have been essential in carrying out development aid work. Firstly, Sida has worked together with several Swedish government agencies,

⁷⁸⁹ See Appendix IV for further information.

⁷⁹⁰ The Ministry for Foreign Affairs, Information Office, *Global Challenges- Our Responsibility- Communication on Sweden's policy on global development* (Elanders: Stockholm, 2008), p. 52

in order to ensure the correct procedures have been utilised during project cycles.⁷⁹¹ Secondly, in emerging nations, fifteen Swedish organisations currently work with civil society. Swedish organisations have been in framework agreements with Sida, in order to complete joint projects.⁷⁹² Thirdly, Sida has cooperated with national and international bodies and aid agencies. The goal of co-operative efforts has been to meet the needs of citizens of developing nations.⁷⁹³ By working with other organisations and other donor nations, a situation can be elucidated as to the most vital elements needed for effective deliverance of ODA.⁷⁹⁴

As Europe has integrated as a region, Sweden has supported objectives for greater European co-operation within foreign policy-making. In recent years, Sweden has increased aid to Europe.⁷⁹⁵ Although, the recipient countries within Europe may not be the poorest nation to which Sweden delivers aid, a focus has been brought to the importance of stability for nations wishing to gain EU accession. Moreover, Sweden views the role of the EU as integral to the global development agenda.⁷⁹⁶ During the Swedish EU presidency in 2009, Sweden made efforts to ensure policy coherence, while delivering ODA. According to the Swedish Ministry of Foreign Affairs, “the EU has considerable potential to influence and change the global agenda.” For Sweden, the EU could hold the role of establishing greater coherence and co-operation. Furthermore, the Swedish global development policy may not be as effective without the EU efforts for coherence. Through a cohesive and coherent European effort, Swedish development policy may have the greatest “impact.”⁷⁹⁷ Moreover, Sweden has supported the EU Transparency Guarantee. In 2012, transparency within development co-operation was one of Sweden’s priorities.

Sweden has some of the earliest legislation regarding freedom of information and expression.⁷⁹⁸ This is due to the rights being part of the country's constitution.⁷⁹⁹ In total there are four laws, which make up the Member State's constitution.⁸⁰⁰ The principles of the law is to have an open records scheme, however the Secrecy Law also provides provisions to open records.⁸⁰¹ It should be noted

⁷⁹¹ Swedish International Development Co-operation Agency, “How we operate,” accessed 20/04/2013, <http://www.sida.se/English/About-us/How-we-operate/>

⁷⁹² Ibid.

⁷⁹³ Ibid

⁷⁹⁴ Ibid.

⁷⁹⁵ Organisation for Economic Co-operation and Development, *Sweden: Development Assistance Committee (DAC) Peer Review*, (Paris, 2009), p. 14

⁷⁹⁶ Ibid.

⁷⁹⁷ The Ministry for Foreign Affairs, *Global Challenges*, p. 57

⁷⁹⁸ Pope, *Confronting Corruption*, p. 237

⁷⁹⁹ Ibid.

⁸⁰⁰ Ibid.

⁸⁰¹ Ibid.

that Sweden's Secrecy Law has 250 exemptions, often due to particular documents of importance.⁸⁰² The 1975 Swedish Constitution gives the right to “freedom of expression, freedom of information, freedom of assembly, freedom to demonstrate, freedom of association, and freedom of worship,” in other words fundamental human rights.⁸⁰³ Nevertheless, there are limitations to the rights provided. National security, public safety and prevention or prosecution of criminal activities are some of the limitations.⁸⁰⁴ Furthermore, economic activities are another limitation.⁸⁰⁵ Yet, it can be discerned that the most amount of freedom of expression and information is given to religious, political, scientific, political and cultural affairs.⁸⁰⁶

Sida has completed its commitments under the IATI. Sweden has been a strong support of the Initiative. Joachim Beijmo from Sida commented that, “transparency is a prerequisite for effective aid. With open data on programs and projects, it is easier for partners and other stakeholders to follow what the different donors are doing and what is working well. This takes accountability to a new level.”⁸⁰⁷ Web-based information has been published and made publicly available, both through Open Aid and through the IATI. Information includes previous, present and future projects and programmes. Additionally, the data is available on the IATI registry. The format of documents on the IATI registry is Application Programming Interface (API).

Swedish International Development Co-operation Agency (Sida)

Sida is the Swedish governmental agency responsible for the deliverance of ODA. The agency has mandate from the Riksdag (Swedish Parliament) to implement Sweden’s Policy for Global Development.⁸⁰⁸ The main objective for Sida is the reduction of poverty in five areas: democracy, equality and human rights, economic development, knowledge, health and social development, sustainable development and peace and security.⁸⁰⁹ Evidence based research has shaped Sida development agenda. In addition, efforts have been made since 2011 to create an open aid system. Data on current projects and programmes have been made publicly available by Sida through an internet service called Openaid.se.

⁸⁰² Pope, *Confronting Corruption*, p. 238

⁸⁰³ *Ibid.*, p. 237

⁸⁰⁴ *Ibid.*

⁸⁰⁵ *Ibid.*

⁸⁰⁶ *Ibid.*

⁸⁰⁷ Swedish International Development Co-operation Agency, “Swedish aid data open and internationally comparable.”

⁸⁰⁸ Swedish International Development Co-operation Agency, “About us: Our mission,” accessed 22/04/2013, <http://www.sida.se/English/About-us/Our-mission/>

⁸⁰⁹ Swedish International Development Co-operation Agency, “About us: Our fields of work,” accessed 22/04/2013, <http://www.sida.se/English/About-us/our-fields-of-work/>

Sida has taken a stance regarding transparency and accountability. In 2011, Gunilla Carlsson, Biståndsminister (Minister responsible for Sida) noted that transparency and accountability would be the new “focus” for Sida.⁸¹⁰ According to Carlsson, “mutual accountability is only possible if transparency is our guiding star and results our foremost ambition.”⁸¹¹ Additionally, she noted that there was a greater need for focus on results.⁸¹² Carlsson viewed past deliverance of ODA as neglectful of results. Importantly, there was also a need for Sweden to receive “value for money” in the deliverance of ODA.⁸¹³

Analysis of Transparency and Accountability within the Swedish International Development Co-operation Agency (Sida)

This section provides an overview of analysis on data collected regarding Sida. The information within this section goes over a scoring system, which assessed the levels of transparency and accountability within Sida. Various elements of transparency and accountability were analysed and divided into four groups. Each group went over an element of transparency and accountability within Sida. Furthermore, figures have been provided for each group. These figures outline the number of points Sida received, the mean score and the standard deviation across all of the development agencies analysed. Notably, Sida received the highest total score out of the four development agencies, with a total of 93.63% across all indicators. Furthermore, out of seventeen indicators, fourteen indicators were given the maximum number of points. Moreover, only one indicator did not receive any points, indicator 3.2 regarding gifts or assets declarations. However, none of the other national development agencies analysed received any points for this particular indicator.

Figure XIV: Indicators 1: Swedish International Development Co-operation Agency (Sida)⁸¹⁴

	Maximum number of points	Score	Mean score across all agencies	Standard deviation of score across all agencies
1.1: Organisational Structure	6	4.5	4.625	0.95
1.2: Main Aid Strategy	6	4	4.75	0.96
1.3: Aid Budget	6	6	5	2.00
1.4: Annual Report	6	6	4.5	3.00

⁸¹⁰ Gunilla Carlsson, “Taking international development into the 21st century- Results, transparency and accountability,” Regeringen, published 7/10/2011, accessed 20/04/2013, <http://www.regeringen.se/sb/d/14187/a/177372>

⁸¹¹ Ibid.

⁸¹² Ibid.

⁸¹³ Ibid.

⁸¹⁴ See Appendix II for more information.

1.5: Financial Report	6	6	1.5	3.00
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For indicators 1, Sida scored above the mean for indicators 1.3, 1.4 and 1.5. However, for indicators 1.1 and 1.2, it scored slightly below the average. For indicator 1.1, some information had been provided regarding the organisational structure of Sida.⁸¹⁵ Points for this indicator were given on the basis of information detailing departments, staff and structure for Sida. Descriptions and roles of four parts of the organisation were provided: the governing board, director general's office, departments and Sida's research committee. Additionally, an organogram displaying the various departments within Sida was available. However, names of any staff were not part of the organogram. Furthermore, no descriptions of the various departments were provided. Nevertheless, the organogram was available in both Swedish and English. Lists of some staff members were available including some contact information. For indicator 1.2 a detailed description was provided by Sida of their main aid strategy. A policy document was made available, which outlined several key development areas.⁸¹⁶ Furthermore, rationale behind allocating aid towards a particular area was given within this document. However, no planned activities were given within the document. For indicators 1.3, 1.4 and 1.5 information was provided through Openaid.se, the Swedish database Open Aid.

Figure XV: Indicators 2: Swedish International Development Co-operation Agency (Sida)⁸¹⁷

	Maximum number of points	Score	Mean score across all agencies	Standard deviation of score across all agencies
2.1: Consultations	3	3	2	1.41
2.2: Public Procurement procedure and tenders	3	3	2	1.41
2.3: Current Contracts	3	3	1.75	1.50
2.4: Grant Application Policy and Procedures	3	3	2	1.41
2.5: Current Grants	3	3	1.25	1.26
2.6: Evaluation Information	3	3	3	0.00

⁸¹⁵ See Appendix V for more information.

⁸¹⁶ Ibid.

⁸¹⁷ See Appendix II for more information.

Sida scored above the mean for indicators 2. The maximum number of points was given for indicators 2.1, 2.2, 2.3, 2.4, 2.5 and 2.6. Several documents were available regarding consultations. For indicator 2.1, information was provided regarding partner co-operation.⁸¹⁸ The documents on partner co-operation outlined how Sweden worked with partners, the role of partner driven co-operation and examples of successful co-operation. Additionally, a database was available to access documents from the consultation process. For indicator 2.2, several documents on procurement procedures were provided. Guidelines for procurements, how procurements work and basic information were made available.⁸¹⁹ Additionally, there was evidence of active procurements. For indicator 2.3, information was available through Openaid.se. Exact details of contracts were made available through Openaid.se.⁸²⁰ Indicator 2.4 touched upon grant application policy and procedures. Sida provided information on grants for private and public institutions.⁸²¹ For indicator 2.5, information on current grants was made available through Openaid.se.⁸²² Indicator 2.6 looked at evaluation reports and evidence of recipient inputs. Several documents were made available regarding evaluation at Sida including manuals and evaluation briefs.⁸²³

Figure XVI: Indicators 3: Swedish International Development Co-operation Agency (Sida)⁸²⁴

	Maximum number of points	Score	Mean score across all agencies	Standard deviation of score across all agencies
3.1: Corruption Risk Assessment	3	3	2	1.41
3.2: Gifts / Assets Declarations	3	0	0	0.00
3.3: Accountability Mechanisms	3	3	1.25	1.50

Sida received the maximum number of points for indicators 3.1 and 3.3. For indicator 3.1, several documents were made available regarding anti-corruption measures.⁸²⁵ An overall explanation of how corruption affected development, anti-corruption legislation and Sida's role against corruption was provided. For indicator 3.3, regarding accountability mechanisms, information relevant to whistle-blowers and complaints was found.⁸²⁶ Information on how fraud or corruption was made

⁸¹⁸ See Appendix V for more information.

⁸¹⁹ Ibid.

⁸²⁰ Ibid.

⁸²¹ Ibid.

⁸²² Ibid.

⁸²³ Ibid.

⁸²⁴ See Appendix II for more information.

⁸²⁵ See Appendix V for more information.

⁸²⁶ Ibid.

available. Additionally, the manner in which personal data was processed after a complaint was also found.

Figure XVII: Indicators 4: Swedish International Development Co-operation Agency (Sida)⁸²⁷

	Maximum number of points	Score	Mean score across all agencies	Standard deviation of score across all agencies
4.1: Country Programmes: Strategy	15	15	10	5.77
4.2: Country Programmes: Projects Information	15	15	11.25	7.50
4.3: Country Programmes: Information on aid via channel	15	15	11.25	7.50

The maximum number of points was awarded to Sida for indicators 4. Furthermore, the development agency scored above the mean for all development agencies. Indicators 4 looked specifically at information available on five recipient nations. Several key documents were made available regarding these countries by Sida.⁸²⁸ For indicator 4.1, the strategy for each country was made available. The documents provided were on the most current strategy for each of the recipient nations. Furthermore, the strategies referred the direction in which the recipient nations wished to take development. For indicator 4.2, information was made available through the strategy papers and Openaid.se.⁸²⁹ Information on activities planned was given through the strategy papers, while the budget for each country was provided through Openaid.se. For indicator 4.3, further information was used from Openaid.se. Openaid.se provided an overview of aid flows for each of the recipient countries. Additional information regarding cooperative efforts was provided through a number of documents.⁸³⁰ Firstly, a brief overview of Sida's work in each country was provided. Secondly, for some nations additional information was made available, particularly if efforts have been made in certain areas. An example of additional information is Vietnam. Several key areas were outlined by Sida in Vietnam including democracy, rule of law, health co-operation, natural resources and trade.

⁸²⁷ See Appendix V for more information.

⁸²⁸ See Appendix II for more information.

⁸²⁹ Ibid.

⁸³⁰ Ibid.

Summary

Sida received the highest amount of points from the transparency and accountability indicators, due to the availability and accessibility of relevant documents. There was a different focus on particular areas of transparency and accountability for each group of indicators. Firstly, indicators 1 looked at Sida's organisational, financial and strategic situation. Sida was given the maximum number of points for indicators 1.2: aid budget, 1.4: annual report and 1.5: financial report. Essentially, information was made available regarding the financial operations of Sida. Secondly, comprehensive information was made available indicators 2. The focus of these indicators was on consultations, procurements, contracts, grants and evaluations. Furthermore, partnership co-operation information was made available. The maximum number of points was given for indicators 2. Thirdly, information on corruption risk assessment and accountability mechanisms was made available. The focus of indicators 3 was on corruption, gifts/assets declarations and whistle-blowing. The maximum number of points was awarded to Sida for indicators 3.1: corruption risk assessment and 3.3: accountability mechanism. Fourthly, detailed and comprehensive information was made available for indicators 4. The focus of indicators 4.1, 4.2, and 4.3 was on recipient country information. Sida had provided detailed information on aid channels, projects and strategies for recipient countries, and was given the maximum number of points for each indicator.

United Kingdom

During the recent financial crisis, the United Kingdom played a key role in maintaining an international focus on poverty reduction.⁸³¹ Importantly, the United Kingdom has focussed upon partnerships as a necessary instrument in the deliverance of ODA. DFID has recently introduced a dedicated department supporting partnerships, the Global Partnerships Department (GPD).⁸³² According to Hannah Ryder, there has a move within United Kingdom development policy objectives from "aid effectiveness" to "development effectiveness."⁸³³ The GPD was created to bring coherence to DFID's aims and objectives.⁸³⁴ The GPD contributed towards policies and priorities at an international level with particular focus on the MDGs.⁸³⁵ The GPD has worked in several areas, particularly with efforts calling for greater policy coherence.⁸³⁶ Moreover, the Department maintains internal and external development objectives. This has meant communication with NGOs, national

⁸³¹ Organisation for Economic Co-operation and Development, *United Kingdom: Development Assistance Committee (DAC) Peer Review* (Paris, 2009), p. 25

⁸³² Hannah Ryder, "The Rise of Development Effectiveness," *The Guardian*, 2013

⁸³³ Ibid.

⁸³⁴ Department for International Development, *Operational Plan 2011-2015: DFID Global Partnerships Department* (United Kingdom, 2012), p. 2

⁸³⁵ Ibid.

⁸³⁶ Ibid., p. 3

agencies and bodies, and international institutions. Firstly, the GPD has developed and maintained relationships with emerging powers and global partners.⁸³⁷ Secondly, the Department has worked together with the OECD DAC to achieve the principles outlined in the Paris Declaration for Aid Effectiveness and the MDGs.⁸³⁸ Thirdly, the department has worked towards greater transparency and accountability.⁸³⁹

Common agendas have been vital to all partnerships. Despite current efforts towards partnerships, the United Kingdom has been criticised for a lack of policy coherence. According to the OECD, the United Kingdom should widen commitments for policy coherence within policy areas and be brought in line with the EU policy coherence for development. Through policy coherence, objectives may be implemented more effectively. Furthermore, United Kingdom government departments should be required to undertake responsibility for relevant areas.

The United Kingdom has supported efforts made by the EU. Nevertheless, the United Kingdom has proved critical of EU development results and programmes. In recent years, the United Kingdom has emphasised the need for “better value for money.”⁸⁴⁰ Moreover, a demonstration of development results and an improvement in transparency have been emphasised.⁸⁴¹ In essence, there has been a perceived need by the United Kingdom for “better outcomes” within the deliverance of EU ODA.⁸⁴² Currently, the United Kingdom has undertaken efforts to perform an audit of EU development aid.⁸⁴³ Moreover, the United Kingdom has maintained a need for reform of EU ODA. Currently, there are negotiations between the EU and the United Kingdom to refocus EU development policy and improve transparency.

Transparency has been high on the United Kingdom global agenda. Prime Minister David Cameron recently highlighted the importance of transparency in statement released for the Group of 8 (G8) Summit. According to Cameron, “[for] the rule of law, the absence of conflict and corruption, and the presence of property rights and strong institutions...transparency and accountability are vital.”⁸⁴⁴

⁸³⁷ Department for International Development, *Operational Plan 2011-2015*, p. 3

⁸³⁸ Ibid.

⁸³⁹ Ibid.

⁸⁴⁰ The National Archives, “The European Union.”

⁸⁴¹ Ibid.

⁸⁴² Ibid.

⁸⁴³ Ibid.

⁸⁴⁴ David Cameron, “Eyes of the world on UK again for G8 summit,” *LinkedIn*, accessed 02/05/2013, <http://www.linkedin.com/today/post/article/20121121130535-146036479-eyes-of-the-world-on-uk-again-for-g8-summit>

In 2010, the United Kingdom Transparency Guarantee was introduced.⁸⁴⁵ According to the Guarantee, clear statements should be made available regarding the exact expenditure of development aid.⁸⁴⁶ Firstly, all financial information has been made available for projects over £500.⁸⁴⁷ Secondly, information regarding new contracts over £10 000 has also been made available.⁸⁴⁸ Furthermore, information should be published regularly. According to DFID, more information has been made available under the Guarantee.⁸⁴⁹

Partners have also been involved under the Guarantee as systems and databases have been created within recipient nations to facilitate access to information to important statistics⁸⁵⁰. Moreover, support for the greater accessibility of information has come from arguments regarding accountability. DFID has argued that with information available citizens of recipient nations may be able to make governments accountable for the use of aid.⁸⁵¹

Since 2011, DFID has also implemented more transparent policies under its obligations from the IATI.⁸⁵² DFID has published information monthly, which meets the IATI standard for detailing projects.⁸⁵³ Additionally, DFID has moved towards accessible and available data by providing project summaries in major local languages of the recipient nation relevant to the project.⁸⁵⁴ Information regarding projects has been made available on both the IATI registry and DFID's website.⁸⁵⁵ Moreover, regional and country papers, reports and reviews have also been made available on the IATI registry.⁸⁵⁶ Notably, this information has been made available Extensible Mark-up Language (XML) format, as it allows for greater usability and can be accessed from browsers.

Importantly, accessibility and availability of information has been part of DFID's commitments. According to DFID, five steps will be taken, in order to create more accessible and available data. The

⁸⁴⁵ Department for International Development, "UK Aid Transparency Guarantee," accessed 20/04/2013, <https://www.gov.uk/government/policies/making-uk-aid-more-open-and-transparent/supporting-pages/uk-aid-transparency-guarantee>

⁸⁴⁶ Ibid.

⁸⁴⁷ Ibid.

⁸⁴⁸ Ibid.

⁸⁴⁹ Ibid.

⁸⁵⁰ Ibid.

⁸⁵¹ Ibid.

⁸⁵² Department for International Development, "Full information/data on DFID aid projects," accessed 20/04/2013, <https://www.gov.uk/government/organisations/department-for-international-development/series/full-information-data-on-dfid-aid-projects>

⁸⁵³ Ibid.

⁸⁵⁴ Ibid.

⁸⁵⁵ International Aid Transparency Initiative, "Department for International Development, United Kingdom," accessed 22/04/2013, <http://www.iatiregistry.org/publisher/dfid>

⁸⁵⁶ Ibid.

first of these steps will be through the establishment of “big data.”⁸⁵⁷ Through “big data,” information will be traced.⁸⁵⁸ Partner co-operation will be essential in implementing this step.⁸⁵⁹ Additionally, the IATI will be used, in order create traceability.⁸⁶⁰ Moreover, this step will provide citizens with information regarding the impact of projects and programmes from DFID.⁸⁶¹ Additionally, further information regarding project details, results, and locations receiving ODA will be made available.⁸⁶² Furthermore, information from partners regarding joint projects and programmes will be linked from DFID.⁸⁶³ Through “big data” more data from DFID research has also been made more accessible.⁸⁶⁴ The second step regarding information will be “my data.”⁸⁶⁵ This step refers to the importance of privacy for United Kingdom citizens. DFID has reassured that large amounts of information are not kept regarding citizens. Nevertheless, this step touches upon the balance need in providing information. Greater accessibility and availability of information does not require a breach of privacy for individuals.

The third step refers to “satisfaction and experience data.”⁸⁶⁶ Information needs to be relevant, not just available and accessible. From citizen participation, information can be uncovered regarding the relevance of particular information. Under the third step DFID will run projects in emerging nations whereby feedback is received by people affected by DFID projects.⁸⁶⁷ Moreover, various forms of media will be utilised, including web-based and social media. A variety of modes of communication have been selected, in order to ensure that citizens of both the United Kingdom and developing nations are engaged. Fourthly, “dynamic information markets” will be created.⁸⁶⁸ DFID promotes the adoption of IATI standards within this step. For DFID the Initiative has proven successful. The fifth step ensures “data quality.” A “Transparency Data Quality Improvement Plan” will be created, in order to ensure information is of a particular standard.⁸⁶⁹

⁸⁵⁷ Department for International Development, *Business Plan 2012-2012* (United Kingdom, 2012), p. 20

⁸⁵⁸ Ibid.

⁸⁵⁹ Ibid.

⁸⁶⁰ Ibid.

⁸⁶¹ Ibid.

⁸⁶² Ibid.

⁸⁶³ Ibid.

⁸⁶⁴ Ibid.

⁸⁶⁵ Ibid.

⁸⁶⁶ Ibid.

⁸⁶⁷ Ibid.

⁸⁶⁸ Ibid.

⁸⁶⁹ Ibid.

Department for International Development (DFID)

DFID was created in 1997, in a pledge to create a dedicated department for development aid.⁸⁷⁰ Previously, ODA had been administered by the Foreign and Commonwealth Office.⁸⁷¹ Since its creation, DFID has focussed on key objectives in the deliverance of ODA. Firstly, development has been given greater attention and support by making “global development a national priority.”⁸⁷² Secondly, the elimination of poverty in developing nations has been at the forefront of decision-making.⁸⁷³ Moreover, “aid relationships” between recipient nations have been fostered.⁸⁷⁴ Parliamentary acts have provided support to the British development agenda, along with bringing transparency to the deliverance of ODA. The first act was the International Development Act 2002, which explained the purpose of ODA in the reduction of ODA.⁸⁷⁵ The second act was the International Development (Reporting and Transparency) Act 2006, which explained the reporting standards required for DFID and focussed on the production of an annual report to Parliament.⁸⁷⁶

Analysis of Transparency and Accountability within the Department for International Development (DFID)

This section goes over the points received by DFID using a scoring system. The system was designed, in order to assess the level of transparency and accountability within organisations. Each indicator has analysed one element of transparency and accountability within DFID. This section goes over each element through four groups of indicators. The information on DFID came primarily from web sources. The figures in the following section provide a brief summary of data collected for indicators 1-4. A figure was created for each group of indicators. The mean and standard deviation have been included in the figures to show how DFID performed against other development agencies. DFID received the second highest total out of the four development agencies analysed. The development agency scored a total of 87.25% across all indicators. Furthermore, consistent levels of information were made available across all indicators. Only two out of seventeen indicators received no points as no information was made available. These were indicators 1.5, which looked at financial reports, and 3.2, which looked at gifts or assets declarations. For twelve of the indicators DFID were given full points.

⁸⁷⁰ The National Archives, “History: The creation of DFID,” accessed 21/04/2013, <http://webarchive.nationalarchives.gov.uk/20130128103201/http://www.dfid.gov.uk/About-us/History/>

⁸⁷¹ Ibid.

⁸⁷² Ibid.

⁸⁷³ Ibid.

⁸⁷⁴ Ibid.

⁸⁷⁵ Ibid.

⁸⁷⁶ Ibid.

Figure XVIII: Indicators 1: Department for International Development (DFID)⁸⁷⁷

	Maximum number of points	Score	Mean score across all agencies	Standard deviation of score across all agencies
1.1: Organisational Structure	6	6	4.625	0.95
1.2: Main Aid Strategy	6	5	4.75	0.96
1.3: Aid Budget	6	6	5	2.00
1.4: Annual Report	6	6	4.5	3.00
1.5: Financial Report	6	0	1.5	3.00

DFID scored above the mean across all of the first indicators, except for indicator 1.5 regarding financial reports. Indicator 1.1 looked at the organisation structure of DFID. Several documents were available, often in more than one format.⁸⁷⁸ For example, an organogram explained the various roles within DFID, and was available in two formats to allow for greater accessibility. For indicator 1.2 which looked at DFID's main aid strategy one document was found. This document outlined a plan for 2012-2015 and gave detail to the criteria for allocating aid, along with future activities. However, no information was made available as to how these decisions were reached. Due to the omission, 5 out of 6 points were given for indicator 1.2. Full points were awarded for indicator 1.3, which looked at DFID's annual report. The annual report and accounts for 2011-2012 was provided. Furthermore, information on how DFID allocated finances was provided. No points were awarded for indicator 1.5, which looked at financial reports, as no documents were found.

Figure XIX: Indicators 2: Department for International Development (DFID)⁸⁷⁹

	Maximum number of points	Score	Mean score across all agencies	Standard deviation of score across all agencies
2.1: Consultations	3	3	2	1.41
2.2: Public Procurement procedure and tenders	3	3	2	1.41
2.3: Current Contracts	3	3	1.75	1.50
2.4: Grant Application Policy and Procedures	3	3	2	1.41
2.5: Current Grants	3	1	1.25	1.26
2.6: Evaluation Information	3	3	3	0.00

⁸⁷⁷ See Appendix II for more information.

⁸⁷⁸ See Appendix VI for more information.

⁸⁷⁹ See Appendix II for more information.

Full points were awarded for indicators 2, except for indicator 2.5 which looked at current contracts. The points for these indicators were above the mean, except for indicator 2.5. For indicator 2.1, three relevant pieces of information were provided.⁸⁸⁰ DFID had divided consultations into two separate categories, closed and open consultations. Furthermore, general information was provided for consultations. For indicator 2.2, looking at public procurements, several documents were found.⁸⁸¹ The general role of procurements, procurement transparency, procurement goods and equipment and the procurement complaints procedure were explained. Furthermore, a digital strategy for 2012-2015 regarding transactional services was found related to procurements. For indicator 2.3, which looked at current contracts, a contract database was given through the National Archives (the official archive of the UK government).⁸⁸² The relevant information regarding each contract was made available. For indicator 2.4, regarding grant application policy and procedures, information was broken down for each relevant partner.⁸⁸³ Information was provided for; conflict and humanitarian funding, educational institutions, individuals, local authorities, media, partnerships, closed funds, not-for-profit organisations, businesses and countries and regions. Moreover, information on general funding opportunities was made available by DFID. Only one point was given to indicator 2.5, regarding current grants, as only some information was found.⁸⁸⁴ Details of current grants had been made available within an annex. However, the actual evaluation of these grants was not available.⁸⁸⁵ For indicator 2.6, regarding evaluation information, full points were awarded. Clear information was provided within the DFID results framework, and there was evidence of systematic evaluation.

Figure XX: Indicators 3: Department for International Development (DFID)⁸⁸⁶

	Maximum number of points	Score	Mean score across all agencies	Standard deviation of score across all agencies
3.1: Corruption Risk Assessment	3	3	2	1.41
3.2: Gifts / Assets Declarations	3	0	0	0.00
3.3: Accountability Mechanisms	3	2	1.25	1.50

⁸⁸⁰ See Appendix VI for more information.

⁸⁸¹ Ibid.

⁸⁸² Ibid.

⁸⁸³ Ibid.

⁸⁸⁴ Ibid.

⁸⁸⁵ Ibid.

⁸⁸⁶ See Appendix II for more information.

DFID received a range of points for indicators 3. However, no points were awarded for indicator 3.2. Nevertheless, DFID scored above the mean for indicators 3.1 and 3.2. DFID received the maximum number of points for indicator 3.1 which looked at corruption risk assessment. Clear and thorough information was provided regarding fraud.⁸⁸⁷ Furthermore, there was evidence of reports on corruption. Indicator 3.3 touched upon mechanisms needed for whistle-blowing. The particular accountability mechanism analysed for indicator 3.3 required a presence of information, which handled complaints. DFID was given two points for indicator 3.3 as information on practices that dealt with complaints and whistle-blowing was provided.⁸⁸⁸ However, no actual information on instances of whistle-blowing was given.

Figure XXI: Indicators 4: Department for International Development (DFID)⁸⁸⁹

	Maximum number of points	Score	Mean score across all agencies	Standard deviation of score across all agencies
4.1: Country Programmes: Strategy	15	15	10	5.77
4.2: Country Programmes: Projects Information	15	15	11.25	7.50
4.3: Country Programmes: Information on aid via channel	15	15	11.25	7.50

DFID received the maximum number of points for indicators 4, as comprehensive information was made available regarding recipient country programmes. Unlike the previous indicators, indicators 4 referred explicitly to recipient partners. Information on five partners was required, in order to receive the maximum amount of points. For indicator 4.1, a strategy was made available for each of the five recipient nations analysed.⁸⁹⁰ These strategies were labelled as operational plans and were for the period between 2011 and 2015. Furthermore, references to the recipient countries' strategy were made within the operational plans. For indicators 4.2 and 4.3, regarding information on aid modalities and project information, a database was made available.⁸⁹¹ Projects for the relevant recipient countries could be found. However, for indicator 4.2, the overall budget for projects was provided separately within an overview of each of the recipient nations.

⁸⁸⁷ See Appendix VI for more information.

⁸⁸⁸ Ibid.

⁸⁸⁹ See Appendix II for more information.

⁸⁹⁰ See Appendix VI for more information.

⁸⁹¹ Ibid.

Summary

A vast amount of information was made available by DFID, which resulted in relatively high scores for the transparency and accountability indicators. Most of the first group of indicators received the maximum number of points and were above the average for other development agencies. The focus of indicators 1.1, 1.2, 1.3, 1.4 and 1.5 was the overall structure, strategy and financial situation of DFID. Several documents were made available, which clarified the way in which DFID operated. The second group of indicators focussed on how development aid was distributed within contracts and evaluation. Additionally, policies, evaluation and procurements were part of indicators 2. DFID was given the maximum number of points for indicators 2.1: consultations, 2.2: public procurement procedure and tenders, 2.3: current contracts, 2.4: grant application policy and procedures and 2.6: evaluation methods. For the third group of indicators there was focus on corruption, whistle-blowing and declaration of gifts and assets. Importantly, information was made available regarding how corruption was treated by DFID and whistle-blowing procedures. The fourth group of indicators looked particularly at information on recipient nations. The role of partnerships and the ways in which aid would be delivered to five recipient nations was clearly explained. Full marks were given for indicators 4, which looked at recipient nation strategies, projects and aid channels.

Conclusion

This chapter explored the complexities of the concepts of mutual accountability, transparency, partnership and co-operation. Furthermore, the intricate relationship between mutual accountability and partnership was explored. Importantly, a form of partnership may need to exist for transparency and accountability to occur within development aid. This was due to need of co-operation when creating responsibility and accessibility of information. The role of co-operation and transparency has been explored in greater detail through an exploration of Sweden, United Kingdom, Germany and the EU. A brief overview of co-operation and policy coherence between EU Member States and the EU has been provided. Furthermore, the role of transparency, particularly the IATI in the deliverance of ODA for the EU, Germany, Sweden and the United Kingdom has been explored. National and EU level guarantees have also been explored, when applicable. A brief overview of each of the development agencies for the respective EU Member State and the EU has been provided. After each overview, a detailed analysis of various aspects of transparency and accountability has been given. The analysis has been taken from indicators of transparency and accountability, which explore certain elements related to transparency and accountability. Essentially, the indicators have been grouped into four. The first group looked specifically at organisational and financial elements of the development agency. The second group touched upon ways in which aid is distributed and evaluated. The third group looked at corruption and

accountability mechanisms. The fourth group was related to the recipient nations and the types of information available on recipient nations from the development agencies. From the scores found, Sida had the highest level of transparency and accountability, while BMZ had the lowest level. Nevertheless, DFID received a relatively overall score, while EuropeAid received a modest score.

Conclusion

Thesis Summary

This research explored several areas of study: the concepts of transparency and accountability, the theoretical foundations within development and integration theories, and transparency and accountability in practice through the cases of Sweden, United Kingdom, Germany and the EU. From a consideration of the concepts, a relationship was uncovered between accessibility of information and transparency. Other relationships included the role of institutions in creating accountability. Furthermore, partnerships and co-operation created need for transparency and accountability as foundations for trust and responsibility. As the EU has moved towards integration, the need for these concepts has deepened. Through an analysis of transparency and accountability within Swedish, British, German and European Union development agencies, a variation in levels was uncovered. The implementation of transparency and accountability was at various stages within these agencies. Furthermore, there were criticisms of the concepts, as they have been viewed as difficult to operationalise.

Within *Chapter 1: Transparency and Accountability*, elements of transparency and accountability were explored. Firstly, a literature review of the concepts, their role in language and presence within EU development policy, allowed for an understanding into previous research. Furthermore, scholarly perspectives on the concepts of transparency and accountability and their usage within institutions were examined within the literature review. An international legal framework for understanding transparency and accountability was examined. Several legal documents were referred to, including *the Universal Declaration of Human Rights, the Convention for the Protection of Human Rights and Fundamental Freedoms, the Paris Declaration on Aid Effectiveness, Accra Agenda for Action, and Busan Partnership for Effective Development Co-operation*. The legal framework supported the creation of the IATI. The Initiative provided a common registry and format for documents in the deliverance of ODA. Signatories of the Initiative included the EU, Sweden, United Kingdom and Germany. Essentially, through common practice, transparency could be created. The concept transparency was provided through its relationship with good governance and access to information. In addition, accountability mechanisms were explained. Furthermore, accountability through citizen participation was explored. *Chapter 1* provided the fundamental basis for understanding the concepts of transparency and accountability.

Chapter 2: Theoretical Framework provided an understanding into theoretical perspectives through a multi-layered framework. Importantly, the concepts of transparency and accountability were not organic to any particular theory. A multi-layered approach was taken through an exploration of

integration and development theories. A literature review of development and integration theories allowed for an overview of the theoretical background. Central arguments emerged pertaining to development theories, yet the primary role of the theories was to eliminate poverty. Integration theories focussed upon the decision-making, interactions and processes within the EU and EU Member States. Following the literature review an in-depth analysis of development theories was divided into dependency and modernisation theories. Dependency theories brought attention to the concepts of good governance and joint partnership. Within the exploration of theories, the grassroots approach allowed for the organic creation of accountability. Notably, development theories have been critical of the deliverance of ODA, resulting for the need for greater aid effectiveness. Transparency and accountability may bring about processes in the deliverance of ODA, which may allow for greater partnership and co-operation. Integration theories were used to explain policy coherence for aid effectiveness between EU Member States and the EU. Particular concepts have emerged in integration theories, such as “spillover” within neofunctionalism and “bargaining” within LI that explain a degree of co-operation. Other theories such as those that focussed upon governance approaches necessitate mechanisms within institutions, leading to greater accountability. As none of the theories in this chapter were initially designed with transparency and accountability in mind, only through the multi-layered framework approach, were the roles of the concepts explained.

Chapter 3: Methodology provided methodological stance, approach and methods, in order to uncover the operational nature of transparency and accountability. Three methods triangulated the research, content analysis, case study approach and the archival method. Furthermore, both quantitative and qualitative research approaches were employed as transparency and accountability were viewed as complex concepts, which could be analysed from various perspectives. Through the use of qualitative and quantitative research approaches, a detailed picture was formed of transparency and accountability. Additionally, descriptive statistics provided evidence that allowed for comparison between three EU Member States and the EU. The three methods employed within this research provided a fundamental basis for understanding. Four cases were selected and analysed in greater detail, to represent large donors of ODA and signatories of the IATI. A points-scoring system was used as part of content analysis of primary data collected through information made available by EuropeAid, BMZ, Sida and DFID, the respective development agencies for the EU, Germany, Sweden and the United Kingdom. The archival method allowed for primary and secondary data to be collected partnerships and co-operation. The development agencies provided insight into transparency and accountability in practice.

Chapter 4: Transparency and Accountability explored the operational necessities of transparency and accountability. An intricate relationship between mutual accountability, partnership and co-operation was uncovered, in order to understand policy coherence and aid effectiveness. Importantly, partnerships may require a level of transparency and accountability, in order to support co-operative efforts between recipients and donors. The role of the IATI in the deliverance of ODA for the EU and three EU Member States was explored. Additional guarantees were created by some of the cases, particularly the EU and the United Kingdom, which supported greater transparency. A brief overview of each of the development agencies for the EU, Germany, Sweden and United Kingdom provided a background to their role and purpose in delivering ODA. An analysis of various aspects of transparency and accountability provided a detailed overview of the concepts in practice. Indicators had been applied to find the various levels of transparency and accountability. These indicators were divided into four groups which touched upon; the organisational and financial elements, corruption and accountability mechanisms, evaluation and distribution of ODA and information on recipient nations. For each indicator, points were given to each development agency. There was a variation in the number of points for each development agency, which showed that transparency and accountability have yet to be fully implemented. Furthermore, large donors of ODA have not been consistent in their levels of transparency and accountability. Nevertheless, the highest level of transparency and accountability came from the Swedish development agency, while the German development agency, BMZ had the lowest level. Furthermore, the British development agency, DFID received a relatively high overall score. Importantly, EuropeAid, the Directorate-General responsible for development aid received a modest score. The points were not indicative of policy coherence between the EU and EU Member States, as there was such a large variation between the development agencies.

Research Questions

This research was created with a main research question and five sub-questions in mind. These questions were posed around accountability and transparency of EU ODA. It was with a primary research objective that this thesis was conducted. This section of the thesis conclusion re-considers the primary research question and five sub-questions, in order to summarise the findings of this research. Additionally, the section explores the ways in which the questions were answered throughout the research, through various chapters. *Chapter 1: Transparency and Accountability* and *Chapter 4: Transparency and Accountability* were especially relevant in answering particular elements of the primary research question.

Central to the exploration of the research phenomenon have been the concepts of transparency and accountability. These concepts were particularly relevant within the primary research question which was: *To what extent do public management frameworks at EU levels require transparency and accountability in the administration of EU ODA activities? How do these public management frameworks compare to those of EU Member States'?* The first chapter within this thesis looked at the ways in which transparency and accountability could be interpreted. Moreover, the chapter introduced the concepts central to the research phenomenon and primary research question. Firstly, a review of the concepts provided academic and historical background to the concepts. Secondly, the concept of transparency was explored in greater detail, through its relevance in creating good governance and countering corruption. Moreover, the role of transparency to the accessibility of information was explored. Thirdly, the concept of accountability was explored. The various forms of accountability included, whistle-blowing and public, political, legal and administrative accountability. The various ways in which transparency and accountability operated, provided an explanation of the role and requirements needed within public management frameworks.

Importantly, sub-questions were created as tools that would be used to address elements of the central research question. The first two sub-questions touched upon the notion of public management frameworks. The first sub-question looked at EU public management frameworks: *What are the EU public management frameworks regarding the administration of ODA?* Within *Chapter 4: Transparency in Practice* the role of the EU was considered. Moreover, the systems in place to create transparency and accountability were addressed. The complex relationship within public management frameworks was explored through an analysis of the role of the EU transparency guarantee and policy coherence for development. The second sub-question looked at the EU Member States' public management frameworks: *What are the Member States' public management frameworks regarding the administration of ODA?* *Chapter 4* examined the management of national development agencies, DFID, Sida and BMZ. These development agencies had their own processes in place to deliver and administer ODA.

Purpose was an integral element to the relevance of particular concepts. The third sub-question addressed the issue of purpose: *What is the purpose of the requirements for transparency and accountability?* *Chapter 2: Theoretical Overview* outlined the historical and academic evolution of integration and development theories. Development aid has often been criticised for a lack of efficiency from both dependency and modernisation theorists. Through an exploration of theories, particular issues were identified. Furthermore, integration theories may prove a need for greater policy coherence within deliverance of ODA, in order to create aid effectiveness. As EU

Member States have moved closer together, a need has emerged to create common policies. Transparency and accountability may be viewed as elements of aid effectiveness and essential in creating common purpose. With the accessibility and availability of information co-operation may occur between partners. *Chapter 4: Transparency and Accountability in Practice* explained the role of partnerships. With efforts to create partnerships between various actors involved with the deliverance of ODA, equal information may be necessary. The concept of transparency encompassed the availability and accessibility of information. Nevertheless, criticisms of the difficulty in operationalising transparency and accountability were discussed in *Chapter 4*. Additionally, *Chapter 1: Transparency and Accountability* further elaborated upon the details of the concepts.

Whether transparency and accountability were present in the administration of ODA may have depended upon how the actors behaved. The fourth sub-question posed was: *What level of ODA administration is shared between the EU and EU Member States?* This question was primarily answered within *Chapter 4: Transparency and Accountability in Practice*. The influence of the EU on EU Member States was explored within the scope of policy coherence and co-operation. The interactions between the EU and Sweden, Germany and the United Kingdom were at the focus. The United Kingdom proved critical of the EU, and was performing an audit of EU development aid. However, EU Member States such as Germany were highly supportive of efforts made by the EU. Notably, Germany received the lowest number of points, while analysing levels of transparency and accountability within the German development agency, while the United Kingdom received a relatively high number of points. The co-operation between the EU and EU Member States may not be related to the levels transparency and accountability found in the deliverance of ODA.

The fifth sub-question addressed the role of the international standards and requirements for transparency and accountability within the deliverance of ODA: *What is the international legal framework supporting transparency and accountability within the deliverance of ODA?* This sub-question looked at various legal requirements for transparency and accountability initiative, as well as supportive efforts. Within *Chapter 1: Transparency and Accountability* the international legal framework for transparency and accountability was addressed. The relationship between several legal documents with transparency and accountability were explained. The freedom of information within the *Universal Declaration of Human Rights* and the *Convention for the Protection of Human Rights and Fundamental Freedoms* allowed for legal provisions for accessibility and availability of information. Transparency was viewed as a part of accessibility and availability of information within *Chapter 4*. Additionally, the appearance of transparency and accountability within *the Paris*

Declaration for Aid Effectiveness, Accra Agenda for Action, and Busan Partnership for Effective Development Co-operation, provided purpose.

The primary research question played a vital role in supporting this thesis. Through each sub-question an element of the research phenomenon was divulged. By re-examining the research question and sub-questions, the researcher argued that transparency and accountability were relevant concepts to the deliverance of ODA. However, these concepts may remain rhetoric for some EU Member States, as there was a diverse range in the levels of transparency and accountability in the deliverance of ODA for development agencies. Furthermore, criticisms of transparency and accountability cannot be ignored. The concepts must be operationalised, in order to be effective. Nevertheless, there remains a purpose behind the presence of transparency and accountability. With efforts to move towards co-operation and partnerships by the EU and EU Member States, the transparency of information, through availability and accessibility, may ease the process.

Discussion of Theories

Within this research, a range of theories have been applied. This section reviews the theories explored, and implications on the case studies. Integration theories were discussed within *Chapter 3: Theoretical Overview*; the relevance of such theories is examined here. Although three of the case studies selected were EU Member States, there may not be any integration within the area of transparency and accountability. The results from the transparency and accountability indicators show a range of results for each case study. Nevertheless, the results of this research show the need for joint partnership and co-operation between recipients and donors. Dependency theories have been particularly relevant within this area. Moreover, this research has affirmed the need for the grassroots approach, which appeared from dependency theories. Nevertheless, this research has taken a novel stance in revising the grassroots approach, through the use of an external actor as a guide, such as the IATI.

Integration theories could have been seen as part of the fabric of this research, due to the nature of the case studies. The four case studies consisted of three EU Member States and the EU. It seemed appropriate that a form of integration may have occurred regarding transparency and accountability. Nevertheless, the EU has not set a standard for transparency and accountability. Although the EU has created the EU Transparency Guarantee, this does not extend to EU Member States. EU Member States have retained full sovereignty over the issue of transparency and accountability. Furthermore, the results from the transparency and accountability indicators

regarding the EU have not reflected the results from EU Member States. Notably, integration did not occur within the case studies of the United Kingdom, Sweden and Germany.

Dependency theories have been particularly useful for the case studies within this research. With each case studied within this research, a different result was given from the transparency and accountability indicators. Sweden received the highest points from the indicators, yet used co-operative efforts to achieve transparent results. Additionally, DFID received a high score, and used “aid relationships” with recipient nations.⁸⁹² According to Sida, co-operative efforts have been made with several Swedish government agencies, civil society, international bodies, and citizens of emerging nations.⁸⁹³ Dependency theories have affirmed the need for joint partnership in the deliverance of ODA. Using the case studies of Sweden and United Kingdom, joint partnerships may also be necessary, in order to create transparency and accountability. The case studies confirm this notion from dependency theories.

This research revises the grassroots approach, in the creation of transparency and accountability at national and EU levels. This approach was initially created with the need of local level support in developing nations. Yet, this research has been focussed on donor nations. In order to apply this approach to this research, the level of support had to come from both citizens and national governments of donor nations. The case studies explored within this research may support arguments for the grassroots approach. In order for transparency and accountability to occur, there must be national support from citizens and leaders. Strong support was provided from national leaders in both Sweden and the United Kingdom. Both British Prime Minister David Cameron and Gunilla Carlsson, Biståndsminister (Minister responsible for Sida) stated their support for transparency and accountability.⁸⁹⁴ This support illustrated the need for a national framework, in order to create transparency and accountability. Furthermore, transparency and accountability may occur through local level support, rather than support from the EU. National actors may be more relevant than external actors. Nevertheless, information was available on the IATI registry from both Sida and DFID.

Although the grassroots approach is relevant to this research, modifications are required. The IATI was an important actor within this research. However, they were an external actor, which required local support. An IATI standard must be in place, in order to create consistent results. Both

⁸⁹² The National Archives, “History: The creation of DFID.”

⁸⁹³ Swedish International Development Co-operation Agency, “How we operate.”

⁸⁹⁴ Gunilla Carlsson, “Taking international development into the 21st century- Results, transparency and accountability.”

David Cameron, “Eyes of the world on UK again for G8 summit.”

international and national efforts are required for transparency and accountability. However, the grassroots approach only calls for local level support. Modifications to the approach should be in place for transparency and accountability to occur in certain circumstances, in order to create consistency. The modification to the approach should accommodate for an external actor as a guide. Within this research, the external actor provides guidelines that may only be implemented through local level support. Importantly, the results of this research have shown the importance of a modified grassroots approach. Through a modified grassroots approach, there may be more effective deliverance of ODA. National efforts for transparency and accountability are vital, yet international standards may create consistency.

Chapter 3: Theoretical Overview touched upon a range of theories relevant to integration and development. Integration was not seen in the results of this research, nevertheless integration theories may be relevant, if the EU Transparency Guarantee was to extend to EU Member States. It is possible that this may occur in the future, however it did not occur in the time period studied. Development theories have been relevant to this research, and dependency theories have supported the concept of partnership necessary in the creation of transparency and accountability. A modified grassroots approach may allow for a better understanding of transparency and accountability. Nevertheless, the grassroots approach was not designed with transparency and accountability in mind. Various actors are necessary in creating consistency within the deliverance of ODA, however local level support is essential. The application of the grassroots approach within this research is relevant to current discourse regarding aid effectiveness. Through a modified approach greater consistency can occur. Moreover, the grassroots approach could be applied to donor nations in future research.

Limitations

The researcher wishes to acknowledge some of the limitations of this thesis within this section. Despite attempts to address the research phenomenon in entirety, there remain limitations within this thesis. This section addresses the limitations of this thesis, and address possible reasons for these limitations. The choice of case studies has been acknowledged as the first limitation. The use of a point-scoring system has been considered as the second limitation. Importantly, transparency and accountability have been criticised as difficult to quantify. The third limitation refers to the restricted nature of this research. Related concepts to transparency and accountability have only been briefly mentioned, although they may also increase aid effectiveness. Furthermore, transparency and accountability have been introduced within the international development agenda

alongside other concepts, which could have been divulged in greater detail. Nevertheless, these were viewed as related concepts, not the focus of this research.

Donor nations were selected within this thesis as case studies. However, recipient nations could have been considered, which may have yielded different results. Sweden, Germany, United Kingdom and the EU were chosen as they were signatories of the IATI and large donors of ODA. However, case studies for recipient nations may show different levels of transparency and accountability.

Additionally, nations, which were not signatories, could have also been selected, in order to uncover the differences commitments to the IATI would have made. Case studies of smaller donor nations within the EU may have also changed the results. Furthermore, as only four cases were selected, so there was a relatively small sample size. It should be acknowledged that the sample size reduced validity. With greater data there may be varied levels of transparency and accountability.

Additionally, the cases have been restricted to the EU, although transparency and accountability remain concepts on the global agenda. With the selection of other donor or recipient countries, the results and conclusions within this thesis may have differed. If other regions had been studied, the levels of transparency and accountability may have differed. The EU Member States and the EU have been selected to represent only large donor nations within the European region.

The content analysis within this research was conducted with the use of a point scoring system. Transparency and accountability have been concepts, which have been previously criticised as difficult to quantify. Nevertheless, there was an attempt within this research to show the levels of transparency and accountability through a system, which provided a value to each element of transparency and accountability. Moreover, there were limitations in the use of a scoring system. Information changed constantly. The scores were only indicative of one month. In essence, the data only provided a snapshot of transparency and accountability. Furthermore, there may be other ways in which the data may be interpreted and used. The points were given with the researcher's discretion. Nevertheless, the points were allocated based on the availability and accessibility of comprehensive and detailed information.

The thesis has been limited to the concepts mentioned. Though there may be other concepts related to transparency and accountability. Not all concepts related to transparency and accountability have been discussed, as a decision was made by the researcher to restrict the research. Some of the concepts related may only have been briefly mentioned. These concepts have been mentioned particularly in the *Paris Declaration for Aid Effectiveness*, and include aid harmonisation and ownership of development aid. Though these concepts are related to the overall aid effectiveness of development aid, they are not directly relevant to transparency and accountability.

Future Research

This thesis touched briefly upon issues, which pierce deeply into the heart of policy discourse. There remains a need for research within the area of transparency and accountability. Moreover, the concepts pertained to an area in the deliverance of ODA, which is ever-changing. As nations move towards more transparent systems and processes in the deliverance of ODA, the relevance of the concepts may change. Furthermore, other case studies using national development agencies may shed greater light on the levels of transparency and accountability across donor and recipient nations.

The future of the IATI remains uncertain, as it remains a relatively new body. The direction in which the Initiative takes remains unknown. Nevertheless, without appropriate recognition or publicity the IATI may lose relevance. Information made available through the IATI registry must also be accessible to partners. This may hold technological and internet access issues. Knowledge regarding the IATI remains limited, as partners must first know of the IATI's existence. Nevertheless, future research is required into the role of the IATI. This thesis only briefly touched over the IATI, and co-operation between development agencies. With further development and progression of the Initiative and more information to be made available, structures and agreements may change. The relevance of such bodies has yet to be acknowledged by many scholars. If transparency and accountability are to be concepts used in future policy agenda setting, it is only appropriate to further understand the bodies, which support them.

This research has looked at transparency and accountability from the perspective of donors rather than recipients. The concept of mutual accountability has only been addressed from the responsibilities of donors. Nevertheless, recipient responsibilities are of great importance. Future research is necessary in mutual accountability of both partners. The concept of mutual accountability has been addressed in the *Paris Declaration for Aid Effectiveness*. Yet, academic research needs to be conducted regarding the implications of mutual accountability on recipients and donors. Further case study research could be conducted into other development agencies or recipient nations. Another manner to look at the case studies is through the internal co-operation of accountability mechanisms. Essentially, accountability mechanisms may be external or internal and exist in the form of institutions. This research has focussed upon development agencies. However, there may be co-operation between the development agencies and other national institutions, which bring about greater transparency and accountability. Further examination into operations between bodies may further elucidate the levels of transparency and accountability within a particular country.

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Appendices

Appendix I: Indicators for aid transparency monitoring

Indicator	Criteria	Points
1.1: Organisational Structure		
• Information on Organisational structure		
	List of departments and full descriptions	2
	Organogram or otherwise clear explanation of structures and roles of different parts of the organisation	2
	Staff Directory	2
Sub-total		6
1.2: Main Aid Strategy		
• Current Main Strategy document		
	Description of strategy and planned activities	2
	Information on how decisions were taken to arrive at strategy	1
	Criteria for allocating aid within the strategy	1
	Detailed planned activities for the upcoming year by country/sector/modality	2
Sub-total		6
1.3: Aid Budget		
• Budget for the strategy period and/or on an annual basis.		

	Detailed budget available as opposed to overall figures	2
	Details by sector / channel	1
	Aid by country	2
	Budget broken down into aid flows by the kind of aid (modalities)	1
Sub-total		6
1.4: Annual Report		
• Annual Report (2011-2012)		
	Narrative reports on what was done	1
	Comprehensive reporting on countries of activity and what was done	2
	Reporting on sectors / channels / modalities	2
	Evaluations of the effectiveness of aid funds disbursed	1
Sub-total		6
1.5: Financial Report		
• Report on previous year's budget spending.		
	Existence of report on expenditure	1
	Detail to regional spending levels	1
	Detail of sectorial spending	1
	Detail of modality and channel = programme, project	1
	Detail by country	1
	Detail by projects	1
Sub-total		6

2.1: Consultations		
	Clear link to information on consultations and/or participation.	1
	Detail on approach to consultations and on how it will feed into project cycles	1
	Publication of documents from consultation process.	1
Sub-total		3
2.2: Public Procurement procedure and tenders		
• Information on procurement procedures		
	Information on policies and procedures for public procurement	2
	Publication of open and closed tenders	1
Sub-total		3
2.3: Current Contracts		
• Information on procurement procedures		
	Actual contracts made available	1
	Reporting on contracts	1
	Information on contractors and sub-contracting agents	1
Sub-total		3
2.4. Grant Application Policy and Procedures		
• Information on grants		

(related to project aid and other grants to civil society groups)		
	Policy on grant-making and the publication of grant details	1
	Information on how organisations can apply for grants, including time-frames	1
	Criteria for awarding grants and information about how decisions are made	1
Sub-total		3
2.5: Current Grants		
• Information on grants		
	Reporting on grants	1
	Details on current grants made, including names and dates	1
	Evaluation of current grants made, including submissions from recipients	1
Sub-total		3
2.6: Evaluation Information		
• Evaluation reports		
	Evidence of systematic evaluation	up to 2 points
	Evidence of input or submissions of recipient countries and any relevant programme/project implementing partners	1
Sub-total		3
3.1: Corruption Risk Assessment		

• Corruption Risk Assessment		
	Information on the policies and practices to prevent corruption	2
	Reports on assessment of risks of corruption related to the institution's activities	1
Sub-total		3
3.2: Gifts / Assets Declarations		
• Declarations of individuals (and institutions)		
	Assets declarations of key individuals	1
	Gifts policies, gifts registers, assets declarations of institutions and any other expense declarations	2
Sub-total		3
3.3: Accountability Mechanisms		
• Complaints/ Whistle-blowers		
• Mechanisms and protection in complaints procedures		
	Information about mechanisms for raising concerns about illegal, fraudulent or corrupt practices	1
	Including information on the protection offered to whistle-blowers	1
	Data on complaints or allegations of corruption received, and whether these complaints came from public employees, NGO, bidders/contractors, or members of the public. Data on investigations carried out and their outcomes.	1
Sub-total		3

4.1: Country Programmes: Strategy		
• Strategy		
	Strategy for activities in the country	1
	Information on which aid modality(s) being used	1
	References to the country's own strategy	1
Sub-total		15
4.2: Country Programmes: Projects Information		
• Information on actual activities in the country and budgets		
	Information on activities planned	2
	Budget for activities in country	1
Sub-total		15
4.3: Country Programmes: Information on aid via channel		
• Information about co- operation with other bi- and multi-lateral		
	Information on aid flows by channel	2
	Information on work alongside other donors and policies for co- operation in this work where applicable	1
Sub-total		15
TOTAL		

Appendix II: Scores from all indicators including standard deviation and mean

	United Kingdom	Sweden	Germany	European Union	Mean	Standard Deviation
1.1: Organisational Structure	6	4.5	4	4	4.625	0.95
1.2: Main Aid Strategy	5	4	4	6	4.75	0.96
1.3: Aid Budget	6	6	2	6	5	2.00
1.4: Annual Report	6	6	0	6	4.5	3.00
1.5: Financial Report	0	6	0	0	1.5	3.00
2.1: Consultations	3	3	0	2	2	1.41
2.2: Public Procurement procedure and tenders	3	2	0	2	1.75	1.26
2.3: Current Contracts	3	3	0	1	1.75	1.50
2.4: Grant Application Policy and Procedures	3	3	0	2	2	1.41
2.5: Current Grants	1	3	0	1	1.25	1.26
2.6: Evaluation Information	3	3	3	3	3	0.00
3.1: Corruption Risk Assessment	3	3	2	0	2	1.41
3.2: Gifts / Assets Declarations	0	0	0	0	0	0.00
3.3: Accountability Mechanisms	2	3	0	0	1.25	1.50
4.1: Country Programmes: Strategy	15	15	4	5	10	5.77
4.2: Country Programmes: Projects Information	15	15	0	15	11.25	7.50

4.3: Country Programmes: Information on aid via channel	15	15	0	15	11.25	7.50
Total	89	95.5	20	69		
Total (Percentage)	87.25%	93.63%	19.61%	67.65%		

document									
Description of strategy and planned activities	2	Agenda for Change	N/A	N/A	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/what/development-policies/agenda-for-change/agenda_for_change_en.htm	2
		Increasing the impact of EU Development Policy: an Agenda for Change	13/10/2011	N/A	European Commission: EuropeAid	PDF	18/02/2013	http://ec.europa.eu/europeaid/what/development-policies/documents/agenda_for_change_en.pdf	
		The European Consensus on Development	N/A	17/09/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/what/development-policies/european-consensus/index_en.htm	
		The European Consensus on Development	24/02/2006	N/A	European Commission: EuropeAid	PDF	18/02/2013	http://ec.europa.eu/development/icenter/repository/european_consensus_2005_en.pdf	
Information on how decisions were taken to arrive at strategy	1	Agenda for Change	N/A	N/A	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/what/development-policies/agenda-for-change/agenda_for_change_en.htm	1

		Increasing the impact of EU Development Policy: an Agenda for Change	13/10/2011	N/A	European Commission: EuropeAid	PDF	18/02/2013	http://ec.europa.eu/europeaid/what/development-policies/documents/agenda_for_change_en.pdf	
		The European Consensus on Development	N/A	17/09/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/what/development-policies/european-consensus/index_en.htm	
		The European Consensus on Development	24/02/2006	N/A	European Commission: EuropeAid	PDF	18/02/2013	http://ec.europa.eu/development/icenter/repository/european_consensus_2005_en.pdf	
Criteria for allocating aid within the strategy	1	Agenda for Change	N/A	N/A	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/what/development-policies/agenda-for-change/agenda_for_change_en.htm	1
		Increasing the impact of EU Development Policy: an Agenda for Change	13/10/2011	N/A	European Commission: EuropeAid	PDF	18/02/2013	http://ec.europa.eu/europeaid/what/development-policies/documents/agenda_for_change_en.pdf	
		The European Consensus on Development	N/A	17/09/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/what/development-policies/european-consensus/index_en.htm	

								htm	
		The European Consensus on Development	24/02/2006	N/A	European Commission: EuropeAid	PDF	18/02/2013	http://ec.europa.eu/development/icenter/repository/european_consensus_2005_en.pdf	
Detailed planned activities for the upcoming year by country/sector/modality	2	Agenda for Change	N/A	17/09/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/what/development-policies/agenda-for-change/agenda_for_change_en.htm	2
		Increasing the impact of EU Development Policy: an Agenda for Change	13/10/2011	N/A	European Commission: EuropeAid	PDF	18/02/2013	http://ec.europa.eu/europeaid/what/development-policies/documents/agenda_for_change_en.pdf	
		The European Consensus on Development	N/A	17/09/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/what/development-policies/european-consensus/index_en.htm	
		The European Consensus on Development	24/02/2006	N/A	European Commission: EuropeAid	PDF	18/02/2013	http://ec.europa.eu/development/icenter/repository/european_consensus_2005_en.pdf	

Sub-total	6								6
1.3: Aid Budget									
• Budget for the strategy period and/or on an annual basis.									
Detailed budget available as opposed to overall figures	2	EU budget and external co-operation	N/A	6/02/2013	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/how/finance/mff/eu-budget_en.htm	2
		Myths and facts about EU budget and external co-operation: Financial instruments for development	N/A	17/02/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/how/finance/mff/myths-eu-budget_financial-instruments_en.htm	
		Thematic instruments and programmes	N/A	17/02/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/how/finance/thematic_en.htm	
		Geographic instruments	N/A	17/02/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/how/finance/geographic_en.htm	
Details by sector / channel	1	EU budget and external co-operation	N/A	6/02/2013	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/how/finance/mff/eu-budget_en.htm	1

		Myths and facts about EU budget and external co-operation: Financial instruments for development	N/A	17/02/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/how/finance/mff/myths-eu-budget_financial-instruments_en.htm	
		Thematic instruments and programmes	N/A	17/02/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/how/finance/thematic_en.htm	
		Geographic instruments	N/A	17/02/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/how/finance/geographic_en.htm	
Aid by country	2	EU budget and external co-operation	N/A	6/02/2013	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/how/finance/mff/eu-budget_en.htm	2
		Myths and facts about EU budget and external co-operation: Financial instruments for development	N/A	17/02/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/how/finance/mff/myths-eu-budget_financial-instruments_en.htm	
		Thematic instruments and programmes	N/A	17/02/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/how/finance/thematic_en.htm	
		Geographic instruments	N/A	17/02/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/how/finance/geographic_en.htm	

Budget broken down into aid flows by the kind of aid (modalities)	1	EU budget and external co-operation	N/A	6/02/2013	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/how/finance/mff/eu-budget_en.htm	1
		Myths and facts about EU budget and external co-operation: Financial instruments for development	N/A	17/02/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/how/finance/mff/myths-eu-budget_financial-instruments_en.htm	
		Thematic instruments and programmes	N/A	17/02/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/how/finance/thematic_en.htm	
		Geographic instruments	N/A	17/02/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/how/finance/geographic_en.htm	
Sub-total	6								6
1.4: Annual Report									
• Annual Report (2011-2012)									
Narrative reports on what was done	1	Publications	N/A	17/02/2012	European Commission	HTML	15/02/2013	http://ec.europa.eu/europeaid/multimedia/publications/index_en.htm	1

		Annual Report 2012	August 2012	N/A	European Commission	PDF	15/02/2013	http://ec.europa.eu/europeaid/multimedia/publications/documents/annual-reports/europeaid_annual_report_2012_full_en.pdf	
Comprehensive reporting on countries of activity and what was done	2	Publications	N/A	17/02/2012	European Commission	HTML	15/02/2013	http://ec.europa.eu/europeaid/multimedia/publications/index_en.htm	2
		Annual Report 2012	August 2012	N/A	European Commission	PDF	15/02/2013	http://ec.europa.eu/europeaid/multimedia/publications/documents/annual-reports/europeaid_annual_report_2012_full_en.pdf	
Reporting on sectors / channels / modalities	2	Publications	N/A	17/02/2012	European Commission	HTML	15/02/2013	http://ec.europa.eu/europeaid/multimedia/publications/index_en.htm	2
		Annual Report 2012	August 2012	N/A	European Commission	PDF	15/02/2013	http://ec.europa.eu/europeaid/multimedia/publications/documents/annual-reports/europeaid_annual_report_2012_full_en.pdf	
Evaluations of the effectiveness of aid funds disbursed	1	Publications	N/A	17/02/2012	European Commission	HTML	15/02/2013	http://ec.europa.eu/europeaid/multimedia/publications/index_en.htm	1

		Annual Report 2012	August 2012	N/A	European Commission	PDF	15/02/2013	http://ec.europa.eu/europeaid/multimedia/publications/documents/annual-reports/europeaid_annual_report_2012_full_en.pdf	
Sub-total	6								6
1.5: Financial Report									
• Report on previous year's budget spending.									
Existence of report on expenditure	1	Not available							0
Detail to regional spending levels	1	Not available							0
Detail of sectorial spending	1	Not available							0
Detail of modality and channel = programme, project	1	Not available							0
Detail by country	1	Not available							0
Detail by projects	1	Not available							0
Sub-total	6								0

2.1: Consultations									
Clear link to information on consultations and/or participation.	1	Public Consultations	N/A	7/11/2012	European Commission	HTML	15/02/2013	http://ec.europa.eu/europeaid/how/public-consultations/index_en.htm	1
Detail on approach to consultations and on how it will feed into project cycles	1	Public Consultations	N/A	7/11/2012	European Commission	HTML	15/02/2013	http://ec.europa.eu/europeaid/how/public-consultations/index_en.htm	0
Publication of documents from consultation process.	1	Public Consultations	N/A	7/11/2012	European Commission	HTML	15/02/2013	http://ec.europa.eu/europeaid/how/public-consultations/index_en.htm	1
Sub-total	3								2
2.2: Public Procurement procedure and tenders									
• Information on procurement procedures									
Information on policies and procedures for public procurement	2	Procurement procedures	N/A	15/02/2013	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/prag/document.do?chapterId=3.2.&id=41	2

Publication of open and closed tenders	1	Calls for proposals & Procurement notices	N/A	N/A	European Commission	HTML	15/02/2013	https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?ADSSChck=1284977262222&do=publi.welcome&userlanguage=en	1
Sub-total	3								3
2.3: Current Contracts									
• Information on procurement procedures									
Actual contracts made available	1	Beneficiaries	N/A	17/02/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/work/funding/beneficiaries/index.cfm?lang=en	1
		Beneficiaries of grants and contracts	N/A	17/02/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/work/funding/beneficiaries_en.htm	
Reporting on contracts	1	Beneficiaries	N/A	17/02/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/work/funding/beneficiaries/index.cfm?lang=en	0
		Beneficiaries of grants and contracts	N/A	17/02/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/work/funding/beneficiaries_en.htm	

Information on contractors and sub-contracting agents	1	Beneficiaries	N/A	17/02/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/work/funding/beneficiaries/index.cfm?lang=en	0
		Beneficiaries of grants and contracts	N/A	17/02/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/work/funding/beneficiaries_en.htm	
Sub-total	3								1
2.4: Grant Application Policy and Procedures									
• Information on grants (related to project aid and other grants to civil society groups)									
Policy on grant-making and the publication of grant details	1	PADOR Online Registration for grant's applicants	N/A	14/01/2013	European Commission	HTML	15/02/2013	http://ec.europa.eu/europeaid/work/onlineservices/pador/index_en.htm	1
		Funding	N/A	17/02/2012	European Commission	HTML	15/02/2013	http://ec.europa.eu/europeaid/work/funding/index_en.htm	
Information on how organisations can apply for grants, including timeframes	1	PADOR Online Registration for grant's applicants	N/A	14/01/2013	European Commission	HTML	15/02/2013	http://ec.europa.eu/europeaid/work/onlineservices/pador/index_en.htm	1

		Funding	N/A	17/02/2012	European Commission	HTML	15/02/2013	http://ec.europa.eu/europeaid/work/funding/index_en.htm	
Criteria for awarding grants and information about how decisions are made	1	PADOR Online Registration for grant's applicants	N/A	14/01/2013	European Commission	HTML	15/02/2013	http://ec.europa.eu/europeaid/work/online-services/pador/index_en.htm	0
		Funding	N/A	17/02/2012	European Commission	HTML	15/02/2013	http://ec.europa.eu/europeaid/work/funding/index_en.htm	
Sub-total	3								2
2.5: Current Grants									
• Information on grants									
Reporting on grants	1	Beneficiaries of grants and contracts	N/A	17/02/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/work/funding/beneficiaries_en.htm	0
		Beneficiaries	N/A	17/02/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/work/funding/beneficiaries/index.cfm?lang=en	
Details on current grants made, including names and dates	1	Beneficiaries of grants and contracts	N/A	17/02/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/work/funding/beneficiaries_en.htm	1

		Beneficiaries	N/A	17/02/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/work/funding/beneficiaries/index.cfm?lang=en	
Evaluation of current grants made, including submissions from recipients	1	Beneficiaries of grants and contracts	N/A	17/02/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/work/funding/beneficiaries_en.htm	0
		Beneficiaries	N/A	17/02/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/work/funding/beneficiaries/index.cfm?lang=en	
Sub-total	3								1
2.6: Evaluation Information									
• Evaluation reports									
Evidence of systematic evaluation	up to 2 points	Evaluation	N/A	17/02/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/how/evaluation/index_en.htm	2
		Introduction	N/A	17/02/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/how/evaluation/introduction/introduction_en.htm	
		Work programme	N/A	17/02/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/how/evaluation/work_programme/index_en.htm	
		Methodology	N/A	17/02/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/how/evaluation/methodology/i	

								ndex_en.htm	
		Reports	N/A	17/02/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/how/evaluation/evaluation_reports/index_en.htm	
		European Inventory	N/A	17/02/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/how/evaluation/evaluation_reports/index_en.htm	
Evidence of input or submissions of recipient countries and any relevant programme/project implementing partners	1	Evaluation	N/A	17/02/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/how/evaluation/index_en.htm	1
		Introduction	N/A	17/02/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/how/evaluation/introduction/introduction_en.htm	
		Work programme	N/A	17/02/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/how/evaluation/work_programme/index_en.htm	
		Methodology	N/A	17/02/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/how/evaluation/methodology/index_en.htm	
		Reports	N/A	17/02/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/how/evaluation/evaluation_reports/index_en.htm	

institutions)									
Assets declarations of key individuals	1	Not available							0
Gifts policies, gifts registers, assets declarations of institutions and any other expense declarations	2	Not available							0
Sub-total	3								0
3.3: Accountability Mechanisms									
• Complaints/ Whistle-blowers									
• Mechanisms and protection in complaints procedures									
Information about mechanisms for raising concerns about illegal, fraudulent or corrupt practices	1	Not available							0

<i>Palestinian Territories (Middle-east)</i>	1	EU/Palestinian Authority Action Plan	N/A	N/A	European Commission	PDF	18/02/2013	http://ec.europa.eu/world/enp/pdf/action_plans/pa_enp_ap_final_en.pdf	1
		Occupied Palestinian Territories	N/A	16/10/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/where/neighbourhood/country-cooperation/occupied_palestinian_territory/occupied-palestinian-territory_en.htm	
<i>Bangladesh (South Asia)</i>	1	Bangladesh - European Community Country Strategy Paper for the period 2007-2013	N/A	N/A	European Commission: EuropeAid	PDF	18/02/2013	http://eeas.europa.eu/bangladesh/csp/csp_07_13_en.pdf	1
		Bangladesh	N/A	28/01/2013	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/where/asia/country-cooperation/bangladesh/bangladesh_en.htm	
<i>Tanzania (East Africa)</i>	1	United Republic of Tanzania – European Community Country Strategy Paper and National Indicative Programme for the period 2008-	9/12/2007	N/A	European Commission: EuropeAid	PDF	18/02/2013	http://ec.europa.eu/development/icenter/repository/scanned_tz_csp10_en.pdf	1

		2013							
		Tanzania	N/A	31/05/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/where/accp/country-co-operation/tanzania/tanzania_en.htm	
<i>Democratic Republic of Congo (West Africa)</i>	1	République démocratique du Congo – Communauté européenne Document de stratégie pays et Programme indicatif national du 10e FED 2008-2013	30/10/2008	N/A	European Commission: EuropeAid	PDF	18/02/2013	http://ec.europa.eu/development/icenter/repository/scanned_cd_csp10_fr.pdf	1
		Democratic Republic of Congo	N/A	21/12/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/where/accp/country-co-operation/congo-democratic-republic/congo_en.htm	

<i>Vietnam (South-east Asia)</i>	1	Vietnam - European Community Country Strategy Paper for the period 2007-2013	N/A	N/A	European Commission: EuropeAid	PDF	18/02/2013	http://eeas.europa.eu/vietnam/csp/07_13_en.pdf	1
		Vietnam	N/A	23/01/2013	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/where/asia/country-cooperation/vietnam/vietnam_en.htm	
Information on which aid modality(s) being used									
<i>Palestinian Territories (Middle-east)</i>	1	EU/Palestinian Authority Action Plan	N/A	N/A	European Commission	PDF	18/02/2013	http://ec.europa.eu/world/enp/pdf/action_plans/pa_enp_ap_final_en.pdf	
		Occupied Palestinian Territories	N/A	16/10/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/where/neighbourhood/country-cooperation/occupied_palestinian_territory/occupied-palestinian-territory_en.htm	
<i>Bangladesh (South Asia)</i>	1	Bangladesh - European Community Country Strategy Paper for the period 2007-2013	N/A	N/A	European Commission: EuropeAid	PDF	18/02/2013	http://eeas.europa.eu/bangladesh/csp/csp_07_13_en.pdf	

		Bangladesh	N/A	28/01/2013	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/where/asia/country-cooperation/bangladesh/bangladesh_en.htm	
<i>Tanzania (East Africa)</i>	1	United Republic of Tanzania – European Community Country Strategy Paper and National Indicative Programme for the period 2008-2013	9/12/2007	N/A	European Commission: EuropeAid	PDF	18/02/2013	http://ec.europa.eu/development/icenter/repository/scanned_tz_csp10_en.pdf	
		Tanzania	N/A	31/05/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/where/accp/country-cooperation/tanzania/tanzania_en.htm	
<i>Democratic Republic of Congo (West Africa)</i>	1	République démocratique du Congo – Communauté européenne Document de stratégie pays et Programme indicatif national du 10e FED 2008-2013	30/10/2008	N/A	European Commission: EuropeAid	PDF	18/02/2013	http://ec.europa.eu/development/icenter/repository/scanned_cd_csp10_fr.pdf	

		Democratic Republic of Congo	N/A	21/12/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/where/accp/country-cooperation/congo-democratic-republic/congo_en.htm	
<i>Vietnam (South-east Asia)</i>	1	Vietnam - European Community Country Strategy Paper for the period 2007-2013	N/A	N/A	European Commission: EuropeAid	PDF	18/02/2013	http://eeas.europa.eu/vietnam/csp/07_13_en.pdf	
		Vietnam	N/A	23/01/2013	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/where/asia/country-cooperation/vietnam/vietnam_en.htm	
References to the country's own strategy									
<i>Palestinian Territories (Middle-east)</i>	1	EU/Palestinian Authority Action Plan	N/A	N/A	European Commission	PDF	18/02/2013	http://ec.europa.eu/world/enp/pdf/action_plans/pa_enp_ap_final_en.pdf	
		Occupied Palestinian Territories	N/A	16/10/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/where/neighbourhood/country-cooperation/occupied-palestinian-territory/occupied-palestinian-territory_en.htm	

<i>Bangladesh (South Asia)</i>	1	Bangladesh - European Community Country Strategy Paper for the period 2007-2013	N/A	N/A	European Commission: EuropeAid	PDF	18/02/2013	http://eeas.europa.eu/bangladesh/csp/csp_07_13_en.pdf	
		Bangladesh	N/A	28/01/2013	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/where/asia/country-cooperation/bangladesh/bangladesh_en.htm	
<i>Tanzania (East Africa)</i>	1	United Republic of Tanzania – European Community Country Strategy Paper and National Indicative Programme for the period 2008-2013	9/12/2007	N/A	European Commission: EuropeAid	PDF	18/02/2013	http://ec.europa.eu/development/icenter/repository/scanned_tz_csp10_en.pdf	
		Tanzania	N/A	31/05/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/where/accp/country-cooperation/tanzania/tanzania_en.htm	

Information									
• Information on actual activities in the country and budgets									
Information on activities planned									
<i>Palestinian Territories (Middle-east)</i>	2	EU/Palestinian Authority Action Plan	N/A	N/A	European Commission	PDF	18/02/2013	http://ec.europa.eu/world/enp/pdf/action_plans/pa_enp_ap_final_en.pdf	2
		Occupied Palestinian Territories	N/A	16/10/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/where/neighbourhood/country-co-operation/occupied_palestinian_territory/occupied-palestinian-territory_en.htm	
<i>Bangladesh (South Asia)</i>	2	Bangladesh - European Community Country Strategy Paper for the period 2007-2013	N/A	N/A	European Commission: EuropeAid	PDF	18/02/2013	http://eeas.europa.eu/bangladesh/csp/csp_07_13_en.pdf	2
		Bangladesh	N/A	28/01/2013	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/where/asia/country-co-operation/bangladesh/bangladesh_en.htm	

<i>Tanzania (East Africa)</i>	2	United Republic of Tanzania – European Community Country Strategy Paper and National Indicative Programme for the period 2008-2013	9/12/2007	N/A	European Commission: EuropeAid	PDF	18/02/2013	http://ec.europa.eu/development/icenter/repository/scanned_tz_csp10_en.pdf	2
		Tanzania	N/A	31/05/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/where/accp/country-cooperation/tanzania/tanzania_en.htm	
<i>Democratic Republic of Congo (West Africa)</i>	2	République démocratique du Congo – Communauté européenne Document de stratégie pays et Programme indicatif national du 10e FED 2008-2013	30/10/2008	N/A	European Commission: EuropeAid	PDF	18/02/2013	http://ec.europa.eu/development/icenter/repository/scanned_cd_csp10_fr.pdf	2
		Democratic Republic of Congo	N/A	21/12/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/where/accp/country-cooperation/congo-democratic-republic/congo_en.htm	

<i>Vietnam (South-east Asia)</i>	2	Vietnam - European Community Country Strategy Paper for the period 2007-2013	N/A	N/A	European Commission: EuropeAid	PDF	18/02/2013	http://eeas.europa.eu/vietnam/csp/07_13_en.pdf	2
		Vietnam	N/A	23/01/2013	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/where/asia/country-cooperation/vietnam/vietnam_en.htm	
Budget for activities in country									
<i>Palestinian Territories (Middle-east)</i>	1	Occupied Palestinian Territories	N/A	16/10/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/where/neighborhood/country-cooperation/occupied_palestinian_territory/occupied-palestinian-territory_en.htm	1
<i>Bangladesh (South Asia)</i>	1	Bangladesh	N/A	28/01/2013	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/where/asia/country-cooperation/bangladesh/bangladesh_en.htm	1
<i>Tanzania (East Africa)</i>	1	Tanzania	N/A	31/05/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/where/accp/country-cooperation/tanzania/tanzania_en.htm	1

<i>Democratic Republic of Congo (West Africa)</i>	1	Democratic Republic of Congo	N/A	21/12/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/where/acc/country-co-operation/congo-democratic-republic/congo_en.htm	1
<i>Vietnam (South-east Asia)</i>	1	Vietnam	N/A	23/01/2013	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/where/asia/country-co-operation/vietnam/vietnam_en.htm	1
Sub-total	15								15
4.3: Country Programmes: Information on aid via channel									
• Information about co-operation with other bi- and multi-lateral									
Information on aid flows by channel									
<i>Palestinian Territories (Middle-east)</i>	2	EU/Palestinian Authority Action Plan	N/A	N/A	European Commission	PDF	18/02/2013	http://ec.europa.eu/world/enp/pdf/action_plans/pa_enp_ap_final_en.pdf	2

		Occupied Palestinian Territories	N/A	16/10/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/where/neighbourhood/country-co-operation/occupied_palestinian_territory/occupied-palestinian-territory_en.htm	
<i>Bangladesh (South Asia)</i>	2	Bangladesh - European Community Country Strategy Paper for the period 2007-2013	N/A	N/A	European Commission: EuropeAid	PDF	18/02/2013	http://eeas.europa.eu/bangladesh/csp/csp_07_13_en.pdf	2
		Bangladesh	N/A	28/01/2013	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/where/asia/country-co-operation/bangladesh/bangladesh_en.htm	
<i>Tanzania (East Africa)</i>	2	United Republic of Tanzania – European Community Country Strategy Paper and National Indicative Programme for the period 2008-2013	9/12/2007	N/A	European Commission: EuropeAid	PDF	18/02/2013	http://ec.europa.eu/development/icenter/repository/scanned_tz_csp10_en.pdf	2

		Tanzania	N/A	31/05/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/where/accp/country-cooperation/tanzania/tanzania_en.htm	
<i>Democratic Republic of Congo (West Africa)</i>	2	République démocratique du Congo – Communauté européenne Document de stratégie pays et Programme indicatif national du 10e FED 2008-2013	30/10/2008	N/A	European Commission: EuropeAid	PDF	18/02/2013	http://ec.europa.eu/development/icenter/repository/scanned_cd_csp10_fr.pdf	2
		Democratic Republic of Congo	N/A	21/12/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/where/accp/country-cooperation/congo-democratic-republic/congo_en.htm	
<i>Vietnam (South-east Asia)</i>	2	Vietnam - European Community Country Strategy Paper for the period 2007-2013	N/A	N/A	European Commission: EuropeAid	PDF	18/02/2013	http://eeas.europa.eu/vietnam/csp/07_13_en.pdf	2
		Vietnam	N/A	23/01/2013	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/where/asia/country-cooperation/vietnam/vietnam_en.htm	

Information on work alongside other donors and policies for co-operation in this work where applicable									
<i>Palestinian Territories (Middle-east)</i>	1	EU/Palestinian Authority Action Plan	N/A	N/A	European Commission	PDF	18/02/2013	http://ec.europa.eu/world/enp/pdf/action_plans/pa_enp_ap_final_en.pdf	1
		Occupied Palestinian Territories	N/A	16/10/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/where/neighbourhood/country-co-operation/occupied_palestinian_territory/occupied-palestinian-territory_en.htm	
<i>Bangladesh (South Asia)</i>	1	Bangladesh - European Community Country Strategy Paper for the period 2007-2013	N/A	N/A	European Commission: EuropeAid	PDF	18/02/2013	http://eeas.europa.eu/bangladesh/csp/csp_07_13_en.pdf	1
		Bangladesh	N/A	28/01/2013	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/where/asia/country-co-operation/bangladesh/bangladesh_en.htm	

<i>Tanzania (East Africa)</i>	1	United Republic of Tanzania – European Community Country Strategy Paper and National Indicative Programme for the period 2008-2013	9/12/2007	N/A	European Commission: EuropeAid	PDF	18/02/2013	http://ec.europa.eu/development/icenter/repository/scanned_tz_csp10_en.pdf	1
		Tanzania	N/A	31/05/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/where/accp/country-cooperation/tanzania/tanzania_en.htm	
<i>Democratic Republic of Congo (West Africa)</i>	1	République démocratique du Congo – Communauté européenne Document de stratégie pays et Programme indicatif national du 10e FED 2008-2013	30/10/2008	N/A	European Commission: EuropeAid	PDF	18/02/2013	http://ec.europa.eu/development/icenter/repository/scanned_cd_csp10_fr.pdf	1
		Democratic Republic of Congo	N/A	21/12/2012	European Commission: EuropeAid	HTML	18/02/2013	http://ec.europa.eu/europeaid/where/accp/country-cooperation/congo-democratic-republic/congo_en.htm	

Appendix IV: Worksheet for the Federal Ministry for Economic Co-operation and Development (BMZ)

INDICATOR	Maximum number of points	Name	Date published	Data Updated	Authors	Type of document	Date Accessed	Source (Website)	Score
1.1: Organisational Structure									
• Information on Organisational structure									
List of departments and full descriptions	2	Ministry	N/A	N/A	The Federal Ministry for Economic Co-operation and Development (BMZ)	HTML	20/01/2013	http://www.bmz.de/en/ministry/index.html	2
Organogram or otherwise clear explanation of structures and roles of different parts of the organisation	2	Organisational Chart of the Federal Ministry for Economic Co-operation and Development	Monday, 14 January 2013	N/A	Federal Ministry for Economic Co-operation and Development Division "Organisation and organisational development"	PDF	19/01/2013	http://www.bmz.de/en/ministry/structure/orgplan_en.pdf	2

Staff Directory	2	Not available	N/A	N/A	N/A	N/A	N/A	N/A	0
Sub-total	6								4
1.2: Main Aid Strategy									
• Current Main Strategy document									
Description of strategy and planned activities	2	What we do	N/A	N/A	The Federal Ministry for Economic Co-operation and Development (BMZ)	HTML	20/01/2013	http://www.bmz.de/en/what_we_do/index.html	2
		Aims: Priority areas of German development co-operation	N/A	N/A	The Federal Ministry for Economic Co-operation and Development (BMZ)	HTML	20/01/2013	http://www.bmz.de/en/what_we_do/principles/aims/index.html	

Information on how decisions were taken to arrive at strategy	1	Aims: German development policy in the Coalition Agreement between the FDP, CDU and CSU.	N/A	N/A	The Federal Ministry for Economic Co-operation and Development (BMZ)	HTML	20/01/2013	http://www.bmz.de/en/what_we_do/principles/koalitionsvertrag/index.html	1
		Growth. Education. Unity: The Coalition Agreement between the CDU, CSU and FDP.	Monday, 26 October 2009	N/A	Federal Chancellor Dr. Angela Merkel (Chair of the Christian Democratic Union of Germany) Minister-President Horst Seehofer (Chair of the Christian Social Union) Dr. Guido Westerwelle (Chair of the Free Democratic Party) Volker Kauder (Chair of the CDU/CSU parliamentary group) Dr. Peter Ramsauer (First Vice Chairman of the CDU/CSU parliamentary	PDF	20/01/2013	http://www.cdu.de/doc/pdfc/091215-koalitionsvertrag-2009-2013-englisch.pdf	

					group) Birgit Homburger (Chair of the FDP parliamentary group)				
Criteria for allocating aid within the strategy	1	Growth. Education. Unity: The Coalition Agreement between the CDU, CSU and FDP.	Monday, 26 October 2009	N/A	Federal Chancellor Dr. Angela Merkel (Chair of the Christian Democratic Union of Germany) Minister- President Horst Seehofer (Chair of the Christian Social Union) Dr. Guido Westerwelle (Chair of the Free Democratic Party) Volker Kauder (Chair of the	PDF	20/01/2013	http://www.cdu.de/doc/pdfc/091215-koalitionsvertrag-2009-2013-englisch.pdf	1

Detailed budget available as opposed to overall figures	2	BMZ Budget 2013	N/A	N/A	BMZ	HTML	11/02/2013	http://www.bmz.de/en/ministry/budget/index.html	1
Details by sector / channel	1	BMZ Budget 2014	N/A	N/A	BMZ	HTML	11/02/2013	http://www.bmz.de/en/ministry/budget/index.html	0
Aid by country	2	BMZ Budget 2015	N/A	N/A	BMZ	HTML	11/02/2013	http://www.bmz.de/en/ministry/budget/index.html	0
Budget broken down into aid flows by the kind of aid (modalities)	1	BMZ Budget 2016	N/A	N/A	BMZ	HTML	11/02/2013	http://www.bmz.de/en/ministry/budget/index.html	1
Sub-total	6								2
1.4: Annual Report									
• Annual Report (2011-2012)									
Narrative reports on what was done	1	Not available							0
Comprehensive reporting on countries of activity and what was done	2	Not available							0

Reporting on sectors / channels / modalities	2	Not available							0
Evaluations of the effectiveness of aid funds disbursed	1	Not available							0
Sub-total	6								0
1.5: Financial Report									
• Report on previous year's budget spending.									
Existence of report on expenditure	1	Not available							0
Detail to regional spending levels	1	Not available							0
Detail of sectorial spending	1	Not available							0
Detail of modality and channel = programme, project	1	Not available							0
Detail by country	1	Not available							0

Reporting on grants	1	Not available							0
Details on current grants made, including names and dates	1	Not available							0
Evaluation of current grants made, including submissions from recipients	1	Not available							0
Sub-total	3								0
2.6: Evaluation Information									
• Evaluation reports									
Evidence of systematic evaluation	up to 2 points	Evaluation and auditing	N/A	N/A	BMZ	HTML	11/02/2013	http://www.bmz.de/en/what_we_do/approaches/evaluation/index.html	2
		Examining the past – shaping the future: aims, principles and methods of evaluation	N/A	N/A	BMZ	HTML	11/02/2013	http://www.bmz.de/en/what_we_do/approaches/evaluation/Evaluation/index.html	

		Auditing	N/A	N/A	BMZ	HTML	11/02/2013	http://www.bmz.de/en/what_we_do/approaches/evaluation/revision.html	
Evidence of input or submissions of recipient countries and any relevant programme/project implementing partners	1	Type of publication	N/A	N/A	BMZ	HTML	11/02/2013	http://www.bmz.de/en/publications/type_of_publication/evaluation/index.html	1
Sub-total	3								3
3.1: Corruption Risk Assessment									
• Corruption Risk Assessment									
Information on the policies and practices to prevent corruption	2	Fighting corruption – fostering transparency	N/A	N/A	BMZ	HTML	11/02/2013	http://www.bmz.de/en/what_we_do/issues/good_governance/korruption/index.html	2
		The German contribution to tackling corruption	N/A	N/A	BMZ	HTML	11/02/2013	http://www.bmz.de/en/what_we_do/issues/good_governance/korruption/deutsche	

								rbeitrag/index.html	
		Preventing corruption – promoting transparency: What is German development policy doing?	August 2010	N/A	Federal Ministry for Economic Co-operation and Development (BMZ), Division for development education and information	HTML	11/02/2013	http://www.bmz.de/en/publications/type_of_publication/information_flyer/flyer/FlyerKorruption.pdf	
Reports on assessment of risks of corruption related to the institution's activities	1	Not available							0
Sub-total	3								2
3.2: Gifts / Assets Declarations									
• Declarations of individuals (and institutions)									
Assets declarations of key individuals	1	Not available							0

Gifts policies, gifts registers, assets declarations of institutions and any other expense declarations	2	Not available							0
Sub-total	3								0
3.3: Accountability Mechanisms									
• Complaints/ Whistle-blowers									
• Mechanisms and protection in complaints procedures									
Information about mechanisms for raising concerns about illegal, fraudulent or corrupt practices	1	Not available							0
Including information on the protection offered to whistle-	1	Not available							0

own strategy									
<i>Palestinian Territories (Middle-east)</i>	1	Afghanistan: Situation and co-operation	N/A	N/A	BMZ	HTML	12/02/2013	http://www.bmz.de/en/what_we_do/countries_regions/asien/afghanistan/co-operation.html	1
		Afghanistan National Development Strategy: Summary Report	N/A	N/A	Government of the Islamic Republic of Afghanistan	PDF	12/02/2013	http://www.aisa.org.af/files/reports/english/ANDS-Summary-Report1.pdf	
<i>Bangladesh (Asia)</i>	1	Bangladesh: Situation and co-operation	N/A	N/A	BMZ	HTML	18/02/2013	http://www.bmz.de/en/what_we_do/countries_regions/asien/bangladesh/co-operation.html	1
		Steps towards change: National strategy for accelerated poverty reduction II (revised) FY 2009-2011	December 2009		Government of the People's Republic of Bangladesh	PDF	18/02/2013	http://www.lcgbangladesh.org/prsp/docs/PRS%20Bangladesh%20010%20final.pdf	
<i>Tanzania (East Africa)</i>	1	Tanzania: Situation and co-operation	N/A	N/A	BMZ	HTML	15/02/2013	http://www.bmz.de/en/what_we_do/countries_regions/subsahara/tanzania/zusammenarbeit.html	1

• Information on actual activities in the country and budgets									
Information on activities planned									
<i>Palestinian Territories (Middle-east)</i>	2	Not available							0
<i>Bangladesh (Asia)</i>	2	Not available							0
<i>Tanzania (East Africa)</i>	2	Not available							0
<i>Democratic Republic of Congo (West Africa)</i>	2	Not available							0
<i>Vietnam (South-east Asia)</i>	2	Not available							0
Budget for activities in country									
<i>Palestinian Territories (Middle-east)</i>	1	Not available							0
<i>Bangladesh (Asia)</i>	1	Not available							0
<i>Tanzania (East Africa)</i>	1	Not available							0

<i>Democratic Republic of Congo (West Africa)</i>	1	Not available							0
<i>Vietnam (South-east Asia)</i>	1	Not available							0
Sub-total	15								0
4.3: Country Programmes: Information on aid via channel									
• Information about co-operation with other bi- and multi-lateral									
Information on aid flows by channel									
<i>Palestinian Territories (Middle-east)</i>	2	Not available							0
<i>Bangladesh (Asia)</i>	2	Not available							0
<i>Tanzania (East Africa)</i>	2	Not available							0
<i>Democratic Republic of Congo (West Africa)</i>	2	Not available							0

Appendix V: Worksheet for Swedish International Development Co-operation Agency (Sida)

INDICATOR	Maximum number of points	Name	Date published	Data Updated	Authors	Type of document	Date Accessed	Source (Website)	Score
1.1: Organizational Structure									
• Information on Organisational structure									
List of departments and full descriptions	2	About us: Organization	10/01/2011	4/10/2012	Sida	HTML	19/01/2013	http://www.Sida.se/English/About-us/Organization/	2
Organogram or otherwise clear explanation of structures and roles of different parts of the organisation	2	Organism	N/A	N/A	Sida	PDF	19/01/2013	http://www.Sida.se/Global/About%20Sida/organigram_eng.pdf	1

Description of strategy and planned activities	2	Global Challenges- Our Responsibility: Communication on Sweden's policy for global development	17/03/2008	N/A	The Ministry for Foreign Affairs, Information Office	PDF	20/01/2013	http://www.government.se/content/1/c6/11/32/83/778a0c48.pdf	2
Information on how decisions were taken to arrive at strategy	1	Global Challenges- Our Responsibility: Communication on Sweden's policy for global development	17/03/2008	N/A	The Ministry for Foreign Affairs, Information Office	PDF	20/01/2013	http://www.government.se/content/1/c6/11/32/83/778a0c48.pdf	1

Detailed budget available as opposed to overall figures	2	The Ministry for Foreign Affairs and Sida openaid.se Sweden's aid-open and collected in one place	N/A	N/A	The Ministry for Foreign Affairs and Sida	HTML	8/02/2013	http://www.openaid.se/en/	2
Details by sector / channel	1	The Ministry for Foreign Affairs and Sida openaid.se Sweden's aid-open and collected in one place	N/A	N/A	The Ministry for Foreign Affairs and Sida	HTML	8/02/2013	http://www.openaid.se/en/	1
Aid by country	2	The Ministry for Foreign Affairs and Sida openaid.se Sweden's aid-open and collected in one place	N/A	N/A	The Ministry for Foreign Affairs and Sida	HTML	8/02/2013	http://www.openaid.se/en/	2
Budget broken down into aid flows by the kind of aid (modalities)	1	The Ministry for Foreign Affairs and Sida openaid.se Sweden's aid-open and collected in one place	N/A	N/A	The Ministry for Foreign Affairs and Sida	HTML	8/02/2013	http://www.openaid.se/en/	1
Sub-total	6								6

1.4: Annual Report									
• Annual Report (2011-2012)									
Narrative reports on what was done	1	The Ministry for Foreign Affairs and Sida openaid.se Sweden's aid-open and collected in one place	N/A	N/A	The Ministry for Foreign Affairs and Sida	HTML	8/02/2013	http://www.openaid.se/en/	1
Comprehensive reporting on countries of activity and what was done	2	The Ministry for Foreign Affairs and Sida openaid.se Sweden's aid-open and collected in one place	N/A	N/A	The Ministry for Foreign Affairs and Sida	HTML	8/02/2013	http://www.openaid.se/en/	2
Reporting on sectors / channels / modalities	2	The Ministry for Foreign Affairs and Sida openaid.se Sweden's aid-open and collected in one place	N/A	N/A	The Ministry for Foreign Affairs and Sida	HTML	8/02/2013	http://www.openaid.se/en/	2

Evaluations of the effectiveness of aid funds disbursed	1	The Ministry for Foreign Affairs and Sida openaid.se Sweden's aid-open and collected in one place	N/A	N/A	The Ministry for Foreign Affairs and Sida	HTML	8/02/2013	http://www.openaid.se/en/	1
Sub-total	6								6
1.5: Financial Report									
• Report on previous year's budget spending.									
Existence of report on expenditure	1	The Ministry for Foreign Affairs and Sida openaid.se Sweden's aid-open and collected in one place	N/A	N/A	The Ministry for Foreign Affairs and Sida	HTML	8/02/2013	http://www.openaid.se/en/	1
Detail to regional spending levels	1	The Ministry for Foreign Affairs and Sida openaid.se Sweden's aid-open and collected in one place	N/A	N/A	The Ministry for Foreign Affairs and Sida	HTML	8/02/2013	http://www.openaid.se/en/	1

Detail of sectorial spending	1	The Ministry for Foreign Affairs and Sida openaid.se Sweden's aid-open and collected in one place	N/A	N/A	The Ministry for Foreign Affairs and Sida	HTML	8/02/2013	http://www.openaid.se/en/	1
Detail of modality and channel = programme, project	1	The Ministry for Foreign Affairs and Sida openaid.se Sweden's aid-open and collected in one place	N/A	N/A	The Ministry for Foreign Affairs and Sida	HTML	8/02/2013	http://www.openaid.se/en/	1
Detail by country	1	The Ministry for Foreign Affairs and Sida openaid.se Sweden's aid-open and collected in one place	N/A	N/A	The Ministry for Foreign Affairs and Sida	HTML	8/02/2013	http://www.openaid.se/en/	1
Detail by projects	1	The Ministry for Foreign Affairs and Sida openaid.se Sweden's aid-open and collected in one place	N/A	N/A	The Ministry for Foreign Affairs and Sida	HTML	8/02/2013	http://www.openaid.se/en/	1
Sub-total	6								6

2.1: Consultations									
Clear link to information on consultations and/or participation.	1	Partner Driven Co-operation	N/A	N/A	Sida	HTML	8/02/2013	http://www.Sida.se/English/Partners/Aktorssamverkan/	1
		Partner Driven Co-operation develops both Sweden and the world	25/11/2009	12/12/2012	Sida	HTML	8/02/2013	http://www.Sida.se/English/Partners/Aktorssamverkan/Det-har-ar-aktorssamverkan/	
		This is how we work	25/11/2009	12/12/2012	Sida	HTML	8/02/2013	http://www.Sida.se/English/Partners/Aktorssamverkan/Sa-har-arbetar-vi-med-aktorssamverkan/	
		Examples of Successful Co-operation	7/12/2009	28/11/2011	Sida	HTML	8/02/2013	http://www.Sida.se/English/Partners/Aktorssamverkan/Exempel-pa-aktorssamverkan/	
Detail on approach to consultations and on how it will feed into project cycles	1	Partner Driven Co-operation	N/A	N/A	Sida	HTML	8/02/2013	http://www.Sida.se/English/Partners/Aktorssamverkan/	1

		Partner Driven Co-operation develops both Sweden and the world	25/11/2009	12/12/2012	Sida	HTML	8/02/2013	http://www.Sida.se/English/Partners/Aktorssamverkan/Det-har-ar-aktorssamverkan/	
		This is how we work	25/11/2009	12/12/2012	Sida	HTML	8/02/2013	http://www.Sida.se/English/Partners/Aktorssamverkan/Sa-har-arbetar-vi-med-aktorssamverkan/	
		Examples of Successful Co-operation	7/12/2009	28/11/2011	Sida	HTML	8/02/2013	http://www.Sida.se/English/Partners/Aktorssamverkan/Exempel-pa-aktorssamverkan/	
Publication of documents from consultation process.	1	Examples of Successful Co-operation	7/12/2009	28/11/2011	Sida	HTML	8/02/2013	http://www.Sida.se/English/Partners/Aktorssamverkan/Exempel-pa-aktorssamverkan/	1
		Sida's publication database	N/A	N/A	Sida	HTML	8/02/2013	http://www.Sida.se/English/About-us/Publication_database/	
Sub-total	3								3

2.2: Public Procurement procedure and tenders									
• Information on procurement procedures									
Information on policies and procedures for public procurement	2	Procurement Q&As	23/06/2009	28/09/2009	Sida	HTML	8/02/2013	http://www.Sida.se/English/Partners/Procurements/Procurement-QAs/	2
		Procurements	N/A	N/A	Sida	HTML	8/02/2013	http://www.Sida.se/English/Partners/Procurements/	
		Procurements at Sida	23/06/2009	23/06/2009	Sida	HTML	8/02/2013	http://www.Sida.se/English/Partners/Procurements/Procurements-at-Sida/	
		Sida and procurements – how it works	23/06/2009	28/09/2009	Sida	HTML	8/02/2013	http://www.Sida.se/English/Partners/Procurements/Sida-and-procurements--how-it-works/	
		Sida Procurement Guidelines	23/06/2009	28/09/2009	Sida	HTML	8/02/2013	http://www.Sida.se/English/Partners/Procurements/Sida-Procurement-	

								Guidelines/	
		Sida Procurement Guidelines (SPG)	June 2004	N/A	Stefan Roos (Sida), Peder Blomberg (Assistum AB)	PDF	8/02/2013	http://www.Sida.se/Global/Partners/Procurements/SIDA2450en_SPG_2004_web.pdf	
Publication of open and closed tenders	1	Welcome to Sida tender portal	N/A	N/A	Sida	HTML	8/02/2013	http://www.kommersannons.se/Sida/	1
		Active Procurements	N/A	N/A	Sida	HTML	8/02/2013	http://www.kommersannons.se/Sida/Notice/NoticeList.aspx	
Sub-total	3								3
2.3: Current Contracts									
• Information on procurement procedures									
Actual contracts made available	1	The Ministry for Foreign Affairs and Sida openaid.se Sweden's aid-open and collected in one place	N/A	N/A	The Ministry for Foreign Affairs and Sida	HTML	8/02/2013	http://www.openaid.se/en/	1

Reporting on contracts	1	The Ministry for Foreign Affairs and Sida openaid.se Sweden's aid-open and collected in one place	N/A	N/A	The Ministry for Foreign Affairs and Sida	HTML	8/02/2013	http://www.openaid.se/en/	1
Information on contractors and sub-contracting agents	1	The Ministry for Foreign Affairs and Sida openaid.se Sweden's aid-open and collected in one place	N/A	N/A	The Ministry for Foreign Affairs and Sida	HTML	8/02/2013	http://www.openaid.se/en/	1
Sub-total	3								3
2.4: Grant Application Policy and Procedures									
• Information on grants (related to project aid and other grants to civil society groups)									
Policy on grant-making and the publication of	1	Planning grant	15/06/2011	12/12/2012	Sida	HTML	8/02/2013	http://www.Sida.se/English/Partners/Aktorssamverkan/Planning-	1

grant details								Grant/	
		Planning Grant - Private-	March 2012	N/A	Sida	PDF	8/02/2013	http://www.Sida.se/Global/Partners/Partner%20Driven%20Co-operation/Planning%20Grant%20Private%20external.pdf	
		Planning Grant - Public sector, civil society and membership	May 2011	N/A	Sida	PDF	8/02/2013	http://www.Sida.se/Global/AKTSAM/Instructions%20for%20planning%20grant,%20public%20and%20NGO.pdf	
Information on how organisations can apply for grants, including timeframes	1	Planning Grant - Private-	March 2012	N/A	Sida	PDF	8/02/2013	http://www.Sida.se/Global/Partners/Partner%20Driven%20Co-operation/Planning%20Grant%20Private%20external.pdf	1
		Planning Grant - Public sector, civil society and membership	May 2011	N/A	Sida	PDF	8/02/2013	http://www.Sida.se/Global/AKTSAM/Instructions%20for%20planning%20grant,%20public%20and%20NGO.pdf	

		Planning Grant application (private)	N/A	N/A	Sida	PDF	8/02/2013	http://www.Sida.se/Global/AKTSAM/Application%20form,%20planning%20grant%20(private).pdf	
		Planning Grant application	N/A	N/A	Sida	PDF	8/02/2013	http://www.Sida.se/Global/AKTSAM/Application%20form,%20planning%20grant.pdf	
		Example of budget for planning grant application	N/A	N/A	Sida	PDF	8/02/2013	http://www.Sida.se/Global/AKTSAM/Example%20of%20budget,%20English.pdf	
Criteria for awarding grants and information about how decisions are made	1	Planning Grant - Private-	March 2012	N/A	Sida	PDF	8/02/2013	http://www.Sida.se/Global/Partners/Partner%20Driven%20Co-operation/Planning%20Grant%20Private%20external.pdf	1
		Planning Grant - Public sector, civil society and membership	May 2011	N/A	Sida	PDF	8/02/2013	http://www.Sida.se/Global/AKTSAM/Instructions%20for%20planning%20grant,%20public%20and%20NGO.pdf	

		Planning Grant application (private)	N/A	N/A	Sida	PDF	8/02/2013	http://www.Sida.se/Global/AKTSAM/Application%20form,%20planning%20grant%20(private).pdf	
		Planning Grant application	N/A	N/A	Sida	PDF	8/02/2013	http://www.Sida.se/Global/AKTSAM/Application%20form,%20planning%20grant.pdf	
		Example of budget for planning grant application	N/A	N/A	Sida	PDF	8/02/2013	http://www.Sida.se/Global/AKTSAM/Example%20of%20budget,%20English.pdf	
Sub-total	3								3
2.5: Current Grants									
• Information on grants									
Reporting on grants	1	The Ministry for Foreign Affairs and Sida openaid.se Sweden's aid-open and collected in one place	N/A	N/A	The Ministry for Foreign Affairs and Sida	HTML	8/02/2013	http://www.openaid.se/en/	1

Details on current grants made, including names and dates	1	The Ministry for Foreign Affairs and Sida openaid.se Sweden's aid-open and collected in one place	N/A	N/A	The Ministry for Foreign Affairs and Sida	HTML	8/02/2013	http://www.openaid.se/en/	1
Evaluation of current grants made, including submissions from recipients	1	The Ministry for Foreign Affairs and Sida openaid.se Sweden's aid-open and collected in one place	N/A	N/A	The Ministry for Foreign Affairs and Sida	HTML	8/02/2013	http://www.openaid.se/en/	1
Sub-total	3								3
2.6: Evaluation Information									
• Evaluation reports									
Evidence of systematic evaluation	up to 2 points	Evaluation at Sida	N/A	N/A	Sida	HTML	8/02/2013	http://www.Sida.se/English/About-us/How-we-operate/Sida-Evaluation/	2
		Manuals	17/06/2009	31/07/2012	Sida	HTML	8/02/2013	http://www.Sida.se/English/About-us/How-we-operate/Sida-Evaluation/Manu	

• Corruption Risk Assessment									
Information on the policies and practices to prevent corruption	2	Corruption affects development	18/06/2009	20/12/2012	Sida	HTML	7/02/2013	http://www.Sida.se/English/About-us/How-we-operate/Our-Work-Against-Corruption/	2
		Anti-corruption regulation	N/A	N/A	Sida	HTML	7/02/2013	http://www.Sida.se/Global/About%20Sida/S%C3%A5%20arbetar%20vi/Sida's%20anti-corruption%20regulation%20.pdf	
		Sida's anti-corruption work	N/A	N/A	Sida	HTML	8/02/2013	http://www.Sida.se/Global/About%20Sida/S%C3%A5%20arbetar%20vi/C287715_Anti_korruptionensblad-eng_WEB.pdf	
Reports on assessment of risks of corruption related to the institution's activities	1	Corruption affects development	18/06/2009	20/12/2012	Sida	HTML	7/02/2013	http://www.Sida.se/English/About-us/How-we-operate/Our-Work-Against-Corruption/	1

		Anti-corruption regulation	N/A	N/A	Sida	HTML	7/02/2013	http://www.Sida.se/Global/About%20Sida/S%C3%A5%20arbetar%20vi/Sida's%20anti-corruption%20regulation%20.pdf	
		Sida's anti-corruption work	N/A	N/A	Sida	HTML	8/02/2013	http://www.Sida.se/Global/About%20Sida/S%C3%A5%20arbetar%20vi/C287715_Anti_korruption%20blad-eng_WEB.pdf	
Sub-total	3								3
3.2: Gifts / Assets Declarations									
• Declarations of individuals (and institutions)									
Assets declarations of key individuals	1	Not available							0
Gifts policies, gifts registers, assets declarations of institutions and any other	2	Not available							0

expense declarations									
Sub-total	3								0
3.3: Accountability Mechanisms									
• Complaints/ Whistle-blowers									
• Mechanisms and protection in complaints procedures									
Information about mechanisms for raising concerns about illegal, fraudulent or corrupt practices	1	Report fraud or corruption	N/A	N/A	Sida	HTML	3/02/2013	https://www.Sida.se/English/Contact-us/Whistleblower/	1
Including information on the protection offered to whistle-blowers	1	The processing of personal data	N/A	N/A	Sida	PDF	3/02/2013	https://www.Sida.se/Global/About%20Sida/S%C3%A5%20arbetar%20vi/The%20processing%20of%20personal%20data.pdf	1

being used									
<i>Palestinian Territories (Middle-east)</i>	1	Strategy for development co-operation with the West Bank and Gaza July 2008 – December 2011	25/06/2008	N/A	Ministry of Foreign Affairs	PDF	3/02/2013	http://www.government.se/content/1/c6/09/40/07/1fc71245.pdf	1
<i>Bangladesh (Asia)</i>	1	Strategy for development co-operation with Bangladesh January 2008-December 2012	15/05/2008	N/A	Ministry of Foreign Affairs	PDF	18/02/2013	http://www.regeringen.se/content/1/c6/03/97/26/c2fdac9c.pdf	1
<i>Tanzania (East Africa)</i>	1	Regional strategy for development co-operation with Tanzania 2006-2010	8/11/2006	N/A	Ministry of Foreign Affairs	PDF	3/02/2013	http://www.government.se/content/1/c6/09/40/02/14c95285.pdf	1
<i>Democratic Republic of Congo (West Africa)</i>	1	Strategy for development co-operation with the Democratic Republic of Congo April 2009 – December 2012	15/04/2009	N/A	Ministry of Foreign Affairs	PDF	3/02/2013	http://www.regeringen.se/content/1/c6/13/72/14/2b42b97a.pdf	1
<i>Vietnam (South-east Asia)</i>	1	Strategy for development co-operation with Vietnam January 2009 -December 2013	12/02/2009	N/A	Ministry of Foreign Affairs	PDF	3/02/2013	http://www.government.se/content/1/c6/09/40/06/4409ef7c.pdf	1

References to the country's own strategy									
<i>Palestinian Territories (Middle-east)</i>	1	Strategy for development co-operation with the West Bank and Gaza July 2008 – December 2011	25/06/2008	N/A	Ministry of Foreign Affairs	PDF	3/02/2013	http://www.government.se/content/1/c6/09/40/07/1fc71245.pdf	1
<i>Bangladesh (Asia)</i>	1	Strategy for development co-operation with Bangladesh January 2008-December 2012	15/05/2008	N/A	Ministry of Foreign Affairs	PDF	18/02/2013	http://www.regeringen.se/content/1/c6/03/97/26/c2fdac9c.pdf	1
<i>Tanzania (East Africa)</i>	1	Regional strategy for development co-operation with Tanzania 2006-2010	8/11/2006	N/A	Ministry of Foreign Affairs	PDF	3/02/2013	http://www.government.se/content/1/c6/09/40/02/14c95285.pdf	1
<i>Democratic Republic of Congo (West Africa)</i>	1	Strategy for development co-operation with the Democratic Republic of Congo April 2009 – December 2012	15/04/2009	N/A	Ministry of Foreign Affairs	PDF	3/02/2013	http://www.regeringen.se/content/1/c6/13/72/14/2b42b97a.pdf	1
<i>Vietnam (South-east Asia)</i>	1	Strategy for development co-operation with Vietnam January 2009 -December 2013	12/02/2009	N/A	Ministry of Foreign Affairs	PDF	3/02/2013	http://www.government.se/content/1/c6/09/40/06/4409ef7c.pdf	1

Sub-total	15								15
4.2: Country Programmes: Projects Information									
• Information on actual activities in the country and budgets									
Information on activities planned									
<i>Palestinian Territories (Middle-east)</i>	2	Strategy for development co-operation with the West Bank and Gaza July 2008 – December 2011	25/06/2008	N/A	Ministry of Foreign Affairs	PDF	3/02/2013	http://www.government.se/content/1/c6/09/40/07/1fc71245.pdf	2
<i>Bangladesh (Asia)</i>	2	Strategy for development co-operation with Bangladesh January 2008-December 2012	15/05/2008	N/A	Ministry of Foreign Affairs	PDF	18/02/2013	http://www.regeringen.se/content/1/c6/03/97/26/c2fdac9c.pdf	2
<i>Tanzania (East Africa)</i>	2	Regional strategy for development co-operation with Tanzania 2006-2010	8/11/2006	N/A	Ministry of Foreign Affairs	PDF	3/02/2013	http://www.government.se/content/1/c6/09/40/02/14c95285.pdf	2

<i>Democratic Republic of Congo (West Africa)</i>	2	Strategy for development co-operation with the Democratic Republic of Congo April 2009 – December 2012	15/04/2009	N/A	Ministry of Foreign Affairs	PDF	3/02/2013	http://www.regeringen.se/content/1/c6/13/72/14/2b42b97a.pdf	2
<i>Vietnam (South-east Asia)</i>	2	Strategy for development co-operation with Vietnam January 2009 -December 2013	12/02/2009	N/A	Ministry of Foreign Affairs	PDF	3/02/2013	http://www.government.se/content/1/c6/09/40/06/4409ef7c.pdf	2
Budget for activities in country									
<i>Palestinian Territories (Middle-east)</i>	1	Where is the aid going? Palestinian Adm. Areas	N/A	N/A	Swedish Ministry of Foreign Affairs in collaboration with Sida What is Openaid.se?	HTML	3/02/2013	http://www.openaid.se/en/countries/palestinian-adm-areas	1
<i>Bangladesh (Asia)</i>	1	Where is the aid going? Bangladesh	N/A	N/A	Swedish Ministry of Foreign Affairs in collaboration with Sida What is Openaid.se?	HTML	3/02/2013	http://www.openaid.se/en/countries/bangladesh	1

with other bi- and multi-lateral									
Information on aid flows by channel									
<i>Palestinian Territories (Middle-east)</i>	2	Where is the aid going? Palestinian Adm. Areas	N/A	N/A	Swedish Ministry of Foreign Affairs in collaboration with Sida What is Openaid.se?	HTML	3/02/2013	http://www.openaid.se/en/countries/palestinian-adm-areas	2
<i>Bangladesh (Asia)</i>	2	Where is the aid going? Bangladesh	N/A	N/A	Swedish Ministry of Foreign Affairs in collaboration with Sida What is Openaid.se?	HTML	3/02/2013	http://www.openaid.se/en/countries/bangladesh	2
<i>Tanzania (East Africa)</i>	2	Where is the aid going? Tanzania	N/A	N/A	Swedish Ministry of Foreign Affairs in collaboration with Sida What is Openaid.se?	HTML	3/02/2013	http://www.openaid.se/en/countries/tanzania	2

<i>Democratic Republic of Congo (West Africa)</i>	2	Where is the aid going? Democratic Republic of Congo	N/A	N/A	Swedish Ministry of Foreign Affairs in collaboration with Sida What is Openaid.se?	HTML	3/02/2013	http://www.openaid.se/en/countries/congo-dem-rep	2
<i>Vietnam (South-east Asia)</i>	2	Where is the aid going? Vietnam	N/A	N/A	Swedish Ministry of Foreign Affairs in collaboration with Sida What is Openaid.se?	HTML	3/02/2013	http://www.openaid.se/en/countries/viet-nam	2
Information on work alongside other donors and policies for co-operation in this work where applicable									
<i>Palestinian Territories (Middle-east)</i>	1	Our work in the West Bank and Gaza	17/06/2009	6/05/2010	Sida	HTML	3/02/2013	http://www.Sida.se/English/Countries-and-regions/Asia/the-West-Bank-and-Gaza/Our-work-in-West-Bank-and-Gaza/	1

<i>Bangladesh (Asia)</i>	1	Our work in Bangladesh	17/06/2009	6/05/2010	Sida	HTML	18/02/2013	http://www.Sida.se/English/Countries-and-regions/Asia/Bangladesh/Our-work-in-Bangladesh/	1
		Swedish development co-operation with Bangladesh – a brief overview	October 2009	N/A	Sida	PDF	18/02/2013	http://www.Sida.se/Global/Countries%20and%20regions/Asia%20incl.%20Middle%20East/Bangladesh/Overview%20Bangladesh.pdf	
<i>Tanzania (East Africa)</i>	1	Swedish Development Co-operation with Tanzania	N/A	N/A	Embassy of Sweden Belgrade	HTML	4/02/2013	http://www.swe denabroad.com/en-GB/Embassies/D ar-es-Salaam/Develop ment-Co-operation/Sweden--Tanzania/	1
		Our work in Tanzania	17/06/2009	16/08/2011	Sida	HTML	4/02/2013	http://www.Sida.se/English/Countries-and-regions/Africa/Tanzania/Our-work-in-Tanzania/	

		Support to Bilateral Research Co-operation	17/06/2010	20/08/2012	Sida	HTML	4/02/2013	http://Sida.orbelon.com/research-co-operation/what-we-support/bilateral-co-operation.aspx	
<i>Democratic Republic of Congo (West Africa)</i>	1	Our work in the Democratic Republic of Congo	17/06/2009	9/04/2010	Sida	HTML	4/02/2013	http://www.Sida.se/English/Countries-and-regions/Africa/Democratic-Republic-of-Congo-/Our-work-in-the-Democratic-Republic-of-Congo/	1
<i>Vietnam (South-east Asia)</i>	1	Our work in Vietnam	17/06/2009	13/10/2010	Sida	HTML	4/02/2013	http://www.Sida.se/English/Countries-and-regions/Asia/Vietnam/Our-work-in-Vietnam/	1

		Development Co-operation with Vietnam	N/A	N/A	Embassy of Sweden Hanoi	HTML	4/02/2013	http://www.swedenabroad.com/en-GB/Embassies/Hanoi/Development-Co-operation/Development-Co-operation-with-Vietnam/	
		Swedish CENTEC Vietnam	N/A	N/A	Embassy of Sweden Hanoi	HTML	4/02/2013	http://www.swedenabroad.com/en-GB/Embassies/Hanoi/Development-Co-operation/Swedish-CENTEC-Vietnam/	
		Support to rule of law and equal access to justice	N/A	N/A	Embassy of Sweden Hanoi	HTML	4/02/2013	http://www.swedenabroad.com/en-GB/Embassies/Hanoi/Development-Co-operation/Development-Co-operation-with-Vietnam/Support-to-rule-of-law-and-equal-access-to-justice/	

		Democracy	N/A	N/A	Embassy of Sweden Hanoi	HTML	4/02/2013	http://www.swednabroad.com/en-GB/Embassies/Hanoi/Development-Co-operation/Development-Co-operation-with-Vietnam/Democracy-and-Poverty-Alleviation/	
		Media – Further Training of Journalists in Vietnam	N/A	N/A	Embassy of Sweden Hanoi	HTML	4/02/2013	http://www.swednabroad.com/en-GB/Embassies/Hanoi/Development-Co-operation/Development-Co-operation-with-Vietnam/Media/	
		Health Co-operation	N/A	N/A	Embassy of Sweden Hanoi	HTML	4/02/2013	http://www.swednabroad.com/en-GB/Embassies/Hanoi/Development-Co-operation/Development-Co-operation-with-Vietnam/Health-Co-operation/	

Appendix VI: Worksheet for Department for International Development (DFID)

INDICATOR	Maximum number of points	Name	Date published	Data Updated	Authors	Type of document	Date Accessed	Source (Website)	Score
1.1: Organisational Structure									
• Information on Organisational structure									
List of departments and full descriptions	2	"About us"	19/10/2012		Department of International Development	HTML	19/01/2013	http://www.dfid.gov.uk/About-us/	2
Organogram or otherwise clear explanation of structures and roles of different parts of the organisation	2	Department for International Development Organisation Chart	1/11/2012	N/A	Department of International Development	PDF	19/01/2013	http://www.dfid.gov.uk/Documents/aboutdfid/organogram.pdf	2
		Department for International Development Organisation Chart	1/11/2012	N/A	Department of International Development	API	19/01/2013	http://reference.data.gov.uk/gov-structure/organogram/?pubbod=dfid&post=A1#	
Staff Directory	2	staff-salary-data-march2011	1/03/2011	N/A	Department of International Development	CSV	19/01/2013	http://www.dfid.gov.uk/Documents/datasets/staff-salary-data-	2

								march2011.csv	
		staff-salary-data-march2011-junior	2/03/2011	N/A	Department of International Development	CSV	20/01/2013	http://www.dfid.gov.uk/Documents/datasets/staff-and-salary-data-March-2011-junior.csv	
Sub-total	6								6
1.2: Main Aid Strategy									
• Current Main Strategy document									
Description of strategy and planned activities	2	Business Plan 2012-2015 Department for International Development	31/05/2012	N/A	Department of International Development	PDF	20/01/2013	http://www.dfid.gov.uk/Documents/DFIDbusiness-plan2012.pdf	2
Information on how decisions were taken to arrive at strategy	1	Business Plan 2012-2015 Department for International Development	31/05/2012	N/A	Department of International Development	PDF	20/01/2013	http://www.dfid.gov.uk/Documents/DFIDbusiness-plan2012.pdf	0
Criteria for allocating aid within the strategy	1	Business Plan 2012-2015 Department for International Development	31/05/2012	N/A	Department of International Development	PDF	21/01/2013	http://www.dfid.gov.uk/Documents/DFIDbusiness-plan2012.pdf	1

Detailed planned activities for the upcoming year by country/sector/modality	2	Business Plan 2012-2015 Department for International Development	31/05/2012	N/A	Department of International Development	PDF	21/01/2013	http://www.dfid.gov.uk/Documents/DFIDbusiness-plan2012.pdf	2
Sub-total	6								5
1.3: Aid Budget									
• Budget for the strategy period and/or on an annual basis.									
Detailed budget available as opposed to overall figures	2	Business Plan 2012-2015 Department for International Development	31/05/2012	N/A	Department of International Development	PDF	21/01/2013	http://www.dfid.gov.uk/Documents/DFIDbusiness-plan2012.pdf	2
Details by sector / channel	1	Business Plan 2012-2015 Department for International Development	31/05/2012	N/A	Department of International Development	PDF	21/01/2013	http://www.dfid.gov.uk/Documents/DFIDbusiness-plan2012.pdf	2
Aid by country	2	Business Plan 2012-2015 Department for International Development	31/05/2012	N/A	Department of International Development	PDF	21/01/2013	http://www.dfid.gov.uk/Documents/DFIDbusiness-plan2012.pdf	0

Budget broken down into aid flows by the kind of aid (modalities)	1	Business Plan 2012-2015 Department for International Development	31/05/2012	N/A	Department of International Development	PDF	21/01/2013	http://www.dfid.gov.uk/Documents/DFIDbusiness-plan2012.pdf	2
Sub-total	6								6
1.4: Annual Report									
• Annual Report (2011-2012)									
Narrative reports on what was done	1	Annual Report and Accounts 2011-2012	10/07/2012	27/07/2012	Department of International Development	PDF	20/01/2013	http://www.dfid.gov.uk/Documents/publications1/departemental-report/2012/Annual-report-accounts-2011-12.pdf	1
		DFID spend	N/A	4/09/2012	Department of International Development	HTML	8/02/2013	http://www.dfid.gov.uk/About-us/How-we-measure-progress/DFID-spend/	
Comprehensive reporting on countries of activity and what was done	2	Annual Report and Accounts 2011-2012	10/07/2012	27/07/2012	Department of International Development	PDF	20/01/2013	http://www.dfid.gov.uk/Documents/publications1/departemental-	2

								report/2012/Annual-report-accounts-2011-12.pdf	
		DFID spend	N/A	4/09/2012	Department of International Development	HTML	8/02/2013	http://www.dfid.gov.uk/About-us/How-we-measure-progress/DFID-spend/	
Reporting on sectors / channels / modalities	2	Annual Report and Accounts 2011-2012	10/07/2012	27/07/2012	Department of International Development	PDF	20/01/2013	http://www.dfid.gov.uk/Documents/publications1/departemental-report/2012/Annual-report-accounts-2011-12.pdf	2
		DFID spend	N/A	4/09/2012	Department of International Development	HTML	8/02/2013	http://www.dfid.gov.uk/About-us/How-we-measure-progress/DFID-spend/	
Evaluations of the effectiveness of aid funds disbursed	1	Annual Report and Accounts 2011-2012	10/07/2012	27/07/2012	Department of International Development	PDF	20/01/2013	http://www.dfid.gov.uk/Documents/publications1/departemental-report/2012/Annual-report-accounts-2011-12.pdf	1

		DFID spend	N/A	4/09/2012	Department of International Development	HTML	8/02/2013	http://www.dfid.gov.uk/About-us/How-we-measure-progress/DFID-spend/	
Sub-total	6								6
1.5: Financial Report									
• Report on previous year's budget spending.									
Existence of report on expenditure	1	Not available							0
Detail to regional spending levels	1	Not available							0
Detail of sectorial spending	1	Not available							0
Detail of modality and channel = programme, project	1	Not available							0
Detail by country	1	Not available							0
Detail by projects	1	Not available							0
Sub-total	6								0

2.2: Public Procurement procedure and tenders									
• Information on procurement procedures									
Information on policies and procedures for public procurement	2	Procurement	N/A	N/A	Department of International Development	HTML	8/02/2013	http://www.dfid.gov.uk/Work-with-us/Procurement/	2
		Procurement transparency	N/A	3/10/2011	Department of International Development	HTML	8/02/2013	http://www.dfid.gov.uk/Work-with-us/Procurement/Procurement-transparency/	
		Procurement of goods and equipment	N/A	3/10/2011	Department of International Development	HTML	8/02/2013	http://www.dfid.gov.uk/Work-with-us/Procurement/Procurement-of-goods-and-equipment/	
		Procurement complaints procedure	N/A	3/10/2011	Department of International Development	HTML	8/02/2013	http://www.dfid.gov.uk/Work-with-us/Procurement/Complaints-procedure/	
		Transactional services - DFID Digital	December 2012	N/A	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/About-us/How-we-	

		Strategy 2012-2015						measure-progress/dfid-digital-strategy/What-we-do-now-and-opportunities-for-change/Transactional-services/	
Publication of open and closed tenders	1	Contracts Finder	N/A	N/A	The National Archives	HTML	8/02/2013	http://www.contractsfinder.businesslink.gov.uk/?site=1000&lang=en	1
Sub-total	3								3
2.3: Current Contracts									
• Information on procurement procedures									
Actual contracts made available	1	Contracts Finder	N/A	N/A	The National Archives	HTML	8/02/2013	http://www.contractsfinder.businesslink.gov.uk/?site=1000&lang=en	1
Reporting on contracts	1	Contracts Finder	N/A	N/A	The National Archives	HTML	8/02/2013	http://www.contractsfinder.businesslink.gov.uk/?site=1000&lang=en	1

Information on contractors and sub-contracting agents	1	Contracts Finder	N/A	N/A	The National Archives	HTML	8/02/2013	http://www.contractsfinder.businesslink.gov.uk/?site=1000&lang=en	1
Sub-total	3								3
2.4: Grant Application Policy and Procedures									
• Information on grants (related to project aid and other grants to civil society groups)									
Policy on grant-making and the publication of grant details	1	Funding opportunities	N/A	N/A	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/Work-with-us/Funding-opportunities/	1
		Conflict & Humanitarian Funding	N/A	N/A	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/Work-with-us/Funding-opportunities/Conflict-and-humanitarian/	
		Educational institutions	N/A	N/A	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/Work-with-us/Funding-opportunities/Educational-	

								institutions/ http://www.dfid.gov.uk/Work-with-us/Funding-opportunities/Individuals/	
		Individuals	N/A	N/A	Department of International Development	HTML	9/02/2013		
		Local authorities	N/A	N/A	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/Work-with-us/Funding-opportunities/Local-authorities/	
		Media	N/A	N/A	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/Work-with-us/Funding-opportunities/Media/	
		Partnerships	N/A	N/A	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/Work-with-us/Funding-opportunities/partnerships/	
		Closed Funds	N/A	N/A	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/Work-with-us/Funding-opportunities/Closed-funds/	

		Not-for-profit organisations	N/A	N/A	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/Work-with-us/Funding-opportunities/Not-for-profit-organisations/	
		Business	N/A	N/A	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/Work-with-us/Funding-opportunities/Business/	
		Countries and regions	N/A	N/A	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/Work-with-us/Funding-opportunities/Countries-and-regions/	
		Transactional services - DFID Digital Strategy 2012-2015	December 2012	N/A	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/About-us/How-we-measure-progress/dfid-digital-strategy/What-we-do-now-and-opportunities-for-change/Transactional-services/	

Information on how organisations can apply for grants, including time-frames	1	Funding opportunities	N/A	N/A	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/Work-with-us/Funding-opportunities/	1
		Conflict & Humanitarian Funding	N/A	N/A	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/Work-with-us/Funding-opportunities/Conflict-and-humanitarian/	
		Educational institutions	N/A	N/A	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/Work-with-us/Funding-opportunities/Educational-institutions/	
		Individuals	N/A	N/A	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/Work-with-us/Funding-opportunities/Individuals/	
		Local authorities	N/A	N/A	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/Work-with-us/Funding-opportunities/Local-authorities/	

		Media	N/A	N/A	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/Work-with-us/Funding-opportunities/Media/	
		Partnerships	N/A	N/A	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/Work-with-us/Funding-opportunities/partnerships/	
		Closed Funds	N/A	N/A	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/Work-with-us/Funding-opportunities/Closed-funds/	
		Not-for-profit organisations	N/A	N/A	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/Work-with-us/Funding-opportunities/Not-for-profit-organisations/	
		Business	N/A	N/A	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/Work-with-us/Funding-opportunities/Business/	
		Countries and regions	N/A	N/A	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/Work-with-	

								us/Funding-opportunities/Countries-and-regions/	
		Transactional services - DFID Digital Strategy 2012-2015	December 2012	N/A	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/About-us/How-we-measure-progress/dfid-digital-strategy/What-we-do-now-and-opportunities-for-change/Transactional-services/	
Criteria for awarding grants and information about how decisions are made	1	Funding opportunities	N/A	N/A	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/Work-with-us/Funding-opportunities/	1
		Conflict & Humanitarian Funding	N/A	N/A	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/Work-with-us/Funding-opportunities/Countries-and-regions/	

		Educational institutions	N/A	N/A	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/Work-with-us/Funding-opportunities/Educational-institutions/	
		Individuals	N/A	N/A	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/Work-with-us/Funding-opportunities/Individuals/	
		Local authorities	N/A	N/A	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/Work-with-us/Funding-opportunities/Local-authorities/	
		Media	N/A	N/A	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/Work-with-us/Funding-opportunities/Media/	
		Partnerships	N/A	N/A	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/Work-with-us/Funding-opportunities/partnerships/	

		Closed Funds	N/A	N/A	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/Work-with-us/Funding-opportunities/Closed-funds/	
		Not-for-profit organisations	N/A	N/A	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/Work-with-us/Funding-opportunities/Not-for-profit-organisations/	
		Business	N/A	N/A	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/Work-with-us/Funding-opportunities/Business/	
		Countries and regions	N/A	N/A	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/Work-with-us/Funding-opportunities/Countries-and-regions/	

		Transactional services - DFID Digital Strategy 2012-2015	December 2012	N/A	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/About-us/How-we-measure-progress/dfid-digital-strategy/What-we-do-now-and-opportunities-for-change/Transactional-services/	
Sub-total	3								3
2.5: Current Grants									
• Information on grants									
Reporting on grants	1								

Details on current grants made, including names and dates	1	Annex 2: Transactions detail - DFID Digital Strategy 2012-2015	December 2012	N/A	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/About-us/How-we-measure-progress/dfid-digital-strategy/Annex-2-Transactions-detail/	1
Evaluation of current grants made, including submissions from recipients	1	Not available							0
Sub-total	3								1
2.6: Evaluation Information									
• Evaluation reports									
Evidence of systematic evaluation	up to 2 points	DFID Results Framework	N/A	19/09/2012	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/About-us/How-we-measure-progress/DFID-Results-Framework/	2

Information on the policies and practices to prevent corruption	2	F2 Fraud	N/A	3/10/2011	Department of International Development	HTML	8/02/2013	http://www.dfid.gov.uk/About-us/Our-organisation/blue-book/Blue-Book-index-F-to-K/F2/	2
Reports on assessment of risks of corruption related to the institution's activities	1	The Multilateral Aid Review	21/11/2011 1	19/03/2012 2	Department of International Development	HTML	9/02/2013	http://www.dfid.gov.uk/What-we-do/How-UK-aid-is-spent/a-new-direction-for-uk-aid/Multilateral-Aid-Review/	1
Sub-total	3								3
3.2: Gifts / Assets Declarations									
• Declarations of individuals (and institutions)									
Assets declarations of key individuals	1	Not available							0

Gifts policies, gifts registers, assets declarations of institutions and any other expense declarations	2	Not available							0
Sub-total	3								0
3.3: Accountability Mechanisms									
• Complaints/ Whistle-blowers									
• Mechanisms and protection in complaints procedures									
Information about mechanisms for raising concerns about illegal, fraudulent or corrupt practices	1	How to report fraud	N/A	2/11/2013	Department of International Development	HTML	11/02/2013	http://www.dfid.gov.uk/About-us/How-we-measure-progress/Reporting-fraud/	1

<i>Palestinian Territories (Middle-east)</i>	1	Operational Plan 2011-2015 DFID Palestinian Programme	1/07/2012	N/A	Department of International Development	PDF	15/02/2013	http://www.dfid.gov.uk/Documents/publications1/op/occupied-Palestinian-territories-2011.pdf	1
<i>Bangladesh (Asia)</i>	1	Operational Plan 2011-2015 DFID Bangladesh	August 2012	N/A	Department of International Development	PDF	8/02/2013	http://www.dfid.gov.uk/Documents/publications1/op/Bangladesh-2011.pdf	1
<i>Tanzania (East Africa)</i>	1	Operational Plan 2011-2015 DFID Tanzania	May 2012	N/A	Department of International Development	PDF	8/02/2013	http://www.dfid.gov.uk/Documents/publications1/op/tanzania-2011.pdf	1
<i>Democratic Republic of Congo (West Africa)</i>	1	Operational Plan 2011-2015 DFID Democratic Republic of Congo	May 2011	N/A	Department of International Development	PDF	8/02/2013	http://www.dfid.gov.uk/Documents/publications1/op/drc-2011.pdf	1

<i>Vietnam (South-east Asia)</i>	1	Operational Plan 2011-2015 DFID Vietnam	N/A	June 2012	Department of International Development	PDF	8/02/2013	http://www.dfid.gov.uk/Documents/publications1/op/vietnam-2011.pdf	1
Information on which aid modality(s) being used									
<i>Palestinian Territories (Middle-east)</i>	1	Operational Plan 2011-2015 DFID Palestinian Programme	July 2012	N/A	Department of International Development	PDF	15/02/2013	http://www.dfid.gov.uk/Documents/publications1/op/occupied-palestinian-territories-2011.pdf	1
<i>Bangladesh (Asia)</i>	1	Operational Plan 2011-2015 DFID Bangladesh	August 2012	N/A	Department of International Development	PDF	8/02/2013	http://www.dfid.gov.uk/Documents/publications1/op/Bangladesh-2011.pdf	1
<i>Tanzania (East Africa)</i>	1	Operational Plan 2011-2015 DFID Tanzania	May 2012	N/A	Department of International Development	PDF	8/02/2013	http://www.dfid.gov.uk/Documents/publications1/op/tanzania-2011.pdf	1

<i>Democratic Republic of Congo (West Africa)</i>	1	Operational Plan 2011-2015 DFID Democratic Republic of Congo	May 2011	N/A	Department of International Development	PDF	8/02/2013	http://www.dfid.gov.uk/Documents/publications1/op/drc-2011.pdf	1
<i>Vietnam (South-east Asia)</i>	1	Operational Plan 2011-2015 DFID Vietnam	N/A	June 2012	Department of International Development	PDF	8/02/2013	http://www.dfid.gov.uk/Documents/publications1/op/vietnam-2011.pdf	1
References to the country's own strategy									
<i>Palestinian Territories (Middle-east)</i>	1	Operational Plan 2011-2015 DFID Palestinian Programme	July 2012	N/A	Department of International Development	PDF	15/02/2013	http://www.dfid.gov.uk/Documents/publications1/op/occupied-palestinian-territories-2011.pdf	1
<i>Bangladesh (Asia)</i>	1	Operational Plan 2011-2015 DFID Bangladesh	August 2012	N/A	Department of International Development	PDF	8/02/2013	http://www.dfid.gov.uk/Documents/publications1/op/Bangladesh-2011.pdf	1

<i>Palestinian Territories (Middle-east)</i>	2	Project search: West Bank and Gaza	N/A	N/A	Department of International Development	HTML	15/02/2013	http://projects.dfid.gov.uk/Default.aspx?countrySelect=WB-Occupied%20Palestinian%20Territories	2
<i>Bangladesh (Asia)</i>	2	Project search: Bangladesh	N/A	N/A	Department of International Development	HTML	8/02/2013	http://projects.dfid.gov.uk/Default.aspx?countrySelect=BD-Bangladesh	2
<i>Tanzania (East Africa)</i>	2	Project search: Tanzania	N/A	N/A	Department of International Development	HTML	8/02/2013	http://projects.dfid.gov.uk/Default.aspx?countrySelect=TZ-Tanzania	2
<i>Democratic Republic of Congo (West Africa)</i>	2	Project search: Democratic Republic of Congo	N/A	N/A	Department of International Development	HTML	8/02/2013	http://projects.dfid.gov.uk/Default.aspx?countrySelect=CG-Congo%20(Democratic%20Republic)	2

<i>Vietnam (South-east Asia)</i>	2	Project search: Vietnam	N/A	N/A	Department of International Development	HTML	8/02/2013	http://projects.dfid.gov.uk/Default.aspx?countrySelect=VN-Vietnam	2
Budget for activities in country									
<i>Palestinian Territories (Middle-east)</i>	1	Occupied Palestinian Territories	N/A	5/04/2012	Department of International Development	HTML	15/02/2013	http://www.dfid.gov.uk/Where-we-work/Middle-East--North-Africa/OPT/	1
<i>Bangladesh (Asia)</i>	1	Bangladesh	N/A	5/04/2012	Department of International Development	HTML	18/02/2013	http://www.dfid.gov.uk/Where-we-work/Asia-South/Bangladesh/	1
<i>Tanzania (East Africa)</i>	1	Tanzania	N/A	5/04/2012	Department of International Development	HTML	8/02/2013	http://www.dfid.gov.uk/Where-we-work/Africa-Eastern--Southern/Tanzania/	1

<i>Palestinian Territories (Middle-east)</i>	2	Project search: West Bank and Gaza	N/A	N/A	Department of International Development	HTML	15/02/2013	http://projects.dfid.gov.uk/Default.aspx?countrySelect=WB-Occupied%20Palestinian%20Territories	2
<i>Bangladesh (Asia)</i>	2	Project search: Bangladesh	N/A	N/A	Department of International Development	HTML	8/02/2013	http://projects.dfid.gov.uk/Default.aspx?countrySelect=BD-Bangladesh	2
<i>Tanzania (East Africa)</i>	2	Project search: Tanzania	N/A	N/A	Department of International Development	HTML	8/02/2013	http://projects.dfid.gov.uk/Default.aspx?countrySelect=TZ-Tanzania	2
<i>Democratic Republic of Congo (West Africa)</i>	2	Project search: Democratic Republic of Congo	N/A	N/A	Department of International Development	HTML	8/02/2013	http://projects.dfid.gov.uk/Default.aspx?countrySelect=CG-Congo%20(Democratic%20Republic)	2

<i>Vietnam (South-east Asia)</i>	2	Project search: Vietnam	N/A	N/A	Department of International Development	HTML	8/02/2013	http://projects.dfid.gov.uk/Default.aspx?countrySelect=VN-Vietnam	2
Information on work alongside other donors and policies for co-operation in this work where applicable									
<i>Palestinian Territories (Middle-east)</i>	1	Summary of DFID's work in the Occupied Palestinian Territories 2011-2015	June 2012	N/A	Department of International Development	PDF	15/02/2013	http://www.dfid.gov.uk/Documents/publications1/op/occupied-palestinian-territories-2011-summary.pdf	1
<i>Bangladesh (Asia)</i>	1	Summary of DFID's work in Bangladesh 2011-2015	August 2012	N/A	Department of International Development	PDF	15/02/2013	http://www.dfid.gov.uk/Documents/publications1/op/Bangladesh-2011-summary.pdf	1

<i>Tanzania (East Africa)</i>	1	Summary of DFID's work in Tanzania 2011-2015	May 2012	N/A	Department of International Development	PDF	8/02/2013	http://www.dfid.gov.uk/Documents/publications1/op/tanzania-2011-summary.pdf	1
<i>Democratic Republic of Congo (West Africa)</i>	1	Joint evaluation of conflict prevention and peace-building in the Democratic Republic of Congo	17/06/2011	N/A	Department of International Development	PDF	8/02/2013	http://www.dfid.gov.uk/Documents/publications1/evaluation/evaluation-conflict-prevention-drcongo.pdf	1
		Summary of DFID's work in the Democratic Republic of Congo (DRC) 2011-2015	May 2011	N/A	Department of International Development	PDF	8/02/2013	http://www.dfid.gov.uk/Documents/publications1/op/drc-2011-summary.pdf	
<i>Vietnam (South-east Asia)</i>	1	Summary of DFID's work in Vietnam 2011-2015	June 2012	N/A	Department of International Development	PDF	8/02/2013	http://www.dfid.gov.uk/Documents/publications1/op/vietnam-2011-summary.pdf	1
Sub-total	15								15
TOTAL	102								89

TOTAL (Percentage)	100.00%								87.25%
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