**Global Partnership**
for Effective Development
Co-operation

# 2018 MONITORING GUIDE

**For National Co-ordinators**
from Participating Governments

**All materials and tools at**:
www.effectivecooperation.org/2018monitoring

**For questions & help**:
monitoring@effectivecooperation.org

# ABOUT THIS

# GUIDE

## FOR NATIONAL CO-ORDINATORS

The objective of this monitoring guide is to **help participating governments lead their country's participation in the 2018 monitoring round** of the Global Partnership for Effective Development Co-operation (hereafter "*the Global Partnership*").

This document provides guidance on the process and methodology of the monitoring exercise, and outlines how countries and their partners can use the results. The monitoring exercise, led by participating governments, is assisted by the OECD-UNDP Joint Support Team of the Global Partnership.

**The first deadline for countries to submit data is 31 October 2018. This will allow countries to use the findings** to inform the Sustainable Development Goals and Financing for Development follow-up and review processes, as well as the Global Partnership Senior-Level Meeting, scheduled to take place in July 2019 in concurrence with the United Nations High Level Political Forum.

**All countries are invited to participate in monitoring efforts.** A list of countries that have expressed their interest in participating in the monitoring exercise is available at www.effectivecooperation. org/2018monitoring. Countries interested in participating and not yet included in the country list are invited to contact the OECD-UNDP Joint Support Team at monitoring@effectivecooperation.org.

This guide and other supporting documents and tools will be available at: www.effectivecooperation.org/2018monitoring.

**OECD-UNDP Joint Support Team**
**Global Partnership for Effective Development Co-operation**

# CONTENT

## GLOBAL PARTNERSHIP MONITORING IN A NUTSHELL

# WHO IS WHO IN GLOBAL PARTNERSHIP MONITORING

The Global Partnership monitoring exercise is characterised by the participation of various actors. In this Monitoring guide we use the following terminology, described below for clarity:

## PARTICIPATING GOVERNMENTS



Also known in this Guide as **partner countries**. These are the countries and territories leading the monitoring exercise.

Some participating countries are both providers and recipients of development co-operation.

## DEVELOPMENT PARTNERS



These are the **bilateral and multilateral agencies and funds** that provide official development co-operation funding to participating governments -- whether concessional or not.

## DOMESTIC ACTORS



These **domestic stakeholders** may include the private sector, civil society, foundations, trade unions, parliaments and subnational governments.

## NATIONAL CO-ORDINATOR



The national co-ordinator is the official sitting in a **core ministry or agency** from each participating government, who **leads** the monitoring exercise.

## FOCAL POINT(S)



Focal points are appointed by the various stakeholders to **facilitate exchanges and dialogue** with national co-ordinators of participating governments.

## OECD-UNDP JOINT SUPPORT TEAM



The Joint Support Team is a team of officials based in Paris and New York dedicated to **support the participation of all actors** in the monitoring exercise.

# GLOBAL PARTNERSHIP MONITORING IN A NUTSHELL

## The basics

### GLOBAL PARTNERSHIP

**What is the Global Partnership?**

The Global Partnership for Effective Development Co-operation was established by 163 countries in Busan (2011) as a multi-stakeholder platform that aims to advance the effectiveness of all development efforts and contribute to the achievement of the Sustainable Development Goals (SDGs). It fosters engagement and mutual learning on how to make development co-operation more aligned, effective, country-owned, results-oriented, inclusive, transparent and accountable.

### PURPOSE

**What is the purpose of the Global Partnership Monitoring?**

The monitoring exercise helps countries and their development partners assess progress, opportunities and obstacles in aligning their efforts and partnerships with the effectiveness principles. Improving the quality, impact and effectiveness of development co-operation is crucial to ensuring that the SDGs are achieved.

### INDICATORS

**What does the Global Partnership monitor?**

Its monitoring framework is comprised of 10 indicators focusing on strengthening and using countries' domestic institutions, increasing transparency and predictability of development co-operation, and supporting better engagement of foreign and domestic partners in development.

### PROCESS

**How does the monitoring exercise work?**

The monitoring exercise is led by national governments and brings together bilateral and multilateral organisations, the private sector, and civil society, among others, to make their partnerships more effective. Participating governments appoint a national co-ordinator, who collaborates with the other stakeholders and the Global Partnership to obtain the country results.

### ACTION

**How will the data be used?**

Country-specific results of the monitoring exercise, along with global aggregates, provide key evidence through which partners can identify strengths and opportunities, and guide dialogue to action to maximise the impact of their joint work. The monitoring exercise helps countries and their partners identify ways to enhance their collaboration in working towards the SDGs. It also provides official data for several SDG 17 and 5 targets. Implementing the commitments monitored through this exercise has a catalytic effect in achieving all other SDGs.

### TIMELINE

**What is the timeline for the 2018 monitoring exercise?**

| Phase 1 | Phase 2 | Phase 3 | Phase 4 | Phase 5 | Phase 6 |
|---------|---------|---------|---------|---------|---------|
| **Launch of the round** (June-July 2018) | **Sensitisation and preparation** (July-August) | **Data collection at county level** (August - **31 October**) | **Final validation** (November-December 2018) | **Aggregation and analysis** (January-June 2019) | **Reporting, dialogue and action on results** (throughout 2019) |

### SUPPORT

**What tools are available?**

Complementing this Guide, multiple support tools are available, including: a permanent helpdesk, user-friendly tools to gather and analyse the data, a checklist of the monitoring process, virtual trainings and self-training videos, and regular webinars. All tools are being made available at: effectivecooperation.org/2018monitoring

# UNDERSTANDING GLOBAL PARTNERSHIP MONITORING

# PART 1 | UNDERSTANDING GLOBAL PARTNERSHIP MONITORING

## 1.1 WHAT IS THE GLOBAL PARTNERSHIP MONITORING?

Through its monitoring exercise, the Global Partnership supports countries in tracking the implementation of effective development co-operation commitments, aimed at implementing four development effectiveness principles – country ownership, a focus on development results, inclusive partnerships, and enhancing transparency and mutual accountability.

The monitoring exercise complements the Sustainable Development Goals (SDG) follow-up and review process by generating data for SDG 17 and SDG 5, and by helping countries assess how effective all actors are in working together to support national development priorities and development results.

## 1.2 WHY PARTICIPATE IN THE MONITORING EXERCISE?

The Global Partnership monitoring exercise helps countries and other participants strengthen co-ordination between all partners and alignment to development efforts with national priorities. National governments and their partners can use monitoring data to track progress in meeting effective co-operation commitments and support evidence-based dialogue on successes, challenges and follow-up actions.

There are specific benefits for various stakeholder groups:

# FOR PARTICIPATING GOVERNMENTS, PARTICIPATION IN THE MONITORING EXERCISE...

## PROVIDES EVIDENCE

... provides data and evidence to empower decision-makers in managing development co-operation.

The results of the monitoring exercise provide a concrete foundation on which governments can hold their partners accountable to ensure effectiveness commitments are met with action. The results identify effectiveness successes and challenges, spurring national dialogue and driving behaviour change to ensure improved impact of development co-operation.

## MEASURES SDGS

... supports SDG reporting.

As one of the key instruments to measure the means of implementation of the 2030 Agenda for Sustainable Development, the monitoring process generates data for countries to assess their progress towards achieving three SDG targets: 5.c, 17.15 and 17.16. More importantly, making progress in implementing effectiveness commitments, as monitored through the Global Partnership exercise, has a broader catalytic effect in achieving all other SDGs.

## SPOTLIGHT

...showcases south-south and technical co-operation.

An increasing number of countries play a dual role as providers and beneficiaries of development co-operation. Through a tailored approach to the monitoring exercise, dual-role countries can highlight and evaluate the effectiveness of the co-operation they provide, ensuring it is used for maximum impact.

## BUILDS CAPACITY

... builds capacity to monitor effectiveness in country.

Governments choosing to participate in the monitoring exercise are provided with a series of guidance and tools to facilitate the process, as well as virtual and in-person trainings. This experience can serve to build capacity in the areas of aid effectiveness, monitoring and evaluation, information management and partner coordination.

## ENTRY POINT FOR PARTNERSHIPS

... serves as an entry point to mobilise and engage with a broad range of stakeholders.

Effective and inclusive partnerships are vital to achieve the SDGs and sustainable growth. The monitoring exercise is a concrete opportunity to start or to strengthen dialogue with the private sector and with civil society. In cases where engagement platforms do not already exist, governments can use the monitoring exercise to create mechanisms for dialogue with other development actors.

## LEADS TO ACTION

... helps guiding the actions of development partners.

Development partners committed again in 2016 to "finish the unfinished business" of the aid effectiveness agenda, such as delivering support in line with the national policies and priorities of partner countries, and to do so while strengthening and relying upon those country institutions to deliver their support.

## FOR DEVELOPMENT PARTNERS,
## PARTICIPATION IN THE MONITORING EXERCISE...

### DEVELOPMENT EFFECTIVENESS

*... provides an opportunity to work with partner countries more effectively.*

As noted above, results of the monitoring exercise provide data and evidence that can be used to make development co-operation more effective, thereby maximising development impact. However, to do so, the active participation of development partners in the monitoring round is required.

### JOINT SOLUTIONS

*... helps participants seek joint solutions.*

There are often cases in which specific challenges prevent partners from being able to fully implement effectiveness commitments in country. The monitoring exercise provides the space for partners to elaborate on why this is the case, facilitating frank discussions with government counterparts on actions required from both sides to enable more effective development co-operation.

## FOR DOMESTIC ACTORS,
## PARTICIPATION IN THE MONITORING EXERCISE...

### INCLUSIVE PROCESS

*... provides a unique multi-stakeholder process to engage in dialogue and identify solutions.*

It is encouraged that all domestic actors are engaged in the monitoring exercise. While not every stakeholder will be involved in providing data and evidence, all stakeholders can have a valuable role to play in reviewing country results and helping identify ways forward to boost countries' sustainable development.

## 1.3 WHAT DOES THE EXERCISE MONITOR?

The Global Partnership's monitoring framework tracks development stakeholders' progress in aligning their policies and practices with four internationally agreed development effectiveness principles. Specifically:

**Focus on results**

Development efforts must have a lasting impact on eradicating poverty and reducing inequality, and on enhancing developing countries' capacities, aligned with their own priorities.

Indicator: **Countries strengthen their national results frameworks** (1b)
Indicator: **Development partners use country-led results frameworks** (1a & SDG 17.15)

**Ownership of development priorities by developing countries**

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

Indicator: **Development co-operation is predictable: annual predictability** (5a)
Indicator: **Development co-operation is predictable: medium-term predictability** (5b)
Indicator: **Quality of Countries' Public Financial Management Systems** (9a)
Indicator: **Development partners use country systems** (9b)
Indicator: **Aid is untied** (10)

**Inclusive development partnerships**

Openness, trust, mutual respect and learning lie at the core of effective partnerships, recognising the different and complementary roles of all actors.

Indicator: **Quality of Public-Private Dialogue** (3)
Indicator: **Civil society organisations operate within an environment that maximises their engagement in and contribution to development** (2)

**Transparency and accountability to each other**

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

Indicator: **Transparent information on development co-operation is publicly available** (4)
Indicator: **Mutual accountability among development actors is strengthened through inclusive review**s (7)
Indicator: **Development co-operation is included in budgets subject to parliamentary oversight** (6)
Indicator: **Countries have systems to track and make public allocations for gender equality and women's empowerment** (8 and SDG 5c)

## 1.4 WHAT SUSTAINABLE DEVELOPMENT GOALS ARE MEASURED BY THIS MONITORING EXERCISE DIRECTLY?

Simply by participating in the 2018 monitoring round, countries providing and/or receiving development co-operation obtain official estimates for **SDG targets 17.16 and 17.15**, which are critical means of implementation (**SDG 17**) to achieve all the other Sustainable Development Goals. Moreover, countries leading the exercise also obtain official data for **SDG target 5.c**.



| TARGET 17·15 | TARGET 17·16 | TARGET 5·C |
|---|---|---|
| RESPECT NATIONAL LEADERSHIP TO IMPLEMENT POLICIES FOR THE SUSTAINABLE DEVELOPMENT GOALS | ENHANCE THE GLOBAL PARTNERSHIP FOR SUSTAINABLE DEVELOPMENT | ADOPT AND STRENGTHEN POLICIES AND ENFORCEABLE LEGISLATION FOR GENDER EQUALITY |
| Indicator 1a | All Indicators | Indicator 8 |
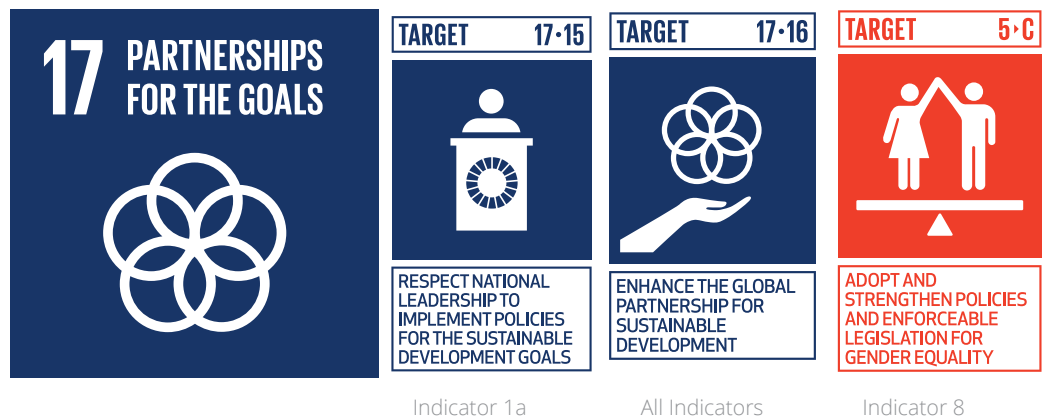
## 1.5   HOW DOES THE MONITORING ROUND WORK?

Four parameters guide Global Partnership monitoring exercises, which are...

**...led by countries.**  ❯ Participating countries appoint a **national co-ordinator** to lead the exercise and liaise with other stakeholders.

**...multistakeholder.**  ❯ The process is undertaken **in collaboration** with relevant domestic actors and external development partners

**...evidence-based and action-oriented.**  ❯ The results will have the ownership of all participants, and will **serve to guide actions** to address bottlenecks.

**...closely supported.**  ❯ The **OECD-UNDP Joint Support Team** provides guidance and support throughout the exercise.

The **indicative sequence of the 2018 monitoring exercise**, also detailed in Table 1, is as follows:

1. Once a government has confirmed its interest in participating in the 2018 monitoring round, a national co-ordinator should be appointed by the government to manage the exercise **(phase 1).**

2. Appointed national co-ordinators and their teams are supported by the OECD-UNDP Joint Support Team in preparing for the monitoring exercise, with tailored guidance, training, helpdesk and assistance **(phase 2)**.

3. Following the appointment and preparation of national co-ordinators, the data collection process can start in the country, running until 31 October 2018 **(phase 3).** As a multi-stakeholder process, key partners are asked to share data with the government (Table 2).

4. Once the data collection is completed, results are shared and validated with the different partners in the country, so that complete country data can be also shared with the OECD-UNDP Joint Support Team for supporting countries in the final validation and review before 31 December 2018 **(phase 4)**

5. The OECD-UNDP Joint Support Team, in consultation with participating governments, prepares country-specific reports and global aggregated reporting **(phase 5).**

6. Countries and partners use the monitoring results as a starting point to agree on strategies that could help unlock bottlenecks, improve their joint partnerships, and make development co-operation more aligned and results-oriented, country-owned, catalytic and transparent. Equally important, the reported results also help countries and bilateral development partners prepare their *Voluntary National Reviews* to the United Nations, inform global reports on the Sustainable Development Goals and on Financing for Development, and enable all participants with evidence to influence global dialogue and decision-making in 2019 – including in the context of the 2019 UN High-Level Political Forum on Sustainable Development **(phase 6)**.

| | Table 1. Indicative 2018 Monitoring Timeline: Step by Step |
|---|---|
| *Starting June-July 2018* | **Phase 1. Launch of the monitoring round**<br>• The **OECD-UNDP Joint Support Team** sends an official invitation to participate in the monitoring exercise from the Global Partnership ministerial Co-Chairs to **relevant authorities** in partner countries and in development organisations.<br>• Partner country governments confirm their interest in participating in the monitoring round and appoint a national co-ordinator to manage the exercise at country level.<br>• Development partners designate a focal point in headquarters to facilitate their participation in the monitoring exercise. |
| *July – August 2018* | **Phase 2. Country-level sensitisation and preparation**<br>• The **Joint Support Team** provides reporting tools and guidance, and organises a series of virtual trainings for national co-ordinators and development partners.<br>• **National co-ordinators** organise the launch of the monitoring process at the country level – often through a kick-off meeting or workshop that involves the full variety of development partners at country level.<br>• **Development partners** designate focal points at country level and support and/or participate in kick-off meetings/workshops convened at the country level. |
| *August – October 2018* | **Phase 3. Data collection and validation at country level**<br>• **National co-ordinators** coordinate data collection. Where possible, the national co-ordinator is encouraged to use existing in-country platforms and tools to inform data collection and related dialogue.<br>• **Development partners & other development stakeholders** participate in data collection, providing information as requested by national co-ordinators and participating in consultations where necessary.<br>• **The Joint Support Team** provides ongoing support to national co-ordinators during the data collection process.<br>• **National co-ordinators** liaise with development partners and other domestic stakeholders to validate all data before submitting it to the Joint Support Team by 31 October 2018. |
| *November – December 2018* | **Phase 4. Final validation and review**<br>• The **Joint Support Team** reviews the submitted information, in consultation with national co-ordinators, to ensure data comprehensiveness and accuracy.<br>• **Development partners at headquarters level** support data review efforts, providing additional suggested inputs to national coordinators to ensure complete and accurate data sets.<br>• **National co-ordinators** consolidate feedback from the OECD-UNDP Joint Support Team and development partners and submit the final dataset. |

Table 1. Indicative 2018 Monitoring Timeline: Step by Step

## Table 1. Indicative 2018 Monitoring Timeline: Step by Step

| | |
|---|---|
| *January - June 2019* | **Phase 5. Analysis and outputs**<br>• The **Joint Support Team** aggregates and analyses data, and prepares country profiles and global reports. Data and evidence is submitted to relevant agencies to inform the global follow-up and review of the SDGs and Financing for Development commitments. |
| *Throughout 2019* | **Phase 6. Dissemination, dialogue and action on the results**<br>• **Partner country governments, development partners and other stakeholders** participate in follow-up and review of monitoring findings at country, regional and global levels. Results can be used to introduce policy changes and strengthen co-ordination arrangements, both in countries and within development organisations. Data from the monitoring round can also be used to report on progress in SDG 17 and SDG 5. Toolkits and guidance on how to move from results to action will be made available together with the country reports.<br>• |

# MANAGING THE MONITORING PROCESS IN YOUR COUNTRY

# PART 2 | MANAGING THE MONITORING PROCESS IN YOUR COUNTRY

*The monitoring process is a voluntary exercise led by participating countries. Participating governments take the lead in the process, gathering inputs and data from a variety of partners and domestic stakeholders, including from other parts of the public sector, bilateral and multilateral development partners and funds, private sector representatives, civil society organisations and trade unions, and in facilitating a broad validation and discussion of the results, including with the concurrence of parliaments, subnational governments, foundations and others, as needed.*

## Phase 1. Launch of the monitoring round: June – July 2018

The **OECD-UNDP Joint Support Team** sends an official invitation to participate in the monitoring exercise from the Global Partnership ministerial Co-Chairs to relevant ministers in partner countries and to heads of organisations.

**Partner country governments** confirm their interest in participating in the monitoring round and appoint a national co-ordinator to manage the exercise at country level. The national co-ordinator is usually an official sitting at the Ministry of Finance, Planning or Foreign Affairs, or equivalent, with responsibility for overseeing the management of development co-operation.

**Development partners** appoint a headquarter (HQ) focal point, to guide their overall engagement in the 2018 monitoring round.

## Phase 2. Country-level sensitisation and preparation: July - August 2018

The **national co-ordinator** starts liaising with counterparts from other ministries, development partner organisations and other stakeholders. Specific responsibilities include:

• Outreach to other relevant stakeholders in country, which is suggested to include bilateral and multilateral development partners and funds, and representatives or focal points from domestic actors, such as the private sector, civil society organisations, trade unions, foundations, subnational governments and parliaments, to encourage them to learn about the monitoring process and participate as needed.

*Good practice: Organising a kick-off meeting or workshop involving the full variety of actors in the country.*

As soon as partner countries confirm participation in the round, the **development partners' focal point in headquarters** can either:

• Identify a contact person in the relevant country office or embassy and share contact details with the national co-ordinator and OECD-UNDP Joint Support Team (at monitoring@effectivecooperation.org). Country level focal points can support and/or participate in kick-off meetings convened at the country level.

• Serve as contact person for country data requests, if needed (e.g. due to lack of country-level presence).

## Phase 3. Data collection and validation at country level: August-October 2018

**National co-ordinators** liaise with relevant national stakeholders to collect data for selected indicators, as well as consolidating and reporting data in the Global Partnership monitoring data reporting tool called Country Excel (see Table 3). Dialogue and consultation with these stakeholders – before, during and after the data collection process – is encouraged to ensure an easy and credible process.

**Development partners and other development stakeholders** participate in data collection, providing information as requested by national co-ordinators and participating in consultations where necessary. National co-ordinators can share with development partners another excel tool prepared by the Joint Support Team, called DP Excel, to easily collect inputs from them.

**National co-ordinators** collect data using a user-friendly reporting tool (*Country Excel*), specifically designed for the Global Partnership. The tool is available from the Joint Support Team and can be also downloaded at www.effectivecooperation.org/2018monitoring. A separate reporting tool, designed for development partners, is also available (*DP Excel)*.

**National co-ordinators** and their teams can find detailed guidance on how to report on each Global Partnership indicator in **Part 3** of this document. The Joint Support Team is available to provide ongoing support to national co-ordinators during the data collection process.

Countries participating in the monitoring process are encouraged to **use their own existing frameworks, platforms, co-ordination groups, aid information management systems and existing tools to gather information for the monitoring process.** The use of existing country level arrangements, systems and tools is an important aspect of sustainable monitoring processes, reducing the burden on countries and increase efficiency over time.

**National co-ordinators** validate country-generated data through multi-stakeholder dialogue to ensure high-quality reporting, as well as to strengthen mutual understanding of progress and challenges in meeting effectiveness commitments. As much as possible, to ensure broad country-level awareness and ownership of the results, it is encouraged that representatives from across stakeholder groups, including various government ministries, development partners, civil society, the private sector, trade unions, local governments and parliamentarians, meet to discuss and validate the data at country-level. This is an important step to build trust among partners and ensure that the monitoring results are well received in later phases of the exercise. This dialogue is also helpful in identifying data gaps and challenges for future analysis. This can allow for improvements to be identified and implemented, and in time, to help improve the availability and capacity to manage and use data at country level.

After validation of the data collected at country level, the national co-ordinator will share the country data with the OECD-UNDP Joint Support Team, submitting the Country Excel to monitoring@effectivecooperation.org. National co-ordinators are requested to submit the data no later than 31 October 2018.

# Table 2. Overview of reporting roles per indicator

| GLOBAL PARTNERSHIP INDICATORS | Who reports? | | | | |
|---|---|---|---|---|---|
| | Govern-ments | Dev. Partners | Private Sector | CSOs | Global sources |
| **1a:** Development partners use country-led results frameworks | √ | ● | | | |
| **1b:** Countries strengthen their national results frameworks | ● | | | | |
| **2:** Civil society operates within an environment that maximises its engagement in and contribution to development | ● | ← | | ← | |
| **3:** Public-private dialogue promotes private sector engagement and its contribution to development | ● | | ← | | |
| **4:** Transparent information on development co-operation is publicly available | ○ | | | | ● |
| **5a:** Annual predictability of development co-operation | √ | ● | | | |
| **5b**: Medium-term predictability of development co-operation | ● | | | | |
| **6:** Development co-operation is on budget and subjected to parliamentary scrutiny | ● | ← | | | |
| **7:** Mutual accountability is strengthened through inclusive reviews | ● | ○ | | | |
| **8:** Countries have systems to track and make public allocations for gender equality and women's empowerment | ● | | | | |
| **9a**: Quality of Country Systems | ○ | | | | ● |
| **9b:** Development partners use countries' own systems | √ | ● | | | |
| **10:** Aid is untied | ○ | | | | ● |

| | |
|---|---|
| This stakeholder *responds* to the indicator : | ● |
| This stakeholder *complements* with additional inputs : | ← |
| This stakeholder *validates* inputs from other stakeholder : | √ |
| This stakeholder *can complement* with inputs, as needed : | ○ |

## Phase 4. Final validation and review: November – December 2018
..............................................................................................................................................

 The **OECD-UNDP Joint Support Team** reviews the submitted information in consultation with national co-ordinators to ensure comprehensiveness and accuracy of data.

 Headquarters' offices of **development partners** support data review efforts by suggesting inputs to national co-ordinators that could ensure completeness of country-level data.

 **National co-ordinators** consolidate feedback from the Joint Support Team and development partners and submit a final version to monitoring@effectivecooperation.org.

## Phase 5. Analysis and outputs: January – June 2019

Following the **receipt of a final data set from National co-ordinators**, the OECD-UNDP Joint Support Team will collate and close the data set to allow for **aggregation and analysis**. Products featuring the findings will become available to countries throughout the first half 2019 in various formats, including:



### Country and territory profiles

Individual monitoring profiles will help participating governments summarise country-level progress, contextualise the findings, and identify opportunities and challenges in working together more effectively. This country-specific analysis will provide actionable evidence to guide governments and their partners in taking forward monitoring results. The profiles will be developed on a rolling basis, after countries complete the data collection and validation phases, and in consultation with them.
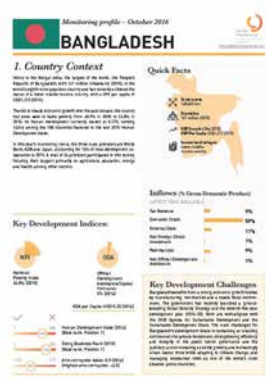


### Global reporting

Global reporting and analysis on the monitoring results will be published to inform the upcoming 2019 High-Level Forum on Sustainable Development, to guide collective action towards more effective development co-operation.

### Online dashboard reporting, visualising and comparing all monitoring data.

Data and evidence generated through the country-led monitoring process will also be disseminated through the online Global Partnership Monitoring Dashboard. The Dashboard allows development stakeholders to view, explore and compare results and progress for all participating countries, territories, and organisations across regions and contexts.

## Phase 6. Dissemination, dialogue and action on the results

The 2018 monitoring results provide numerous benefits to national governments, development partners and all development actors and stakeholders that will support transformative change:

### *At country level*

Country-specific monitoring results, along with global aggregates, provide concrete evidence through which partners can hold each other accountable to ensure commitments are met with action, identify challenges and jumpstart dialogue to maximise the impact of their joint work. Past participation in the monitoring process has resulted in the establishment and strengthening of national development co-operation policies and coordination mechanisms, as well as overall increased efficiency among national development stakeholders to accelerate the achievement of government development priorities.

**Figure 1. Using your monitoring results**
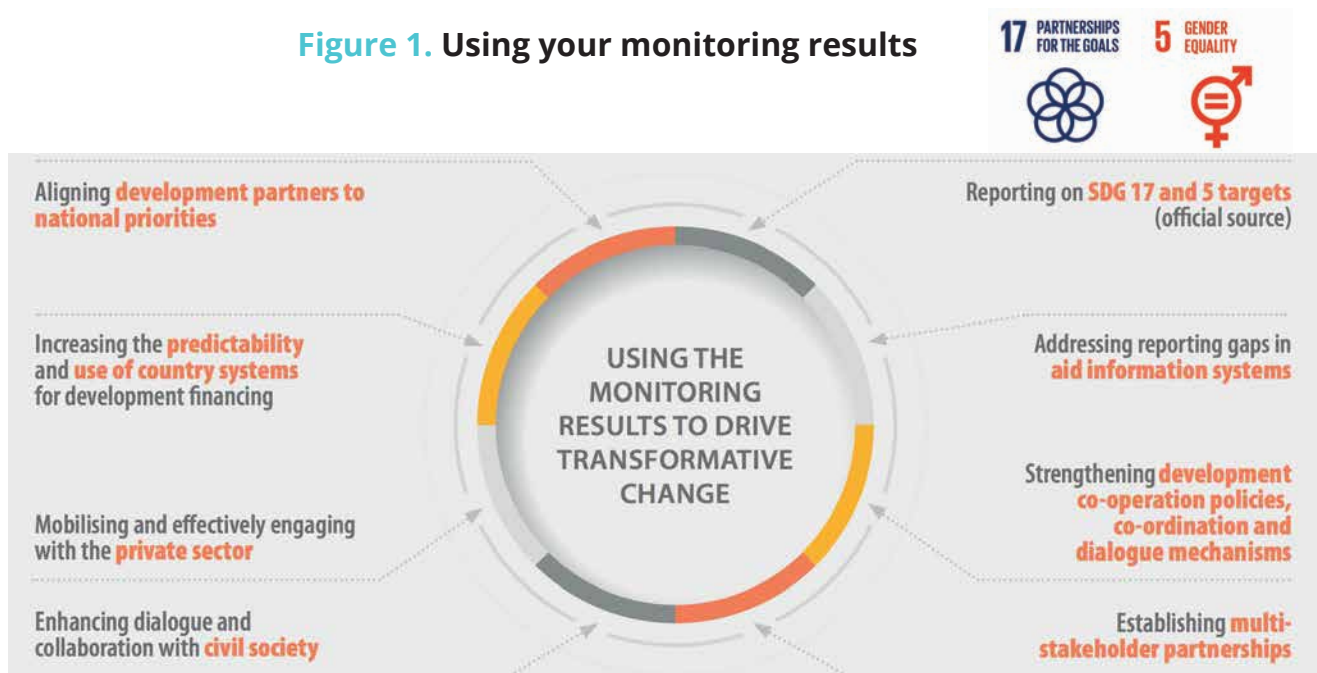


As one of the key instruments to measure the means of implementation of the 2030 Agenda for Sustainable Development, the Global Partnership monitoring process generates data for countries to assess progress towards achieving global SDG targets on respecting countries' policy space and leadership in setting their development path (SDG 17.15); strengthening multi-stakeholder partnerships for development (SDG 17.16); and adopting sound policies for the promotion of gender equality and women's empowerment (SDG 5c). More importantly, making progress in implementing effectiveness commitments, as monitored through the Global Partnership exercise, has a broader catalytic effect in achieving all other SDGs.

### *At global level*

Findings from the monitoring exercise are used to stimulate and inform international policy dialogue. The 2018 monitoring results will generate robust, comparable and timely evidence to inform international dialogue and spur continued collective action for strengthened effective development co-operation, which is a key driver of success to implementing the 2030 Agenda.

Monitoring data will inform the 2019 SDG and Financing for Development follow-up and review processes (Figure 2). The results will also inform international policy dialogue during the 2019 High-Level Political Forum on Sustainable Development, scheduled by the United Nations to be held in New York, July 2019.

**Figure 2. How does your country-led monitoring inform SDGs follow-up and the international dialogue on development co-operation effectiveness?**
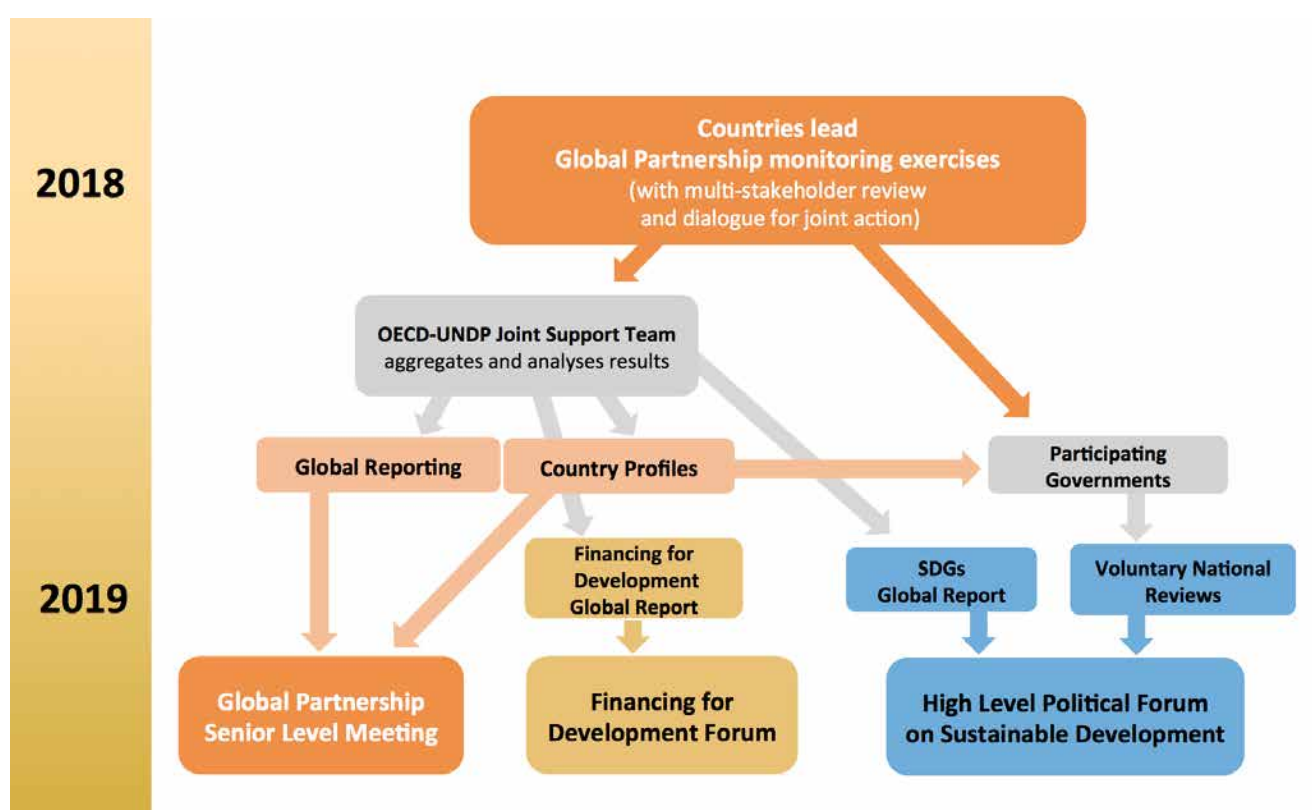
## WHAT SUPPORT DO COUNTRIES AND PARTICIPANTS RECEIVE?

The OECD-UNDP Joint Support Team actively supports governments in leading the monitoring exercise and the participation of other stakeholders, by providing guidance, training and support throughout the monitoring process.

All the tools, instruments and services will be made available progressively on the dedicated website: www.effectivecooperation.org/2018monitoring, to help national co-ordinators in leading the different phases of the national monitoring exercise:

### 1. Sensitisation and awareness raising

| 2018 Monitoring: Country Brochure | Development Partner Brochure |
|---|---|
| A four-page leaflet containing strategic information on the benefits, usefulness, timeline and steps to participate in the monitoring round. | A similar four-page leaflet to help national co-ordinators raise awareness amongst development partners on the benefits of their active engagement in the 2018 exercise. |

### 2. Guidance and checklists

| Strategic Booklet for national co-ordinators | 2018 Monitoring Guide |
|---|---|
| A short booklet that contains key information for national co-ordinators on how to run the monitoring process in their country for strategic management of the process. *This document is recommended for Aid Managers and Directors.* | A detailed technical guide, available in English, French and Spanish, that contains step-by-step instructions on how to run the monitoring exercise and how to report on the indicators. *This document is recommended for technical staff involved in data collection.* |
| **2018 monitoring process checklist** | **Development Partners Mini Guide** |
| An indicative list of steps to guide national co-ordinators to implement the monitoring exercise easily. *This document is recommended for Aid Managers, Directors and technical staff.* | This mini guide will help your development partners understand their role, the benefits of participating in the monitoring round, and how to prepare and share the relevant data with national co-ordinators. *This document is recommended for your development partners.* |

*Technical Companion document* (Only for reference)

*The data-reporting tool (Country Excel) automatically calculates all the indicators. Nonetheless, curious participants can learn about the methodologies to calculate the different indicators, which are detailed in this technical document.*

### 3. Data reporting tools

| Reporting country data | Collecting inputs from partners |
|---|---|
| A user-friendly excel-based reporting tool (**Country Excel**) will be available in English, French and Spanish starting August to support national co-ordinators during the data collection process. | A second excel tool (**DP Excel**) will also be available starting August. The DP Excel helps gathering inputs from development partners. Data reported in DP Excels can be transferred into the Country Excel (by copying and pasting "values only" from one excel to the other). |

*To minimise transaction costs and explanations, both excel files contain self-guided instructions, automatic checks and built-in formulas for programmed calculations*

| 4. Training and capacity building | |
|---|---|
| **Online Course on Development Effectiveness Monitoring**<br><br>A self-paced, online training course to manage the monitoring process and report on the indicators effectively. Participants who complete the course successfully will earn a certification on development co-operation effectiveness monitoring. | **Virtual trainings**<br><br>A series of virtual trainings and webinars on the process and the indicator methodologies will be available to support participants. |
| **Short explanatory videos**<br><br>Short YouTube videos will be available for on-the-spot consultation on how to report for each indicator, with step-by-step guidance. | **International workshop**<br><br>To maximize the benefits of this exercise, countries participating in the 2018 monitoring round are welcome to join a dedicated Global Partnership technical meeting in Paris on 11-12 September 2018. |

| 5. Ongoing support throughout the monitoring exercise | |
|---|---|
| **Helpdesk**<br><br>Participants can contact the OECD-UNDP Joint Support Team with questions or requests at any time by writing to the permanent Helpdesk: monitoring@effectivecooperation.org. Specialists from OECD and UNDP will answer your message as quickly as possible. | **Live regular sessions**<br><br>Regular Q&A sessions will be available on an on-going basis where participants can ask questions to the OECD-UNDP Joint Support Team for immediate answer or clarification. |

In addition to the supporting tools, training and guidance offered by the Joint Support Team, experience from past monitoring rounds shows that -more often than not- **there are development partners with country presence that able and interested in providing active support to national co-ordinators.** This is a good practice that should be encouraged.

When development partners have provided support to national co-ordinators, this has included some of the following modalities:

1. Helping co-ordinate the rest of development partners to be informed and actively engage in the exercise and in providing timely and accurate data to the national co-ordinator.
2. Providing in-kind technical support (or funding consultant support) to help national co-ordinators in completing the technical data collection.
3. Providing (or funding) the logistics and facilitation of kick-off workshops and/or multi-stakeholder dialogues needed to report on some indicators.
4. Helping co-ordinate or facilitate the final validation phase of the monitoring results, as well as follow-up on actions to improve the results.

# REPORTING ON THE GLOBAL PARTNERSHIP INDICATORS

# PART 3 | REPORTING ON THE GLOBAL PARTNERSHIP INDICATORS: STEP-BY-STEP GUIDANCE

This section explains how to report on the Global Partnership indicators, step by step. It also proposes an efficient sequence to report on the indicators (see section 3.1).

The detailed step-by-step guidance for each indicator is organised as follows:

| A. Indicators that national co-ordinators can report directly: | Page |
|---|---|
| **Indicator 1b:** Countries strengthen their national results frameworks | **29** |
| **Indicator 5b:** Development co-operation is predictable: medium-term predictability | **35** |
| **Indicator 7:** Mutual accountability among development actors is strengthened through inclusive reviews* | **38** |
| **Indicator 8:** Countries have systems to track and make public allocations for gender equality and women's empowerment | **41** |

| B. Indicators that national co-ordinators report with inputs from development partners: | Page |
|---|---|
| **Indicator 1a:** Development partners use country-led results frameworks | **46** |
| **Indicator 5a:** Development co-operation is predictable: annual predictability | **53** |
| **Indicator 6:** Development co-operation is included in budgets subject to parliamentary oversight | **56** |
| **Indicator 9b:** Development partners use country systems | **58** |

| C. Indicators that national co-ordinators report in consultation with development partners and domestic stakeholders: | Page |
|---|---|
| **Indicator 2:** Civil society organisations operate within an environment that maximises their engagement in and contribution to development | **62** |
| **Indicator 3:** Quality of public-private dialogue | **68** |

| D. Indicators from existing assessments that national co-ordinators can complement: | Page |
|---|---|
| **Indicator 4:** Transparent information on development co-operation is publicly available | **74** |
| **Indicator 9a:** Quality of Countries' Public Financial Management Systems | **79** |
| **Indicator 10:** Aid is untied | **82** |

* Development partners are asked to provide *complementary data* to the national co-ordinator for this indicator.
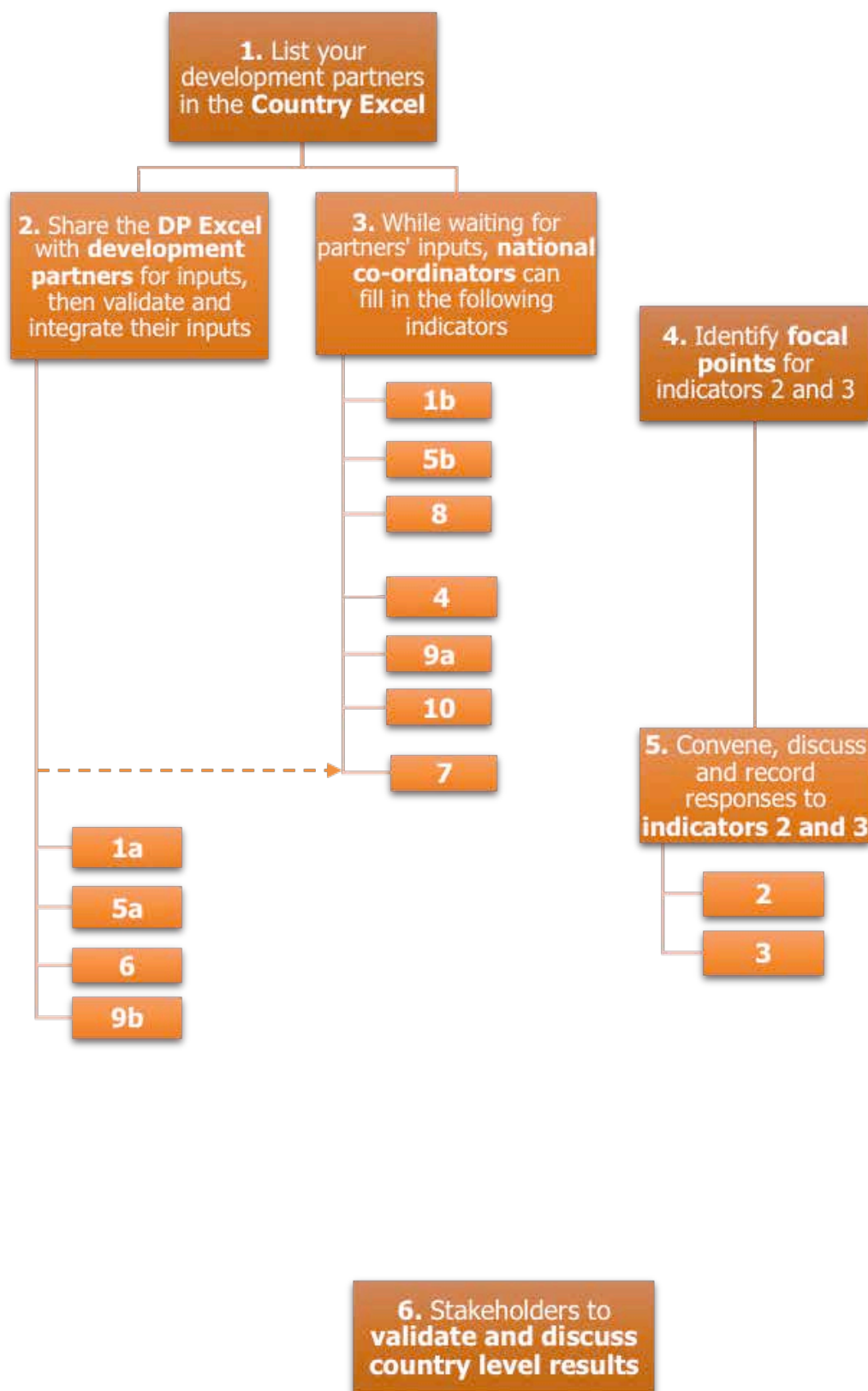
## 3.2    HOW TO OBTAIN AND USE THE DATA REPORTING TOOLS?

The reporting tools will be available at the 2018 monitoring website in early August 2018.

### Country Excel

• The **Country Excel** contains **all the Global Partnership indicators**, as well as **instructions** on how to report on them.

• This is the place where national co-ordinators should ultimately reflect **all the indicator inputs and data** coming up from their own information systems, from data requests to different partners or from responses to questionnaires carried out with other domestic actors.

#### *How to use it*

• The first step is **selecting your country** and **national co-ordinator**'s name and details.

• Next, you should list all your bilateral or multilateral development partners and funds providing any type of development finance to the country (grants, concessional loans, non-concessional loans, other types). Select them in the **Development Partners** tab. A maximum of 50 is allowed.

• In doing so, your **development partner names will automatically be filled in all the relevant tabs** where their inputs are required: Tabs *"1A-M1"*, *"1A-M2"*, *"5a 5b 6 & 9b"* and *"7"*. When you get data back from them, you will be able to copy and paste their responses into Country Excel by using "Paste Values Only" option in Excel (*Edit*>*Paste Special*>**Values Only**).

• Several other indicators or indicator sections **only require national co-ordinator inputs** and can be filled right away (1b, 5b, 4, 7, 8 and 10).

• **Indicator 9a** is a special case: the Country Excel will indicate whether existing assessments are available.

**Note:**

• **Questions addressed to government** are labelled in the questionnaires and Excel as **Qg,** while questions **addressed to development partners** are labelled as Qp. Questions with **multistakeholder input** are labelled as **Qg+**.

• As data and responses are included in the Country Excel, a **visual country overview of the indicator results** will be generated in the tab Dashboard.

• **Currency:** All figures relating to amounts have to be reported in US dollars (USD) - please refer to the exchange rate table provided on the monitoring website. Please only enter numbers (no spaces, no commas).

• **Year of reference:** For all indicators unless otherwise specified, the reporting year of reference is the latest government fiscal year for which there is information available. For indicator 1a, development partners will report on their six largest interventions from all the new interventions equal or above USD 100,000 approved by the development partner in 2017 (independently from the fiscal year used to report on the other indicators).

• **Remember**: All the indicator tabs are **print-ready**. Printed copies may help in discussing or validating responses with the various stakeholders.
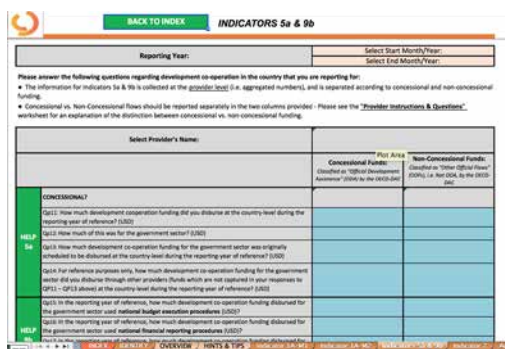
# Development Partner (DP) Excel

• The **DP Excel** is a self-explanatory excel file that will **help national co-ordinators obtain inputs and data from their development partners.**

• National co-ordinators should **share the DP Excel with all the bilateral and multilateral development partners and funds working in the country**, i.e. those listed by the national co-ordinator in the **Country Excel**'s tab Development Partners.

• The **DP Excel is self-explanatory, containing instructions and explanations.** It also contain links to the **2018 Development Partner Mini Guide** and the **Development Partner Brochure** where they can learn about the benefits of participating in the 2018 monitoring round and on how to report on these indicators.

• The **DP Excel** contains space for development partners to identify themselves and **provide their inputs** on relevant indicators, namely on 1A-M1, 1A-M2, 5a & 9b and 7 tabs, as well as any additional comment they may have.
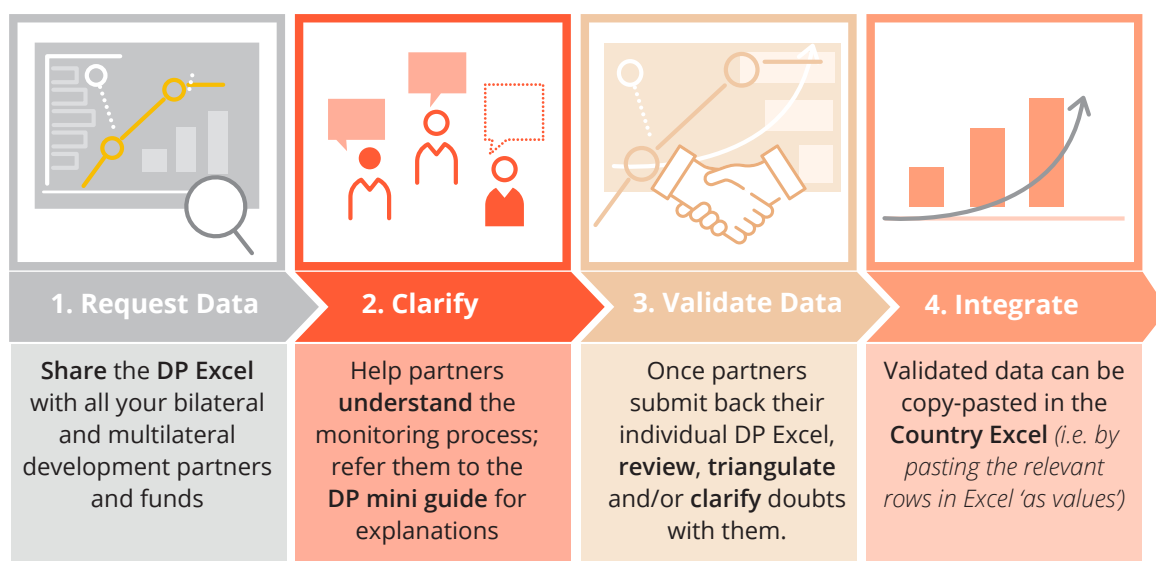


*How to use it*

• Once you receive individual (and completed!) responses from your development partners to the **DP Excel** file shared with them, **you can easily transfer** the data (from the cells shaded in blue where their inputs are), from each Tab in the DP Excel to the relevant Tab in the Country Excel.

• You can copy and paste, but y**ou should "paste as values" in the Country Excel** or an error message will appear.

• The indicator estimates will automatically appear in the "Dashboard" tab of the **Country Excel**.



**O**BTAINING DATA FROM YOUR DEVELOPMENT PARTNERS, IN A NUTSHELL

| 1. Request Data | 2. Clarify | 3. Validate Data | 4. Integrate |
|---|---|---|---|
| **Share** the **DP Excel** with all your bilateral and multilateral development partners and funds | Help partners **understand** the monitoring process; refer them to the **DP mini guide** for explanations | Once partners submit back their individual DP Excel, **review**, **triangulate** and/or **clarify** doubts with them. | Validated data can be copy-pasted in the **Country Excel** *(i.e. by pasting the relevant rows in Excel 'as values')* |

**Indicator 1b** › Countries strengthen their national results frameworks

**Indicator 5b** › Development co-operation is predictable: medium-term predictability

**Indicator 7** › Mutual accountability among development actors is strengthened through inclusive reviews
*Development partners are invited to submit complementary inputs*

**Indicator 8** › Countries have systems to track and make public allocations for gender equality and women's empowerment (SDG 5c)

## INDICATOR 1B:
## COUNTRIES STRENGTHEN THEIR NATIONAL RESULTS FRAMEWORKS

### WHAT THIS INDICATOR MEASURES

The indicator measures whether the country has national results framework(s) in place, which are used to define and track the country's development priorities, targets, and results.

### WHY THIS IS IMPORTANT

National, country-led results frameworks define the government's approach to setting development priorities and results. Country leadership in establishing and defining its own results framework(s), including any related monitoring and evaluation system, contributes to greater ownership of development path and a general orientation towards development results.

# HOW IT IS CONSTRUCTED

The indicator is calculated on the basis of four broad criteria, defined by related sub-elements:

| Criteria | Sub-elements |
|---|---|
| (1) Setting transparent, country-led results frameworks | 1. Approved/Established<br>2. Developed in an inclusive manner (whole-of-society)<br>3. Transparent to the public |
| (2) Prioritising development results | 4. Defines priorities, targets and indicators<br>5. Incorporates SDGs<br>6. Informs sector and subnational priorities |
| (3) Monitoring results at country level | 7. Monitored regularly and transparently<br>8. Monitors whole-of-government engagement<br>9. Relies on government's own systems and data to monitor progress |
| (4) Using the results information | 10. Uses the framework to inform budgeting<br>11. Uses the framework to guide priorities in development co-operation |

The presence of each of the sub-elements contributes towards the establishment of transparent, country-led strategic frameworks to support national ownership, results-based decision-making and accountability.

This calculation is done automatically in the **Country Excel.** For further details on how the indicator is calculated please refer to the technical companion document.

# STEP BY STEP GUIDANCE

National co-ordinator answers the 11 questions (see below) in the **Country Excel** (Tab "1b").

If national development planning responsibilities sit in other government offices, it may be helpful to liaise with these government officers in responding to the questionnaire.

Once all the questions are completed, the **Country Excel** will calculate the indicator scores automatically, following the scoring method described in the technical companion document. These scores appear in the tab *Dashboard*.

# QUESTIONNAIRE

TO BE ANSWERED BY THE **NATIONAL CO-ORDINATOR**:

## 1. Setting a transparent, country-led results framework:

**Qg1.** Is there a national development strategy or government strategic plan? [ Yes | No ]

If **Yes**, what is the name? _____

    which period does it cover? 20_-20_

If **No**, is there one under preparation? [Yes/No]

If **Yes**, what is the stage of its preparation? [Options provided in drop-down menu]

**Qg2.** To what extent did the following actors participate in developing the government strategy/plan?

Parliament: ◯ No ◯ Consulted ◯ Enacted the plan with a vote

Civil society: ◯ No ◯ Consulted ◯ Participatory process

Private sector: ◯ No ◯ Consulted ◯ Participatory process

Subnational
governments: ◯ No ◯ Consulted ◯ Participatory process

Development
Partners: ◯ No ◯ Consulted ◯ Participatory process

**Qg3.** Is the strategy/plan publically available online?

    **If yes, please include web link:** [Type here]

## 2. Prioritising development results:

**Qg4.** Does the national development strategy or government strategic plan define development priorities, targets and associated indicators?
◯ Development priorities ◯ Targets ◯ Indicators

If targets and/or indicators are missing, can these be found in sector strategies and plans instead? [Yes | No]

**Qg5.** How are the 2030 Agenda and SDGs incorporated or referenced in the development strategy or government plan? [Multiple answers among the following options]
☐     The 2030 Agenda/SDGs are referenced at strategic level   [*in the narrative*]
☐     SDGs are referenced at goal level   [*in the narrative or result framework*]

☐       SDGs are referenced at target level [*in the result framework*]

☐       SDGs are referenced at indicator level   [*in the results framework*]

If there is no reference to the Agenda 2030 and the SDGs in the current strategy or government plan, or that document was approved before September 2015, is there an on-going process to incorporate SDG targets in the country's strategic plans? *[Yes | No]*

**Qg6.** If they exist, to what extent are sector and sub-national strategies linked to the national development strategy (e.g. timing and sequencing, consistency of their objectives, institutional responsibilities)?

*Strategic Alignment*

*Sector   Sub-*
        *national*

| Sector | Sub-national | |
|---|---|---|
| ☐ | ☐ | Most sector/sub-national strategies are required to align to the national development strategy or government plan, by law and in practice. |
| ☐ | ☐ | Although there is no law, in practice central authorities (e.g. planning, finance, development ministry) oversee that new sector/sub-national strategies align to the national development strategy or government plan. |
| ☐ | ☐ | Although there is no law or central authority enforcing alignment, sector/sub-national strategies tend to reflect at least core priorities in the national development strategy or government plan. |
| ☐ | ☐ | Only some sector/sub-national strategies are aligned with the national development strategy or government plan. |
| ☐ | ☐ | Sector/sub-national strategies are in general not aligned with the national development strategy or government plan. |

### 3. Monitoring results at country level:

**Qg7.** Is (Are) there a progress report(s) of the national development strategy or government strategic plan?

**If Yes, how often are they formulated? [options provided in drop-down menu]**
    **Is the most recent report publicly available?**  [Type web link here]

**Qg8.** How is the progress against the national development strategy or government plan reported?

☐   **A central unit collates all the data from different sources and produces a unified progress report**

☐   **Several line ministries and entities are responsible for collating the data, and a central unit produces a unified progress report**

☐   **Several line ministries and entities are responsible for collating the data and producing sector or thematic progress report(s)**

☐   **Responsibilities for data collection are fragmented across the government, and only some entities have produced progress report(s)**

☐   **No progress reports have been produced yet by government entities**

**Qg9.** To what extent do the national M&E system and statistics meet the demands for data to track the input, output and outcome indicators identified in the national development strategy or government plan?

☐   **Timely, regular, accurate government data is available for all the indicators**

☐   **Timely, regular, accurate government data is available for most indicators**

☐   **The availability of government data to track the indicators is mixed – only some indicators have timely, regular, accurate government data available to track progress.**

☐   **At present, very few indicators can be tracked relying on the national M&E system and statistics.**

☐   **There are no indicators in the national development strategy or government plan.**

**4. Using the results information:**

**Qg10**. Does the national development strategy or government plan include an indicative budget or costing information?

If **Yes**, is that information used to inform the annual budget and the medium-term fiscal or expenditure framework (if these exist)?

**Qg11.** Does the government use the national strategy/plan (or its progress reports) to inform the dialogue with development partners on priority areas and results for development co-operation?   [Dropdown menu]

## DEFINITIONS

| | |
|---|---|
| Country Results Framework(s) (or National Results Framework(s) | Country results frameworks (CRFs) define a country's approach to results and its associated monitoring and evaluation systems focusing on performance and achievement of development results. Using a minimal definition, these results frameworks include agreed objectives and results indicators (i.e. output, outcome, and/or impact). They also set targets to measure progress in achieving the objectives defined in the government's planning documents. In practice, government-led results frameworks defined at the country level are often broadly stated (e.g. long term vision plans, national development strategies) and operationalised in more detail at the sector level (e.g. sector strategies), where specific targets and indicators are set for a given timeframe. The definition of country-led results framework used in GPEDC Monitoring Framework allows for the possibility to use equivalent priority-setting mechanisms at the country level since not all countries articulate their priorities through consistent, integrated Country Results Frameworks. <br><br> For the purposes of this monitoring exercise, the broad definition of CRFs and CRF-like planning instruments include: long term vision plans; national development strategies; joint government-multi-donor plans; government's sector strategies, policies and plans; subnational planning instruments, as well as other frameworks (e.g. budget support performance matrices, sector-wide approaches). In contrast, planning and priority setting documents produced outside the government, such as country strategies prepared by development partners, are not considered CRFs. |

| | |
|---|---|
| **Government Strategic Plan** | A planning tool (typically for the length of the government's mandate, 4-5 years) that articulates the government's vision, policy intentions and expected results. Unlike national development strategies, which provides a comprehensive medium-term roadmap for all or most sectors, a government strategic plan may focus on selected priority areas, and the duration of the plan is linked to the length of the incumbent's mandate. |
| **Medium-Term Expenditure Framework (MTEF)** | A framework that combines coherently a medium term (typically 3-5 years) fiscal framework, medium term sector strategies for key sectors of the economy and medium term indicative expenditure plans/ceilings for each sector. |
| **Medium-Term Fiscal Framework (MTFF)** | A framework that defines the overall medium term (typically 3-5 years) fiscal aggregates including revenue, expenditure and deficit /surplus that a country has available in the medium term consistent with a macro-economic framework |
| **National development strategy** | National development strategies are overarching strategic planning tools that cover the whole-of-government. These strategies/plans are typically prepared to cover a clearly identified period of time, often covering four to eight years. The quality of these national development strategies in operational terms depends on the extent to which they constitute a unified strategic framework to guide the country's development policy and include strategic priorities linked to a medium-term expenditure framework and reflected in annual budgets. They are expected to have been developed through an inclusive consultative process involving the full range of relevant development stakeholders at country level, as to ensure legitimacy and sustainability of national development plan in the medium term. |
| **Participatory process** | In the context of developing a national development plan or government strategy, a process of engagement with other stakeholders that offers opportunities and mechanisms designed for reaching consensus on the priorities and commitments. In contrast with consultative processes, which are opportunities to input into the process, participatory processes are characterised by the co-definition of priority areas and/or targets. |
| **Priority / Priority Area** | In the context of this indicator, government-defined sectors (e.g. education, health, transport), geographic regions, or cross-cutting issues (e.g. gender equality, anti-corruption, climate change) explicitly reflected in key planning tool(s). |
| **Progress report(s)** | Such report(s) are typically published once or more during the implementation of the national development strategy or government strategic plan, and provide a comprehensive overview of progress drawing on relevant evidence. |

# INDICATOR 5B: DEVELOPMENT CO-OPERATION IS PREDICTABLE: MEDIUM-TERM PREDICTABILITY

## WHAT THIS INDICATOR MEASURES

This indicator measures whether development partners have shared forward-looking spending plans with the partner government. These forward-looking spending plans should include indicative annual amounts of development co-operation support to be provided over the one-to-three years. The information may have been shared with the partner government in written or electronic form.

## WHY THIS IS IMPORTANT

When medium-term information on forecasted development finance is made available to partner governments, these governments can plan longer-term policies and programmes counting on these incoming resources. These forward-spending plans also allow governments recording the programmed funds in the national budget to be submitted to parliament for approval. These benefits help increase national ownership over the use of development co-operation. Development partners are also better able to coordinate activities in country among themselves when medium-term information on their planned support is available to other domestic and international development actors in the country, increasing synergies while reducing duplicities and fragmentation of efforts.

## HOW IT IS CONSTRUCTED

For each development partner operating in the country, the national co-ordinator records whether the government has received information on the partner's planned financial support for 2019, 2020 and 2021 (i.e. up to three years ahead). The overall indicator is the average of the binary response for the three years. These calculations are done automatically in the **Country Excel.**

The indicator is then aggregated for partner countries and development partners, weighted by the volume of development co-operation disbursed in the year of reference.

For further details on how the indicator is calculated please refer to the technical companion document

# STEP BY STEP
# GUIDANCE

1. The national co-ordinator answers the questionnaire below, located in the **Country Excel (tab '5a, 5b 6 & 9b').**

2. The development partners listed in the **Country Excel** at the beginning of the monitoring process will appear listed in Tab "5a, 5b 6 &9". For each listed partner, the national co-ordinator indicates whether the government has already received information (aggregated or disaggregated) on the partner's forward-looking expenditure plans in the country for 2019, 2020 and/or 2021.

3. National co-ordinators can validate these responses by reviewing the government's information management systems, the partners' country strategies or partnership documents shared with the government, or any investment and expenditure plans shared with the government in electronic or written format. Further validation could include consulting with partners for which no information is identified, to verify if they have shared the relevant data with other core government entities.

4. Once all the information has been incorporated, the **Country Excel** will calculate the indicator score automatically, following a scoring method described in the technical companion document. The final results will appear in the tab *Dashboard.*

# QUESTIONNAIRE

TO BE ANSWERED BY THE **NATIONAL CO-ORDINATOR** ON EACH DEVELOPMENT PARTNER

Has the development partner made available a comprehensive forward spending and/or implementation plan setting out expected development co-operation flows in the:

**Qg1.** Fiscal year ending 2019? (Yes/No)
**Qg2.** Fiscal year ending 2020? (Yes/No)
**Qg3.** Fiscal year ending 2021? (Yes/No)

| Forward spending and/or implementation plan | The partner country government should establish whether or not it holds information on forward spending and/or implementation plans of each of its development partners in the country. |
|---|---|
| | This may require consultation with other ministries or departments responsible for managing development co-operation (typically finance, planning, foreign affairs...) to ascertain whether adequate information has been received from each development partner. |
| | A forward spending and/or implementation plan meets ALL THREE of the following criteria:<br>• Made available by the development partner in written or electronic form (e.g. a single document or – where appropriate systems are made available in country – entered appropriately in an aid information management system).<br>• Sets out clearly *indicative* information on future spending and/or implementation activities in the country, including:<br>   o programmed or committed resources, where the activity and modality is known; and<br>   o other resources that have yet to be allocated to specific activities in the country.<br>• Amounts are presented by year (or in greater detail – e.g. by quarter or month) using the partner country's fiscal year. |
| Comprehensive | A plan may be available which meets all of the criteria above, but the information provided may vary for different years. In responding to questions Qg1, Qg2 and Qg3, national co-ordinators should examine the data for each year. (The reason for this is that a forward spending/implementation plan may provide comprehensive information for next year, but not for the following year). |
| | For each year, answer "Yes" if the information provided meets BOTH of the following additional criteria:<br>• Comprehensive in its coverage of known sectors, types and modalities of support (for example, a development partner using both project and budget support modalities should include the amounts foreseen under both modalities); and<br>• The amount and currency of development co-operation funding is clearly stated (where support takes the form of technical co-operation and the provision of goods and services in kind, the cost of these planned activities is provided). |
| | Where these above additional criteria are *NOT* met for a given year, or where the three criteria defining a forward spending / implementation plan (definition above) are *NOT* met, answer "No". |

# INDICATOR 7: MUTUAL ACCOUNTABILITY AMONG DEVELOPMENT ACTORS IS STRENGTHENED THROUGH INCLUSIVE REVIEWS

## WHAT THIS INDICATOR MEASURES

The indicator measures whether countries have established inclusive mutual assessment reviews, characterised by five dimensions: (i) a policy framework that defines the country's development co-operation priorities; (ii) targets for the country and its development partners; (iii) regular joint assessment against those targets; (iv) active involvement of other stakeholders; and (v) public availability of the results of these reviews.

## WHY THIS IS IMPORTANT

Development impact is enhanced when all parties are mutually accountable and take responsibility for delivering on their respective commitments and contributions.

Mutual assessments – when regular, results-oriented, transparent, and inclusive of all relevant development actors – can help enhance transparency and mutual accountability at country level. This in turn creates incentives for actors to meet commitments made to each other, improve their ways of working together, and increase their development effectiveness.

## HOW IT IS CONSTRUCTED

A country is considered to have effective mutual assessment reviews in place when at least four out of five key elements are present. These elements are measured using five specific questions, each containing a 4-level scale that reflects progress towards an ideal scenario. The different levels take into account the diversity of country contexts and mutual accountability arrangements. A dimension is considered in place (i.e. present, 'yes') when the current situation in the country is best described by Level 3 or Level 4. Complementary information to help interpret each level is available here: https://bit.ly/2vUJRlC. The information also appears automatically in the **Country Excel** when your mouse scrolls over the different levels.

Countries that have participated in the most recent UN Development Cooperation Forum's Global Accountability Survey can draw on their responses to this survey to report on this indicator.

For further details on how the indicator is calculated please refer to the technical companion document.

# STEP BY STEP GUIDANCE

*Government response to the indicator:*

1.  The national co-ordinator verifies if the government has participated in the 2018 Development Co-operation Forum's Global Accountability Survey earlier this year. In case of doubt on whether your country participated in that exercise, an email can be sent to the DCF Secretariat at dcf@un.org to enquire about this. National co-ordinators can reflect the responses already submitted to the DCF survey in order to complete the questionnaire below.
2.  To complete this indicator, national co-ordinator should answer the questionnaire in tab "Ind. 7" of the **Country Excel.**
3.  For each question, the national co-ordinator chooses the level that best describes the current situation in country.
4.  *Hint:* To help interpret the different possible responses ('levels') in the questionnaire, additional help information describing each level in more detail will appear when scrolling over the different levels. That additional information can also be found here: https://www.dropbox.com/s/ml5ne0nfawmh6g3/Indicator 7 Characteristics of Practice.docx?dl=0
5.  Once all the responses are included, the **Country Excel** will automatically calculate the overall results for the indicator in the Dashboard tab.

*Complementary information from development partners:*

1.  Development partners can reflect their views on the current arrangements for co-ordination and accountability at country level in the **DP Excel** shared by the national co-ordinator.
2.  Once the completed "DP *excel*" files are collected by the national co-ordinator, s/he can copy and paste individual answers from development partners to the relevant section below Tab "7" in the **Country Excel** (remember to paste "values only" into the Country Excel).

# QUESTIONNAIRE

*   TO BE ANSWERED BY THE **NATIONAL CO-ORDINATOR**

**Qg1.** To what extent is there a quality policy framework in place to guide development co-operation and partnerships?
**Qg2.** Are there specific country-level targets for effective development co-operation for the government and for the different development partners?
**Qg3.** To what extent have the government and its development partners carried out joint regular assessments of development co-operation targets at senior level?
**Qg4.** To what extent have other development actors been involved in mutual assessments?
**Qg5.** How soon are the results of such assessments typically made publicly available?

- TO BE ANSWERED BY **DEVELOPMENT PARTNERS**

**Qp1.** In the past 2 years, has your organisation joined mutual assessments of progress with the government and/or other development partners in the country?

**Qp2.** How effective were such reviews in informing the ways of working in the country to improve ownership, inclusiveness, focus on results, and increase transparency and accountability?

## DEFINITIONS

| | |
|---|---|
| Policy framework for development co-operation and multi-stakeholder partnerships | A policy document (or series of policy documents) which sets out the country's agreed approaches to the delivery of international development co-operation and the establishment of multi-stakeholder partnerships, containing agreed principles, processes and/or targets designed to improve its effectiveness. This may take the form of a stand-alone policy or strategy document, or may be addressed within another document (for example, as part of a national development strategy or implementation framework). The framework may define roles and responsibilities of various stakeholders, following an inclusive consultation between government officials, development partners and other interested development stakeholders. |
| Country-level targets for effective development co-operation | Country-level targets for effective development co-operation are jointly established between partner country governments and relevant development stakeholders as a basis for assessing the performance of partners on the effectiveness of development co-operation. The targets could be either drawn from internationally-agreed principles and commitments or developed through national processes. The targets could be applicable to different types of development co-operation and a wide range of actors such as bilateral and multilateral partners, civil society organisations, private sector, or foundations. |
| Mutual (or 'joint') assessment of progress towards development co-operation targets | Mutual assessment(s) of progress in effective development cooperation are national level exercises that are led by the partner country government and involve a range of development partners in a joint review of performance according to the country-level targets. |
| Regular mutual assessment | The review is considered to be regular if it was conducted with senior level political buy-in to inform development planning and decision-making processes in the past two years. |

# INDICATOR 8: COUNTRIES HAVE SYSTEMS TO TRACK AND MAKE PUBLIC ALLOCATIONS FOR GENDER EQUALITY AND WOMEN'S EMPOWERMENT (SDG 5C)

## WHAT THIS INDICATOR MEASURES

This indicator has been identified as a source of evidence for SDG Indicator 5.c.1, which measures government efforts to track budget allocations for gender equality throughout the public financial management cycle and to make these allocations publicly available. It links national budgeting systems with implementation of legislation and policies for gender equality and women's empowerment (SDG target 5.c).

## WHY THIS IS IMPORTANT

The indicator highlights: the importance of establishing a policy framework with clear gender equality objectives; allocations in support of policy commitments; a system to track resource allocations; and, a mechanism to follow these allocations through to execution and impact. It also emphasizes the importance of making the data publicly available thereby strengthening oversight and accountability. These elements are key for a sound public financial management system. By tracking and making public allocations for gender equality and women's empowerment, governments promote greater transparency and drive accountability. Tracking budget allocations with a gender perspective also makes it possible to apply a gender lens to development co-operation funds channelled through national budgets.

## HOW IT IS CONSTRUCTED

The indicator measures three criteria. The first focuses on the intent of a government to address gender equality and women's empowerment (GEWE) by identifying if a country has gender responsive policies/programs and corresponding resource allocations to support their implementation. The second criterion assesses if a government has mechanisms to track resource allocations for GEWE throughout the public financial management cycle – from introduction of the budget through to evaluation of impact of expenditures. The third criterion focuses on transparency by identifying if a government has made information publicly available on allocations for gender equality and women's empowerment.

A country will be considered to satisfy criterion 1 if it answers "Yes" to 2 out of the 3 questions under this criterion. Criterion 2 is met if "Yes" to 4 out of the 7 questions under this criterion. And criterion 3 is satisfied if "Yes" to 2 out of the 3 questions in response to this criterion. When a country satisfies all criteria it will be classified as 'fully meets requirements'. When a country satisfies one or two criteria it will be classified as 'approaches requirements'. When a country does not satisfy any criteria, it will be classified as 'does not meet requirements'.

This calculation is done automatically in the **Country Excel.** For further technical details on how the indicator is calculated please refer to the technical companion document.

# STEP BY STEP GUIDANCE

1. National co-ordinator completes the questionnaire in the tab "8" of the **Country Excel.**
2. Relevant government offices should be consulted (e.g. Ministry of Finance, Budget Office, Ministry of Women). UN WOMEN regional/country focal points[1] are also available to help national co-ordinators interpret and respond the questionnaire.
3. As this indicator is the basis for SDG target 5.c, we encourage national co-ordinators to inform the relevant government office in charge of following up on SDGs, as the results can be very valuable for national reporting on SDG progress.

# QUESTIONNAIRE

- TO BE ANSWERED BY THE **NATIONAL CO-ORDINATOR**, IN CONSULTATION WITH THE RELEVANT MINISTRY OR BUDGET DEPARTMENT IF NEEDED

**Criterion 1. Which of the following aspects of public expenditure are reflected in your programs and its resource allocations? (In the last completed fiscal year)**

Qg1.1. Are there policies and/or programs of the government designed to address well-identified gender equality goals, including those where gender equality is not the primary objective (such as public services, social protection and infrastructure) but incorporate action to close gender gaps?

Qg1.2. Do these policies and/or programs have adequate resources allocated within the budget, sufficient to meet both their general objectives and their gender equality goals?

Qg1.3. Are there procedures in place to ensure that these resources are executed according to the budget?

**Criterion 2. To what extent does your Public Financial Management system promote gender-related or gender-responsive goals? (In the last completed fiscal year)**

Qg2.1. Does the Ministry of Finance/budget office issue call circulars, or other such directives, that provide specific guidance on gender-responsive budget allocations?

Qg2.2. Are key policies and programs, proposed for inclusion in the budget, subject to an ex ante gender impact assessment?

Qg2.3. Are sex-disaggregated statistics and data used across key policies and programs in a way which can inform budget-related policy decisions?

Qg2.4. Does the government provide, in the context of the budget, a clear statement of gender-related objectives (i.e. gender budget statement or gender responsive budget legislation)?

Qg2.5. Are budgetary allocations subject to "tagging" including by functional classifiers, to identify their linkage to gender-equality objectives?

Qg2.6. Are key policies and programs subject to ex post gender impact assessment?

Qg2.7. Is the budget as a whole subject to independent audit to assess the extent to which it promotes gender-responsive policies?

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[1] Send an email to monitoring@effectivecooperation.org to seek advice from regional UN WOMEN focal points.

**Criterion 3. Are allocations for gender equality and women's empowerment made public? (In the last completed fiscal year)**

Qg3.1. Is the data on gender equality allocations published?

Qg3.2. If published, has this data been published in an accessible manner on the Ministry of Finance (or office responsible for budget) website and/or related official bulletins or public notices?

Qg3.3. If so, has the data been published in a timely manner?

*OPTIONAL QUESTIONS*

Qg1. Is there a requirement to apply a gender perspective in the context of setting budget-related performance objectives (e.g. program-based or performance-related budgeting)?

Qg2. Do subnational levels of government have systems to track allocations for gender equality?

Qg3. Do subnational levels of government make the allocations for gender equality public?

Qg4. Is a budget execution report provided, during the year or at year-end, showing the extent to which allocations for gender equality have been applied in practice?

Qg5. What is the level of resources both in absolute terms (national currency) and as a percentage of total public expenditure, allocated to gender responsive policies and/or programs in the last financial year?

•	In absolute terms (national currency)

•	As percentage of total public expenditure

Qg6. Has the Ministry of Finance consulted with the Ministry of Gender Equality or relevant government body on the necessary allocations for gender equality and women's empowerment?

Qg7. Do women's organizations and parliamentarians monitor local and national budget allocations for gender equality and women's empowerment?

Qg8. Does tax policy include gender equality considerations in its design and implementation?

## DEFINITIONS

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|---|---|
| **Criterion 1: Programs or policies of the government, that are designed to address well-identified gender equality goals** | (a) Programs or policies that specifically target only women and/or girls. For example, a government program that provides scholarships for girls only, or a prenatal care program, or a National Action Plan on Gender Equality; or (b) Programs or policies that target both women or girls and men or boys and have gender equality as the primary objective. For example, a national public information campaign against gender violence, or on-the-job training programs on gender equality; or (c) Programs or policies where gender equality is not the primary objective but the program includes action to close gender gaps. These programs could include provision of infrastructure, public services and social protection. For example, an infrastructure program that has a provision for using women labour, or a public transportation program that takes into consideration the mobility needs of women in its design. |
| **Criterion 1: Programs or policies have adequate resources allocated within the budget, sufficient to meet both their general objectives and their gender equality goals** | The programs or policies that are designed to address well-identified gender equality goals are allocated sufficient resources to cover the costs of meeting those goals from funding that is included in the budget rather than from off-budget sources. |

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| **Criterion 1: Procedures in place to ensure that these resources are executed according to the budget** | There are procedures established in laws or regulations so that resources for programs or policies that are designed to address well-identified gender equality goals are executed as specified in the budget or if there are deviations in the exercise from the budgeted allocations, government agencies must justify to a supervising entity (e.g. ministries of finance, parliaments, audit bodies, or other relevant authorities) the reason for not executing resources according to budget. |
| **Criterion 2: Call circulars** | Call circulars are the official notices that are issued by the Ministry of Finance or Budget Office in a country towards the beginning of each annual budget cycle. The circular instructs government agencies how they must submit their bids or demands for budget allocations for the coming year (in some countries the notice may have another name, such as budget guidelines or Treasury guidelines). It may inform each agency on its budget "ceiling" for the next fiscal year. |
| **Criterion 2: Key programmes and policies** | Programs or policies of the government that are designed to address well-identified gender equality goals (as identified in Criterion 1). |
| **Criterion 2: Ex-ante gender impact assessment** | Assessing individual resource allocations, in advance of their inclusion in the budget, specifically for their impact on gender equality. For example, before its inclusion in the budget, there is an estimate of how a conditional cash transfer program will impact school attendance of girls. |
| **Criterion 2: Sex-disaggregated statistics and data are available in a systematic manner across all key programs and policies** | There is routine availability of gender-specific data sets and statistics that would greatly facilitate the evidential basis for the identification of gender equality gaps, design of policy interventions, and the evaluation of impacts. |
| **Criterion 2: Gender budget statements** | A document that, either as part of the budget documentation or separately, provides a clear statement of gender-related goals. It is a document produced by a government agency, usually the Ministry of Finance or Budget Office, to show what its programs and budgets are doing with respect to gender. It is generally prepared after government agencies have completed the process of drawing up the budget and allocating resources to different programs in response to the annual call circular. |
| **Criterion 2: Functional classifiers** | Categorization of expenditure according to the purposes and objectives for which they are intended. A functional classifier on gender would identify expenditure that goes to programs or activities that address gender issues. |
| **Criterion 2: Ex-post gender impact assessment** | Assessing individual resource allocations, after their implementation, specifically for their impact on gender equality. For example, once the resources are spent and the program executed, how did a conditional cash transfer program affect the school attendance rate of girls as when compared to boys' attendance rate? |

| Criterion 2: The budget as a whole is subject to independent audit, to assess the extent to which it promotes gender-responsive policies | Independent, objective analysis, conducted by a competent authority different from the central budget authority, on the extent to which gender equality is effectively promoted and/or attained through the policies set out in the annual budget. |
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| Criterion 3: Published in an accessible manner | Allocations for gender equality and women's empowerment are published on the Ministry of Finance (or office responsible for budget) website and/or related official bulletins or public notices in a way that is clearly signalled and/or made available in hard copies that are distributed to parliamentarians and NGOs. |
| Criterion 3: Published in a timely manner | Allocations for gender equality and women's empowerment and/or its exercise are published in the same quarter as when approved/exercised. |

**Indicator 1a** > Development partners use country-led results frameworks (SDG 17.15.1)

**Indicator 5a** > Development co-operation is predictable: annual predictability

**Indicator 6** > Development co-operation is included in budgets subject to parliamentary oversight

**Indicator 9b** > Development partners use country systems

## INDICATOR 1A: DEVELOPMENT PARTNERS USE COUNTRY-LED RESULTS FRAMEWORKS (SDG 17.15.1)

### WHAT THIS INDICATOR MEASURES

The indicator measures the alignment of development partners with country-defined development objectives and results; as well as their progressive reliance on countries' own statistics and monitoring and evaluation systems to track progress in achieving the intended results. The indicator offers estimates at strategic and at programming level.

The indicator provides the data for SDG target 17.15, measuring the degree of policy space and leadership accorded to a country in establishing its own path towards poverty eradication and sustainable development.

### WHY THIS IS IMPORTANT

The extent to which development partners guide their development efforts in line with country-defined priorities and development results is a critical aspect of country ownership and results focus.

# HOW IT IS CONSTRUCTED

The extent to which country-led results frameworks are used by development partners is assessed as a two-layered process:

- **At strategic level (Module 1):** Development partners report on the characteristics of their current country strategy, partnership framework or similar strategic document defining their partnership and strategic approach in the country.

- **At programming level (Module 2):** Development partners report on their six (6)[1] largest programmes or projects[2] in the country, from all the new interventions equal or above USD 100,000 that were approved by the development partner in 2017[3].

The strategic level assessment provides contextual information to interpret the results of the project level assessment.

Reporting at programming level consists of four (4) sub-indicators:

- **Indicator 1a.1** Alignment at objectives level: percentage of development interventions whose objectives are drawn from country-led result frameworks;

- **Indicator 1a.2.** Alignment at results level: percentage of results indicators contained in development interventions which are drawn from country-led results frameworks;

- **Indicator 1a.3.** Alignment at monitoring and statistics level: percentage of results indicators which will be monitored using government sources and monitoring systems;

- **Indicator 1a.4.** Government involvement in final evaluations: percentage of new interventions that plan a final evaluation with government involvement.

Elements of the programming level assessment provide the **official data to report on SDG target 17.15** *Respect each country's policy space and leadership to establish and implement policies for poverty eradication and sustainable development.[4] The SDG indicator 17.15.1 "Extent of use of country-owned results frameworks and planning tools by providers of development cooperation" is calculated by averaging the three sub-indicators 1a.1, 1a.2, and 1a.3.*

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1 The rational for focusing on the six largest programmes/projects equal to or above USD 100,000 is to capture a representative sample of development partners' current practices (i.e. the largest portion of development co-operation financing flows) while avoiding overburdening development partners country offices and headquarters, and government national co-ordinators in the data collection and validation. The analysis of the 2016 monitoring results showed no significant bias in the results that could be attributed to the size of the interventions. In addition, the minimum amount of USD 100,000 ensures that technical co-operation support is also reported.

2 If the development partner has less than six qualifying interventions approved in the country during the reference year, it will report only on those approved interventions above USD 100,000 in value. If the development partner does not have any new intervention above USD 100,000 in the country, it will report at least on one –the largest– project approved in the country during the reference year, even if below the stated value threshold.

3 This amount is the total budget for the intervention as approved during 2017 (i.e. commitment), even if disbursements will be phased during subsequent years. By focusing only on interventions that have been recently approved in the year of reference, the indicator aims at reporting on the most recent behaviour of development partners (avoiding reporting on projects that were designed in previous years).

4 SDG indicator 17.15.1 metadata is available at: https://unstats.un.org/sdgs/metadata/files/Metadata-17-15-01.pdf

# STEP BY STEP GUIDANCE

1.  The national co-ordinator shares the **DP Excel** with each development partner that has been listed by the government in the **Country Excel** tab "Development Partners".
2.  Development partners complete the requested data guided by the questionnaire below and the instructions contained in the reporting tool **DP Excel.**
3.  National co-ordinator imports the information received from its development partners into the **Country Excel,** verifying the accuracy and completeness of the information using the country's aid management systems – if applicable - and/or liaising with other relevant government departments related to the specific programmes/ projects, as deemed necessary.
4.  The **Country Excel** will automatically estimate indicator 1a and SDG 17.15 when the information for all development partners has been included.

# QUESTIONNAIRE

•   TO BE ANSWERED BY **DEVELOPMENT PARTNERS** AND VALIDATED BY NATIONAL CO-ORDINATOR

**Module 1. Strategic level: Development partners use country-led results frameworks in defining their country strategies**

**Qp1.** At this moment, is there a country strategy or a partnership framework that guides your development interventions in the country? [*Yes/No*]
*If yes, please indicate the period it covers and provide the link to the document or include an electronic copy of it when you submit your answers to the questionnaire.*
a. If yes,
Have any of the following country-level stakeholders been engaged in the preparation?
[  ] *Government*   [  ] *Civil society organisations*   [  ] *Private sector*   [  ] *Other stakeholders:* _ _ _ _ .
Has the national government signed off to the final document? [*Yes/No*]

*Development partners that answered yes to Q1 continue the survey*

**Qp2**. How many priority areas for interventions are identified in your country strategy or partnership framework? [Number]
a. And among these priority areas, how many have been jointly identified with the government? [Number]

**Qp3.** Does your country strategy include a results framework with strategic objectives, results indicators and targets to measure progress in achieving the objectives? [*Yes/No*]
a. If yes, how many results indicators are included? [*Number*]
b. If yes, how many of these results indicators are drawn[1] from the partner government's results frameworks, plans and strategies? [*Number*]
c. If yes, how many results indicators will be monitored using partner government official data and statistics? [*Number*]

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1  In this context, "drawn from partner government's results framework" means that the results indicator matches an indicator included in the partner government's national results framework(s), plans and strategies. Indicator wording should be close enough. Targets may vary, as development partners' contribution is just a part of the country's overall efforts.

Qp4. Does your country strategy/partnership framework include monitoring and evaluation arrangements? [*Multiple answer possible*]

☐       Monitoring
☐       Evaluation

a. If there are, how is the partner government involved? [*Single answer among the following options*]
No government involvement
☐   The government is periodically informed on progress
☐   The government is involved in the monitoring and/or evaluation process
☐   The government is involved in the monitoring and/or evaluation process and in a discussion around the results

**Qp5.** How are the 2030 Agenda and SDGs incorporated or referenced in your country strategy or partnership framework? [*Multiple answer among the following options*]
☐   The 2030 Agenda/SDGs are referenced at strategic level [in the narrative]
☐   SDGs are referenced at goal level [in the narrative or results framework]
☐   SDGs are referenced at target level [in the results framework]
☐   SDGs are referenced at indicator level [in the results framework]
☐   There is no reference to the Agenda 2030 and the SDGs in the current country strategy or partnership framework
☐   There is no reference to the SDGs as the strategy was approved before September 2015.

[*Optional*]. Please indicate the main constraints your agency faces, if any, in the use of country-led results frameworks for defining your country strategy or partnership framework.

**Module 2. Programming level: Development partners use country-led results framework in defining their development interventions.**

Development partners report on their six (6) largest programmes or projects[2], from all the new interventions above USD 100,000 approved in the country during 2017.

*BASIC DESCRIPTORS*

**Qp1.** Name of the intervention:  [*Name of the programme/project*]

**Qp2.** Approved amount for the intervention:  USD ___

**Qp3.** Approval date:  [*Month / Year*]

**Qp4.** Type of intervention: ___ [*Note: options offered in the data submission tool*]

**Qp5.** Implementing institution: ____  [*Note: options offered in the data submission tool*]

**Qp6.** Sector that the intervention targets: ___ If multi-sectoral, mark up to three options. [*Note: options offered in the data submission tool*]

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2  If the development partner has less than six qualifying interventions approved in the country during the reference year, it will report only on those approved interventions above USD 100,000 in value. If the development partner does not have any new intervention above USD 100,000 in the country, it will report at least on one –the largest– project approved in the country during the reference year, even if below the stated value threshold.

**Qp7.** Where are the objective/s of the intervention drawn from? ___ [*Note: options offered in the data submission tool*]

**Qp8.** Does the intervention have a results framework or logical framework? [*Yes/No*]

**Qp9.** How many results indicators are included in the results framework or logical framework of this intervention?
[*Number*]
a. Among the indicators included in the results framework of this intervention, how many are drawn from existing government results frameworks, plans and strategies?  [*Number*]
b. How many results indicators will be reported using sources of information directly provided by existing government monitoring systems or national statistical services? [*Number*]

**Qp10.** Is there a final evaluation[3] planned for the intervention? [*Yes/No*]
a. If yes, to what extent is the government involved in the evaluation? [*Note: options offered in the data submission tool*]

[*Optional*]. What are the main constraints your agency faces, if any, in using the country's results framework(s) when designing this intervention?

*Note: To facilitate the validation by the partner government, development partners are invited to attach or provide the electronic link to the document describing the project/programme at approval.[4]*

## DEFINITIONS

| Country Results Framework(s) (CRF) | Country results frameworks (CRFs) define a country's approach to results and its associated monitoring and evaluation systems focusing on performance and achievement of development results. Using a minimal definition, these results frameworks include agreed objectives and results indicators (i.e. output, outcome, and/or impact). They also set targets to measure progress in achieving the objectives defined in the government's planning documents. In practice, government-led results frameworks defined at the country level are often broadly stated (e.g. long term vision plans, national development strategies) and operationalised in more detail at the sector level (e.g. sector strategies), where specific targets and indicators are set for a given timeframe. The definition of country-led results framework used in GPEDC Monitoring Framework allows for the possibility to use equivalent priority-setting mechanisms at the country level since not all countries articulate their priorities through consistent, integrated Country Results Frameworks. |
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3  In this context, self-assessments and project closing reports are not considered final evaluations.
Development partners are invited to share the electronic document (or a scanned copied of the original document) with the national co-ordinator if the document is not available online.

4  Development partners are invited to share the electronic document (or a scanned copied of the original document) with the national co-ordinator if the document is not available online.

| Country Results Framework(s) (CRF) | For the purposes of this monitoring exercise, the broad definition of CRFs and CRF-like planning instruments include: long term vision plans; national development strategies; agreed joint government-multi-donor plans; government's sector strategies, policies and plans; subnational planning instruments, as well as other frameworks (e.g. budget support performance matrices, sector-wide approaches). In contrast, planning and priority setting documents not originated within the government, such as development partners' own country strategies, are not considered country-led results frameworks. |
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| Country strategy or partnership framework | A country strategy or partnership framework is strategic document that guides the development partner support to a partner country. It is typically a five-year strategy, which defines the development approach chosen, and provides the context for the implementation, monitoring and evaluation of programmes and results. |
| Development interventions | In the context of this indicator, the term *development interventions* is used to indicate development programmes and projects indistinctively. |
| Final evaluation | Final evaluations are assessments carried out at the end of the intervention, generally focused on measuring whether the intended outcomes or impacts were achieved.<br><br>Some common types of ex post evaluations include outcome evaluations, impact evaluations and objectives-based evaluations. Process evaluations (focused on identifying challenges during project implementation) can also be carried out at the end of the project.<br><br>In this context, self-assessments or project closing reports are NOT considered as final evaluations.<br><br>*Note that not all interventions need to be evaluated. For the purposes of this exercise, the indicator only assesses whether the partner country has been consulted or engaged in a final evaluation, but only if that evaluation is planned.* |
| National development strategy | National development strategies are overarching strategic planning tools that cover the whole-of-government. These strategies/plans are typically prepared to cover a clearly identified period of time, often covering four to eight years. The quality of these national development strategies in operational terms depends on the extent to which they constitute a unified strategic framework to guide the country's development policy and include strategic priorities linked to a medium-term expenditure framework and reflected in annual budgets. They are expected to have been developed through an inclusive consultative process involving the full range of relevant development stakeholders at country level, as to ensure legitimacy and sustainability of national development plan in the medium term. |

| Participatory process | In the context of developing a country strategy or partnership framework, a process of engagement with other stakeholders that offers opportunities and mechanisms designed for reaching consensus on the priorities and commitments. In contrast with consultative processes, which are opportunities to input into the process, participatory processes are characterised by the co-definition of priority areas and/or targets. |
|---|---|
| Priority / Priority Area | In the context of this indicator, priority areas are sectors (e.g. education, health, transport), geographic regions, or cross-cutting issues (e.g. gender equality, anti-corruption, climate change) explicitly reflected in the country strategy or partnership framework.<br><br>For the purpose of this monitoring exercise, priorities/priority areas are considered "jointly defined with the government" if they have been negotiated and agreed with the government through a consultative or participatory process. |
| Results framework | A results framework is an explicit articulation (graphic display, matrix or summary) of the different levels, or chains, of results expected from a particular intervention –project, programme or development strategy. At minimum, it contains a logical set of priorities, targets and [results] indicators. See *Results indicators* for more information on the latter. |
| Results indicators | Results indicators are a measure that is used to demonstrate change in a situation, or the progress in, or results of, an activity, project, or programme.<br><br>While the broad definition of results indicators include outputs, outcomes and impacts, this exercise focuses on assessing only the set of outcome indicators included in the intervention's results framework. In the event that only output indicators are included, please refer to those instead. In the event the intervention did not establish any results framework, mark as zero and indicate the reason for the lack of inclusion (e.g. small technical cooperation, extension of project financing, untied transfer). |

# INDICATOR 5A: DEVELOPMENT CO-OPERATION IS PREDICTABLE: ANNUAL PREDICTABILITY

## WHAT THIS INDICATOR MEASURES

This indicator measures, for the reporting year of reference, the proportion of development co-operation disbursed as development partners had scheduled at the beginning of the year.

## WHY THIS IS IMPORTANT

Governments that benefit from predictable development co-operation can better plan and manage their development policies and programmes. It will also result in greater country ownership. By focusing on the predictability of development co-operation, this indicator recognises that shortfalls, over-disbursements in the total amount of funding for the public sector, and delays in the annual disbursements of scheduled funds can have serious implications for a government's ability to implement its development strategies as planned.

## HOW IT IS CONSTRUCTED

The indicator is calculated by dividing the amount of development co-operation flows **disbursed** by the amount of development co-operation flows **scheduled** for disbursement to a given country in the reporting year of reference. The reporting year of reference is the last completed fiscal year of the partner country. Results generated once the data are recorded in the excel file show the share of disbursements *on schedule* and also *beyond schedule.*

This calculation is done automatically in the excel file. For further technical details on how the indicator is calculated please refer to the technical companion document.

# STEP BY STEP
# GUIDANCE

1. The national co-ordinator shares the "DPs Excel" with each development partner indicated in the **Country Excel** tab "Development Partners".
2. Development partners complete the requested data guided by the questionnaire below and the instructions contained in the reporting tool "DP Excel".
3. National co-ordinator collects all data from its development partners and transfer it into the **Country Excel,** verifying the accuracy and completeness of the information. It may be necessary to discuss with development partners if adjustments are needed.

# QUESTIONNAIRE

- TO BE ANSWERED BY **DEVELOPMENT PARTNERS** AND VALIDATED BY NATIONAL CO-ORDINATOR

**Qp1.** How much development co-operation flows did you disburse at country-level in the reporting year of reference? USD _____
*This question covers all flows disbursed to the country, including disbursements to public sector and also direct support to non-governmental organisations, civil society, private sector and other non-state domestic actors.*

**Qp2.** How much of this was for the public sector in the reporting year of reference? USD _____
*This question covers only flows directly disbursed to the public sector or directly to the benefit of public sector entities. It does NOT include flows disbursed via other bilateral or multilateral organisations.*

**Qp3.** How much development co-operation flows for the public sector did you schedule for disbursement at country-level in the reporting year of reference? USD _____
*This question covers only flows that were planned to be directly disbursed to the public sector or directly to the benefit of public sector entities. It does NOT include flows planned to be disbursed via other bilateral or multilateral organisations.*

**Qp4.** How much development co-operation flows for the public sector did you disburse through other development partners at the country level in the reporting year of reference? USD _____
*Amounts reported here are not captured in responses to Qp1-Qp3. They refer to the indirect support you provided to the country via other official bilateral and multilateral agencies.*

# DEFINITIONS

| Development co-operation flows | Official development assistance and other non-concessional official development flows. This includes all official development financial flows aiming to promote the development and welfare of partner countries. |
|---|---|
| Public sector | It includes government and other public sector entities. It includes ministries, departments, agencies, state-owned enterprises and subnational governments, as well as institutions in the legislative or judiciary branches. It does NOT include civil society organisations, private sector entities or other non-state domestic actors. |
| Scheduled for disbursement | Includes development co-operation amounts that the development partner had communicated to the government at the outset of the reporting year to be disbursed in the country to the benefit of / for public sector institutions by the end of that reference year. Development co-operation funding scheduled for the reporting year of reference are considered to have been "scheduled for disbursement" when notified to government within the reporting year of reference or any time before that. |
| Reporting year of reference | The reporting year of reference is the last completed fiscal year of the partner country. |

# INDICATOR 6: DEVELOPMENT CO-OPERATION IS INCLUDED IN BUDGETS SUBJECT TO PARLIAMENTARY OVERSIGHT

## WHAT THIS INDICATOR MEASURES

This indicator assesses the share of development co-operation funds planned to/for the country's public sector that was recorded in the annual budget submitted for legislative approval.

## WHY THIS IS IMPORTANT

Beneficiary countries have more clarity on the resources available and can better plan and allocate funds when development co-operation funds are recorded in their annual budget. The regular inclusion of development co-operation funding on budget helps to align development efforts with countries' own priorities and also contributes to strengthening domestic budgetary processes and institutions.

Parliaments have an important role to play in ensuring broad ownership and management of public expenditure. The full inclusion of development co-operation flows on the approved national budget facilitates scrutiny by parliaments and accountability to the public, allowing for greater national ownership of development efforts.
This indicator also serves as an indication of whether development partners and governments are effective in linking development co-operation with domestic policies and programmes.

## HOW IT IS CONSTRUCTED

Where the funds recorded in the partner country's budget are *smaller* than the disbursements planned by its development partners at the outset of the reporting year of reference, the indicator is calculated by dividing the funds recorded in the budget by the funds scheduled for disbursement.

Where the funds recorded in the budget are *larger* than the scheduled disbursements, the indicator is calculated by dividing the difference between recorded and scheduled by the funds recorded in the budget. This value represents what is beyond schedule.

This calculation is done automatically in the **Country Excel,** For further technical details on how the indicator is calculated please refer to the technical companion document.

# STEP BY STEP GUIDANCE

1. The national co-ordinator should review the budget approved for the reference year, and identify the total financial contributions, per development partner, which are recorded in the government's annual budget. Depending on the country's specific practices, these contributions, per development partner, may appear in the revenue section, in the expenditure section, or in the budget annexes.
2. The national co-ordinator inputs these *budgeted* financial contributions, for each partner, into the **Country Excel,**.
3. The **Country Excel,** will calculate the indicator automatically by dividing the amount reported in question Qg1 below (*Recorded on the country's budget*) by the amount reported in indicator 5a's Qp3 (*Scheduled disbursements*).

# QUESTIONNAIRE

• TO BE ANSWERED BY THE **NATIONAL CO-ORDINATOR** FOR EACH DEVELOPMENT PARTNER

**Qg1.** How much estimated development co-operation funding was recorded in the annual budget of the reporting year of reference as grants, revenue or loans (concessional and non-concessional) respectively? USD _____

# DEFINITIONS

| Annual budget | This is the annual budget as it was originally approved by the legislature. In order to support discipline and credibility of the budget preparation process, subsequent revisions to the original annual budget — even when approved by the legislature — *should NOT be recorded* under question Qg1. This is because it is the credibility of the original, approved budget that is important to measure and because revisions to the annual budget in many cases are retroactive. |
|---|---|

# INDICATOR 9B: DEVELOPMENT PARTNERS USE COUNTRY SYSTEMS

## WHAT THIS INDICATOR MEASURES

This indicator measures the proportion of development co-operation disbursed to a given country that is managed using the partner country's national norms, procedures and systems for budget management and execution[1], financial reporting, auditing and procurement – instead of using the development partner's own norms, procedures and systems.

## WHY THIS IS IMPORTANT

When countries' own procedures and systems are used in the delivery of development co-operation, there is a potential pay-off of increased investment in strengthening these systems, coupled with improved efficiency, ownership of the development programmes delivered. The use of country systems allows development programmes to be integrated better with countries' own expenditure, reducing duplication of effort and increasing the leveraging effect of development co-operation resources and the sustainability of activities and results.

## HOW IT IS CONSTRUCTED

This indicator is calculated by dividing the amount of development co-operation flows that use country systems and procedures by the total amount of development co-operation disbursed to the public sector in the reporting year of reference. Results are presented per development partner and per partner country as following:

- Per development partner: Shows the proportion of development co-operation disbursed by each development partner to all reporting partner countries that are managed using national: a) budget execution procedures; b) financial reporting procedures; c) auditing procedures, and d) procurement systems. Aggregation is done using a weighted average to reflect the proportion of the result with respect to the funds disbursed.
- Per partner country: Shows the proportion of development co-operation received by each partner country from all its development partners that uses national: a) budget execution procedures; b) financial reporting procedures; c) auditing procedures, and d) procurement systems. Aggregation is done using a weighted average to reflect the proportion of the result with respect to the funds disbursed.

This calculation is done automatically in the **Country Excel**. For further technical details on how the indicator is calculated at global level please refer to the technical companion document.

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[1] The indicator does not measure whether funds are "on-budget" but whether they were disbursed relying on partner countries' own budgetary norms and systems for expenditure management, as opposed to development partners' own corporate policies (e.g. separate bank account, authorisation process for expenditures).

# STEP BY STEP GUIDANCE

1. Development partners input the requested data in the **DP Excel,** guided by the questionnaire below.
2. National co-ordinators verify the accuracy and completeness of the information. It is important to validate that the amounts indicated were disbursed using the government's own norms and systems for budget management, financial reporting, auditing and procurement – and not the ones of the development partner.
3. National co-ordinators may discuss with development partners if observations and adjustments are deemed necessary during the validation and review process.
4. Once verification has taken place, the national co-ordinator transfers development partners' data from the various **DP Excel,** into tab "5a, 5b, 6 & 9b" of the **Country Excel** (for efficient transfer, copy and paste, but "paste as values", is allowed).

# QUESTIONNAIRE

• TO BE ANSWERED BY **DEVELOPMENT PARTNERS** AND VALIDATED BY NATIONAL CO-ORDINATOR

In the reporting year of reference, how much development co-operation funding disbursed for the public sector used…

**Qp1.** …national budget execution procedures (USD)? _____
**Qp2.** …national financial reporting procedures (USD)? _____
**Qp3.** …national auditing procedures (USD)? _____
**Qp4.** …national procurement systems (USD)? _____

An open-ended comment box will allow partners to provide more detail on current internal or external obstacles in using these country systems to channel their development co-operation funding – with the aim of informing dialogue with the government on ways to address these bottlenecks.

# DEFINITIONS

| Use of national budget execution procedures | Development partners use national budget execution procedures when the funds they provide are managed according to the national budgeting procedures established in the general legislation and implemented by government in the partner countries. This means that programmes supported by development partners are subject to normal country budgetary execution procedures, namely procedures for authorisation, approval and payment. |
|---|---|

| Use of national budget execution procedures | Development partners are invited to review all their development co-operation activities with a view to determining how funding for the government sector meets three out of the four criteria below (anything less does not qualify):<br>1. Are your funds included in the annual budget approved by country legislature? (Y/N)<br>2. Are your funds subject to established country budget execution procedures? (Y/N)<br>3. Are your funds processed (e.g. deposited & disbursed) through the established country treasury system? (Y/N)<br>4. You do NOT require the opening of separate bank accounts for your funds? (Y/N).[1] |
| --- | --- |
| Use of national financial reporting procedures | Legislative frameworks typically have provisions for specific types of financial reports to be produced as well as periodicity of such reporting. The use of national financial reporting means that development partners do not impose additional requirements on governments for financial reporting.<br>In particular development partners do NOT require: i) maintenance of a separate accounting system to satisfy the development partner's reporting requirements, and ii) creation of a separate chart of accounts to record the use of funds from the development partner.<br><br>Development partners are invited to review all their development activities with a view to determining how much funding for the government sector meets BOTH criteria below (anything less does not qualify):<br><br>1. You do NOT require maintenance of *a separate accounting system* to satisfy your own reporting requirements? (Y/N)[2]<br>2. You ONLY require financial reports prepared using the *country's established financial reporting arrangements?* (Y/N) |
| Use of national auditing procedures | Development partners rely on the audit opinions, issued by the country's supreme audit institution, in the government's normal financial reports/statements as defined above. The use of national auditing procedures means that development partners do not place additional auditing requirements on governments. |

1  *Budget execution* — **Yes:** you do not require opening separate accounts. **No:** you do require opening separate accounts.

2  Financial reporting — Yes: you do not require a separate accounting system. No: you do require a separate accounting system.

| Use of national auditing procedures | Development partners are invited to review all their development activities with a view to determining how much development co-operation funding for the government sector meets **_BOTH criteria_** below[1]:<br><br>1. Are your funds subject to audit carried out **_under the responsibility of the Supreme Audit Institution? (Y/N)_**<br>2. You do **_NOT_** under normal circumstances **_request additional audit arrangements[2]?_** (Y/N)[3]<br><br>**_AND at least one of the two criteria_** below:<br><br>3. You do NOT require **_audit standards different_** from those adopted by the Supreme Audit Institution? (Y/N)[4]<br>4. You do NOT require the Supreme Audit Institution to change its **_audit cycle_** to audit your funds? (Y/N)[5] |
|---|---|
| Use of national procurement systems | Development partners use national procurement systems when the funds they provide for the implementation of projects and programmes are managed according to the national procurement procedures as they were established in the general legislation and implemented by government of the partner country. The use of national procurement procedures means that development partners do not make additional, or special, requirements on governments for the procurement of works, goods and services (where weaknesses in national procurement systems have been identified, development partners may work with partner countries in order to improve the efficiency, economy, and transparency of their implementation). |

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1 Note: where development co-operation funding is provided to parastatal entities (for example, public enterprises) and these entities are not subject to audit by the Supreme Audit Institution, the following criteria should be considered:

Development partners are invited to review all their development activities with a view to determining how much development co-operation funding for the government sector meet BOTH criteria below:

1. *Are your funds subject to audit carried out under the regular audit procedures established for the audit of parastatal entities? (Y/N)*
2. *You do NOT under normal circumstances request additional audit arrangements? (Y/N)*
3. *AND at least one of the two criteria below:*
4. *You do NOT require audit standards different from those adopted by the partner country for the audit of parastatal entities? (Y/N)*
5. *You do NOT require a change in the audit cycle of the parastatal entity to audit your funds? (Y/N)*

2 Reserving the right to make an exceptional audit (e.g. when fraud or corruption is discovered) does not count against this criteria.

3 **Yes:** development partners do not require additional audits. **No:** development partners do require additional audits.

4 **Yes:** development partners do not require different audit standards. **No:** development partners do require different audit standards.

5 **Yes:** development partners do not require to change the audit cycle. **No:** development partners do require change to the audit cycle.

| Indicator 2 | > | Civil Society Organisations operate within an environment that maximises their engagement in and contribution to development |
| Indicator 3 | > | Quality of public-private dialogue |

## INDICATOR 2: CIVIL SOCIETY ORGANISATIONS OPERATE WITHIN AN ENVIRONMENT THAT MAXIMISES THEIR ENGAGEMENT IN AND CONTRIBUTION TO DEVELOPMENT

### WHAT THIS INDICATOR MEASURES

This indicator measures the extent to which governments and development partners contribute to an enabling environment for Civil Society Organisations (CSOs); and the extent to which CSOs are implementing the development effectiveness principles in their own operations.

### WHY THIS IS IMPORTANT

The political, financial, legal and policy context in which CSOs work, as well as the ways in which these development actors organise themselves and work with governments and development partners, deeply affects their development effectiveness and contributions to achieve results.

# HOW IT IS CONSTRUCTED

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The indicator is structured around four thematic modules and sixteen questions reflecting the enabling environment and CSO practices that help them contribute to development effectively. The responses to the sixteen questions are reported by the national co-ordinator collectively with CSOs and development partners.

Complementary information to help respondents identify the answer that better reflects the reality in their own country is available here: https://www.dropbox.com/s/g5bvf6whstwl7md/Indicator 2 Characteristics of practice CLEAN.pdf?dl=0. The information also appears automatically in the **Country Excel** when your mouse scrolls over the different levels.

# STEP BY STEP GUIDANCE

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To answer the questionnaire for this indicator, a multi-stakeholder dialogue between government, CSOs and development partners (ideally through focal points representing these constituencies) is suggested. This approach creates an entry point to discuss CSO enabling environment and development effectiveness issues at country level and strengthens the mutual understanding of progress and challenges. Where relevant, national co-ordinators are encouraged to hold this dialogue using existing in-country dialogue platforms with civil society, or other ongoing engagement processes (e.g. CSO platforms and roundtables with governments and development partners).

The suggested steps to collect the data and report through a multi-stakeholder dialogue are the following:
1.  Focal points for CSOs and for development partners are identified, prioritising their ability to convey representative views of each constituency. To facilitate the process, the Joint Support Team will share with national co-ordinators a list of CSO focal points who have been already trained in the indicator methodology, which are available for a number of countries.
2.  The national co-ordinator reaches out to identified focal points for CSOs and development partners and shares the questionnaire materials and guidance with them.
3.  In preparation for the dialogue, focal points for CSOs and development partners are encouraged to consult with their constituencies in order to provide responses to the questionnaire that represent the views of each constituency[1];
4.  The national co-ordinator convenes these focal points in a multi-stakeholder dialogue or exchange, and records their names and contact details in the questionnaire (tab "**2**").
5.  A Tab ("**CI-2**") with context data from related indicators from existing global sources is included in the **Country Excel,** to provide context and inform discussion on the indicator questionnaire. This tab provides a picture of the country's performance in areas that are relevant for CSO's engagement and contribution to development.
6.  For each of the sixteen questions, participants discuss which of the four different levels best reflects the current situation in country.
7.  The national co-ordinator and the focal points for CSOs and development partners register their specific answers to each question in the **Country Excel,** which allows for individual answers from government, CSOs and development partners.
8.  Additional observations from participants can be reflected in the dedicated space at the bottom of the questions.

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1 In reaching out to the relevant constituencies, CSO focal points are encouraged to also reach to a variety of CSOs, trade unions, foundations and other social agents – where relevant to country context.

# QUESTIONNAIRE

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- TO BE ANSWERED BY **NATIONAL CO-ORDINATOR** IN CONSULTATION WITH **FOCAL POINTS** FROM CIVIL SOCIETY AND DEVELOPMENT PARTNERS

### MODULE 1: SPACE FOR CSO DIALOGUE ON NATIONAL DEVELOPMENT POLICIES

**Qg+1A.** To what extent does the government consult CSOs in the design, implementation and monitoring of national development policies?

**Qg+1B.** In the context of Agenda 2030 and the Sustainable Development Goals (SDGs), to what extent does the government consult CSOs in the prioritisation, implementation and monitoring of the SDGs?

**Qg+1C.** To what extent do CSOs have the right in law and in practice to access relevant government information for effective participation in consultations with the government?

**Qg+1D.** To what extent have the results of recent consultations with CSOs informed government design, implementation and monitoring of national development policies?

### MODULE 2: CSO DEVELOPMENT EFFECTIVENESS: ACCOUNTABILITY AND TRANSPARENCY

**Qg+2A.** To what extent are partnership equitable and based on mutual interest between financing CSOs and their CSO partners?

**Qg+2B.** To what extent do CSOs participate in CSO-initiated co-ordination, including mechanisms (e.g. platforms, networks, associations) that facilitate CSOs engagement in policy dialogue and/or co-ordination among CSOs at national or sectoral level?

**Qg+2C.** To what extent are CSOs implementing their development work guided by international human rights standards and principles?  (e.g. human rights based approaches)

**Qg+2D.** To what extent are CSOs aligning with CSO-led accountability mechanisms to address CSOs' transparency and multiple accountabilities?

### MODULE 3: OFFICIAL DEVELOPMENT CO-OPERATION WITH CSOS

**Qg+3A.** To what extent do development partners consult CSOs in the design, implementation and monitoring of their development co-operation policies and programmes?

**Qg+3B.** To what extent is the promotion of an enabling environment for CSOs (e.g. political, financial, legal and policy aspects) an agenda item in development partners' policy dialogue with the government?

**Qg+3C.** To what extent is development partner financial support maximising sustainable engagement of CSOs in all aspects of development?

**Qg+3D.** To what extent do development partners make available information about their CSO support to the public, including to the government?

### MODULE 4: LEGAL AND REGULATORY FRAMEWORK

**Qg+4A.** With respect to the rights to freedoms of assembly and expression, to what extent does the legal and regulatory framework enable CSOs to exercise these rights in law and in practice?

**Qg+4B.** With respect to the freedom of association, to what extent does the legal and regulatory framework enable in law and practice CSO formation, registration and operation?

**Qg+4C.** To what extent are CSOs working with marginalised populations and at-risk groups effectively protected from discrimination?

**Qg+4D.** To what extent does the legal and regulatory environment facilitate access to resources for domestic CSOs?

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|---|---|
| **Civil Society Organisations (CSOs)** | CSOs can be defined to include all non-market and non-state organisations outside of the family in which people organise themselves to pursue shared interests in the public domain. They cover a range of organisations that includes membership-based CSOs, cause-based CSOs and service-delivery CSOs. |
| **Consultation** | Consultation is a process through which subjects or topics of interest are discussed within or across constituency groups. Consultations are more formal and interactive than dialogue. The objective of a consultation is to seek information, advice and opinion. In any consultative process, the convener is not only gathering input, but sharing information as well. The organizer seeks to identify and clarify interests at stake, with the ultimate aim of developing a well-informed strategy or project that has a good chance of being supported and implemented. Providing and sharing information is seen as the foundation of an effective consultation process. |
| **CSO accountability mechanisms** | CSOs are accountable in many ways and at different levels to their constituencies, to their governance structures, to their programming counterparts and to government regulatory bodies. In many countries accountability of CSOs is also guided by CSO initiated and agreed codes of conduct and standards, which are the foundation of CSO accountability mechanisms.  These standards cover best practice in governance, CSO transparency, human rights with respect to staffing, financing and programming practices. |
| **CSO enabling environment** | The political, financial, legal and policy context that affects how CSOs carry out their work. |
| **Development partners financial support to CSOs** | Development partners' financing modalities should be embedded in an overarching policy for support to CSOs as development actors in their own right, as first acknowledged in the Accra Agenda for Action. This recognition implies that the scope and roles for CSOs in development are distinct from government and official development partners, and CSOs should be supported based on CSO proposals derived from their own objectives and partnerships, and not by objectives defined through the priorities of a given development partner.<br><br>Good practice in funding CSOs therefore suggests an increased use of modalities that strengthen CSO ownership, independence and flexibility to be responsive to community priorities, such as core or institutional funding and co-financing mechanisms. Strengthened dialogue with CSOs, especially in partner countries, allows for increased transparency and possibilities for CSOs to influence development cooperation, including development partners' civil society support.  Improved coordination, simplification and harmonization of funding requirements between development partners are also part of good practice contributing to reduced transaction costs and increased access for a diversity of CSOs. |

| | |
|---|---|
| Equitable CSOs partnerships | Equitable CSO partnerships, in all their diversity, are expressions of social solidarity through long term collaborations based on shared values and mutually agreed goals. Such partnerships are rooted in trust, respect and leadership of partner country CSOs. They require deliberate efforts to counter-balance power inequalities between financing CSOs and partner country counterparts, the realities of gender inequities and women's exclusion, and sometimes-large disparities in capacity. Equitable partnerships are characterized by negotiated programming and shared responsibilities, mutual decision-making and accountability, and processes for addressing any potential conflict. Programming priorities are derived from implementing partners' goals and priorities. |
| Freedom of assembly | Freedom of assembly is the individual right to come together and collectively express, promote, pursue and defend common interests. The right to freedom of association is recognized as a human right, a political freedom and a civil liberty. |
| Freedom of association | Freedom of association is the right to associate with others to form bodies in which to pursue common objectives collectively. |
| Freedom of expression | It is the freedom to hold opinions without interference and to seek, receive and impart information and ideas through any media and regardless of frontiers. |
| Financing CSOs | Financing CSOs are a type of CSO that provides funding to other CSOs for the implementation of development programmes. An example of financing CSOs are international NGOs providing financial resources to domestic CSOs. |
| Government-owned civil society organisations | A government-owned CSO is a civil society organization created or sponsored by a government to pursue its political interests or promote its international or geopolitical interests at home or abroad. |
| Human rights-based approach (HRBA) | A human rights-based approach is a conceptual framework for the process of human development that is normatively based on international human rights standards and operationally directed to promoting and protecting human rights. It seeks to analyse inequalities which lie at the heart of development problems and redress discriminatory practices and unjust distributions of power that impede development progress. (UN HRBA portal). It does this by integrating human rights norms and principles into every area of development co-operation, including the process itself, and in every thematic area of work. This helps to promote the sustainability of development work, empowering people themselves - especially the most marginalized - to participate in policy formulation and hold accountable those who have a duty to act. |

| Marginalised populations | Marginalised populations frequently experience different forms of marginalisation, vulnerability or discrimination. This might include trade unions, women's rights organisations, organisations of particular ethnic groups, human rights organisations, and organisations of indigenous peoples, religious minorities, environment or land rights organizations, LGBT organisations, or organisations of people with disabilities. |
|---|---|
| Multi-stakeholder dialogue | A policy process or development initiative that brings together two or more stakeholder groups (government, development partners, CSOs, private sector, etc.) on the basis of equality among the stakeholders. |

# INDICATOR 3: QUALITY OF PUBLIC-PRIVATE DIALOGUE

## WHAT THIS INDICATOR MEASURES

This indicator helps governments assess the quality of public-private dialogue (PPD) in the country, by looking at the enablers for such dialogue, the inclusiveness and relevance of these processes, and their effectiveness towards creating more joint action. By focusing on PPD, the indicator recognises the importance of dialogue for building an environment conducive to leveraging the full potential of the private sector's contribution to sustainable development.

## WHY THIS IS IMPORTANT

The 2030 Agenda acknowledges the important role of a diverse private sector in the achievement of sustainable development and "calls on all businesses to apply their creativity and innovation to solving sustainable development challenges". Maximising the private sector's financial and non-financial contribution to sustainable development requires effective engagement between the public and private sectors. Good public-private dialogue is recognised as a precondition for enhanced collaboration between the two parties.

## HOW IT IS CONSTRUCTED

The indicator is built around two modules covering elements that are crucial for effective public-private dialogue and collaboration. The first module aims to identify recent public-private dialogue experiences and the issue-areas addressed in these initiatives. The second module assesses the quality of these recent experiences by looking at the:

**Enablers of public-private dialogue:**
• Mutual trust and willingness to engage
• Readiness for public-private dialogue (e.g. co-ordination, capacity)

**Relevance of issues addressed and participation:**
• Broad-based, inclusive dialogue
• Relevant public-private dialogue

**Results and action yielded:**
• Producing results from the dialogue
• Leading to joint public-private action.

Complementary information to help respondents identify the answer that best reflects the reality in their own country is available here: https://bit.ly/2MBfyY0. The information also appears automatically in the Country Excel when your mouse scrolls over the different levels.

# STEP BY STEP GUIDANCE

In order to answer the questionnaire below, it is suggested, as the most inclusive and productive methodology, to carry out a multi-stakeholder dialogue to address the questionnaire. Such a dialogue could involve the government and focal points from private sector associations and trade unions who are able to convey representative views of their respective constituencies. In many countries, this approach also provides for a useful entry point to discuss further collaboration between the public and private sector in the country, and helps strengthen trust building and mutual understanding of existing needs and challenges. Where relevant/possible, the national co-ordinator is encouraged to use existing in-country/national platforms or ongoing engagement processes to engage in dialogue with the selected focal point(s).

The suggested steps to undertake a multi-stakeholder dialogue approach in reporting to this indicator are the following:

1. Focal points representing the diversity of the private sector are identified, prioritising their ability to convey representative views of this diverse constituency. Given the different realities and issues concerning large firms as compared to small and medium enterprises (SMEs), it is recommended to invite **at least two (2) different private sector focal points** – one representing **SMEs** and another representing important **business groups and large firms**. Similarly, it is highly recommended to engage a focal point representing **trade unions** and other social agents, given the importance of promoting inclusive growth and development.

2. The national co-ordinator reaches out to the focal points of the different constituencies and **shares the questionnaire materials and guidance** with them.

3. In preparation for the dialogue, focal points are encouraged to **consult with their constituencies** in order to provide responses to the questionnaire that represent the views of each constituency.

4. The national co-ordinator convenes these focal points in a multi-stakeholder dialogue or exchange. The following steps are suggested to guide the conversation:

   • **Names and contact details** of participants are recorded in the questionnaire (tab 3);

   • To inform the initial discussion around the indicator questionnaire, the **national co-ordinator shares with participants country results on enablers and results of public-private engagement**, contained in the **printable** Tab (**"CI-3"**) included in the **Country Excel**. This Tab provides a picture of the country's performance in areas which are relevant to enable public-private dialogue engagement. It also illustrates current country results in sectors and areas of potential public-private collaboration.

   • Participants identify the **topics covered in public-private dialogue activities** that have happened in the country in the **last three years (module 1)**.

   • Next, and on the basis of that sample of public-private dialogue experiences, participants discuss the most fitting responses to a six-item questionnaire. In responding to each question, participants should indicate which one of the four levels or situations presented best reflects the average experience in those recent public-private dialogues in the country.

   • The national co-ordinator and the focal points discuss and register their **specific answers to each question** in the **Country Excel.**

# QUESTIONNAIRE

- TO BE ANSWERED BY **NATIONAL CO-ORDINATOR** IN CONSULTATION WITH **FOCAL POINTS** FROM PRIVATE SECTOR

## MODULE 1: FOCUS OF PUBLIC-PRIVATE DIALOGUE

This module includes a map of issues where participants are invited to identify areas that have been addressed as part of public-private dialogue initiatives that have taken place in the country over the last 3 years. These areas are directly linked to SDGs for which public-private dialogue is typically needed. The purpose of this module is to help participants develop a shared view of the opportunities for public-private dialogue that have taken place recently in the country, in order to guide their responses in module 2 towards assessing the quality of these PPD initiatives.

Before answering the following questions in a multi-stakeholder setting, please consider the different initiatives of public-private dialogue that have taken place in the country recently (i.e. over the last 3 years). These can be formal dialogue platforms or informal events, national or subnational, country wide or sector-specific, permanent or temporary.

**Qg+1A.** From the following list of potential topics , which ones have been addressed in public-private dialogue initiatives taking place in the country in recent years (i.e. over the last 3 years)? *Focus*
(*Multiple choice*)

☐ Boosting national economic growth
☐ Raising productivity
☐ Economic diversification
☐ Financial access
☐ Industrialization
☐ Trade promotion
☐ Infrastructure development
☐ Regulations for doing business
☐ IT infrastructure, including mobile and internet
☐ Domestic Research & development
☐ Innovation and entrepreneurship
☐ Reducing firm or job informality
☐ Energy, including access, affordability or clean energy
☐ Water, including access or sustainability
☐ Skills development & education in the country
☐ Decent work: including on job creation, women & youth inclusion in labour market, child labour
☐ Gender equality
☐ Workplace safety
☐ Promoting tourism
☐ Environmentally-sustainable growth
☐ Promoting inclusive growth
☐ Domestic taxes
☐ Use of foreign support (e.g. foreign direct investment, development assistance)
☐ Fighting corruption, bribery and illicit financial flows
☐ Other sector-specific issues and regulations (e.g. health, education)

☐       Other issues #1: …. {Please describe}
☐       Other issues #2: …. {Please describe}
☐       No public-private dialogue has taken place in the country

The issues for public-private dialogue listed above related to 28 SDG targets and cover areas where public-private sector dialogue and collaboration might be most needed to help boost the national implementation of the 2030 Agenda for Sustainable Development. Unlisted issues can be included under 'Other'. To inform the multi-stakeholder dialogue, the **Country Excel** allows to generate and print a country profile with trends on SDG results for each of these themes, as well as other regulatory context indicators.

## MODULE 2: QUALITY OF PUBLIC-PRIVATE DIALOGUE

This module is organised around a six-item questionnaire. Responses are to be discussed and agreed in a multi-stakeholder exchange. These closed-ended responses have been organised in ordinal 4-point scales, reflecting incremental steps towards the Busan and Nairobi commitments concerning creating greater inclusion and engagement of the private sector in national development. Guiding information ('characteristics of practice') describing differences in between levels are available here: https://www.dropbox.com/s/rqome3urk2wc0l8/Indicator%203%20Characteristics%20of%20practice_Ready%20for%20tool.pdf?dl=0

Participants in the dialogue are encouraged to seek agreement on the responses that best fit the country's current reality, taking into consideration the PPD initiatives taking place in the country at the moment of data collection and over the past 3 years. Particular observations or disagreements on the final response can nonetheless be reported in the response sheet.

*Module 1* **helps participants map public-private dialogue opportunities that have taken place in the country in recent years. Participants to the dialogue should answer to module 2 by reflecting on the average quality of those recent public-private dialogue opportunities mapped in module 1.**

ENABLING CONTEXT FOR PUBLIC-PRIVATE DIALOGUE:

**Qg+2A.** To what extent is there willingness from the public and private sectors to engage with one another?
*Mutual Trust*

**Qg+2B.** To what extent are public and private sector actors able and ready to engage with one another?
*Readiness*

BROAD-BASED, RELEVANT PUBLIC-PRIVATE DIALOGUE:

**Qg+2C.** Who typically participates in existing public-private dialogues?
*Inclusiveness*

**Qg+2D.** To what extent does the existing dialogue address development issues of concern to both sides?
*Relevance*

EFFECTIVE PUBLIC-PRIVATE ENGAGEMENT:

**Qg+2E.** To what extent existing public-private dialogue arrangements are organised towards achieving results?
*Organisational Effectiveness*

**Qg+2F.** To what extent existing public-private dialogue initiatives are actually increasing joint collaboration?
*Joint Action*

# DEFINITIONS

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|---|---|
| Public-private dialogue (PPD) | Public-private dialogues are structured mechanisms anchored at the highest relevant level, sustained by a light support structure, which facilitate a discovery process on the required policy reforms and opportunities for collaboration between public and private sector actors; PPDs ideally involve a balanced range of public and private sector actors, as to reflect the perspectives of most relevant actors, and are used to identify, filter, accelerate and/or implement actions or policy reforms. By providing structured, inclusive processes to inform policymaking, PPDs are often used as a sounding board to assist national governments in designing reforms that are guided by bottom-up approaches and credible evidence, and are more widely supported.<br><br>For the purpose of this monitoring exercise a broad definition of public-private dialogue is used, which includes initiatives that are either formal platforms or informal events, national or subnational, country wide or sector-specific, permanent or temporary. |
| Public sector | Portion of the economy composed of all levels of government and government entities, and government-controlled enterprises. It does not include private companies, social organisations (voluntary, civic or social sectors), or households. |
| Private sector | The private sector comprises entities that are run by private individuals or groups, usually seeking to generate profit, and that are not controlled by the State. The private sector includes small and medium-sized businesses, large multinationals, sole proprietors, co-operatives, professional/trade associations and also trade unions. |
| Shared value | Shared value is the idea that the competitiveness of a company and the health of the communities around it are mutually dependent so that solving social problems is actually a business opportunity. It goes beyond the notions of corporate social responsibility or philanthropy where the focus lies on "giving back" or minimizing the harm businesses have on society. |
| Mutual trust | In the case of question 2A, trust is the belief that someone is reliable, good, honest and effective. Mutual trust is when this belief is reciprocal and shared by different parties. In the case of this indicator, it means that both public and private sectors have confidence in one another and feel assured that the other will behave in ways that are constructive and that will not damage their relations. |

| Relevant actors | In the case of question 2C (*Who typically participates in existing PPD?*), relevant actors of public-private dialogues are primarily representatives from the public and the private sectors but also social sector agents. Relevant actors from private sector present in PPDs include representatives of enterprises of different sizes and sectors, from domestic firms to multinationals, private foundations (non-corporate private sector), small and large producers, formal and informal. Relevant actors from the public side present in PPDs include government officials, parliamentarians and also local governments since these can play an important role in dialogue with the private sector on issues of local taxation, infrastructure and markets. Social actors are representatives of labour, trade unions and other social organisations concerned with recent issues at discussion as highlighted in module 1. |
|---|---|
| 'Typically' (on participation in public-private dialogues) | In the case of question 2C (*Who typically participates in existing PPD*?), 'typically' refers the average type of participants in recent public-private dialogue activities – i.e. those highlighted in Module 1. |
| Development issues | In the case of question 2D ('*To what extent does existing dialogue address development issues of concern to both sides?*'), development issues refer to areas that are relevant for social and economic prosperity and that relate to poverty reduction. Responses to this question should take into account the topics selected in module 1. |

| **Indicator 4** | › | **Transparent information on development co-operation is publicly available** |
| | | *Partner country governments answer a complementary module to contextualise the situation in the country regarding the transparency of development co-operation.* |

| **Indicator 9a** | › | **Quality of Countries' Public Financial Management Systems** |
| | | *Partner countries that do not have two PEFA assessments can answer a complementary questionnaire.* |

| **Indicator 10** | › | **Aid is untied** |
| | | *Partner country governments can answer an optional question to share their views on most recent untied aid figures for development partners working in the country.* |

## INDICATOR 4: TRANSPARENT INFORMATION ON DEVELOPMENT CO-OPERATION IS PUBLICLY AVAILABLE

### WHAT THIS INDICATOR MEASURES

The indicator measures whether information on development co-operation has been made publicly available at the global level. It is based on three different systems and standards that provide online data on development co-operation in an open and accessible manner. These are the OECD-DAC Creditor Reporting System (CRS), the OECD-DAC Forward Spending Survey (FSS), and the International Aid Transparency Initiative standard (IATI).

A complementary element to indicator 4 assesses the availability and use of information on development co-operation at country level. It looks at the extent to which information on development co-operation is captured in partner countries' information management systems, and whether those governments are in turn making it available to their citizens.

## WHY THIS IS IMPORTANT

The availability of information on resources provided through development co-operation is vital to enhancing the impact of development co-operation and to enabling the participation of citizens in the long-term development of their respective countries.

Accessibility of this information at country level is also important. Governments who have access to information on development co-operation can use this for development planning, budgeting, execution and monitoring and evaluation.

## HOW IT IS CONSTRUCTED

The global level element presents the performance of each development partner in reporting to three channels: the OECD DAC Creditor Reporting System (CRS), the OECD-DAC Forward Spending Survey (FSS), and the International Aid Transparency Initiative (IATI) Standard. Each of these systems are designed to meet different needs of different audiences and do not offer comparable assessments regarding the transparency practices of development partners, therefore separated results are presented. There is no data collection required at country level for this element.

The country level element presents the percentage of development partners providing development co-operation that are included in a government's management information system or other data management tools. This is calculated by dividing the number of development partners working in the country that are reflected in a country's management information system or other data management tools by the total number of development partners working in the country. This calculation is done automatically in the **Country Excel.** For further details on how the indicator is calculated please refer to the technical companion document.

## STEP BY STEP GUIDANCE

Data for this indicator is collected at the global level. National co-ordinator only answers a complementary module in order to provide information on the transparency of development co-operation information at country level.

1. National co-ordinator answers the questionnaire below in the **Country Excel,** in consultation with any relevant internal parties in the government.
2. When defining whether information on your development partners' development co-operation programmes is available in your government's management information system(s) (Qg4 below), use information for fiscal year 2017 as reference year.

# QUESTIONNAIRE

• TO BE ANSWERED BY THE **NATIONAL CO-ORDINATOR**

*A. Transparency of development co-operation information at country level*

**Qg1.** Please indicate the management information system(s) the government uses to collect information on development co-operation:

☐ Public Financial Management Information System (FMIS)

☐ Aid Information Management System (AIMS)

☐ Debt Management System (DMS)

☐ Excel based or similar

☐ No government system for this purpose (e.g. only bilateral exchanges on demand)

☐ Others – please specify_____

**Qg2.** Is the information included in this system(s) publicly available? (Yes/no)

If yes, please provide the link_____

**Qg3.** For most of your development partners, please indicate the type(s) of information generally collected and the average frequency of reporting:

| Most of your development partners report... | |
|---|---|
| **These types of information:** | **On this average frequency:** |
| ☐ Commitments | ☐ Weekly or daily |
| ☐ Scheduled disbursement | ☐ Every month |
| ☐ Disbursement | ☐ Every 3 months |
| ☐ Expenditure | ☐ Every 6 months |
| ☐ Intended Results | ☐ Yearly |
| ☐ Achieved Results | ☐ Less frequent than every year |

Qg4.The list of development partners that you will have included in the Country Excel at the beginning of this exercise will appear in the left-hand column. Please mark whether any information on their development co-operation has been reflected in your country's management information system, or equivalent system:

| Development Partners: | Is information on this partner's programme available in the country's management information system |
|---|---|
| Name of Organisation or Agency | |
| Development Partner 1 | Yes |
| Development Partner 2 | No |
| ... | ... |
| Development Partner  n | Yes |

*B. Complementary contextual information*

**Qg5.** What types of development finance flows are covered by the management information system(s)?

☐   **Grants (Official Development Assistance)**
☐   **Concessional loans from official sources (Official Development Assistance)**
☐   **Non-concessional loans from official sources**
☐   **Non-concessional loans from private banks**
☐   **South-South and/or Triangular Co-operation**
☐   **Technical development co-operation**
☐   **Foreign Direct Investment**
☐   **Remittances**
☐   **Blended Finance or other impact investment vehicle**
☐   **Other – please specify_____**

**Qg6.** How is the accuracy of the information included in this system verified? ___

**Qg7.** How is the information included in this system used by the national government? ___

## DEFINITIONS

| Creditor Reporting System (CRS) | The Creditor Reporting System (CRS) is a database maintained by the OECD Development Assistance Committee (DAC). Together with FSS they are the authoritative source of annual statistical information on international development co-operation flows reported by DAC members, multilateral organisations and bilateral partners outside the DAC. CRS records activity-level development co-operation flows, for statistical, accountability and monitoring purposes. The online database can be accessed at: www.oecd.org/dac/stats/idsonline.htm |
|---|---|
| Forward Spending Survey (FSS) | The Forward Spending Survey (FSS) is a database maintained by the OECD Development Assistance Committee (DAC). Together with FSS it is the authoritative source of annual statistical information on international development co-operation flows reported by DAC members, multilateral organisations and bilateral partners outside the DAC. FSS records partners' development co-operation plans, for greater predictability of global and aggregate prospects. The online database can be accessed at www.oecd.org/dac/stats/idsonline.htm |

| International Aid Transparency Initiative standard (IATI) | The International Aid Transparency Initiative (IATI) standard is an open-data standard that allows publishers to provide detailed information about their development co-operation activities in a timely and accessible manner. It aims to meet country needs for up-to-date information on current and future development co-operation in support of national budgeting, planning and management processes, as well as of domestic accountability. IATI-reported statistics are updated daily and can be accessed through the IATI Dashboard at http://dashboard.iatistandard.org/index.html |
| --- | --- |
| Management information systems (MIS) | Given that there is a diversity of management information systems used by governments, this indicator uses a broad definition of management information systems as any computerised database or data-collection tool, organised in a way to support information-gathering and decision-making. |

# INDICATOR 9A: QUALITY OF COUNTRIES' PUBLIC FINANCIAL MANAGEMENT SYSTEMS

## WHAT THIS INDICATOR MEASURES

This indicator measures the quality of a country's public financing management systems – including key aspects of budgeting, financial reporting, auditing and procurement systems. The indicator is based on the Public Expenditure and Financial Accountability tool (PEFA) that assesses public financial management performance.

## WHY THIS IS IMPORTANT

Achievement of national, regional and global development goals is contingent on country leadership in the implementation of development efforts. Government systems able to manage resources effectively and efficiently help ensure greater development effectiveness.

## HOW IT IS CONSTRUCTED

The indicator is composed by the following nine PEFA dimensions:

| Budget | PI 1.1 Aggregate expenditure outturn |
|---|---|
| | PI 2.1 Expenditure composition outturn by function |
| | PI 4.1 Budget classification |
| | PI 9.1 Public access to fiscal information |
| | PI 18.3 Timing of legislative budget approval |
| Procurement | PI 24.2 Procurement methods |
| Audit | PI 26.1 Coverage of internal audit |
| | PI 30.1 Audit coverage and standards (external) |
| Financial reporting | PI 29.1 Completeness of annual financial reports |

The score of a country is calculated using the two most recent PEFA assessments. Points are assigned for changes in the scores and, based on the number of points, countries are categorised as having made "Significant progress", "Progress", "No overall change" or "Negative progress".

This calculation is done automatically in the **Country Excel.** For further technical details on how the indicator is calculated please refer to the technical companion document.

# STEP BY STEP GUIDANCE

National co-ordinator selects the name of his/her country in the google document at the link provided in Tab "9a" of the **Country Excel:**

•   If two [public] PEFA assessments are available, national co-ordinators report the scores from these two public assessments in the table in Tab "9a".

•   If two PEFA assessments are available, but one or both have been not released to the public, national co-ordinators report the available public scores (if any) in the table in Tab "9a" and should liaise with the Joint Support Team (monitoring@effectivecooperation.org) to co-ordinate on the release of those confidential nine PEFA dimensions.

•   If only one or no PEFA assessments are available, national co-ordinators report the available public scores (if any) in the table in  Tab  "9a" and can consider self-calculating the specific nine PEFA dimensions on the spot, following the questionnaire and guidance below, and supported by the Joint Support Team. For countries with a previous PEFA assessment, this will allow estimating progress over time. For countries with no prior PEFA assessment, completing the questionnaire can offer a baseline for future monitoring rounds.

# QUESTIONNAIRE

•   TO BE ANSWERED **ONLY BY NATIONAL CO-ORDINATORS IN COUNTRIES WITH NO RECENT PEFA ASSESSMENT** AVAILABLE

For every question, a score of A, B, C, or D needs to be indicated. To justify a particular score
for a dimension, every aspect specified in the scoring requirements must be fulfilled.

**Qg1.** To what extent, in last three complete fiscal years, did the aggregate budget expenditure outturn reflect the amount originally approved, as defined in government budget documentation and fiscal reports?

**Qg2.** In last three completed fiscal years, what was the variance between the original, approved budget and end-of-year outturn in expenditure composition, by functional classification?

**Qg3.** To what extent is the government budget and accounts classification consistent with international standards?

**Qg4.** To what extent is comprehensive fiscal information available to the public within the specified timeframe, based on the elements specified in the excel file?

**Qg5.** In last three complete fiscal years, how timely was the scrutiny process in terms of the legislature's ability to approve the budget before the start of the new fiscal year?

**Qg6.** The total value of contracts awarded through competitive methods in last completed fiscal year represented?

**Qg7**. To what extent are government entities subject to internal audit?

**Qg8.** To what extent are annual financial statements complete, timely, and consistent with generally accepted accounting principles and standards?

**Qg9.** In last three completed fiscal years, what was the extent of the scope and coverage of external audit and to what extent were auditing standards adhered to?

## DEFINITIONS

For a list of definitions, please refer to the PEFA Assessment Field guide (Volume II):
https://pefa.org/sites/default/files/16_08_30 Fieldguide_9.pdf

# INDICATOR 10: **UNTIED AID**

## WHAT THIS INDICATOR MEASURES

This indicator measures the share of development co-operation that is committed for disbursement in partner countries without legal and regulatory barriers to open competition for procurement. Procurement processes for goods and services funded by untied development co-operation – as opposed to tied - are open to suppliers from all countries without geographical limitations to companies in the donor country or in a small group of countries.

## WHY THIS IS IMPORTANT

Untying development assistance increases its effectiveness by reducing transaction costs for partner countries and providing better value-for-money. Untying aid remains an important indication of partner country ownership over the allocation of resources to address their development priorities.

Untying ODA also enables development partners to better align their aid programmes with the objectives and financial management systems of recipient countries.

## HOW IT IS CONSTRUCTED

The indicator is calculated by dividing the amount of untied ODA commitments by the total amount of ODA commitments. In the excel file, results are presented disaggregated by partner country and by development partner and exclude donor administrative costs and in-donor refugee costs. Amounts are provided in current prices.

This indicator uses the most recent information available at the OECD Creditor Reporting System which is self-reported by the members of the Development Assistance Committee (DAC). Results are only available for bilateral development partners that report on untied ODA status to the OECD DAC.

# STEP BY STEP
# GUIDANCE

Data for this indicator is collected at the global level. Nonetheless, national co-ordinator can share their views about the information provided for its country.

1. National co-ordinators should selected their country name in Tab "10" of the "**Country Excel**". Disaggregated results (by OECD DAC bilateral development partner) on the untied status of bilateral ODA received by the country will show in a the table.

2. National co-ordinators can provide their views on the current status of untied aid in the country in tab "10", next to each partner result. This could include observations on the policies and practices of different partners, lessons learned or good practices, examples of issues created by tied practices, continued relevance of the issue for the government, or any other remark.

# QUESTIONNAIRE

• TO BE ANSWERED BY THE **NATIONAL CO-ORDINATOR**

**Qg1.** Please provide any observations or reflections on these results for your country. [*Optional question*]

# DEFINITIONS

| Official development assistance (ODA) | The OECD DAC defines ODA as "those flows to countries and territories on the DAC List of ODA Recipients and to multilateral institutions which are:<br><br>i. **provided by official agencies,** including state and local governments, or by their executive agencies; and<br>ii. each transaction of which:<br>a) is administered with the promotion of the **economic development and welfare of developing countries** as its main objective; and<br>b) is **concessional in character** and conveys a grant element of at least 25 per cent (calculated at a rate of discount of 10 per cent)." |
|---|---|