Monitoring Guide 2015-2016

Monitoring the effective development co-operation commitments

Global Partnership for Effective Development Co-operation

Contacts:
Mr. Alejandro Guerrero, Tel: +33 1 45 24 83 63, email: alejandro.guerrero-ruiz@oecd.org
Ms. Julie Seghers, Tel: +33 1 45 24 90 36, email: julie.seghers@oecd.org
Ms. Yuko Suzuki, Tel: + 1 212 906 6509, email: yuko.suzuki@undp.org
Ms. Liz J.E. Chung, Tel: +1 718 483 6675, email: liz.chung@undp.org

Questions and Information:
GPEDC Monitoring Helpdesk, email: monitoring@effectivecooperation.org
GPEDC Community Space, website: https://www.unteamworks.org/node/489590

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ABOUT THIS DOCUMENT

This document explains the objectives, process and methodology for the 2015-16 monitoring round of the Global Partnership for Effective Development Co-operation (hereafter "the Global Partnership"), which aims at monitoring the implementation of selected commitments made in the Busan Partnership agreement to improve the effectiveness of development co-operation, including tracking of unfinished business from the Paris Declaration. The document is designed to guide countries and organisations that wish to participate in monitoring efforts at both country and international levels.

The monitoring process is coordinated by the UNDP-OECD Joint Support Team (JST) for the Global Partnership. For findings from the 2015-16 monitoring round to feed into preparations for the Global Partnership high-level meeting scheduled for November 2016, the **deadline for submitting country-level data** will be **31 March 2016**. All countries benefitting from development co-operation are welcome to participate in monitoring efforts. To register please notify the JST at monitoring@effectivecooperation.org. A list of countries that have expressed their interest in participating in the monitoring exercise is available on the community space of the Global Partnership (https://www.unteamworks.org/node/489590). Countries interested in participating and not yet included in the country list are invited to notify their intentions to the JST.

This Guide is available on the Global Partnership website (http://effectivecooperation.org). For stakeholders leading or contributing to the Global Partnership monitoring effort, more practical information and updates can be found on the community space of the Global Partnership, which contains the tool used for data submission, other relevant documents and responses to frequently asked questions by participants (to register, please email: community@effectivecooperation.org).

CONTENTS

■ **What is the Global Partnership?**

The Global Partnership for Effective Development Co-operation was established at the Fourth High Level Forum on Aid Effectiveness in Busan, in 2011. It is an inclusive political forum bringing together governments, bilateral and multilateral organisations, civil society and representatives from parliaments, local governments, foundations and the private sector from around the world that are committed to strengthening the effectiveness of development co-operation to produce maximum impact for development. It fosters engagement and knowledge exchange in the implementation of agreements on the principles of effective development co-operation (EDC)[1]: ownership by developing countries, focus on results, partnerships for inclusive development and transparency and accountability.

■ **What is the purpose of the Global Partnership monitoring?**

The monitoring exercise aims at providing evidence on progress, opportunities and obstacles in the implementation of EDC commitments, in order to support mutual accountability and stimulate and inform multi-stakeholder dialogue at country, regional and global levels on how to make development co-operation more effective. As highlighted in the Addis Ababa Action Agenda, improving the quality, impact and effectiveness of development co-operation will be crucial to ensure that the Sustainable Development Goals are achieved.

■ **What does the Global Partnership monitor?**

Its monitoring framework is comprised of 10 indicators focusing on strengthening developing country institutions, increasing transparency and predictability of development co-operation, enhancing gender equality, and supporting greater involvement of civil society, parliaments and private sector in development efforts. It includes indicators from the Paris Declaration Survey, together with indicators introduced as a result of the Busan Partnership Agreement.
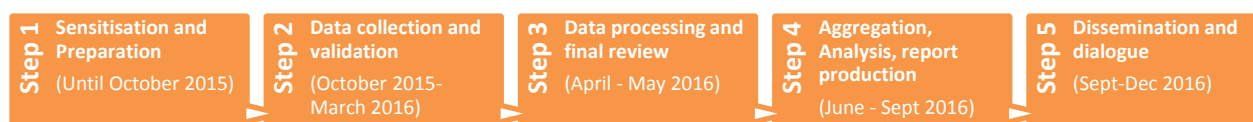
■ **How does the monitoring exercise work?**

The monitoring exercise is grounded at the developing country level: data is collected under the leadership of developing country governments, and validated in consultation with development partners including providers of development co-operation, representatives from civil society, parliamentarians and private sector. The designation of focal points for each stakeholder at country level will facilitate the process. The data is then submitted to the JST for aggregation and analysis into a global Progress Report.

■ **How will the data be used?**

Findings from the monitoring exercise are ultimately used to inform political dialogue at country, regional and global levels. In particular, the 2016 Progress Report will provide a key source of evidence at the second Ministerial Meeting of the Global Partnership (November 2016).

■ **What is the timeline for the 2015-16 monitoring exercise?**

Step 1	Step 2	Step 3	Step 4	Step 5
Sensitisation and Preparation (Until October 2015)	Data collection and validation (October 2015- March 2016)	Data processing and final review (April - May 2016)	Aggregation, Analysis, report production (June - Sept 2016)	Dissemination and dialogue (Sept-Dec 2016)

■ **What tools are available?**

In addition to this Guide, the JST will make tools available to support stakeholders throughout the monitoring exercise, including: a web-based help desk; online FAQs; webinars and skype calls on an as-needed basis; capacity building regional workshops; and a tool used for data submission specially designed for recording country data for the indicators.

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[1] These principles build on a range of international efforts since the Monterrey Consensus (2002), the Rome Declaration on Harmonisation (2003), the Paris Declaration on Aid Effectiveness (2005), the Accra Agenda for Action (2008), the Busan Partnership agreement (2011), the Mexico High-Level meeting Communiqué (2014) and the Addis Ababa Action Agenda (2015).

PART I – OVERVIEW OF THE FRAMEWORK FOR MONITORING PROGRESS IN IMPLEMENTING EFFECTIVE DEVELOPMENT CO-OPERATION COMMITMENTS

This section presents the monitoring framework of the Global Partnership. It includes:

- Key features of the monitoring framework;
- An overview of the set of indicators and associated targets which act as a basis to support international accountability for implementing effective development co-operation (EDC) commitments (each indicator is described in more detail in Annex II, including its means of measurement, method of calculation and data sources); and
- A description of the process and timeline through which data will be collected, analysed and reported at the international level.

PURPOSE OF THE MONITORING EXERCISE

■ Tracking progress towards more effective development co-operation

The purpose of the Global Partnership monitoring exercise is to provide evidence on progress, opportunities and obstacles in the implementation of the commitments for more effective development co-operation agreed in Paris, Accra, and Busan, in order to:

- Support accountability for the implementation of the EDC commitments through a snapshot of progress at the international level;
- Stimulate and inform multi-stakeholder dialogue at country, regional and international levels on how to improve the effectiveness of development co-operation; and
- Promote agreements on specific actions that are needed to enhance successful implementation of the EDC commitments and support accountability at country level.

It seeks to capture behaviour change: it focuses on "how" stakeholders engage in development co-operation. It complements other international accountability frameworks which monitor "what" results and outcomes stem from development co-operation (e.g. the monitoring of progress with the Millennium Development Goals and Sustainable Development Goals).

The focus on accountability, which is one of the four EDC principles, needs to be balanced against the broader scope of the Global Partnership as a space for learning and knowledge-sharing. While the nature of the agreement reached in Busan recognises that different stakeholders may approach a common agenda for development in different ways, developing countries participating in the monitoring exercise are invited to include data from both traditional providers and non-traditional providers (e.g. partners engaged in South-South co-operation), as they see fit.

■ Why should you participate?

Taking part in the monitoring process is a voluntary activity that builds on country leadership. All countries and organisations that endorse the EDC principles are invited to participate. By contributing to this global evidence base, everyone can benefit from tracking progress, sharing lessons and finding solutions for the way forward. Reviewing progress through an internationally agreed framework can serve to boost dialogue at all levels – global, regional and national – and help encourage all co-operation partners to match their commitments with actions. In particular, feedback from developing countries suggests that they have found the existence of global indicators and targets to be a helpful reference point for negotiating more detailed and relevant country-level accountability frameworks. Making development co-operation and partnerships more effective will be crucial to ensure that the Sustainable Development Goals are achieved.

WHAT IS THE MONITORING FRAMEWORK?

■ Origins

The monitoring framework was proposed by the Post-Busan Interim Group (PBIG) and endorsed during the last meeting of the Working Party on Aid Effectiveness in June 2012. It builds on experience and lessons of international monitoring efforts since 2005 (Paris Declaration), and responds to developing countries' demand for a global accountability framework to support national implementation efforts.

■ Effective Development Co-operation commitments, indicators and targets

EDC COMMITMENTS	
INDICATORS	TARGETS FOR 2015
1. Development co-operation is focused on results that meet developing countries' priorities	
Extent of use of country results frameworks by co-operation providers	***All providers*** of development co-operation use country results frameworks
2. Civil society operates within an environment which maximises its engagement in and contribution to development	
A preliminary assessment of CSO Enabling Environment building on qualitative, multi-stakeholder information	***Continued progress over time***
3. Engagement and contribution of the private sector to development	
A three-dimensional index providing a measure of the quality of public-private dialogue	***Continued progress over time***
4. Transparency: information on development co-operation is publicly available	
Measure of state of implementation of the common standard by co-operation providers	***Implement the common standard*** – All development co-operation providers are on track to implement a common, open standard for electronic publication of timely, comprehensive and forward-looking information on development co-operation
5. Development co-operation is more predictable	
(a) annual: proportion of development co-operation funding disbursed within the fiscal year within which it was scheduled by co-operation providers; and	***Halve the gap*** – halve the proportion of aid not disbursed within the fiscal year for which it was scheduled (Baseline year 2010)
(b) medium-term: proportion of development co-operation funding covered by indicative forward spending plans provided at country level	***Halve the gap*** – halve the proportion of development co-operation funding not covered by indicative forward spending plans provided at country level (Baseline year 2013)
6. Aid is on budgets which are subject to parliamentary scrutiny	
% of development co-operation funding scheduled for disbursement that is recorded in the annual budgets approved by the legislatures of developing countries	***Halve the gap*** – halve the proportion of development co-operation flows to the government sector not reported on government's budget(s) (with at least 85% reported on budget) (Baseline year 2010)
7. Mutual accountability among development co-operation actors is strengthened through inclusive reviews	
% of countries that undertake inclusive mutual assessments of progress in implementing agreed commitments	***All developing countries*** have inclusive mutual assessment reviews in place (Baseline year 2010)
8. Gender equality and women's empowerment	
% of countries with systems that track and make public allocations for gender equality and women's empowerment	***All developing countries*** have systems that track and make public resource allocations for gender equality and women's empowerment (Baseline year 2013)
9. Effective institutions: developing countries' systems are strengthened and used	
(a) Quality of developing country PFM systems; and	***Half of developing countries move up at least one measure*** (*i.e.* 0.5 points) on the PFM/CPIA scale of performance (Baseline year 2010)
(b) Use of country PFM and procurement systems	***Reduce the gap***. [use the same logic as in Paris – close the gap by two-thirds where CPIA score is >=5; or by one-third where between 3.5 and 4.5] (Baseline year 2010)
10. Aid is untied	
% of aid that is fully untied	***Continued progress over time*** (Baseline year 2010)

This set of 10 indicators aims at measuring progress in making development co-operation more effective in specific areas related to EDC principles: ownership, focus on results, inclusive development partnerships, transparency and mutual accountability among partners. While some indicators are based on the previous indicators from the Paris Declaration that developing countries have identified as particularly important, others were introduced in 2012 to capture some of the broader dimensions of the Busan Partnership agreement. As outlined in the table above, a global target is available for each indicator. This does not prevent stakeholders from agreeing different targets at the country level. For indicators where data is available, 2010 will be used as the baseline year. For others, a baseline will be determined depending on data availability.

These indicators are not intended to serve as a narrow scorecard for ranking countries or organisations, but to generate evidence-based policy dialogue on development co-operation and its effectiveness, to facilitate mutual accountability and learning at the country and global levels.

A detailed description of each indicator is provided in Annex II, which includes factsheets setting out the means of measurement, method of calculation and data source for each indicator.

■ **Sources and types of data**

The monitoring framework consists of: a) indicators measured using data collected at the level of individual developing countries and aggregated to offer an overview of global progress; b) and indicators drawing on other sources of information and established through desk reviews and other mechanisms. Some indicators rely on quantitative data, while other indicators are monitored through a qualitative approach. The table below establishes the distinction between these categories of indicators.

	INDICATORS	SOURCE OF INFORMATION		QUANTITATIVE QT) OR QUALITATIVE (QL)
		COUNTRY LEVEL (a)	OTHER PROCESSES (b)	
1	Development co-operation is focused on results that meet developing countries' priorities	■		Q^L and Q^T
2	Civil society operates within an environment that maximises its engagement in and contribution to development	■		Q^L
3	Engagement and contribution of the private sector to development	■	■ (Open Budget Survey and World Wide governance indices)	Q^L and Q^T
4	Transparency: information on development co-operation is publicly available		■ (IATI and OECD-DAC)	Q^T
5 a+b	Development co-operation is more predictable (annual and medium-term)	■		Q^L and Q^T
6	Aid is on budgets which are subject to parliamentary scrutiny	■		Q^T
7	Mutual accountability strengthened through inclusive reviews	■	Country-led UNDESA survey on mutual accountability	Q^L
8	Gender equality and women's empowerment	■	Country-led UN Women	Q^L
9a	Quality of developing country PFM systems		■ (CPIA)	Q^T
9b	Use of developing country PFM and procurement systems	■		Q^T
10	Aid is untied		■ OECD-DAC	Q^T

■ **Scope of reporting**

For the purpose of monitoring the EDC commitments, indicators relying on country-level sources of data will assess the effectiveness of development co-operation, looking at transactions qualifying as Official Development Assistance (ODA), which includes grants or loans of a concessional nature and whose main objective is the promotion of economic development and welfare. In addition, developing countries interested to monitor the effectiveness of a broader range of official development co-operation funds (e.g. non-concessional lending) are encouraged to do so.

■ **Data collection and validation grounded in existing processes**

The monitoring process draws as much as possible on existing sources of data where available.

- **Country-sourced data**

Developing country governments will lead and coordinate data collection and validation for country-sourced indicators, in close consultation with development stakeholders (providers of co-operation, civil society organisations, parliamentarians, the private sector, trade unions, subnational entities and other actors) in a multi-stakeholder partnership framework. This approach is in line with the Busan Partnership Agreement, which emphasised the importance of inclusive and country-led efforts to implement EDC principles.

An increasing number of countries have their own frameworks and tools in place to monitor the effectiveness of development co-operation. These build on country priorities and may encompass a much wider set of issues and commitments beyond the Busan indicators. The incorporation of the standard indicators and definitions set out in this guide in such monitoring tools and frameworks will enable these countries to collect data and feed these to inform monitoring efforts without the need to administer stand-alone questionnaires. See Part II (Guidance for developing country governments) for more information and illustrative examples of how developing country governments can ground the monitoring process in their own tools (e.g. aid information management systems) and frameworks. Ad hoc arrangements may need to be established for countries which are interested to participate in monitoring efforts but do not have in place processes or tools for periodic collection of country-level data required for the indicators.

Multi-stakeholder dialogue and validation at the country level is crucial to ensure the accuracy of data used to monitor these indicators. Developing country governments are invited to convene, in the context of countries' own monitoring frameworks and coordination processes, such dialogues wherever possible to review key data. Focal points from CSOs, parliamentarians, subnational entities, trade unions and the private sector should be included in such consultation processes.

- **Globally-sourced data**

For these indicators, the JST will draw on available data from global reporting systems (i.e. the International Aid Transparency Initiative, OECD-DAC Creditor Reporting System and Forward Spending Survey, the World Bank's Country Policy and Institutional Assessment, Worldwide Governance Indicators). The JST will share consolidated data with relevant stakeholders (providers of development co-operation, developing country governments, civil society organisations) in due course and will, as needed, consult with them to ensure common understanding of the findings.

DISSEMINATION OF FINDINGS: HOW WILL DATA BE USED?

■ Global Progress Report

The JST produces global reports of progress in implementing EDC commitments to inform high-level political dialogue within the Global Partnership during ministerial-level meetings, which are expected to take place every 18-24 months. These reports draw on evidence of progress and challenges gathered through (1) the monitoring of the set of 10 indicators and (2) additional relevant evidence of a more qualitative nature to enrich the analysis. By providing global snapshots of progress and challenges in implementing the EDC principles, and concrete policy recommendations, the reports aim at increasing mutual accountability and incentivising behaviour change for more effective development co-operation.

The 2014 Progress Report, which drew on the results of the first monitoring round (2013-14), provided evidence to inform ministerial discussions during the first High-Level Meeting of the Global Partnership held in Mexico in April 2014. In this round, 46 developing countries ranging from low to middle-income status and representing all regions submitted data. The first monitoring exercise captured 46% of total ODA that was programmed for developing countries annually. While the flexibility in the monitoring round allowed for reporting of non-ODA flows in the form of other official flows (i.e. other non-concessional flows from bilateral or multilateral official providers), there was little reporting of this type of information.

The evidence gathered through the second monitoring round (2015-16) will feed into a 2016 Progress Report to inform the preparation of the second ministerial-level meeting of the Global Partnership, which will take place in late 2016 in Nairobi. Where sufficient data is available, short country-pages will be included in the report, to facilitate and incentivise country-level policy dialogue and action.

■ Use of findings at country and regional levels

Country-specific data will be made available – online and, where sufficient data is available, as short "country pages" in the 2016 Progress Report – to facilitate the use of findings by stakeholders at the country level, and to increase mutual accountability to incentivise behaviour change. Building on this data, countries are encouraged to produce country-specific analysis of progress in implementing EDC commitments which meet their own priorities and monitoring needs, and to convene multi-stakeholder dialogue around the findings in order to strengthen mutual accountability and encourage behaviour change for more effective development co-operation. The JST will make available a toolkit to facilitate the interpretation and use of data, and the promotion of multi-stakeholder dialogue around the findings.

Regional platforms also play a key role in the use and dissemination of findings from the monitoring exercise. They can (1) support stronger evidence-based dialogue on effective development co-operation practices drawing on country-led monitoring efforts and results, and (2) generate complementary evidence and knowledge on how the EDC principles are being implemented in policies and practices.

Providers and other stakeholders such as parliamentarians, local authorities, CSOs, trade unions and private sector representatives are also encouraged to initiate and actively participate in further analysis and policy dialogue around the findings at country, regional and global levels.

■ Online data visualisation

The JST will make data available online (aggregated and disaggregated by country and by provider) in a visual and user-friendly manner.

The main steps and milestones described below are presented to guide countries and organisations interested to participate in monitoring efforts so that they can plan and organise their efforts. Country-level specific milestones should be adapted to country contexts. Meeting the timeline will depend on the timeliness of the provision of validated data by developing country governments.

June - September 2015	**Preparation and sensitisation** Joint Support Team (JST): starts informally reaching out to developing country governments to explore interest in participating in the second round. Developing country governments: inform JST at monitoring@effectivecooperation.org on their intent to participate in the second round, start appointing a national co-ordinator, and sensitise relevant government institutions on the second monitoring round. Providers and other stakeholders: designate focal points at headquarter level, and at country level (in consultation with developing country governments).
September - October 2015	**Launch of the monitoring exercise** JST: sends a formal ministerial level invitation to Ministers and heads of organisations to participate in the second round, organises regional pre-monitoring workshops (Oct-Nov) and webinars, circulates the Monitoring Guide and data submission tool to the national co-ordinators in participating countries as well as to other stakeholders. Developing country governments: National co-ordinators participate in the pre-monitoring workshops and organise the launch of the monitoring exercise at the country level (e.g. through a kick-off meeting) in an inclusive manner with all relevant stakeholders. Providers and other stakeholders: focal points may participate in the pre-monitoring workshops on self-funded basis and/or in webinars, and engage in the kick-off meetings convened at the country level.
October 2015 - March 2016	**Data collection and validation** JST: regarding country-sourced data (indicators 1, 2, 3, 5, 6, 7, 8, 9b), the JST provides on-going support to national co-ordinators for data collection, validation and submission. Regarding globally-sourced data (indicators 4, 9a, 10), the JST coordinates the data consolidation and shares data with relevant stakeholders (providers and other stakeholders). The JST provides support and guidance to all stakeholders through the Helpdesk, community space of the Global Partnership, and FAQs. Developing country governments: national co-ordinators co-ordinate data collection, liaise with focal points from providers and other stakeholders to convene consultations and dialogue around data validation, and submit to the JST **by 31 March 2016** the completed data submission tool (with information available at the country level for the latest government fiscal year). Providers: focal points report to the national co-ordinators on indicators 1, 2, 3, 5a, 6, 9b, and participate in data validation (for all indicators) Other stakeholders: relevant focal points report to the national co-ordinator for indicators 2 and 3 (e.g. CSOs, private sector), and participate in data validation (for all indicators).

April-May 2016	**<u>Data processing and final review</u>** <u>JST</u>: consolidates and aggregates country-sourced data (indicators 1, 2, 3, 5, 6, 7, 8, 9b) and globally-sourced data (indicators 4, 9a, 10). Sends full country-sourced data tables to national co-ordinators for final review (indicators 1, 2, 3, 5, 6, 7, 8, 9b). Sends full globally-sourced data tables to providers' headquarters (indicators 4 and 10) and to developing countries' national co-ordinators (indicator 9a). Once the full data tables are finalised, the JST will make the raw data available to support country and regional analysis of the outcomes. <u>Developing Country Governments</u>: National co-ordinators receive their full set of country-sourced data, and ensure final review of indicators 1, 2, 3, 5, 6, 7, 8, 9b, in consultation with relevant stakeholders. In the case of any errors in the data, national co-ordinators notify the JST. <u>Providers</u>: Providers receive for information their full set of country-sourced data pertaining to each country in which they have reported data to the government (indicators 1, 2, 3, 5a, 6, 9b). Providers may communicate any final comments regarding the data they reported on at country level directly to the national co-ordinator for possible further consideration. All final country-level data are communicated to the JST by national co-ordinators. Providers also receive their set of globally-sourced data (indicators 4 and 10) from the JST, and can communicate any final comment on the data for these indicators to the JST.
June-September 2016	**<u>Aggregation, Analysis, Report production and publication</u>** <u>JST</u>: carries out the analysis (global aggregation), co-ordinates the preparation and finalisation of the report, in consultation with the Co-Chairs and the Monitoring Advisory Group. <u>Regional organisations</u>: Based on the finalised data tables, are encouraged to undertake specific regional analysis to inform the finalisation of the report as appropriate.
September – December 2016	**<u>Dialogue and dissemination</u>** <u>JST</u>: supports dissemination of the report's findings (launch of the Report, dissemination of key highlights, on-line access to the full dataset, etc.). Supports discussion and use of findings at country, regional and global (2016 HLM) levels. <u>Developing country governments, regional organisations, providers, and other stakeholders</u>: organise, initiate and actively participate in discussion and dissemination of findings at country, regional and global levels.

PART II – HOW TO PARTICIPATE IN MONITORING EFFORTS: GUIDANCE FOR ALL STAKEHOLDERS

This section provides guidelines for all stakeholders participating in the monitoring exercise, including:
- developing country governments
- providers of development co-operation
- other stakeholders (the private sector, civil society organisations, trade unions, parliamentarians, subnational governments)

Detailed definitions and advice to assist in the data collection for each country-sourced indicator are available in Annex III).

What are the resources available to support the monitoring exercise?

Help desk

For any clarification on how to participate, stakeholders are encouraged to use the web-based *Helpdesk* that has been established within the community space of the Global Partnership[2]. It is intended to provide a peer exchange space to share access to expertise, technical information and good practices and also lists other support tools available for the national co-ordinators as well as focal points for providers and other stakeholders. In offering a "one-stop-shop" for all ad hoc questions on indicators and the supporting methodology (including a *Frequently Asked Questions* section), this centralised support helps to ensure that arrangements for monitoring, while relying on existing sources of data, provide reliable and comparable data across participating countries and organisations.

The help desk function is co-ordinated by the JST and brings together specialists from the two organisations, including from the UNDP regional centres and country offices, which play an important role in supporting overall country-level implementation of EDC commitments and monitoring of progress.

Regional pre-monitoring workshop

The JST is currently liaising with various regional platforms to organise regional pre-monitoring workshops to support national co-ordinators and relevant stakeholders with hands-on training and capacity support for quality data collection, validation and analysis. Regional workshops for Asia-Pacific, Africa and Latin American and the Caribbean will take place during the months of October and November 2015, targeted to national co-ordinators from participating governments. More information about these workshops will be made available on the community space of the Global Partnership.

How do I contact the Helpdesk?

Stakeholders leading and contributing to the monitoring process are encouraged to visit the monitoring section of the Global Partnership community space which contains relevant documents and responses to frequently asked questions. To register, please email: community@effectivecooperation.org

For any queries, please contact: monitoring@effectivecooperation.org

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[2] Please go to https://www.unteamworks.org/node/489590. This web solution builds on the Global Partnership Teamworks web platform and offers a password-protected 'intranet' for Global Partnership stakeholders.

GUIDANCE FOR DEVELOPING COUNTRY GOVERNMENTS

■ **Role of developing country governments**

Developing country governments play a central role in leading monitoring efforts at country level, by:

- Ensuring that country stakeholders are fully informed about the Global Partnership monitoring efforts and facilitating their contribution to the process;
- Overseeing the collection of country-sourced data either through existing mechanisms and tools or ad hoc processes;
- Organising multi-stakeholder dialogue in support of data consolidation, validation and final review as well as ensuring the overall quality of data; and
- Submitting validated data to the JST.

■ **Appointment of a national co-ordinator**

In previous efforts to monitor development effectiveness, governments found it useful to nominate national co-ordinators who were typically senior officials in ministries in charge of aid / development finance flows / development co-operation management and coordination such as ministry of finance, planning or foreign affairs. The national co-ordinator will be responsible for co-ordinating the monitoring exercise at the country level (in liaison with relevant resource persons from government (e.g. sector ministries), from parliament, and from subnational governments in decentralised countries), and will liaise with the Joint Support Team (JST).

■ **Scope of monitoring efforts**

- **Which indicators are monitored by developing country governments?**

Country-sourced data: the indicators listed below will be measured using data from individual developing countries and aggregated by the JST to offer an overview of global progress:

INDICATORS	
1	Development co-operation is focused on results that meet developing countries' priorities
2	Civil society operates within an environment that maximises its engagement in and contribution to development
3	Engagement and contribution of the private sector to development
5a	Development co-operation is more predictable (annual)
5b	Development co-operation is more predictable (medium-term)
6	Aid is on budgets which are subject to parliamentary scrutiny
7	Mutual accountability strengthened through inclusive reviews
8	Gender equality and women's empowerment
9b	Use of developing country PFM and procurement systems

The Global Partnership monitoring framework complements and builds on country-level efforts to monitor progress and strengthen mutual accountability. Countries may include additional indicators and targets relevant for their specific context and priorities when developing their own frameworks to monitor the effectiveness of development co-operation.

While *globally-sourced data* (indicators 4, 9a and 10 - see Annex II for detailed factsheets) can also be of interest for country stakeholders, their assessment is carried out at the global level by existing desk reviews and other reporting mechanisms. The JST will share consolidated data with relevant stakeholders (providers of development co-operation, developing country governments, civil society organisations) in due course and will, as needed, consult

with them to ensure common understanding of the findings before incorporating them in the 2016 global Progress Report.

- **What kind of development co-operation is included?**

Developing countries are managing increasingly complex international sources of finance for development. As shown in the table below, development resource flows fall into four different categories, depending on whether they come from official or private sources, and whether they are concessional or non-concessional. The most well-known and classic of development co-operation transactions is classified as Official Development Assistance (ODA), which is concessional aid, provided by official sources. However, other non-concessional funds may also be provided by official bilateral and multilateral sources, at or close to market rates, and this type of transaction falls under the category of other official flows. Development co-operation financial flows may also come from private sources, either through concessional modalities (i.e. private grants) or through non-concessional modalities (i.e. private flows at market terms).

The Global Partnership monitoring exercise primarily focuses on ODA which includes all transactions undertaken i) with the promotion of economic development and welfare as the main objective and ii) at concessional financial terms (if a loan, having a grant element of at least 25%)[3]. Still, in view of capturing a more comprehensive picture of development resource flows' effectiveness, participating governments that are interested in reporting on a broader range of development co-operation transactions (in particular, other official flows[4]) are strongly encouraged to do so, provided that such transactions are undertaken with the promotion of economic development and welfare as the main objective. Concessional private grants and private flows at market terms should however not be reported[5].

	Concessional	**Non-concessional**
Official	ODA	Other official flows
Private	Private grants	Private flows at market terms

Where development co-operation funding is provided to a developing country as part of a regional (multi-country) programme and it is possible to identify those activities and disbursements that are specific to that developing country, these disbursements should also be recorded.

The following official transactions are excluded from the scope of the Global Partnership monitoring efforts and should not be recorded:

- Transactions made to beneficiaries that are not based in the developing country or to regional organisations that cannot be identified at country level.
- Debt reorganisation/restructuring.
- Emergency and relief assistance.

- **What is the reporting year of reference?**

The monitoring exercise draws on data according to government fiscal year; the reporting year of reference is the latest fiscal year of the developing country for which there is information available. In order to ensure timely submission of country-level data by the end of March 2016 while allowing sufficient time for data validation at the

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[3] This monitoring exercise uses the current ODA definition (detailed definitions available in OECD-DAC Statistical Directives (OECD, 2013), available online at: http://www.oecd.org/dac/stats/methodology.htm). The OECD/DAC's current work to modernise the definition of ODA will only take effect from 2018 on (more information available at: http://www.oecd.org/dac/financing-sustainable-development/understanding-development-finance.htm).

[4] Other official flows include non-concessional flows and external financing provided by official bilateral and multilateral sources, often below or close to market rates, but not qualifying as concessional flows according to the ODA definition.

[5] However, the participation of non-state actors in the assessment of Indicators 2 and 3 is crucial, and this is described later (annex III). In addition, the JST will be testing the applicability of the current Monitoring Framework to other types of development co-operation (e.g. private foundations activities, south-south technical cooperation) in parallel of the 2015-2016 Monitoring Round. These "pilots" will take place in a number of selected countries (see page 21 for further details on the scope of the Monitoring Round). Contact the Joint Support Team (monitoring@effectivecooperation.org) for more information.

country level, it is encouraged to consider data collection on the basis of data that is available by December 2015. This also means that all data from providers of development co-operation is expected to be provided according to the developing country's fiscal year. In developing countries where the fiscal year differs from the calendar year, and where monitoring data is easily available through existing systems, governments may wish to complement fiscal year data with calendar year data. While this would remain optional, it would contribute to facilitate aggregation and comparability of data.

The targets related to the Global Partnership indicators are set for 2015. The second monitoring round would therefore aim at using, to the extent possible, data from the 2015 calendar year (or 2014-15 fiscal year).

■ **Approach to data collection and validation at the country level**

- **Grounding data collection and validation in country processes**

Consistent with the focus of the Busan Partnership agreement on implementation at country level, developing countries are encouraged to agree on their own country-specific frameworks for monitoring progress and promoting mutual accountability (Busan §35a). Such frameworks could provide the basis for the collection of data necessary for indicators. Embedding such data collection within countries' existing processes, using their own tools and agreed in-country calendars, will help to avoid the creation of parallel monitoring tools and cycles that primarily serve international reporting needs.

> **Ways of grounding data collection in country processes – Illustrative examples**
>
> A growing number of countries have embedded monitoring of development co-operation effectiveness or partnership commitments in their own systems and processes. Ways of achieving this include the following approaches:
>
> - Incorporation of selected Global Partnership indicators in data collection through country-level aid management systems (e.g. Burundi Aid Management Platform, Cambodia ODA database, Rwanda Development Assistance Database).
> - Use of some or all Global Partnership indicators in country-level mutual accountability frameworks (e.g. Mozambique Performance Assessment Framework of the Programme Aid Partnership, Rwanda Donor Performance Assessment Framework, the Pacific Islands Forum Compact).
> - Collection and analysis of data from development co-operation providers ahead of annual partnership talks.

Ad hoc arrangements may need to be established for countries which are interested to participate in monitoring efforts but do not have in place processes or tools for periodic collection of country-level data required for some or all of the indicators drawing on country-level sources of data. These could include arrangements similar to those used for the Paris Declaration surveys (*i.e.* using stand-alone questionnaires). However, such arrangements should, whenever possible, be designed in a way that supports broader country-level monitoring and reporting efforts beyond those of the Global Partnership.

- **Engaging stakeholders in data collection and validation (October 2015 – March 2016)**

Data collection

The national co-ordinator oversees the collection of country-sourced data. He/she is invited to liaise with other stakeholders – providers of development co-operation, civil society organisations, private sector, trade unions – to collect data. Consultation with relevant stakeholders both before and during the data collection process is highly encouraged to ensure a rigorous and credible process. It is recommended that the national co-ordinator agree with relevant stakeholders on the appointment of a focal point for each stakeholder group in order to facilitate the data collection.

The following table summarises, for each indicator, which stakeholders should report data to the national co-ordinator:

INDICATORS		Gov.	Providers	CSOs	Private sector	Trade Unions
1	Development co-operation is focused on results that meet developing countries' priorities	■	■			
2	Civil society operates within an environment that maximises its engagement in and contribution to development	■	■	■		
3	Engagement and contribution of the private sector to development	■	■	■	■	■
5a	Development co-operation is more predictable (annual)		■			
5b	Development co-operation is more predictable (medium-term)	■				
6	Aid is on budgets which are subject to parliamentary scrutiny	■	■			
7	Mutual accountability strengthened through inclusive reviews	■				
8	Gender equality and women's empowerment	■				
9b	Use of developing country PFM and procurement systems		■			

Guidelines, specific questions and definitions of key terms for these indicators are provided in Annex III.

Data validation through inclusive country level dialogue

Close communication among a wide range of stakeholders is important to ensure the quality of the reporting on indicators as a monitoring tool and to strengthen mutual understanding of progress and challenges in make co-operation more effective. Focal points from CSOs, the private sector, trade unions, parliamentarians and subnational government are encouraged to participate in country dialogue around monitoring effective development co-operation (EDC) commitments. In the context of countries' own monitoring frameworks and coordination processes, such dialogue should be undertaken wherever possible as an opportunity to review key data that will be submitted to the JST. Multi-stakeholder dialogue and validation is an important contribution to ensure the quality of data used to monitor progress at the global level.

In order to document good practice in multi-stakeholder country-level engagement in global monitoring efforts, countries will be invited to provide feedback on the consultation process as part of their submission of data to the JST.

■ **Data submission (by 31 March 2016 at the latest)**

- **Compiling country data**

The national co-ordinator is invited to submit data for the latest government fiscal year to the JST by means of a data submission tool specially designed for the purpose of recording data in the monitoring exercise. This tool is designed to record the data for indicators measured through country-level information sources.

The data submission tool can be accessed at the Global Partnership community space.

- **Submitting country data**

Once the tool has been completed and validated, under the leadership of the government and in consultation with relevant stakeholders, country data collected through the data submission tool should be submitted **by 31 March 2016** at the latest to the JST. Upon receipt of the data, the JST will follow up with the national co-ordinator for any necessary clarification.

- **Complementary evidence**

Countries are also encouraged to share any additional information that the JST could use as a basis to enrich the global analysis of progress and challenges in implementing EDC commitments. This can be done in the data submission tool, which includes a dedicated section for such information.

■ Final data review (April-May 2016)

The JST will consolidate collected data and send full country-sourced data tables to the national co-ordinator. Upon receiving the full table of country-sourced data, the national co-ordinator ensures a final review in consultation with relevant stakeholders. In case of any errors in the data, national co-ordinators are invited to notify the JST.

Regarding globally-sourced data, whilst data validation and review will be undertaken within the relevant systems/institutions (i.e. the OECD-DAC and IATI for indicator 4, the World Bank for Indicator 9a, and the OECD-DAC for Indicator 10), the JST will share consolidated data sets with national co-ordinators to inform country-level dialogue.

■ Use of findings

Developing country governments are invited to organise, initiate and actively participate in discussions on progress and challenges in making development co-operation more effective and in dissemination of findings at country, regional and global levels (including at the Global Partnership's next High-Level Meeting in Kenya, November 2016). Reviewing progress in consultation with stakeholders can serve to boost dialogue and help ensure that all co-operation partners match commitments with actions.

■ Timeline

The national co-ordinator is invited to refer to the detailed timeline of the monitoring process provided in Part I (on pages 9-10).

GUIDANCE FOR PROVIDERS OF DEVELOPMENT CO-OPERATION

■ **Role of providers of development co-operation**

Providers of development co-operation are called upon to actively support the monitoring process at country and global levels by:
- providing the necessary data to the government in their co-operation countries. Providers report their data at country level directly to the national co-ordinator for six indicators (indicators 1, 2, 3, 5a, 6, 9b)
- participating in multi-stakeholder dialogue at country-level for data validation and final review for these six indicators that use country-sourced data;
- participating in consultations led by the JST around the assessment of two indicators that use globally-sourced data (indicators 4 and 10)
- participating in multi-stakeholder dialogue on monitoring results and mutual review of progress at country, regional and global levels.

Global programmes (for example, The Global Fund, GAVI…) are also invited to participate.

■ **Appointment of provider focal points at Headquarter and country levels**

Active engagement of providers, at both headquarters and country offices, will be instrumental for a successful monitoring exercise. Providers are invited to appoint a focal point at headquarter level ahead of the monitoring exercise. This headquarters focal point will play a key role in facilitating engagement of country offices in the monitoring of country-sourced indicators, and will participate in consultations led by the JST regarding the monitoring of indicators using globally-sourced data.

In addition, in countries participating in the monitoring exercise, provider country offices are invited to consult with other providers and the developing country government to agree on a single provider focal point at the country level. He/she will be the main counterpart of the national coordinator during the monitoring process. Standard terms of reference for the provider focal point at the country level are available at the following website: https://www.unteamworks.org/node/489590/. UNDP Country Offices have previously played such a role in some countries, and stands ready – on demand – to assume a similar role in this monitoring effort as well. For any co-operation providers that do not have representation at country level, focal points at regional or global level may be identified to coordinate any necessary data provision to national governments.

■ **Scope of monitoring efforts**

Country-sourced data: providers' country offices are expected to report to the national co-coordinator of the developing country government on the indicators detailed in the table below. Guidelines, specific questions and definitions of key terms for these indicators are provided in Annex III.

INDICATORS	
1	Development co-operation is focused on results that meet developing countries' priorities
2	Civil society operates within an environment that maximises its engagement in and contribution to development
3	Engagement and contribution of the private sector to development
5a	Development co-operation is more predictable (annual)
6	Aid is on budgets which are subject to parliamentary scrutiny
9b	Use of developing country PFM and procurement systems

Reporting year of reference: the monitoring exercise draws on data according to the developing country government fiscal year; the reporting year of reference is the latest fiscal year of the developing country for which there is information available. This means that all data from providers of development co-operation is expected to be provided according to the fiscal year identified by the developing country government.

Globally-sourced data: The two indicators using *globally-sourced data* described in the table below consist of assessments of providers' practices carried out at the global level by existing desk reviews and other mechanisms (see Annex II for detailed factsheets). The JST will share consolidated data with providers of development co-operation in due course and will, as needed, consult with them to ensure common understanding of the findings before incorporating them in the 2016 global Progress Report. In particular, it is expected that the provider's **headquarter focal point** participate in consultations organised by the JST regarding globally-sourced indicators.

INDICATORS	
4	Transparency: information on development co-operation is publicly available
10	Aid is untied

■ **Participation in data collection and validation (October 2015 – March 2016)**

While the data collection and validation of country-sourced indicators is led by the developing country governments, providers are invited to engage as follows:

Headquarters focal points provide guidance and incentives to the organisation's country offices to encourage their engagement in the monitoring of country-sourced indicators. While the country office focal point will be responsible for ensuring the quality and accuracy of data reported to developing country governments, previous experience has demonstrated that liaison between the provider's country offices and headquarters in the data collection phase is crucial to further strengthen the quality of reporting.

Country offices' engagement in the monitoring exercise will take place within countries' own monitoring frameworks and coordination processes. Within this framework, country offices are encouraged to participate in the kick-off meetings convened at country level (Oct-Nov 2015), to provide required data to developing country governments on indicators 1, 2, 3, 5a, 6, 9b, and to participate in the data validation process led by the government. Participation of country offices in multi-stakeholder dialogue is an important contribution to ensure the accuracy of data used to monitor progress at the global level. In addition, providers are invited to share their perspectives on pending challenges for greater effectiveness of development co-operation in participating countries. The single provider focal point at country level can act as the main counterpart of the government during data collection and validation.

■ **Final data review (April-May 2016)**

On the basis of validated country-sourced data received from the national-coordinator and of data sourced from existing desk reviews and global reporting mechanisms, the JST will build "provider data tables" and send them to providers. Providers can communicate any final comment regarding country-sourced data directly to the developing country governments' national co-ordinators for possible further consideration. Providers can also communicate any final comment on globally-sourced data to the JST.

■ **Use of findings**

Headquarters and country offices are invited to organise, initiate and actively participate in discussions on progress and challenges in making development co-operation more effective and in dissemination of findings at country, regional and global levels (including at the Global Partnership's next High-Level Meeting in Nairobi, November 2016). Reviewing progress in consultation with stakeholders can serve to boost dialogue and help ensure that all co-operation partners match commitments with actions.

■ **Timeline**

Providers are invited to refer to the detailed timeline of the monitoring process provided in Part I (on pages 9-10).

■ **Role of other stakeholders**

Other stakeholders – including representatives from parliaments, civil society organisations, the private sector, trade unions and sub-national entities – are invited to actively support the monitoring process at country and global levels by:

- providing the necessary data to the developing country governments in their co-operation countries. In particular, civil society organisations will be expected to report on indicator 2 and 3, private sector representatives will be expected to report on indicator 3, and trade unions will be expected to report on indicator 3.
- participating in multi-stakeholder dialogue at country-level for data validation and final review for ALL country-sourced indicators ; and
- participating in multi-stakeholder dialogue on monitoring results and mutual review of progress at country, regional and global levels.

■ **Appointment of focal points at global and country level**

Active engagement of parliaments, civil society organisations, the private sector, trade unions and sub-national entities, at both global and country levels, will be instrumental in achieving a successful and inclusive monitoring exercise.

Global focal points: the following organisations, which sit at the Global Partnership's Steering Committee, will provide focal points representing different stakeholder groups at the global level: the Inter Parliamentarian Union (IPU), the Civil Society Partnership for Development Effectiveness (CPDE), the Business and Industry Advisory Committee (BIAC) and the Center for International Private Enterprise (CIPE) the International Trade Union Confederation (ITUC) and the United Cities and Local Governments (UCLG).

Country-level focal points: at the country level, stakeholders are invited to agree, in consultation with developing country governments, on a focal point representing each of these stakeholder groups (standard terms of reference are available at https://www.unteamworks.org/node/489590/). These focal points are invited to liaise with the national co-ordinator throughout the monitoring of country-sourced indicators.

■ **Participation in data collection and validation (October 2015 – March 2016)**

- **Data collection**

Country-sourced data: Focal points for civil society organisations, private sector and trade unions are expected to report directly to the national co-coordinator of the developing country government on the indicators detailed in the table below. Guidelines, specific questions and definitions of key terms for these indicators are provided in Annex III.

	INDICATORS	CSOs	Private sector	Trade Unions
2	Civil society operates within an environment that maximises its engagement in and contribution to development	■		
3	Engagement and contribution of the private sector to development	■	■	■

- **Data validation**

Focal points for all stakeholders are encouraged to participate in multi-stakeholder dialogue around the validation of all indicators. Inclusive discussions will be important to ensure accuracy of data, and to strengthen mutual understanding of progress and challenges in making co-operation more effective.

While findings from all indicators may be of interest to the range of stakeholders, specific stakeholders are in particular invited to engage on the following indicators: *parliamentarians*: indicators 2, 5, 6 and 7; *civil society organisations*: indicators 2, 3 and 8; *private sector and trade union representatives*: indicator 3; *sub-national entities*: indicators 1 and 6.

■ Use of findings

At global and country levels stakeholders are invited to organise, initiate and actively participate in discussions on progress and challenges in making development co-operation more effective and in dissemination of findings at country, regional and global levels (including at the Global Partnership's next High-Level Meeting in Kenya, November 2016). Reviewing progress in consultation with stakeholders can serve to boost dialogue and help ensure that all co-operation partners match commitments with actions.

■ Timeline

Stakeholders are invited to refer to the detailed timeline of the monitoring process provided in Part I (on pages 9-10).

# ANNEX I - WHAT HAS CHANGED SINCE THE 2013-14 ROUND?

■ Indicators

The second monitoring round builds on the set of indicators used for the first round. However, while the methodologies for the indicators 1, 2, 3 and 4 were still under development during the first round, the second round incorporates refined methodologies for these indicators.

In addition, following a successful monitoring of indicator 8 during the first monitoring round and further discussions with UN Women, indicator 8 is included in the standard set of indicators collected at the country level.

■ Scope of the monitoring round

The first monitoring round focused its efforts on Official Development Assistance, with voluntary reporting on other official flows (in the form of non-concessional development co-operation funding from official bilateral/multilateral providers)[6]. In contrast, the second monitoring round strongly recommends reporting on those other official flows, particularly for the increasingly higher number of countries where non-concessional development financing (*other official flows*) is becoming a progressively significant share of all development financing flows (see figure below).
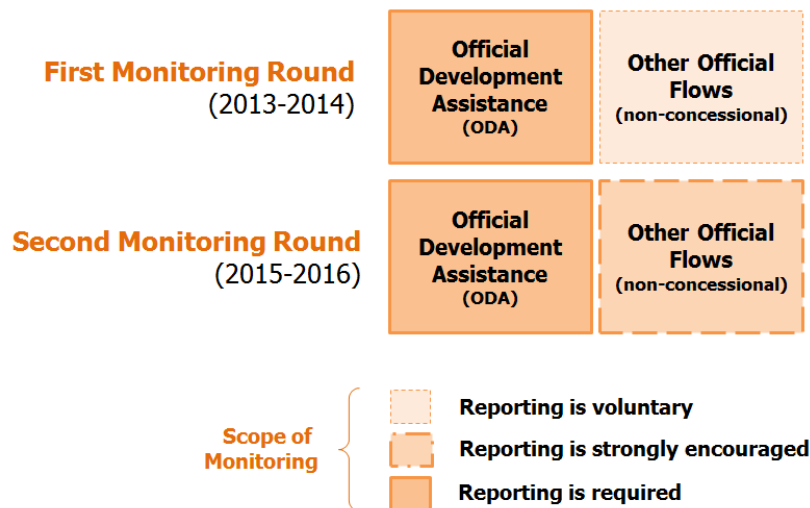
Other development flows such as private flows at market term or private grants (e.g. financial and technical support from private foundations, without any kind of official funding) should not be included.[7]

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[6] Non-concessional official development co-operation funds were optional in the previous monitoring round. However, there was very little reporting of this type, despite their increasing importance in helping countries finance development. For the second monitoring round, it is strongly recommended to report on these development flows as well – particularly in the case of upper-middle and lower-middle income countries, as they tend to receive increasing volumes of this type of development financing.

[7] In parallel to the 2015-2016 Monitoring Round, the Joint Support Team will also be testing in a number of selected countries the applicability of the current Monitoring Framework to other types of financial and technical co-operation (e.g. concessional flows provided by private foundations to the countries, south-south technical cooperation). Contact the Joint Support Team (monitoring@effectivecooperation.org) for more information.

■ **Strengthened data collection and validation process**

The JST has introduced the following changes to further facilitate the data collection and validation process, in view of reducing the burden on the national co-ordinator, increasing multi-stakeholder engagement, and improving data accuracy:

➢ **Sensitisation, communications and outreach ahead of the second round**

The JST has scaled-up its effort to sensitise all stakeholders (developing country governments, providers of development co-operation, parliamentarians, civil society organisations, trade unions and other stakeholders) – ahead of the second monitoring round to encourage an inclusive exercise.

➢ **Appointment of focal points for all stakeholders at global and country levels, with clear roles and responsibilities**

During the first monitoring round, a focal point for each developing country government (i.e. the "national co-ordinator") was systematically appointed to coordinate the monitoring exercise. The national co-ordinator leads the monitoring efforts by sensitising relevant government institutions about the monitoring round, overseeing the data collection, and organising multi-stakeholder dialogue with partners for data consolidation and validation. In some countries, a provider focal point was designated to support the process. In order to further facilitate the national co-ordinator's role and to strengthen multi-stakeholder engagement during the second monitoring round, the JST encourages stakeholders to appoint focal points at country level, in consultation with developing country governments for: providers of development co-operation, parliamentarians, civil society organisations, trade unions, and the private sector. In addition, the JST encourages stakeholders to appoint a focal point at headquarter/global level to facilitate stakeholder engagement in the process, and link with country level focal points. In particular, provider focal points at headquarters are invited to liaise with their country offices throughout the data collection and validation process, to ensure accuracy of data provided at the country level.

➢ **Increased time allocated to data collection, validation, and final review**

In order to ensure sufficient time for a robust data collection, validation, and final review process to happen, six months are allocated for data collection and validation, and two months for final review. In comparison, the first monitoring round originally envisaged three months for data collection and validation, and less than two months for final review.

■ **Monitoring Advisory Group**

A group of twelve high-level technical experts was established to provide advice on the Global Partnership's monitoring activities. The Monitoring Advisory Group provided strategic recommendations for the finalisation of indicators 1, 2, 3 and 4. In addition, and on the basis of lessons learned during the second monitoring round, the Monitoring Advisory Group will guide the review of the Global Partnership's monitoring framework to ensure its relevance to the post-2015 context.

■ **Increased coordination / synergies with other monitoring exercises**

The JST has enhanced its collaboration with the secretariats of other monitoring processes related to the topic of effective development co-operation – such as the UNDESA annual survey on national mutual accountability, the monitoring of the New Deal Engagement in Fragile States, and the monitoring of the International Health Partnership – in order to strengthen synergies and to limit the reporting burden at country-level. More information on areas of co-ordination will be shared in due time with countries participating in these exercises.

ANNEX II – INDICATOR FACTSHEETS

Detailed information on each indicator of the Global Partnership's monitoring framework (see Table on page 5) is provided in the factsheets presented in this Annex. These include details on the methodology underpinning each indicator, including means of measurement, method of calculation and data source.

Development co-operation is focused on results that meet developing countries' priorities
Indicator 1. Extent of use of country-owned results frameworks by providers of development co-operation

The purpose of this indicator is to provide objective information on the extent to which, and the ways in which, existing country-led and country-level results frameworks are used by providers as a guiding tool to focus development co-operation on results that meet developing countries' priorities.

*The main focus of the indicator **(1a)** is to measure the extent of use of existing country-owned results frameworks by providers of development co-operation in planning and designing new interventions – in particular, in regard to setting the intervention's objectives and expected results, and in planning the monitoring arrangements to track progress. Country-owned results frameworks (CRFs) include any form of government-led planning instrument where development priorities, goals and targets are defined in detail. Given that CRFs are often specified at the sector level, priority is given to use of sector CRFs in designing providers' new interventions – although other national and subnational planning instruments can serve as a reference too. The behaviour change pursued by this indicator is to gear development co-operation providers to assess performance based on indicators that are drawn from existing country-led results frameworks and tracked through country monitoring systems and statistics, minimising the use of ad hoc or parallel results frameworks by development co-operation providers.*

*While the indicator focuses on mapping out providers' behaviour in different countries and sectors, the data collection is complemented with an additional module **(1b)** that provides a descriptive assessment on the existence and characteristics of existing CRFs in the country (or alternative country-specific priority-setting mechanisms). This qualitative information will contextualise the country-level findings reported for sub-indicator 1a, in order to provide a complete snapshot of the situation at the country level and help inform policy discussions on how to strengthen collaboration between the country's priority-setting institutions and providers of development co-operation.*

Relevant Busan commitment

The Paris Declaration (§45) and Accra (§23) commitments, as reaffirmed in Busan, called for relying on partner country results frameworks and monitoring and evaluation systems in order to increase the focus on development results that meet developing countries' priorities.

Specifically, the Busan commitment (§18b) states that, where initiated by the developing country, transparent, country-led and country-level results frameworks would be adopted as a common tool among all concerned actors to assess performance based on a manageable number of output and outcome indicators drawn from the development priorities and goals of the developing country. Providers of development co-operation also agree to minimise the use of additional frameworks, refraining from requesting the introduction of performance indicators that were not consistent with countries' national development strategies.

Indicator construction	Measurement
1a. Providers' extent of use of country-owned results frameworks **Q^g 1:** Percentage of providers' new interventions that draw their objectives and development focus from country-owned results frameworks. **Q^g 2:** Numerator: Number of results indicators in providers' interventions results frameworks that are drawn from country-owned results frameworks.	Extent of use of country results frameworks by providers[8], for development co-operation programming and results-reporting stages. The questionnaire covers three components: (a) alignment of the intervention's objectives/focus with existing government-owned results frameworks and planning tools; (b) use of results indicators drawn from these instruments; and (c) use of ongoing government-sourced data to report on the intervention's results; (d) reliance on final evaluations carried out with government support.

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[8] Note that, at the empirical level, country results frameworks are often operationalised at different levels (e.g. sector level). Therefore, the definition of country-led results framework allows for the possibility to use other equivalent priority setting mechanisms at the country level since not all countries articulate their priorities through consistent, integrated Country Results Frameworks. Where there is no single agreed common Country Results Framework in existence, providers must clearly indicate the results framework that they used in designing their development intervention. In the absence of common CRFs, providers may wish to indicate alignment to other equivalent priority setting mechanisms (if any) such as use of sector plans and strategies. Where relevant they may also refer to national or subnational frameworks.

Denominator:	Total number of results indicators incorporated in providers' interventions results frameworks.

Q^g 3:

Numerator:	Number of results indicators that are planned to be reported using ongoing sources of information from existing country-owned monitoring frameworks.
Denominator:	Total number of results indicators (output/outcome indicators) that are reported in the intervention's closing document (i.e. included in the results framework or log-frame)
Q^g 4:	Percentage of new interventions that plan a final (ex post) evaluation funded by the government, or jointly by the government and the provider.

1b. Assessment of country context

To better understand the country context in terms of existing priority-setting mechanisms, a guided qualitative question focuses on describing the country's current arrangements to set sector priorities, goals and targets, and in broadly identifying the existence of different planning tools and the overall characteristics of the country's planning process.

A provider profile is created on the basis of these sub-indicators, reporting on the three dimensions of use of CRFs described above. Other information on country context and the composition of provider's portfolio will complement the profile. For legibility and reporting purposes, scores will be reclassified using a graduated scale to assess the extent to which providers of development co-operation use existing (sector-level) country results frameworks, within the following range: none to limited use, moderate use, high use, full use, on the basis of the proposed dimensions.

The monitoring data will reflect:

(a) The extent to which providers of development co-operation rely on *development priorities and objectives* drawn from country-owned results frameworks in programming new interventions;
(b) The extent to which providers of development co-operation use *results indicators* drawn from country-owned results frameworks in designing the results frameworks/logical frameworks of new interventions;
(c) The extent to which providers of development co-operation plan to rely on *data sources* being tracked by existing government monitoring systems and statistical systems to report on these indicators of results (i.e. ongoing measurements, instead of intervention-specific data sources and measurements);
(d) The extent to which providers' interventions are relying on country-led *evaluation* efforts at intervention closing.

Data source	Aggregation
Country-level data. Data will be collected, validated and aggregated at the country level by the government, with inputs from providers of development co-operation. Periodicity to be determined at country level depending on needs and priorities and existing mutual accountability review processes.	Data is reported at the global level (*providers profiles*). Data will also be reported for each country in order to inform country-level policy dialogue (*country profiles*). The unit of observation is the provider's intervention in a given developing country. For reporting, the aggregation is carried out by nesting projects per provider in each country, and then averaging the extent of use of existing CRFs by providers at the country level. Reporting per provider at the global level will also be offered.
Baseline	**Target**
This monitoring round will establish the baseline for the indicator.	All providers of development co-operation use country-owned results frameworks in preparing their interventions. Rationale: based on the Busan commitment which calls on all actors to change behaviour in this area.

Civil society operates within an environment that maximises its engagement in and contribution to development
Indicator 2. CSO Enabling Environment Assessment

This indicator seeks to assess the extent to which governments and providers of development co-operation contribute to an enabling environment for CSOs (BPa §22a), and to which CSOs are implementing development effectiveness principles in their own operations (BPa §22b).

The indicator relies on a four-module qualitative questionnaire, completed throughout a multi-stakeholder process led by the government, and engaging civil society organisations, providers of development co-operation, and other relevant stakeholders. The dialogue process is designed to incentivise consensus around the responses – although parties can note diverging views on specific survey items if needed.

This indicator is primarily built to provide a useful tool to spark multi-stakeholder dialogue at the country level among governments, CSOs and providers, to identify progress as well as room for improvement in CSO enabling environment and CSO development effectiveness.

Relevant Busan commitment

The specific Busan commitment states that "[we will] implement fully our respective commitments to enable CSOs to exercise their roles as independent development actors, with a particular focus on an enabling environment, consistent with agreed international rights, that maximises the contributions of CSOs to development." (Busan §22a).

Indicator construction	**Measure**

The indicator is structured around a four module questionnaire, covering the following dimensions:
     (1) Space for multi-stakeholder dialogue on national development policies;
     (2) CSO development effectiveness: accountability and transparency;
     (3) Official development co-operation with CSOs; and
     (4) Legal and regulatory environment.
 	
 The qualitative questions included in each module draw on the work of the *CPDE Working Group on CSO Enabling Environment* and the *Task Team on Enabling Environment and Development Effectiveness* (module 1 and 4), the *Istanbul Principles for CSO Development Effectiveness* and the *International Framework for CSO Development Effectiveness* (module 2), and the *OECD-DAC 12 Lessons for Partnering with Civil Society* (module 3).
	The questionnaire responses offer detailed qualitative information at the country level context regarding the environment in which CSOs operate as well as the extent to which CSOs are engaged in development process and enabled to contribute in an effective way.
	
	 Given the context-assessment approach of this indicator, measurement at the global level will identify cross-cutting and specific challenges in enabling CSO engagement in development, and in identifying common patterns in those country cases that experienced positive transformations of CSO engagement –as to promote peer learning and greater focus on the factors that emerge from the analysis as most relevant conditions for making country-level progress in strengthening CSO engagement.

Data source	**Aggregation**
Country-level qualitative data, gathered throughout multi-stakeholder dialogue processes.	The unit of observation is the individual country, as the qualitative data reflects specific country contexts for inclusive development partnerships involving CSOs, helping parties identify strengths and opportunities at the country level. At the global level, the evidence will allow highlighting differences in the relevance and level of progress across the dimensions of the assessment.
Baseline	**Proposed target**
This monitoring round will provide the baseline scenario at the country level. Further monitoring rounds will allow tracing trends in terms of progress in strengthening the enabling environment for CSOs.	Continued progress over time. Rationale: The Busan Partnership agreement does not offer a basis for a more specific target. The indicator purpose is to provide an entry point for a policy discussion based on trends observed.

Engagement and contribution of the private sector to development
Indicator 3. Quality of public-private dialogue index

This indicator focuses on the quality of public-private dialogue (PPD) at the country level. In doing so, it recognises the importance of inclusive dialogue with the private sector for building a policy environment conducive to growth and sustainable development.

The indicator builds on tools developed by the World Bank, although the process was adjusted in order to rely on a country-led, multi-stakeholder data gathering process that could ensure transparency and country ownership. It relies on a mix of globally-sourced and country-sourced data, in order to produce a snapshot of the situation in the country.

Relevant Busan commitment

The indicator reflects the commitment to enable the participation of the private sector in the design and implementation of development policies and strategies to foster sustainable growth and poverty reduction (Busan §32b)

Indicator construction	**Measure**
The indicator construction relies on a combination of globally-sourced quantitative scores and country-sourced qualitative assessments on the country context for inclusive public-private dialogue processes. It is structured around the three following modules: • *Module 1* assesses the country's enabling environment and relies on globally-sourced data, which will be provided by the JST to national co-ordinators to inform multi-stakeholder dialogue in relation to Module 2. • *Module 2* assesses the country's readiness for public-private dialogue processes, and relies on a qualitative questionnaire ; • *Module 3* is designed as an optional component, and provides an in-depth assessment (case study) of the quality and organisational effectiveness of a given public-private platform in the country.	Building up on the information drawn from *module 1* and the country-sourced responses for *module 2*, indicator 3 will provide country-level assessments on the current legal/regulatory context and country readiness to organise and sustain public-private dialogues (PPDs). *Module 3* (optional) will help deepen the analysis through the case studies of specific PPD platforms, which in turn will facilitate peer-learning regarding different PPD approaches, and disseminate best practices and lessons learnt.
Data source	**Aggregation**
The indicator relies on a combination of globally-sourced and country-level data sources: • *Module 1* – International indices, including the "Public engagement" index from the Open Budget Survey, the "Voice and Accountability", "Rule of Law" and "Control of corruption" indices from the Worldwide Governance Indicators and the "Citizen engagement in rulemaking" index. • *Module 2* – Country-level data, gathered throughout multi-stakeholder dialogue processes. • *Module 3* (Optional) - Country-level data	The unit of observation is the individual country. This indicator assesses the country context. Quantitative and qualitative information from Modules 1 and 2 will provide scoring and a contextual narrative on the country's enabling environment and readiness for public-private dialogues. Cross-cutting and specific challenges in facilitating public-private dialogue across countries will also be identified by resorting to qualitative comparative analysis and principal component analysis methods. The assessment will identify common patterns in countries experiencing progress public-private dialogue, and will compare and spotlight specific PPD platforms (module 3) for learning purposes
Baseline	**Proposed target**
This monitoring round will provide the baseline scenario at the country level. Further monitoring rounds will allow tracing trends in terms of progress in strengthening public-private dialogue at the country level, and in refining and further simplifying the questionnaire into the key factors driving change across countries.	Continued progress over time. Rationale: the purpose of the indicator is to provide means to support broader political discussion on enhanced public private cooperation and further mobilisation of the private sector within the Global Partnership

**Indicator 4. Information on development co-operation is publically available
(Implementation of the Common Standard)**

The purpose of this indicator is to provide information on the state of implementation by development co-operation providers of the "common, open standard" for electronic publication of timely, comprehensive and forward-looking information on resources provided through development cooperation. It aims to support evidence-based policy dialogue on the transparency of development co-operation and to facilitate mutual accountability and learning at the country and global levels. The common standard was endorsed by the Working Party on Aid Effectiveness in July 2012. It is built on the two main systems of the common open standard, namely the OECD/DAC Creditor Reporting System (CRS) and Forward-Spending Survey (FSS), and the International Aid Transparency Initiative (IATI).

The methodology described in this sheet is still subject to change as a result of additional technical consultations with the IATI and OECD/DAC Secretariats. A finalised methodology will be endorsed early 2016, which will enable findings from Indicator 4 to be included in the 2016 Progress Report.

Relevant Busan commitment

Through the Busan Partnership agreement, providers of development co-operation commit to implement a "common, open standard for electronic publication of timely, comprehensive and forward-looking information on resources provided through development co-operation, taking into account the statistical reporting of OECD and complementary efforts of International Aid Transparency Initiative and others. This standard must meet the information needs of developing countries and non-state actors….. We will [aim to] implement it fully by December 2015" (Busan §23c).

Indicator construction	Measurement
The indicator will assess availability of information that is reported to the CRS/FSS and IATI. It is based on a composite approach combining the assessment of information reported to the CRS/FSS and to the IATI. The assessments are led by the OECD/DAC and IATI Secretariats, respectively. In direct response to the Busan commitment, the assessment focuses on three dimensions: i) *timeliness*; ii) *comprehensiveness*; and iii) *forward- looking nature*. However, the following revisions are being proposed for consultation: Reflecting the inherently different purpose of the information captured by the existing reporting systems (i.e. OECD-sourced data provides statistical information, while IATI-sourced data generates management information), the key dimensions of the common standard included in the Busan Partnership agreement (timeliness, comprehensiveness, forward-looking) are interpreted in different ways by the OECD-DAC and IATI data sources for indicator 4, and the items accounted for in calculating the scores reflect these differences in regard to the underlying dimensions included in the data source. The proposed approach will take into account these differences in providing the combined reporting of existing data sources on transparency. The OECD/DAC Secretariat has included a dimension focusing on data accuracy as an integral component of their data sources, relying on manual qualitative assessment of submitted data. On the other hand, the IATI Secretariat notes that a reliable and objective methodology to assess accuracy has not yet been fully developed (the IATI Secretariat is fully committed to improving the accuracy of IATI data, and will agree on a	A categorical/rubric scale will provide a measure of degree in which each provider of development co-operation has made progress in implementing the common standard. An overall status of implementation will be assigned separately for information reported to CRS/FSS and IATI, using descriptive scales (excellent, good, fair, and major improvement needed), with sufficient detailed information on each of components and dimensions. The reporting of assessments will clearly specify that, under the OECD/DAC Statistics umbrella system, CRS assesses transparency for retrospective data (i.e. related to past/recent performance), while FSS focuses on the transparency of forward-looking aid data (i.e. projections). In cases where only CRS or FSS are available (usually FSS), that would be the only OECD/DAC-sourced assessment reported, with the above-mentioned caveat. Sub-composite scales for CRS data and FSS data will use the weighted approach. The weights used in the assessment of CRS data are as follows: timeliness (5/20); completeness (3/20) and accuracy (12/20). FSS assessment of forward-looking data will use the following weights: public disclosure of FSS data (1/7); timeliness (1/7); completeness (3/7) and accuracy (2/7). IATI uses equal weights between each component (timeliness, comprehensiveness and forward looking) for aggregate overall performance of providers. The three sub-components of comprehensiveness are weighted: core (50%), financial (25%) and forward-looking (25%). The IATI reporting scores are adjusted for the coverage of the financial flows reported using the following scale of coverage: Excellent: 80% or over (adjustment factor 1); Good: 60 – 80% (adjustment factor 0.8); Fair: 40 – 60% (adjustment factor 0.6); and Poor: less than 40% (adjustment factor 0.4). The adjusted IATI scores are

way to move forward on this topic in its March 2016 meeting). The JST proposes not to include accuracy as part of the indicator at this stage, but requests both the IATI and OECD/DAC Secretariats to work together to develop a reliable assessment of accuracy starting March 2016. In the meantime, the JST will report on the data accuracy dimension provided by OECD/DAC-sourced data separately, as an emerging layer of analysis in the field of development co-operation transparency.

converted to the descriptive scales as follows: Excellent (80% or over); Good (60 – 80%); Fair (40 – 60%); and Major Improvement Needed (0 – 40%)

Different scoring methods will be used by the two Secretariats. This means that numerical composite scores will be calculated for IATI, and composite scores (full, half and no-star) will be made for the CRS and FSS respectively.

Data source	Aggregation
Desk review of data available through reporting on the components/dimensions of the common, open standard (CRS/FSS and IATI). No collection of data at the country level is foreseen. Year of data for assessment – IATI assessment will be done for 2015 data, while CRS data will be based on 2014 data. FSS assessment will cover CPA 2014-2018, while IATI's forward-spending information will look at 2016-2019.	The proposed unit of observation is the individual country providing development co-operation (in the case of bilateral co-operation providers) or organisation (in the case of multilateral providers). Presentation of composite scales will be grouped under the following three categories: • Group A – providers publishing / reporting to both CRS/FSS and IATI; • Group B – providers publishing / reporting to CRS and/or FSS only; • Group C – providers publishing/reporting to IATI only.
Baseline	**Target**
This monitoring round will establish the baseline for the indicator.	Implement the common standard – All providers of development co-operation are on track to implement by 2015 a common, open standard for electronic publication of timely, comprehensive and forward-looking information on development co-operation.

Development co-operation is more predictable (annual predictability)
Indicator 5a. Proportion of development co-operation funding disbursed within the fiscal year within which it was scheduled by providers of development co-operation

Paris Declaration commitment to "disburse aid in a timely and predictable fashion according to agreed schedules" (PD §26; reaffirmed in Busan)

Indicator construction	**Measure**
Numerator: Development co-operation flows reported by provider as disbursed in year n Denominator: Development co-operation flows scheduled for disbursement by provider in year n and communicated to developing country government	% of development cooperation funding for the government sector disbursed in the year for which it was scheduled by providers of development co-operation Note that this indicator builds on the broad approach used in Paris Declaration indicator 7
Data source	**Aggregation**
Country-level data (self-reporting by providers of development co-operation)	In order to avoid the situation in which under- and over-disbursements cancel each other out, disbursements "as scheduled" are presented separately from disbursements "beyond scheduled". Aggregates are obtained as a weighted average. Scheduled disbursements is used as the weighting variable for disbursements "as scheduled". For disbursements "beyond scheduled", actual disbursements is used as the weighting variable.
Baseline	**Proposed target for 2015**
2010 (estimate, 78 countries): 75%	Halve the gap – halve the proportion of development co-operation funding not disbursed within the fiscal year for which it was scheduled Rationale: based on Paris Declaration target

Development co-operation is more predictable (medium-term predictability)
Indicator 5b. Proportion of development co-operation funding covered by indicative forward spending plans provided at country level

Relevant Busan commitment

"By 2013... provide available, regular, timely rolling three- to five-year indicative forward expenditure and/or implementation plans as agreed in Accra..." (Busan §24a).

Indicator construction	Measure
Developing country government determines whether, on the basis of its records, a forward expenditure plan is available for each co-operation provider covering the next one, two and three years. The forward spending plan must meet ALL THREE of the following criteria: • Made available by the provider of development co-operation in written or electronic form; • Sets out clearly *indicative* information on future spending and/or implementation activities in the country; • Amounts are presented (at least) by year using the developing country's fiscal year. Additionally, for each year, to answer "YES" the information provided must meet BOTH of the following criteria: • Comprehensive in its coverage of known sectors, types and modalities of support; and • Amount and currency of funding is clearly stated.	Estimated proportion of development co-operation covered by indicative forward expenditure and/or implementation plans for one, two and three years ahead.

Data source	Aggregation
Data collected at country level (reporting by developing country governments on the availability of forward plans by each provider).	Indicator values for individual providers and for developing countries will serve as a basis for global aggregation.

Baseline	Proposed target
2013 (on average: 83% of estimated total funding was covered by forward-spending plans for the fiscal year ending in 2014, 70% for 2015 and 57% for 2016)	Halve the gap – halve the proportion of development co-operation not covered by indicative forward spending plans provided at the country level. Rationale: following the same approach as for in-year predictability (see indicator 5a).

<table>
<tr><td colspan="2" align="center">Aid is on budgets which are subject to parliamentary scrutiny
Indicator 6. Percentage of development co-operation funding scheduled for disbursement that is recorded in the annual budgets approved by the legislatures of developing countries</td></tr>
</table>

Relevant Busan commitment
Busan commitment to "...strengthen the role of parliaments in the oversight of development processes" (§21a); and also Accra commitment to "facilitate parliamentary oversight by implementing greater transparency in public financial management, including public disclosure of revenues, budgets, expenditures..." (AAA §24).

Indicator construction	**Measure**
Numerator: Development co-operation funding recorded in annual budget for year n. Denominator: Development co-operation funding scheduled for disbursement in year n by co-operation providers and communicated to developing country government at the outset of year n Note that the denominator used in this indicator is the same as that used in the calculation of indicator 5a (annual predictability)	% of development co-operation funding scheduled for disbursement that is recorded in the annual budgets approved by the legislatures of developing countries. Note that this indicator builds on the broad approach used in Paris Declaration indicator 3

Data source	**Aggregation**
Data collected at the country level (data taken from existing government budgets and self-reporting by providers of development co-operation)	The funds recorded in the government annual budget may be greater than or less than those funds scheduled for the government sector from a provider. To avoid these two cases from cancelling each other out, the funds recorded in the government annual budget in excess are reported separately as "beyond scheduled". Aggregates are obtained as a weighted average. Scheduled disbursements is used as the weighting variable for funds recorded "of scheduled"". For funds recorded "beyond scheduled", funds recorded in the government annual budget is used as the weighting variable.

Baseline	**Proposed target**
To be determined and only available for countries having the calendar year as a fiscal year (data for the denominator are currently available only by calendar year) For reference, aid captured in budgets in 2010 as a percentage of aid disbursements (PD indicator 3, 78 countries): 41%	Halve the gap – halve the proportion of development co-operation flows to the government sector not reported on government's budget(s) (with at least 85% reported on budget) Baseline year 2010 Rationale: Paris Declaration target

**Indicator 7. Percentage of countries that undertake inclusive mutual assessments
of progress in implementing agreed commitments**

Relevant Busan commitment

Paris commitment to jointly assess mutual progress in implementing aid effectiveness commitments (PD §50). Accra commitment to ensure mutual assessment reviews in place in all countries, with stronger parliamentary scrutiny and citizen engagement (AAA §24b).

Busan commitment to encourage participation of all development co-operation actors in these processes (§18d); agree country-led frameworks to monitor progress and promote mutual accountability (§35a).

Indicator construction	Measure
Numerator: Number of countries considered to have a mutual assessment Denominator: Total number of countries A country is considered to have a mutual assessment in place when *at least four* of the five criteria below are met: • Existence of an aid or partnership policy that defines a country's development co-operation priorities • Existence of country-level targets for effective development co-operation for both developing country government and providers of development co-operation • Assessment against these targets undertaken jointly by government and providers at senior level in the past two years • Active involvement of local governments and non-executive stakeholders in such reviews. • Comprehensive results of such exercises are made public	% of countries that undertake inclusive mutual assessments of progress in implementing agreed commitments and meet at least four of the five proposed criteria Note that this indicator takes the form of an improved version of Paris Declaration indicator 12

Data source	Aggregation
Country-level data. Self-reporting against established criteria, using UNDESA work on mutual accountability	The unit of observation is the individual developing country (score across five dimensions). Global aggregation based on the % of countries meeting at least four of the five criteria.

Baseline	Proposed target
2010 estimate * = 38% (of 78 countries) * Note that the criteria proposed in the current methodology have evolved since those used to collect the 2010 baseline. As such this is an estimate only	All developing countries have inclusive mutual assessment reviews in place Rationale: Paris target

Gender equality and women's empowerment
Indicator 8. Percentage of countries with systems that track and
make public allocations for gender equality and women's empowerment

In the spirit of the on-going discussions on the universal post-2015 development framework, countries at all stages of development are encouraged to share evidence of their efforts in this area and performance against this indicator. This will advance mutual learning and the exchange of experiences, and strengthen accountability and transparency in financing for gender equality and women's empowerment.

Relevant Busan commitment

"[We will] accelerate and deepen efforts to collect, disseminate, harmonise and make full use of data disaggregated by sex to inform policy decisions and guide investments, ensuring in turn that public expenditures are targeted appropriately to benefit both women and men." (Busan §20a).

Indicator construction	Measure
Numerator: Number of countries that have a system for tracking and making public allocations for gender equality and women's empowerment Denominator: Total number of countries A system will be considered to be *in place* in the country if at least 1 out of these 3 criteria are met,: 1. There is an official government statement on a system for tracking allocations for gender equality and women's empowerment at national or sector level. This can for example be a framework or legislation on gender responsive budgeting. 2. Allocations for gender equality and women's empowerment are systematically tracked over time. 3. There is leadership and oversight of the tracking system by the central government unit in charge of public expenditures (for example the Finance Ministry or a sector ministry). Allocations for gender equality will be considered to be made public if criteria 4 is met: 4. Gender equality focused budget information is publically available. This could be through Parliamentary oversight and civil society scrutiny, publications, websites or other means. Countries may indicate if they a) use gender-specific indicators and data disaggregated by sex to inform budget allocation decisions at sectoral level and/or at local level and b) if they conduct regular impact assessments of budgets and expenditures which address how women and men benefit respectively from government expenditures.	Percentage of countries with systems to track and make public allocations for gender equality and women's empowerment

Data source	Aggregation
Data will be collected from the Ministries of Finance at the country level.	For this indicator, the unit of observation is the individual developing country. Global aggregation: based on the percentage of developing countries with systems in place.

Baseline	Proposed target
Out of the 35 countries that reported on the indicator in the first round of monitoring, 12 countries had systems in place to track and make public allocations for gender equality. Additionally, 5 countries reported systems for tracking allocations but these allocations were not made public.	All developing countries have systems that track and make public allocations for gender equality and women's empowerment.

Indicator 9a. Quality of developing country public financial management systems

Relevant Busan commitment

Paris Declaration commitments to strengthen country systems at the same time as increasing their use (PD §17-30; reaffirmed in Busan §19)

Indicator construction[9]	**Measure**
This indicator takes the form of a score ranging from 1.0 (lowest) to 6.0 (highest), scored in half-point increments (0.5). The following three dimensions are rated by the World Bank using established criteria: a. a comprehensive and credible budget, linked to policy priorities; b. effective financial management systems to ensure that the budget is implemented as intended in a controlled and predictable way; and c. timely and accurate accounting and fiscal reporting, including timely and audited public accounts and effective arrangements for follow up. All three dimensions are given equal weighting. See World Bank (2010) for the detailed criteria underpinning each dimension.	Same as Paris Declaration indicator 2a This indicator is based on the World Bank Country Policy and Institutional Assessment (CPIA).[10] It takes the value of one CPIA criterion – indicator 13 – which offers a measure of the quality of a developing country's budget and financial management system

Data source	**Aggregation**
World Bank (existing international dataset, published on an annual basis and available for IDA countries).	The unit of observation is the individual developing country. When aggregating to the global level, the measure used is the percentage of developing countries moving up at least one measure (*i.e.* 0.5 points) since the baseline year.

Baseline	**Proposed target for 2015**
2010 (for countries participating in the 2011 PD Survey):	Half of developing countries move up at least one measure (*i.e.* 0.5 points) on the PFM/CPIA scale of performance Rationale: Paris Declaration target

CPIA PFM Score	>=5	4.5	4.0	3.5	3	<3.0	All
Num. of countries	0	2	8	25	12	9	56
%	0%	4%	14%	45%	21%	16%	100%

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[9] Note that an alternative methodology is currently being piloted by the *Effective Institutions Platform* (EIP) and the *Collaborative Africa Budget Reform Index* (CABRI), and estimated in parallel for a number of countries.

[10] World Bank (2012), CPIA 2012, Operations Policy and Country Services, World Bank, available online at: http://www.worldbank.org/ida/IRAI-2012.html

Relevant Busan commitment

Paris Declaration (§21, 26) and Accra (§15) commitments, as reaffirmed in Busan. Busan commitment to "use country systems as the default approach for development co-operation in support of activities managed by the public sector" (§19a)

Indicator construction	Measure
Numerator: Development co-operation flows using country systems (average of a, b ,c and d) Denominator: Total development co-operation flows for the government sector where: a = Development co-operation funding disbursed for the government sector using national budget execution procedures b = Development co-operation funding disbursed for the government sector using national financial reporting procedures c = Development co-operation funding disbursed for the government sector using national auditing procedures d = Development co-operation funding disbursed for the government sector using national procurement systems	Note that this indicator combines Paris Declaration indicators 5a (use of country PFM systems) and 5b (use of country procurement systems) to offer a single composite indicator % of development co-operation disbursements for the government sector using the developing country's PFM and procurement systems (average across use of four components a-d below)

Data source	Aggregation
Country-level data (self-reporting by providers of development co-operation)	Developing country, co-operation provider, global: total of numerators divided by total of denominators

Baseline	Proposed target for 2015
2010 (78 countries): 49%	Country target depends on score for indicator 9a above (quality of PFM systems): • Reduce the gap by two thirds – a two-thirds reduction in % of development co-operation funding not using country PFM and procurement systems for countries with a score of >=5 on indicator 9a • Reduce the gap by one third – a one-third reduction in % of development co-operation not using country PFM and procurement systems for countries with a score between 3.5 and 4.5 on indicator 9a Rationale: based on the logic underpinning the Paris Declaration target (though procurement is now one of the four components of country systems included in the indicator, rather than being subject to a separate target)

<table>
<tr><td colspan="2" style="text-align:center">Aid is untied
Indicator 10. Percentage of aid that is fully untied</td></tr>
<tr><td colspan="2">**Relevant Busan commitment**</td></tr>
<tr><td colspan="2">"Pursuant to the Accra Agenda for Action, we will accelerate our efforts to untie aid." (§18e)</td></tr>
<tr><td>**Indicator construction**</td><td>**Measure**</td></tr>
<tr><td>Numerator: Amount of untied ODA

Denominator: Total ODA</td><td>Same as Paris Declaration indicator 8

% of ODA that is fully untied

For detailed definitions, see OECD (2013)[11]</td></tr>
<tr><td>**Data source**</td><td>**Aggregation**</td></tr>
<tr><td>Existing international data source: self-reporting on tying status by providers of development co-operation through the OECD-DAC Creditor Reporting System</td><td>Developing country, co-operation provider, global: total of numerators divided by total of denominators</td></tr>
<tr><td>**Baseline**</td><td>**Proposed target**</td></tr>
<tr><td>2009 (all bilateral ODA): 79%</td><td>Continued progress over time

Rationale: Paris target</td></tr>
</table>

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[11] OECD (2013), Converged statistical reporting directives for the creditor reporting system (CRS) and the annual DAC questionnaire, 11 June, DCD/DAC(2013), available online at: http://www.oecd.org/dac/stats/methodology.htm

ANNEX III – QUESTIONS AND DEFINITIONS TO GUIDE DATA COLLECTION AT COUNTRY LEVEL

This annex provides advice to assist developing country authorities in collecting the data and to enable providers of development co-operation and other stakeholders to engage in the process. It includes guiding questions to support data collection for each indicator using country-level sources of information as well as detailed definitions for key concepts to ensure accurate reporting.

This annex does not include information on indicators 4, 9a and 10, which are assessed through existing international reporting mechanisms.

More specific and detailed questions and answers related to all aspects of implementing the Global Partnership monitoring framework can be found under the "Frequently Asked Questions" of the monitoring section the Global Partnership community space (see Helpdesk on page 11).

GENERAL DEFINITIONS

Development co-operation transactions to be recorded	Development co-operation funding includes all transactions undertaken with the promotion of economic development and welfare as the main objective. This includes Official Development Assistance (ODA), as defined in OECD-DAC Statistical Directives (OECD, 2013)[12], including grants or loans to developing countries which are concessional in character (if a loan, having a grant element of at least 25%). In addition, developing countries are encouraged to also include non-concessional official development flows, defined as development co-operation funds coming from bilateral or multilateral official sources – provided that the main objective is the promotion of economic development and welfare.
Development co-operation transactions NOT to be recorded	The following official transactions are excluded from the scope of the Global Partnership monitoring framework and should not be recorded: • transactions made to beneficiaries that are not based in the country receiving development co-operation funding or to regional organisations that cannot be identified at country level; • debt reorganisation/restructuring; and • emergency and relief assistance.
Effective development co-operation (EDC) principles / commitments	Since 2002, the international community has been working together in refining a common set of principles and commitments focused on how to strengthen the effectiveness of development co-operation. These principles build on a range of international efforts since the Monterrey Consensus (2002), the Rome Declaration on Harmonisation (2003), the Paris Declaration on Aid Effectiveness (2005), the Accra Agenda for Action (2008), the Busan Partnership agreement (2011), the Mexico High-Level meeting Communiqué (2014) and the Addis Ababa Action Agenda (2015). For the purposes of this Second Monitoring Round, please refer the list of commitments and indicators described on page 5.

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[12] This monitoring exercise uses the current ODA definition (detailed definitions available in OECD-DAC Statistical Directives (OECD, 2013), available online at: http://www.oecd.org/dac/stats/methodology.htm). The OECD/DAC's current work to modernise the definition of ODA will only take effect from 2018 on (more information available at: http://www.oecd.org/dac/financing-sustainable-development/understanding-development-finance.htm).

Disbursements	A disbursement is the placement of resources at the disposal of a country as defined above (see development co-operation transactions). Resources provided in-kind should only be included when the value of the resources have been monetised in an agreement or in a document communicated to government.
	Where development co-operation funding is provided to the country as part of a provider of development co-operation's regional (multi-country) programme and it is possible to identify those activities and disbursements that are specific to that developing country, these disbursements should also be recorded.
	In order to avoid double counting in cases where one provider of development co-operation disburses funds on behalf of another, it is only the provider who makes the final disbursement to the government who should report on these funds. The only exception to this is Q^p14, against which providers should record total development co-operation funds channelled through other providers (in the case of delegated co-operation, funds provided through multilateral organisations at the country level or multi-donor trust funds administered by another provider).
Disbursements for the government sector	Development co-operation funding disbursed in the context of an agreement with administrations (ministries, departments, agencies or municipalities) authorised to receive revenue or undertake expenditures on behalf of central government. This includes works, goods or services delegated or subcontracted by these administrations to other entities such as: • non-governmental organisations (NGOs); • semi-autonomous government agencies (*e.g.* parastatals), or; • private companies. For the purpose of reporting against indicators 5a (annual predictability), 6 (aid on budget) and 9b (use of country PFM and procurement systems), development co-operation funding focuses on disbursements for the government sector.
Exchange rates	Reporting should be made in US Dollars. A table of exchange rates is provided in the monitoring section of the Global Partnership community site.
Multi-stakeholder dialogue	A policy process or development initiative that brings together two or more stakeholder groups (government, providers of development co-operation, CSOs, private sector, etc.), in order to establish a dialogue on matters of interest for the different parties, and on the basis of equality among the stakeholders. In the context of the Monitoring Framework, it includes multi-stakeholder dialogues oriented towards sparking a discussion on the situation of a specific policy issue in the country (e.g. civil society engagement related to indicator 2, or public-private dialogue related to indicator 3). It also includes broader multi-stakeholder dialogue meetings aimed at validating data and/or discussing around the country-level findings of the monitoring process.
Provider of development co-operation	A provider of development co-operation is a country, organisation or official agency –including national and subnational development co-operation agencies, as well as multilateral development institutions– that provide development co-operation funding. Under this standard definition, development non-governmental organisations (NGO, foundations, CSOs and private companies are not considered providers of development co-operation, even when they implement programmes funded by providers of development co-operation. A pilot testing exercise to integrate these development actors will be carried out in a number of countries participating in the Second Monitoring Round to ensure the adequacy of the current monitoring framework for these increasingly important actors. Notes: i. Data concerning providers of development co-operation that have different entities (agencies of distinct programmes) should be combined[13]. ii. In order to avoid double counting in cases where one provider of development co-operation disburses funds on behalf of another provider – bilateral or multilateral, it is **only** the provider of development co-operation who makes the final disbursement to the government that should report on these funds.

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[13] UN agencies are encouraged to report individually at country level. However, for the purpose of the Global Partnership monitoring efforts, only combined reporting from ALL UN agencies should be included in the data submission tool. Results at the global level will be presented under a single heading: "United Nations", with the exception of IFAD.

Reporting year of reference	The reporting year of reference is **_the latest fiscal year of the developing country_** for which there is information available on relevant aspects of development co-operation.
	This also means that all data from providers of development co-operation is expected to be provided according to the developing country government's fiscal year.
	In developing countries where the fiscal year differs from the calendar year, and where monitoring data is easily available through existing systems, governments may wish to complement fiscal year data with calendar year data. While this would remain optional, it would contribute to facilitate aggregation and comparability of data.
	Note that for most indicators, the reporting year of reference is likely to be 2014 (or the fiscal year ending in 2014 or 2015).

Note: This is a new indicator. The proposed methodology was developed against the lessons learnt from piloting a previous approach in eight countries during the Global Partnership's 2013-14 monitoring round, and through follow-up consultation rounds with groups of experts on results framework and development planning in developing countries and providers of development co-operation.

What does the indicator measure?

This indicator seeks to measure the extent to which, and the ways in which, transparent, country-led results frameworks (CRFs) and other similar country/sector planning tools are used by all concerned stakeholders to plan development co-operation efforts and assess their performance. In particular, the methodology assesses the degree to which providers of development co-operation rely on objectives and results indicators drawn from existing (often sector-level) results frameworks[14] that reflect the country's development priorities and goals, and minimise the use of additional and parallel frameworks by providers of development co-operation.

The focus is on all newly-approved development interventions[15] in the country, equal to or above US$ 1 million[16]. Regarding the extent of use of existing operational CRFs in designing their interventions, the indicator measures the extent of use of objectives and results indicators drawn from existing operational CRFs, often formulated in results frameworks and planning documents at the sector level. Regarding the reporting on development results, the indicator measures the extent of use of results indicators being monitoring and tracked by the government on a regular basis using its own monitoring systems (i.e. in contrast with project-driven / project-specific indicators).

Finally, to better understand the country context in terms of priority-setting mechanisms, a guided question[17] focuses on describing the country's existing arrangements to set sector priorities, goals and targets.

Measuring the alignment of providers' new development interventions to country priorities in terms of intervention design and type of results reporting provides relevant indication of substantial and sustained use of country-owned results frameworks by providers.

Data collection and validation process

Data collection focuses on the portfolio of new development interventions/projects approved during 2015 (for approvals equal to or above USD 1 million[18]), and the information is aggregated at the provider- and country levels.

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[14] The focus on sector-level results frameworks is based on empirical observation as well as on feedback from developing country experts, for it is often at sector level where development priorities are operationalised into meaningful results indicators. That said, the methodology allows for also relying the assessment of use of indicators set by the government at the national and sub-national levels where this is relevant according to the project's objectives.

15 By focusing only on interventions that have been recently approved in the year of reference (i.e. in 2015), the indicator aims at reporting on the most recent behaviour of providers (avoiding reporting on projects that were designed in previous years).

16 Smaller interventions, technical co-operations and grants often support intermediate activities that are meant to complement other larger development efforts or government programs

17 Guiding questions based on other results-based management diagnostics tools will help focus the responses on key characteristics of country-level priority-setting arrangements. National coordinators are also invited to rely on the evidence facilitated by providers for sub-indicator (1a) to prepare the response.

[18] By focusing on interventions (equal to or above USD1 million), the indicator avoids overburdening national coordinators and providers in the data collection effort while still capturing a representative sample of providers' current practices (i.e. the largest portion of development co-operation financing flows). Simulations with data on interventions approved for 2015 in countries that have expressed interest in participating in the 2015-2016 Monitoring Round estimated a manageable average number of projects being assessed in each country.

The national co-ordinator is responsible for the overall data collection and validation process, with inputs from providers' country offices. If needed national co-ordinators are also invited to liaise with other colleagues from relevant government institutions/line ministries. Data can be drawn from the country's aid management systems, whenever that is possible.

Overall, this methodological approach ensures comparative consistency across countries and within each country, and across providers of development co-operation, generating evidence that could both serve for incentivising greater focus on results that meet developing countries' priorities; for better understanding the context for strategic planning in the country; and for helping identify areas where institutional strengthening could be most helpful.

QUESTIONS TO BE INTEGRATED IN COUNTRY-LEVEL DATA COLLECTION PROCESS

■ **PROVIDER OF DEVELOPMENT CO-OPERATION –** For all your new interventions (programmes/projects) above US$1 million approved during 2015 in the country, please provide the following information to the government's national co-ordinator. Please use the data submission tool indicated by the national co-ordinator or the focal point for providers in the country.

Q^{P}1. What is the approved amount for the intervention (USD)? _____

Q^{P}2. When was the intervention approved (month and year)? _____

Q^{P}3. What is the type of intervention? _____ (Note: options offered in the data submission tool)

Q^{P}4. Who will lead the implementation of the intervention? _____ (Note: options offered in the data submission tool)

Q^{P}5. What is the sector that the intervention targets? ____ (Note: if multi-sectoral, mark up to three options)

Q^{P}6. Where have the project's objectives and topics of intervention been drawn from? _____ (Note: options offered in the data submission tool)

Q^{P}7. How many results indicators[19] are included in total in the intervention's results framework or logical framework? _____

Q^{P}8. From these, how many results indicators draw on results indicators included in existing government results frameworks, plans and strategies? _____

Q^{P}9. How many results indicators will be reported using ongoing sources of information directly provided by existing government monitoring systems or national statistical services? _____ (i.e. no intervention-specific indicator sources)

Q^{P}10. Is there an ex-post (final) evaluation planned at project closing to measure the impacts of the intervention? If so, who will finance the evaluation? _____

Note for Qp6, Qp8 and Qp9: Please use the comments boxes to provide further details/explain the reported results.

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[19] Output and outcome indicators are typically included within the broad definition of *results indicators*. For the purposes of this survey please focus 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).

Before submission to the national co-ordinator: In submitting the information to the national co-ordinator, please provide underlined electronic links (preferably) or attached documents as means of verification for your estimates. In particular, link or attach: (i) the *appraisal/approval documents* for all the new interventions approved in 2015 and reported in the data submission platform; (ii) any referred *government planning document* that contains the country-led results frameworks that supported your estimate on the extent of use of national/sector results frameworks.

■ **GOVERNMENT –** In order to provide a response to the following questions, please gather and validate the information submitted by each development co-operation provider that approved new interventions/projects in the country during 2015, liaising with other government counterparts as needed/if needed. Please verify that the list of interventions (i.e. programmes/projects) submitted by the providers is complete (see box above). Refer to the specific section for Indicator 1 in the Global Partnership data submission tool to automatically generate the data to answer the questions in the section 1.a (below).

1.a.) EXTENT OF USE OF COUNTRY-OWNED RESULTS FRAMEWORKS BY PROVIDERS OF DEVELOPMENT CO-OPERATION

For all interventions (programmes/projects) above US$ 1 million approved during 2015
by all development co-operation providers:

Q^g1. What is the share of new interventions that draw their objectives/development focus from government-led results frameworks, plans and strategies? *(i.e. percentage of all new interventions with aligned objectives/focus to government results frameworks and planning documents)*

Answer: ____

Q^g2. What is the share of results indicators included in the interventions' results framework/logical framework that draw on results indicators from existing government-led results frameworks, plans and strategies? (i.e. Q^p8/ Q^p7)

Answer: ____

Q^g3. What is the share of results indicators that will rely on sources of data provided by existing country-led monitoring systems or national statistical services? ? (i.e. Q^p9/Q^p7)

Answer: _____

Q^g 4. What is the share of new interventions that plan a final (ex post) evaluation supported by the government? ? *(i.e. percentage of all new interventions with a final ex post evaluation with government support)*

Answer: _____

1.b.) COMPLEMENTARY QUESTION FOR THE ASSESSMENT OF COUNTRY CONTEXT

Q^g1b. Briefly describe the main characteristics of the country's national/sector results framework or alternative similar priority-setting mechanisms that the country uses to set development goals and targets.

Answer: _____ (max. 500 words)

Guiding questions:
  a. *Is there a legal framework (law or decree) that regulates how the country sets its development priorities and results at the national and sector levels? If not explicit in a law, how does it operates in practice?*
  b. *How are institutional responsibilities for setting priorities and monitoring on results allocated within the government, and particularly at the sector level (formally and in practice)?*
  c. *Are these priorities and results typically defined in detail at the national level (e.g. national development plan) or at the sector/line ministry (e.g. sector strategies and plans)?*
  d. *Has the country reached a stage in which budget allocations are largely guided by these priorities and results? If not, how would you describe the current situation?*
  e. *Are other non-government stakeholders (parliament, providers, private sector, civil society, trade unions, subnational entities) engaged in the definition of the country's priorities, goals and targets? If so, what are the mechanisms of engagement? (Tip: review the feedback and responses related to Indicators 2 and 3 to report on this dimension)*
  f. *How are providers engaged in helping define and in strengthening the government's results framework/s or alternative priority-setting mechanisms? (Tip: review the information collected from providers for indicator 1a to report on this dimension)*
  g. *How do the targets included in the country-led results frameworks relate/will relate in the future with the agreed Sustainable Development Goals?*

In addition, if any of the following government documents exist, national co-ordinators are invited to check the relevant boxes and provide the relevant electronic links to these documents:

☐ Long-term vision document for the country that goes beyond the government's mandate (typically for 10 years or more)

☐ Mid-term national development plan or government plan for the country (typically for 4-6 years)

☐ Medium-Term Expenditure (or Budget) Framework (METF)

☐ Sector programmes or strategies in any of the following sectors (currently being use for sector planning):

☐ Transport   ☐ Education   ☐ Healthcare   ☐ Public Finance

☐ *Common Results Frameworks* agreed between the Government and providers of development co-operation

☐ Joint Government/Multi-Donor Programme, Compact or Facility

MEASUREMENT OF THE INDICATOR

Reporting on indicator 1a will provide two different perspectives:

- The first perspective will offer a ***provider profile,*** reporting on the three dimensions of use of CRFs described above (i.e. objectives, results indicators, sources of information for tracking progress). The information for these three dimensions will be kept disaggregated, and complemented by other contextual information[20].
- The second perspective will present a ***country profile,*** reporting on the extent of use of CRFs by providers of development co-operation across government sectors, for the three dimensions described above. The information will provide an assessment of current practices in specific sectors, and also help development partners identify potential areas of strengthening. This *country profile* will be incorporated to the country summary sheets, complemented with the contextual information provided by indicator 1b (see below).

Country context (1b). The narrative information captured throughout section 1b will provide a brief contextual information on the country's existing institutional arrangements for setting priorities and targeting results. The narrative will be generated on the basis of the descriptive information gathered throughout the complementary question (Q^g1b), the reported existence of different types of planning instruments used by the government, and the complementary evidence at the sector level on providers' collective behaviour identified during the data gathering process for indicator (1a).

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.
	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-multidonor 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 providers, are not considered CRFs.
Ex-post (final) evaluation	Ex post (or final) evaluations are assessments carried out at the end of the intervention, generally focused on measuring whether the intended outcomes or impacts were achieved. 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.
	In contrast, ex ante evaluations are carried out before the implementation stage. They are often used to inform the design of the intervention (e.g. formative evaluations, needs assessment, evaluability assessments) and/or to assess its value added (e.g. economic evaluations, such as cost-

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[20] The table will provide information on some contextual factors that may have an influence on the results of this indicator. Among others, the type of interventions in providers' current portfolio, or the current level of development of CRFs in partner countries may affect the extent of use of country-led results frameworks.

	benefit analyses).
Joint Government/Multi-Donor Programme, Compact or Facility	Multiple forms of government-donor coordination frameworks have emerged since the Paris Declaration, generating related results frameworks, programmes or facilities that align development co-operation efforts with government-led development priorities.

Examples of different types of joint Government/Multidonor coordination arrangements include Samoa's Joint Commitment for Development, Somalia's Development and Reconstruction Facility (and its Joint Sector Programmes), Bolivia's Joint Action Plan for Improving Public Financial Management, or the integrated Joint Donor Coordination Council in Afghanistan. |
Long-term vision	Long-term vision plans set the longer-term perspective (typically for more than 8-10 years) and development objectives for the country and therefore represent the overarching framework for all Government activities.
Medium-Term Expenditure (or Budgetary) Framework (METF/MBTF)	Medium-term Expenditure Frameworks (METF), also known as Medium-term Budgetary Frameworks (MTBFs), are defined as those fiscal arrangements that allow governments to extend the horizon for fiscal policy-making beyond the annual budgetary calendar. Although the approval of the annual budget law remains the key step in which important decisions on budgetary policy are adopted, most fiscal measures have budgetary implications that go well beyond the usual yearly budgetary cycle. As a result, a single year perspective provides a poor basis for sound fiscal planning. METFs/MTBFs usually cover the preparation, execution, and monitoring of multi-annual budget plans and contain both expenditure and revenue projections as well as the resultant budget balances
National development strategies	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.
National statistical systems	The national statistical system includes all the statistical organisations and units within a country that jointly collect, process and disseminate official statistics on behalf of the national government.
Programme-based approaches	Programme-based approaches are a way of engaging in development co-operation based on the principles of co-ordinated support for a locally owned programme of development, such as a national development strategy, a sector programme, a thematic programme or a programme of a specific organisation. Programme-based approaches share the following features: i) leadership by the host country or organisation; ii) a single comprehensive programme and budget framework; iii) a formalised process for donor-coordination and harmonisation of procedures for reporting, budgeting, financial management and procurement; iv) efforts to increase the use of local systems for programme design and implementation, financial management, monitoring and evaluation.

Providers of development co-operation can support and implement programme-based approaches in different ways and across a range of modalities, including budget support, sector budget support, project support, pooled arrangements and trust funds. |
| 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. While the broad definition of results indicators include outputs, outcomes and impacts, For the purposes of this survey please focus 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).
Sector-wide Approach (SWAp)	Sector-Wide Approach (SWAp) is an approach to international development that brings together governments, donors and other stakeholders within any sector. It is characterized by a set of operating principles rather than a specific package of policies or activities. The approach involves movement over time under government leadership towards: broadening policy dialogue; developing a single sector policy and a common realistic expenditure program; common monitoring arrangements; and more coordinated procedures for funding and procurement.

CIVIL SOCIETY OPERATES WITHIN AN ENVIRONMENT THAT MAXIMISES ITS ENGAGEMENT IN AND CONTRIBUTION TO DEVELOPMENT

Indicator 2. CSO Enabling Environment Assessment

Note: This is a new indicator. The proposed methodology was developed through consultation rounds with experts on CSO enabling environment and CSO development effectiveness from developing country governments, civil society and providers of development co-operation.

What does the indicator measure?

This indicator seeks to assess the extent to which governments and providers of development co-operation contribute to an enabling environment for CSOs (BPa §22a), and to which CSOs are implementing development effectiveness principles in their own operations (BPa §22b). It is structured around four modules: (1) space for multi-stakeholder dialogue on national development policies; (2) CSO development effectiveness: accountability and transparency; (3) official development co-operation with CSOs; and (4) legal and regulatory environment. The qualitative questions included in each module draw on the work of the CPDE Working Group on CSO enabling environment and the Task Team on Enabling Environment and Development Effectiveness (module 1 and 4), the Istanbul Principles for CSO Development Effectiveness and the International Framework for CSO Development Effectiveness (module 2), and the OECD-DAC 12 Lessons for Partnering with Civil Society (module 3). This indicator is primarily built to provide a useful tool to spark multi-stakeholder dialogue at the country level among governments, CSOs and providers, to identify progress as well as room for improvement in CSO enabling environment and CSO development effectiveness.

Data collection and validation process

The national co-ordinator, in liaison with colleagues from relevant government institutions/ministries[21], co-ordinates the overall data collection and validation process. Where possible, the national co-ordinator is encouraged to use existing in-country platforms to support the process, and to coordinate with the Global Partnership Initiative 12 — one of the 39 voluntary initiatives agreed in the GPEDC's 2014 Mexico Communiqué to foster country-level multi-stakeholder dialogue on civil society-related commitments on key areas of democratic and social inclusiveness. In order to facilitate the process and to ensure an inclusive approach, the national co-ordinator is invited to liaise with a focal point from civil society organisations and a focal point from providers to fill the questionnaire. The national co-ordinator is encouraged to (1) convene a multi-stakeholder dialogue to kick-off the process, (2) seek CSOs and providers' feedback on the questionnaire (CSO and provider focal points are invited to carry out consultations with their respective constituencies, and to provide consolidated feedback to the national co-ordinator) and (3) re-convene a multi-stakeholder dialogue at the end of the process to jointly discuss and validate the findings, before sending them to the JST. To the extent possible, the national co-ordinator will seek consensus in the responses. Where agreement between stakeholder groups is not reached, focal points are invited to flag any diverging view to the national co-ordinator. In those cases, the level of agreement of each stakeholder group regarding the responses compiled by the national co-ordinator will be registered in a table attached to the questionnaire (1. Question #; (2) Agree / Partially Agree / Disagree; (3) Comment).

Given that Indicator 2 is characterised by a relatively lengthy questionnaire[22] and that the data collection and validation process will entail active participation of multiple stakeholders, developing country governments can decide, on a case-by-case basis, to use the services of a consultant and/or think tank to support the process. The intervention of such a third-party entity could help avoid overburdening the national co-ordinator and ensure that the process enables a neutral and balanced assessment which effectively captures all stakeholders' views. In such cases,

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[21] The national co-ordinator can decide to engage colleagues from relevant central or line ministries working in relations to CSOs, and will be expected to liaise with the parliament focal point designated at country level for the whole monitoring process.

[22] The second monitoring round will provide an opportunity to further simplify the survey tool in subsequent monitoring rounds.

the national co-ordinator is invited to inform the JST, who will, to the extent possible, facilitate the process through technical support (e.g. making available standard terms of reference, providing a list of possible consultants, providing technical guidance to steer the consultant's work, etc.).

■ **GOVERNMENT** (in consultation with providers of development co-operation and civil society organisations) [Q^{g+}]

Note: A definition for terminology marked with the symbol "*" is provided in the definitions table located after the questionnaire.

MODULE 1. Space for multi-stakeholder dialogue on national development policies

Q^{g+}1. Are CSOs consulted by the government in the design, implementation and monitoring of national development policies? (Yes/No) *(max. 300 words)*

If <u>YES</u>: please describe how.

Guiding questions:
- a. *Are multi-stakeholder consultation processes institutionalised*, inclusive and accessible?*
- b. *Do these consultation processes take place at national and/or local levels?*
- c. *Are there feedback mechanisms demonstrating how different stakeholders' inputs have been taken into account?*
- d. *Are traditionally marginalised groups* included in these processes? Do these processes allow for equal and active participation?*

If <u>NO</u>: are you aware of any initiative to promote such consultation?

Q^{g+}2. Do CSOs have the right to access government information? (Yes/No) *(max. 300 words)*

If <u>YES</u>: please describe how.

Guiding questions:
- a. *Is the information timely? Is the information relevant (i.e. addresses key information needs)?*
- b. *Is this access guaranteed by law? Is this access guaranteed in practice (i.e. there are operational mechanisms in place to address requests for legally-disclosed information and to appeal on request denials)?*

If <u>NO</u>: are you aware of any initiative to promote information access?

Q^{g+}3. Are there resources and/or training opportunities for addressing capacity building of all stakeholders (including government, CSOs and co-operation providers) to engage meaningfully in multi-stakeholder dialogue? (Yes/No) *(max. 300 words)*

If <u>YES</u>: please describe them.

Guiding question:
- a. *Are these adequate?*

If <u>NO</u>: are you aware of any initiative to promote such capacity building?

MODULE 2. CSO development effectiveness*: accountability and transparency

Q^{g+}4. In practice, are there CSO-managed processes in place to address transparency and multiple accountabilities in CSO operations*? (Yes/No) *(max. 300 words)*

If <u>YES</u>: please describe them.

Guiding questions:
  a.   *Which level of accountability do they address (accountability to donors, governments, constituencies)?*
  b.   *What proportion of CSOs participate in these mechanisms?*
  c.   *How do CSOs certify that they are in compliance with an accountability mechanism?*

If <u>NO</u>: are you aware of any initiative to promote the creation of such accountability mechanisms?

Q^{g+}5. Do CSO-initiated coordination processes exist to facilitate consolidated and inclusive CSO representation in policy dialogue (e.g. umbrella organisation, CSO network, consultation practices)? (Yes/No) *(max. 300 words)*

If <u>YES</u>: please describe them.

If <u>NO</u>: are you aware of any initiative to promote the creation of such processes?

Q^{g+}6. Do mechanisms exist to facilitate coordination on programming among CSOs (collaboration to optimise impact and avoid duplication), and with other development actors? (Yes/No) *(max. 300 words)*

If <u>YES</u>: please describe them.

Guiding questions:
  a.   *At what level (e.g. sector level or more broadly) do these mechanisms exist?*
  b.   *Are these mechanisms institutionalised*, inclusive and accessible?*

If <u>NO</u>: are you aware of any initiative to promote the creation of such mechanisms?

Q^{g+}7. Are there other significant initiatives related to CSO development effectiveness principles [Istanbul Principles* and the International Framework for CSO Development Effectiveness*] being implemented at the country level? (Yes/No) *(max. 300 words)*

If <u>YES</u>: please describe how.

Guiding questions:

a.   *In what ways are CSOs working to improve their practices in relation to particular areas of development effectiveness (gender equality and women's rights, human rights based approaches, sustaining equitable partnerships) as set out in the Istanbul Principles*?*

If <u>NO</u>: are you aware of any initiative to promote such discussion?

Q^{g+}8. Do CSOs report annually to government on the basic finances, sectors of support, and main geographic areas of involvement in development? (Yes/No) *(max. 300 words)*

If <u>YES</u>: please describe how.

If <u>NO</u>: are you aware of any initiative to promote such reporting?

MODULE 3. Official development co-operation with CSOs

Q^{g+}9. Do providers of development co-operation* consult with CSOs on their development policy/programming in a systematic way? (Yes/No) *(max. 300 words)*

If <u>YES</u>: please describe how.

Guiding questions:
   a.   Are consultation processes institutionalised* inclusive and accessible?
   b.   Are there feedback mechanisms demonstrating how CSOs' inputs have been taken into account?
   c.   Do consultations take place at relevant levels (i.e. providers' headquarters, country offices)?

If <u>NO</u>: are you aware of any initiative to promote such consultation?

Q^{g+}10. Are providers promoting a CSO enabling environment in their co-operation with civil society? (Yes/No) *(max. 300 words)*

If <u>YES</u>: please describe how.

Guiding questions:
   a.   Through a civil society policy:
         i.   Do providers have an overarching civil society policy?
         ii. If so, does it explain the purpose and modalities of supporting civil society and working with CSOs?
   b.   Through financing mechanisms:
         i.   Do providers offer a mix of funding mechanisms that balance support to CSO-defined objectives (CSO "right of initiative"*) with complementary objectives defined by development co-operation recipient and provider country governments?
         ii. Is CSO funding reliable, transparent, easy to access, and disbursed impartially?
   c.   In their administrative requirements:
         i.   Are transaction costs for CSOs minimised?
         ii. Are administration and reporting requirements strategic, standardised, and, where possible, harmonised across providers?

If <u>NO</u>: are you aware of any initiatives from providers to further engage in the promotion of CSO Enabling environment?

Q^{g+}11. Is the promotion of a CSO enabling environment an agenda item in providers' policy dialogue with partner governments? (Yes/No) *(max. 300 words)*

If <u>YES</u>: please describe how.

Guiding questions:
   a.   Does this dialogue include discussion on appropriate legal frameworks for a free, open and capable civil society?
   b.   Does this dialogue include encouragement of CSO engagement in policy processes?

If <u>NO</u>: are you aware of any initiatives from providers to further position the promotion of CSO enabling environment in their policy dialogue?

Q^{g+}12: Do providers share information on their CSO support with the government? (Yes/No) *(max. 300 words)*

If <u>YES</u>: please describe how.

If <u>NO</u>: are you aware of any initiative to improve information sharing?

MODULE 4. Legal and regulatory environment

Q^{g+}13. Is there a recognition of and respect for CSO freedom (association, assembly and expression), in the Constitution and more broadly in policy, law and regulation? (Yes/No) *(max. 300 words)*

If <u>YES</u>: please describe how.

If <u>NO</u>: are you aware of any initiatives to increase such recognition and respect?

Q^{g+}14. Is the legal and regulatory environment enabling for CSO formation, registration and operation? (Yes/No) *(max. 300 words)*

If <u>YES</u>: please describe how.

If <u>NO</u>: are you aware of any initiatives to make the legal and regulatory environment more enabling for CSOs?

Guiding questions:
  a. *Can CSOs operate without being required to form a legal entity?*
  b. *Is there an enabling law on CSO registration, and in practice are CSOs able to easily register?*
  c. *Are the grounds for denial of registration and for de-registration clear, with recourse mechanisms, including judicial if needed, in place?*
  d. *Are CSOs by law and in practice able to pursue a broad-range of self-defined objectives, including human rights and good governance?*
  e. *Are CSOs enabled by law and practice to regulate their internal governance and affairs?*
  f. *Are CSOs protected from unwarranted interference* with their privacy and activities?*
  g. *Do policies and practices relating to CSOs at the country level proactively promote the improvement of enabling conditions and maximising CSO roles in development?*
  h. *Are there any legal, regulatory, policy or political barriers that limit the possibility of marginalised* individuals to participate in, join, and operate CSOs?*

Q^{g+}15. Does the legal and regulatory environment facilitate access to resources for CSOs? (Yes/No) *(max. 300 words)*

If <u>YES</u>: please describe how.

Guiding questions:
  a. *Are there legal, regulatory, policy, or practical barriers for CSOs to seek, secure, and use resources (financial, material, and human), including foreign resources?*
  b. *Are there legal or policy permissions and incentives* to promote local resource mobilisation and financial sustainability among CSOs?*
  c. *Where developing country governments fund CSOs, is this funding reliable, transparent, easy to understand, and disbursed impartially?*

If <u>NO</u>: are you aware of any initiatives to improve access to resources for CSOs?

Q^{g+}16. Does the legal and regulatory environment marginalise certain groups*? (Yes/No) *(max. 300 words)*

If <u>YES</u>: please describe how.

Guiding questions:
  a. *Are there CSOs representing particular groups that receive less favourable treatment due to their specific mandate or activities under the legal and regulatory environment, and in practice?*
  b. *Are these organisations able to carry out their mandates (such as social dialogue with trade unions)?*

If <u>NO</u>: are you aware of any initiatives to improve the legal and regulatory environment for such marginalised groups?

MEASUREMENT OF INDICATOR

The questionnaire responses offer detailed qualitative information at the country level regarding the environment in which civil society organisations operate as well as the extent to which CSOs are engaged in development process and enabled to contribute in an effective way.

Given the context-assessment approach of this indicator, measurement at the global level will identify cross-cutting and specific challenges in enabling CSO engagement in development, and in identifying common patterns in those country cases that experienced positive transformations of CSO engagement –as to promote peer learning and greater focus on the factors that emerge from the analysis[23] as most relevant conditions for making country-level progress in strengthening CSO engagement.

This monitoring round will provide the baseline scenario at the country level. Further monitoring rounds will allow tracing trends in terms of progress in strengthening the enabling environment for CSOs, and in refining and further simplifying the questionnaire into the key factors driving change across countries.

DEFINITIONS

Civil Society Organisations	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 (OECD-DAC/Better Aid, 2009)
CSO development effectiveness *also* Istanbul Principles *also* International Framework on CSO Development Effectiveness	CSO development effectiveness principles (also known as the Istanbul Principles for CSO Development Effectiveness) were agreed upon at the Open Forum's Global Assembly in Istanbul, September 28 -30, 2010. These Principles are the foundation of the Civil Society Partnership for Effective Development (CPDE)'s *International Framework on CSO Development Effectiveness,* which introduces and operationalizes the *Istanbul Principles.* These Principles are meant to guide the work and practices of civil society organisations in both peaceful and conflict situations, in different areas of work from grassroots to policy advocacy, and in a continuum from humanitarian emergencies to long-term development. According to these principles, CSOs are effective as development actors when they: (1) Respect and promote human rights and social justice, (2) Embody gender equality and equity while promoting women and girl's rights, (3) Focus on people's empowerment, democratic ownership and participation, (4) Promote Environmental Sustainability, (5) Practice transparency and accountability, (6) Pursue equitable partnerships and solidarity, (7) Create and share knowledge and commit to mutual learning, and (8) Commit to realising positive sustainable change.
CSO enabling environment	The political, financial, legal and policy context that affects how CSOs carry out their work. (OECD, 2011)
CSO operations	The capacities to govern, implement and assess activities on the part of the CSO, consistent with its mandate.
Enabling law on CSO registration	Includes voluntary registration allowed for any legal, not-for-profit purpose; requiring a small number of founders and/or small amount of assets; based on reasonable, transparent, objective criteria; and providing avenues for judicial or other forms of appeal.

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[23] The JST will use both Qualitative Comparative Analysis (QCA) methods and Principal Component Analisys (PCA) to: (a) identify the key elements in fostering an enabling-environment for effective CSO contributions to development, and (b) estimating the relative weighting and statistical significance of each factor.

Enabling processes/regulations	Includes easy access for all irrespective of location, simple procedure without undue administrative burdens; nominal or affordable fees; timely decision; registration in perpetuity . (CPDE, 2013)
Global Partnership Initiative 12 (GPI-12)	(Formerly "Voluntary Initiative 12") Global Partnership Initiative 12 is one of 39 voluntary initiatives affiliated with global efforts to advance aid and development co-operation effectiveness under the auspices of the Global Partnership for Effective Development Co-operation (GPEDC). GPI-12 addresses the CSO enabling environment framework and guidelines.
Institutionalised processes or mechanisms	Processes or mechanisms are considered institutionalised when they are regular, predictable, transparent, and announced in time to allow participants' preparation.
International Framework on CSO Development Effectiveness	See *CSO development effectiveness*
Istanbul Principles	See *CSO development effectiveness*
Marginalised groups	Although the nature of socio-economic or political marginalization is very country-specific, examples of groups representing groups of marginalised people frequently experiencing different forms of marginalization or exclusion might include trade unions, women's rights organisations, human rights organisations, organisations of indigenous people, environmental or land rights organisations, LGBT organisations, organisations of persons with disabilities, etc. (CPDE, 2013)
Multi-stakeholder dialogue	A policy process or development initiative that brings together two or more stakeholder groups (government, providers of development co-operation, CSOs, private sector, etc.) on the basis of equality among the stakeholders.
Permissions and incentives to promote local resource mobilisation and financial sustainability among CSOs	Legal or policy framework and incentives related to CSOs' income generation for organisational purposes (i.e. restrictions on non-profits), tax exemptions, customs clearance for foreign in-kind goods, incentives for business and individuals to donate, etc.

Right for CSOs to access relevant government information in law and in practice	Right whereby CSOs access information held by public bodies (including other entities that carry out public functions). "Such information includes records held by a public body, regardless of the form in which the information is stored, its source and the date of production." (Art. 19, ¶ 2 of the International Covenant on Civil and Political Rights, ICCPR) As recognised by the UN Human Rights Committee, "To give effect to the right of access to information States parties should proactively put in the public domain Government information of public interest [...] (and) make every effort to ensure easy, prompt, effective and practical access to such information. States parties should also enact the necessary procedures, whereby one may gain access to information, such as by means of freedom of information legislation. The procedures should provide for the timely processing of requests for information according to clear rules that are compatible with the Covenant. Fees for requests for information should not be such as to constitute an unreasonable impediment to access to information. Authorities should provide reasons for any refusal to provide access to information. Arrangements should be put in place for appeals from refusals to provide access to information as well as in cases of failures to respond to requests." (ICPPR, 2011: UN Human Rights Committee, General Comment 34) Governments should classify only those data which are proven to harm national security and other vital interests of the State. Moreover, there should be clear classification criteria and register of classified information, which is both established by law and accessible to everyone. Further, classified data should be subject to regular review and declassified if confidentiality is no longer necessary. (A/HRC/20/17)
Right of initiative	The term refers to the notion of CSOs as development actors in their own right, whose scope and roles in development are distinct from that of governments and aid providers, and are supported based on their own objectives and activities, and not those defined through their relationship with an aid provider.
Unwarranted interference	Interference is unwarranted if it does not meet the standard of Article 22 of the ICCPR: a restriction that is (1) prescribed by law, meaning having a formal basis in the law and precise enough to be able to predict whether a CSO's conduct violates the restriction; and (2) "necessary in a democratic society" in pursuit of limited, enumerated aims ("national security or public safety, public order, the protection of public health or morals or the protection of the rights and freedoms of others"). "Necessary" means the restriction is proportionate and the least intrusive means available to accomplish the legitimate objective of the restriction. (ICNL,2012)

ENGAGEMENT AND CONTRIBUTION OF THE PRIVATE SECTOR TO DEVELOPMENT

Indicator 3. Quality of public-private dialogue index

Note: *This is a new indicator. The proposed methodology builds on tools developed by the World Bank, and was developed through consultation with experts on public-private dialogue.*

What does the indicator measure?

This indicator focuses on the **quality of public-private dialogue** (PPD) at the country level. In doing so, it recognises the importance of inclusive dialogue with the private sector for building a policy environment conducive to growth and sustainable development. The indicator builds on tools developed by the World Bank, and is structured around the three following modules: Module 1. The legal and regulatory context for PPD; Module 2. The country's readiness to host, create or sustain a dialogue process; Module 3. The organisational effectiveness of a given PPD platform. It is conceived as a mix of globally-sourced data (module 1) and of country-sourced data (modules 2 and 3).

Dialogue among interested stakeholders, including discussions within the Building Block on Public-Private Co-operation have confirmed that the monitoring and evaluation framework provided in the Public-Private Dialogue Handbook (B. Herzberg and Wright A., 2006, available online at: www.publicprivatedialogue.org) provides a useful basis for further work on the indicator.

The methodology was adjusted for this indicator, in order to rely on a country-led, multi-stakeholder data gathering process that could ensure transparency and country ownership.

Data collection and validation process

Modules 1 and 2 aim at capturing a snapshot of the enabling environment for PPD at the country level:

Module 1: the JST will draw on country scores from a series of international indices, including the "Public engagement" index from the Open Budget Survey, as well as the "Voice and Accountability", "Rule of Law" and "Control of corruption" indices from the Worldwide Governance Indicators and the "Citizen engagement in rulemaking" index. This information will be facilitated to the national co-ordinator as a source of evidence to inform discussions related to Module 2.

Module 2: The national co-ordinator, in liaison with colleagues from relevant government institutions/ministries[24], co-ordinates the overall data collection and validation process. Where possible, the national co-ordinator is encouraged to use existing in-country platforms to support the process, and to coordinate with the Partnership for Prosperity. In order to facilitate the process and to ensure an inclusive approach, the national co-ordinator is invited to liaise with focal points from the private sector[25], from providers of development co-operation, from trade unions and from civil society organisations to complete the questionnaire. The national co-ordinator is encouraged to (1) convene a multi-stakeholder dialogue to kick-off the process, (2) seek stakeholder feedback on the questionnaire (focal points are invited to carry out consultations with their respective constituencies, and to provide consolidated feedback to the national co-ordinator) and (3) re-convene a multi-stakeholder dialogue at the end of the process to jointly discuss and validate the findings, before sending them to the JST. To the extent possible, the national co-ordinator will seek consensus in the responses. Where agreement between stakeholder groups is not reached, focal

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[24] The national co-ordinator can decide to engage colleagues from relevant central or line ministries working on relations with the private sector, and will be expected to liaise with the parliamentary focal point designated at country level for the whole monitoring process.

[25] The process for selecting focal points is flexible and may be based on existing country arrangements. That said, in selecting the private sector focal point/s, it is advised to identify one focal point that could represent the largest/more dynamic sectors of the economy, and one focal point that could represent the sector/s generating most jobs (e.g. small and medium enterprises, agricultural sectors, service sectors, etc). See the GPEDC terms of reference for private sector focal points for guidance.

points are invited to flag any diverging view to the national co-ordinator. The level of agreement of each stakeholder group regarding the responses compiled by the national co-ordinator will be registered in a table attached to the questionnaire (1. Question #; (2) Agree / Partially Agree / Disagree; (3) Comment).

On an optional basis, the government can decide to assess **module 3**, which looks into the organisational effectiveness of a given PPD platform, by using a shortened version of the World Bank's existing PPD evaluation wheel (more information on Module 3 is available here). Findings emerging from this assessment will primarily serve learning purposes: the JST will draw on them to showcase, in its 2016 global Progress Report, concrete examples and best practices of effective PPD platforms. Given the more in-depth assessment required for this module, it is recommended that interested governments contract a consultant to carry out the assessment. The intervention of such a third-party entity could help avoid overburdening the national co-ordinator and ensure that the process enables a neutral and balanced assessment which effectively captures all stakeholders' views. In such cases, the national co-ordinator is invited to inform the JST who will, to the extent possible, facilitate the process through technical support (e.g. making the available standard terms of reference, providing a list of possible consultants, providing technical guidance to steer consultant's work, etc).

QUESTIONS TO BE INTEGRATED IN COUNTRY-LEVEL DATA COLLECTION PROCESS

■ **GOVERNMENT** (in consultation with representatives from the private sector, providers of development co-operation, trade unions, civil society organisations) [Q^{g+}]

Note: A definition for terminology marked with the symbol "" is provided in the definitions table located after the questionnaire.*

Q^{g+}17. Is the private sector ready and willing to engage and interact with the government?

Answer:
➢ Score: from 0 (weak) to 10 (strong)
➢ Qualitative narrative – 500 words (max)

Guiding questions:
    a. Is the private sector organised in way that is sophisticated and considered legitimate by private sector stakeholders? (organisation)
    b. Does the private sector have the capacity to coordinate and align different groups? (coordination)
    c. What is the private sector's level of power and leverage with respect to public stakeholders? (leadership)
    d. Is the private sector willing to invest time and money in conjunction with public partners? (motivation)
    e. Is there private sector compliance to engage in more attractive business model?
    f. Do business leaders understand the private sector's needs and strategic challenges, not only conducting a political role or a rent seeking activity? (quality of business leaders)
    g. Does the private sector demonstrate motivation and leadership to conduct public-private projects?*

Q^{g+}18. Is the government ready and willing to engage and interact with the private sector?

Answer:
- ➢ Score: from 0 (weak) to 10 (strong)
- ➢ Qualitative narrative – 500 words (max)

Guiding questions:
- a. *Does the government demonstrate generalised trust and understanding of the private sector?*
- b. *Does the government demonstrate political will to engage with the private sector?*
- c. *Does the government understand the private sector's needs and challenges?*
- d. *Is there dedicated public sector leadership assigned to the dialogue process with the private sector?*
- e. *Does the government have the capacity to effectively follow up public-private projects?*
- f. *Is the government willing to adapt institutions and public programs to the evolving needs of the private sector? (reforms)*
- g. *Does the government, in designing and implementing sector driven policies, look for private sector engagement and foster innovation? (Quality of sector driven policies)*
- h. *Is there co-ordination at different public levels regarding specific private sector needs?*

Q^{g+}19. Is there a potential champion who can facilitate the dialogue process, activate political will and reduce the trust gap between public and private sector stakeholders?

Answer:
- ➢ Score: from 0 (weak) to 10 (strong)
- ➢ Qualitative narrative – 500 words (max)

Guiding questions:
- a. *What is the champion's capacity and legitimacy to break conventional wisdom?*
- b. *Does the champion have an understanding of private sector challenges and strategies to overstep them?*
- c. *Are there any new leaders stepping in? (Emergence of new champions)*
- d. *Do different champions complement each other, and coordinate?*

Q^{g+}20. Are logistical, financing and capacity building instruments available to support PPD?

Answer:
- ➢ Score: from 0 (weak) to 10 (strong)
- ➢ Qualitative narrative – 500 words (max)

Guiding questions:
- a. *Are there quality programs and mechanisms to help private sector development?*
- b. *Are there sector specific instruments responding to private sector strategic needs?*
- c. *Do stakeholders have the capacity to support innovative projects used later on as success cases?*
- d. *Is the access to such instruments characterised by a low, medium or high level of bureaucracy?*
- e. *Are available instruments to support different aspects of the same project or private sector strategy complementary?*

MEASUREMENT OF INDICATOR

Similarly to the measurement of indicator 2, Indicator 3 will provide a comparative assessment on the country context and readiness to organise and sustain public-private dialogues (PPDs), building up on the information drawn from module 1 and the country-sourced responses for module 2. Module 3 (optional) will help deepen the analysis through the case studies of specific PPD platforms, which in turn will facilitate peer-learning regarding different PPD approaches, and disseminate best practices and lessons learnt[26].

Given the context assessment approach for this indicator, and on the basis of the quantitative and qualitative data drawn from Modules 1 and 2 for Indicator 3, reporting at the global level will identify cross-cutting and specific challenges in facilitating public-private dialogue at the country level, as a proxy to private sector engagement in development. The analysis will identify common patterns in country cases that experienced increasingly favourable conditions for public-private dialogue, and will spotlight specific PPD platforms. Drawing from the analysis of the qualitative and quantitative information[27], this monitoring round will help identify what the key contributing factors that emerge as preconditions for increased public-private dialogue are.

This monitoring round will provide the baseline scenario at the country level. Further monitoring rounds will allow tracing trends in terms of progress in strengthening public-private dialogue at the country level, and in refining and further simplifying the questionnaire into the key factors driving change across countries.

DEFINITIONS

Partnerships for Prosperity (P4P)	P4P is a multi-stakeholder platform hosted at the International Finance Corporation (IFC) that aims to leverage the role of the private sector to support poverty reduction and sustainable development. In the context of the current development landscape, the private sector, a powerful engine of economic growth, has become an increasingly indispensable development partner. For more information, see Partnerships for Prosperity.
Private sector	The private sector can be defined as "a basic organising principle of economic activity where private ownership is an important factor, where markets and competition drive production and where private initiative and risk taking set activities in motion" (OECD-DAC). The private sector includes a wide range of actors such as domestic and foreign companies, large companies and small and medium size enterprises, professional organisations, intermediary organisations. The assessment of indicator 3 should cover a representative sample of private sector actors, including various groups that play a different role in different sectors and industries of the country's market, from small –scale informal entrepreneurs to foreign multinational corporations. As a guiding criteria in defining the reference sample of "private sector" actors to have in mind when assessing the country context, identifying the largest sectors in the economy – both in terms of relative GDP contribution (e.g. often dominant business actors in export-oriented economic sectors) and employment generation (e.g. often SMEs and/or informal entrepreneurs) – should help focus the discussions around the survey questions.
Public-Private dialogue (PPD)	An engagement mechanism to ensure more inclusive and sustainable policy reforms through a structured and participatory reform process. It refers to the structured interaction between the public and private sector in promoting the right conditions for private sector development, improvements to the business climate, and poverty reduction. Initiatives to promote PPD consist in most cases in establishing a combination of technical working groups, a secretariat and a high-level oversight structure. PPDs are diverse, with a broad scope of activity. For example, they address cross-cutting

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[26] Note that data from module 3 will not be aggregated at the country level in reporting on this indicator. The information will be used to provide assessments/case studies of different types of PPD platforms, for learning purposes.

[27] Again, as in Indicator 2, the JST will use both Qualitative Comparative Analysis (QCA) methods and Principal Component Analisys (PCA) to: (a) identify the key elements associated with stronger country-readiness for public-private dialogue, and (b) estimating the relative weighting and statistical significance of each of these factor.

	investment climate issues as well as sector-specific issues; they can focus on rural or urban, national or sub-national levels. Examples of PPDs include: the Vietnam Business Forum, the Ethiopian Public Private Consultative Forum, the National Competitiveness Council in the Philippines and the National Competitiveness Commission in Colombia. For more information on PPD see www.publicprivatedialogue.org
Public-Private Partnerships *also* Public-Private Projects	There is no one widely accepted definition of public-private partnerships or projects (PPP). PPPs are typically medium- to long-term arrangements between the public and private sectors whereby some of the service obligations of the public sector are provided by the private sector, with clear agreement on shared objectives for delivery of public infrastructure and/ or public services. PPPs typically do not include service contracts or turnkey construction contracts, which are categorized as public procurement projects; or the privatization of utilities where there is a limited ongoing role for the public sector. For more information on PPPs, see World Bank's PPPIRC.
Intermediary organisations	Organisations that serve as intermediaries for the private sector to represent its concerns to the public sector. They may come in many forms (e.g. business membership organisations, chambers of commerce, etc.), and they may be more or less effective at representing their members and providing services.
Multi-stakeholder dialogue	A policy process or development initiative that brings together two or more stakeholder groups (government, providers of development co-operation, CSOs, private sector, etc.) on the basis of equality among the stakeholders.
Civil Society Organisations	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 (OECD-DAC/Better Aid, 2009)

Indicator 5a. Proportion of development co-operation funding disbursed within the fiscal year within which it was scheduled by providers of development co-operation

What does the indicator measure?

This indicator focuses on predictability of development co-operation within a reporting year. In doing so, it recognises that shortfalls in the total amount of funding for the government sector and delays in the annual disbursements of scheduled funds can have serious implications for a government's ability to implement development policies and strategies as planned. This indicator measures the gap between development co-operation funding scheduled by providers of development co-operation and development co-operation funding effectively disbursed as reported by the provider.

This indicator is *not* identical to indicator 7 of the former Survey on Monitoring the Paris Declaration, though it is similar in many ways. It aims to provide a better proxy for predictability of disbursements than the indicator used in the Paris Declaration monitoring framework. In contrast with measurement used in the Paris Declaration Monitoring, data for both the numerator and denominator of the indicator are now sourced from providers of development co-operation. The inclusion of disbursements in the measurement of this indicator no longer depends on the recording of these disbursements by the developing country government in its accounts. Further changes include the reference period, which can now be the developing country's fiscal year.

Data collection and validation process

The national co-ordinator is responsible for the overall data collection and validation process, in liaison with colleagues from relevant government institutions/ministries and with providers' country offices. Where possible, data should be drawn from the country's aid management systems.

QUESTIONS TO BE INTEGRATED IN COUNTRY-LEVEL DATA COLLECTION PROCESS

■ **PROVIDER OF DEVELOPMENT CO-OPERATION**

Q^{P}11. How much development co-operation funding did you disburse at country-level in the reporting year of reference? USD _____

Q^{P}12. How much of this was for the government sector in the reporting year of reference? USD _____

Q^{P}13. How much development co-operation funding for the government sector did you schedule for disbursement at country-level in the reporting year of reference? USD _____

Q^{P}14. For reference purposes only, how much development co-operation funding for the government sector did you disburse through other providers (funds which are not captured in your responses to Q^{P}11 – Q^{P}13 above) at the country level in the reporting year of reference? USD _____

MEASUREMENT OF INDICATOR

When disbursements to the government sector are less than or equal to what was scheduled, disbursements "as scheduled" take the value:

$$Indicator\ 5a_1\ (\%) = 100 \times \frac{Q^p 12}{Q^p 13}$$

Global aggregates for Indicator $5a_1$ are calculated using scheduled disbursements for the government sector as the weighting variable.

When disbursements to the government sector are greater than what was scheduled, disbursements "beyond scheduled" take the value:

$$Indicator\ 5a_2\ (\%) = 100 \times \frac{Q^p 12 - Q^p 13}{Q^p 12}$$

Global aggregates for Indicator $5a_2$ are calculated using actual disbursements for the government sector as the weighting variable.

DEFINITIONS

Development co-operation funding for the government sector scheduled for disbursement	Development co-operation funding scheduled for the reporting year of reference n are considered to have been "scheduled for disbursement" when notified to government within the reporting year of reference n-1; it includes development co-operation funding scheduled for disbursement in agreements entered during year n.

Indicator 5b. Proportion of development co-operation funding covered by indicative forward spending plans provided at country level

What does the indicator measure?

This indicator focuses on medium-term predictability of development co-operation. In doing so, it recognises that lack of comprehensive and credible forward information on development co-operation funding can have serious implications for a government's ability to plan and implement policies and strategies, deliver public services and design and conduct sound macro-economic policy.

This indicator measures whether developing country governments have at their disposal a forward expenditure and/or implementation plan for each provider of development co-operation over the period of the next three years. Such plans must cover all known components of the co-operation provider's country programme. For example, they cover all development co-operation modalities used by that provider (*e.g.* budget support, projects, technical co-operation, in-kind aid) and include estimates of future flows that have yet to be allocated to specific activities or signed in co-operation agreements (i.e. "unallocated" resource envelopes, which will be provided to the developing country, but where the modality/sector/activity of spending has yet to be decided).

Data collection and validation process

The national co-ordinator is responsible for the overall data collection and validation process, in liaison with colleagues from relevant government institutions/ministries and with providers' country offices. Where possible, data should be drawn from the country's aid management systems.

QUESTIONS TO BE INTEGRATED IN COUNTRY-LEVEL DATA COLLECTION PROCESS

■ **GOVERNMENT** – For each provider of development co-operation:

Has the provider of development co-operation made available a comprehensive forward expenditure and/or implementation plan setting out expected development co-operation flows in...

Q^{g}5. Fiscal year ending 2016? (Yes/No) _____

Q^{g}6. Fiscal year ending 2017? (Yes/No) _____

Q^{g}7. Fiscal year ending 2018? (Yes/No) _____

[For all questions if "Yes", report 1; if "No" report 0]

MEASUREMENT OF INDICATOR

Indicator value for provider P in country C

$$Pc = \frac{(Qg5 + Qg6 + Qg7)}{3}$$

For country C for 1, 2 and 3 years ahead (y=1, 2, 3) Cy = average of Qg5, Qg6 and Qg7 respectively across all providers, weighted by the volume of the provider's development co-operation disbursed in the reference year used for question Qp11.

$$C1 = \frac{\sum_{p=1}^{n}(Wp * Qg5)}{n}$$

$$C2 = \frac{\sum_{p=1}^{n}(Wp * Qg6)}{n}$$

$$C3 = \frac{\sum_{p=1}^{n}(Wp * Qg7)}{n}$$

Where W_p = weight assigned to each provider P based on disbursements reported for question Q^p11

$$Wp = \frac{Qp11}{\sum_{p=1}^{n}(Qp11)}$$

Note that using weighted averages is intended to provide an estimate of the scale of resources covered by indicative forward expenditure and/or implementation plans. This reflects the relative importance that a developing country attaches to obtaining forward spending information from a large co-operation provider vis-à-vis a small provider.

The above indicator values for individual providers and for developing countries will serve as a basis for global aggregation.

DEFINITIONS

Forward spending and/or implementation plan	The developing country government should, for every provider of development co-operation participating in the global monitoring process, establish whether or not it holds information on that co-operation provider's forward spending and/or implementation plans in the country.
	The national co-ordinator /reporting entity should consult with ministries or departments responsible for managing development co-operation (typically finance, planning, foreign affairs...) to ascertain whether adequate information has been received from each co-operation provider.
	A forward spending and/or implementation plan meets ALL THREE of the following criteria:
	• Made available by the provider of development co-operation 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).
	• Sets out clearly *indicative* information on future spending and/or implementation activities in the country, including:
	o programmed or committed resources, where the activity and modality is known; and
	o other resources that have yet to be allocated to specific activities in the country.
	• Amounts are presented by year (or in greater detail – *e.g.* by quarter or month) using the *developing country's fiscal year*.

Expected development co-operation flows in fiscal year ending in year 2016, 2017, 2018	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 Qg5, Qg6 and Qg7, national coordinators 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 the following year).

For each year, answer 1 ("Yes") if the information provided meets BOTH of the following additional criteria:

• Comprehensive in its coverage of known sectors, types and modalities of support (for example, a provider using both project and budget support modalities should include the amounts foreseen under both modalities); and

• 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 0 ("No"). |

Indicator 6. Percentage of development co-operation funding scheduled for disbursement that is recorded in the annual budgets approved by the legislatures of developing countries

What does the indicator measure?

The formulation of the budget is a central feature of the policy process in all countries. So the degree to which financial contributions from providers of development co-operation to the government sector are fully and accurately reflected in the budget provides a significant indication of the degree to which there is a serious effort to connect development co-operation programmes with country policies and process and to support domestic oversight and accountability for the use of development co-operation funding and results. Budget support is always on budget, but other modalities including project support can and should also be recorded on budget, even if funds do not pass through the country's treasury.

This indicator builds on the broad approach used in indicator 3 of the Survey on Monitoring the Paris Declaration, while introducing modifications that are intended to make it a better proxy for budget comprehensiveness. In other words, the indicator tries to capture the extent to which budgets cover resources expected at the time of their formulation. The denominator is now the amount of development co-operation funding scheduled for disbursement at the outset of year n, rather than ex-post disbursements. This separates the measurement of the extent to which government budgets reflect ex-ante aid estimates (indicator 6) from the measurement of predictability, that is the extent to which scheduled funds are actually disbursed or the realism of estimates (captured by indicator 5a).

Data collection and validation process

The national co-ordinator is responsible for the overall data collection and validation process, in liaison with colleagues from relevant government institutions/ministries and with providers' country offices. Where possible, data should be drawn from the country's aid management systems.

QUESTIONS TO BE INTEGRATED IN COUNTRY-LEVEL DATA COLLECTION PROCESS

■ **GOVERNMENT** – For each provider of development co-operation:

Q^g8. 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)?
USD _____

Note that the denominator for this indicator is the same as that used in the calculation of indicator 5a (annual predictability).

MEASUREMENT OF INDICATOR

When funds recorded in the government annual budget are less than or equal to scheduled disbursements for the government sector, disbursements "of scheduled" takes the value:

$$Indicator\ 6_1\ (\%) =\ 100 \times \frac{Q^g8}{Q^p13}$$

Global aggregates for Indicator 6_1 are calculated using scheduled disbursements for the government sector as the weighting variable.

When funds recorded in the government sector annual budget are greater than scheduled disbursements for the government sector, disbursements "beyond scheduled" takes the value:

$$Indicator\ 6_2\ (\%) = \ 100 \times \frac{Q^g 8 - Q^p 13}{Q^g 8}$$

Global aggregates for Indicator 6_2 are calculated using funds recorded in the government annual budget as the weighting variable.

DEFINITIONS

Annual budget	It 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 $Q^g 8$. 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.

MUTUAL ACCOUNTABILITY AMONG CO-OPERATION ACTORS IS STRENGTHENED THROUGH INCLUSIVE REVIEWS

Indicator 7. Percentage of countries that undertake inclusive mutual assessments of progress in implementing agreed commitments

What does the indicator measure?

This indicator seeks to measure progress made by developing countries in undertaking mutual assessment reviews. This indicator takes the form of a modified version of indicator 12 of the Survey on Monitoring the Paris Declaration (OECD, 2011) to build on the lessons learned and evidence on national-level mutual accountability (including evidence generated by UNDESA for the United Nations Development Co-operation Forum). Further refinements to the criteria and methodology underpinning this indicator have been introduced to better capture the extent of involvement of stakeholders going beyond governments to include civil society stakeholders and parliamentarians, for example. A country is considered to have a mutual assessment of progress in place for the purpose of measuring this indicator when at least four of the five proposed criteria are met, providing a graduated assessment of progress.

Data collection and validation process

The set of questions to inform the assessment of this indicator (questions Q^g9, Q^g10, Q^g11, Q^g12 and Q^g13 below) are drawn from the national Mutual Accountability survey administered and rolled-out by UN DESA for the United Nations Development Co-operation Forum (DCF), in close collaboration with UNDP. The assessment of this indicator will further benefit from the 4th Mutual Accountability[28] survey's more in-depth assessment of the situation, progress, and challenges of establishing and strengthening national mutual accountability frameworks. At country level, national co-ordinators are encouraged to liaise closely with the UN Country Team/UNDP to explore opportunities to synchronise and harmonise the assessment process by embedding the dialogue on the national Mutual Accountability survey at a validation meeting/consultation for the global monitoring process and vice versa.

QUESTIONS TO BE INTEGRATED IN COUNTRY-LEVEL DATA COLLECTION PROCESS

■ **GOVERNMENT**

Q^g9. Is there an aid policy or partnership policy in place defining a country's development co-operation priorities (or elements of such a policy agreed through other instruments)? (Yes/No)

Q^g10. Are there specific country-level targets for effective development co-operation for both the developing country government and providers of development co-operation? (Yes/No)

Q^g11. Has an assessment towards these targets been undertaken jointly by the developing country government and providers of development co-operation at senior level in the past two years? (Yes/No)

Q^g12. Have non-executive stakeholders (*i.e.* civil society organisations, private sector and parliamentarians) and local governments been actively involved in such reviews? (Yes/No)

Q^g13. Have comprehensive results of such exercises been made public in a timely manner? (Yes/No)

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[28] Launched in August 2015.

MEASUREMENT OF INDICATOR

At the global level, this indicator is calculated as follows:

$$Indicator\ 7\ (\%\ of\ developing\ countries) = 100 \times \frac{N_C}{N}$$

where N_C is the number of countries that meet at least four out of the five criteria Qg9, Qg10, Qg11, Qg12, and Qg13, and N is the total number of countries.

DEFINITIONS

Aid or partnership policy	A document which sets out agreed approaches to the delivery of development co-operation in the developing country, 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 similar). The document has been the subject of an inclusive consultation between the developing country government, providers of development co-operation and other interested development stakeholders.
Country-level targets for effective development co-operation	Country-level targets for effective development co-operation have been established in line with Paris, Accra and Busan commitments. They may, however, go beyond the Busan Partnership agreement wherever the developing country government and providers of development co-operation agree to do so. Targets exist for both the developing country government and providers of development co-operation, providing the basis for assessing: the developing country's performance in implementing its development strategy; and the performance of providers of development co-operation against agreed commitments to deliver on the quantity, quality and effectiveness of their support.
Mutual assessment reviews	Mutual assessment reviews are national level exercises that engage both developing country authorities and providers of development co-operation at senior level in a review of mutual performance. These reviews should be conducted through inclusive dialogue involving a broad range of government ministries (including line ministries and relevant departments, at central and local level), providers of development co-operation (bilateral, multilateral and global initiatives) as well as non-executive stakeholders, including parliamentarians, private sector and civil society organisations.
	These assessments are undertaken on a regular basis (*e.g.* every one to two years) and might be supplemented through independent/impartial reviews. The comprehensive results of such assessments should be made publicly available in a timely manner through appropriate means to ensure transparency.
	For the purpose of assessing progress against indicator 7, a country is considered to have a mutual assessment review in place when the response to **at least four of the five** questions Q^g9, Q^g10, Q^g11, Q^g12 and Q^g13 is "Yes".

Indicator 8. Percentage of countries with systems that track and make public allocations for gender equality and women's empowerment

What does the indicator measure?

This indicator seeks to measure government efforts to track and make public resource allocations for gender equality. It does so by encouraging national governments to develop appropriate budget tracking and monitoring systems and commit to making information about allocations for gender equality readily accessible to the public.

UN Women in collaboration with the OECD-DAC Network on Gender Equality (GENDERNET) has developed a methodology and set of criteria to roll out this global indicator at country level and to monitor performance against this indicator over time.

A country is considered to have a system in place for the purpose of measuring this indicator when at least one out of the first three criteria and the fourth criteria are met (see question Q^g17).

Data collection process

Data on the gender equality indicator will be gathered through the data submission tool shared with the national co-ordinators. Collected data at the level of individual countries will be aggregated to present overview of the global progress.

QUESTIONS TO BE INTEGRATED IN COUNTRY-LEVEL DATA COLLECTION PROCESS

■ **GOVERNMENT**

Note: if additional comments are provided for any of the following questions, limit your response to a maximum of 500 words.

Q^g14. Is there an official government statement on a system for tracking allocations for gender equality and women's empowerment? (Yes/No)

Q^g15. Are allocations for gender equality and women's empowerment systematically tracked? (Yes/No)

Q^g16. Is there leadership and oversight of the tracking system by the central government unit in charge of public expenditures? (Yes/No)

Q^g17. Is gender equality focussed budget information publically available (e.g. through Parliamentary oversight and civil society scrutiny, publications, websites or other means)? (Yes/No)

Additionally, countries may indicate if they:

- use gender-specific indicators and data disaggregated by sex to inform budget allocation decisions at sectoral and/or local/district level;
- if they conduct regular impact assessments of budgets and expenditures which address how women and men benefit respectively from government expenditures.

MEASUREMENT OF INDICATOR

At the global level, this indicator is calculated as follows:

$$Indicator\ 8\ (\%\ of\ developing\ countries) =\ 100 \times \frac{N_C}{N}$$

where N_C is the number of countries meeting at least one of the first three criteria (Q^g14, Q^g15, Q^g16) and the fourth criteria (Q^g17), and N is the total number of countries participating in the monitoring process.

DEFINITIONS

Systems to track allocations for gender equality and women's empowerment	These are the processes and procedures in place to plan, approve, allocate and monitor public expenditures at the national and sectoral level in a way that ensures that expenditures are targeted appropriately to benefit both women and men. Such systems can include gender budget statements, classifiers, gender markers, and even preliminary guidelines as outlined in call circulars. The system in place is overseen by a governmental body, in most cases the Ministry of Finance that considers gender impact in budget decisions and incorporates measures to mitigate any adverse impact on gender equality and women's empowerment.
Allocations for gender equality and women's empowerment	Allocations for gender equality and women's empowerment can be defined as: • Resources allocated at sector and local level for programmes that specifically target only women or girls (direct allocation). • Resources allocated at sector and local level to actions that target both women and men equally but gender equality is a specific objective. For example an action that promotes employment of women and men, equal representation within management posts, and equal pay (direct allocation). • Resources allocated at sector and local level to actions where gender is mainstreamed. For example, an infrastructure project that doesn't include gender equality as an explicit objective but includes women as beneficiaries (indirect allocations).
Systematically tracked	*"Systematically tracked"* means that a tracking process is planned and regularly conducted. For instance, if the tracking of budgets allocations towards gender equality is officially planned and conducted annually by an identifiable or designated body it can be said that allocations for gender equality are systematically tracked.

EFFECTIVE INSTITUTIONS: COUNTRY SYSTEMS ARE USED

Indicator 9b. Use of country public financial management and procurement systems

What does the indicator measure?

This indicator combines the Paris Declaration 5a (use of PFM systems) and 5b (use of procurement systems) to offer a single composite indicator. It focuses on the use of developing countries' public financial management (PFM) and procurement systems when funding from providers of development co-operation is provided to the government sector, without applying safeguard measures. National systems for the management of funds are those established in the general legislation (and related regulations) of the country and implemented by the line management functions of the government.

No particular development co-operation modalities automatically qualify as using country PFM and procurement systems. Most modalities including project support can be designed to use country PFM and procurement systems. A set of criteria are presented below to help providers of development co-operation determine when they are, and when they are not, using country PFM and procurement systems.

Data collection and validation process

The national co-ordinator is responsible for the overall data collection and validation process, in liaison with colleagues from relevant government institutions/ministries and with providers' country offices. Where possible, data should be drawn from the country's aid management systems.

QUESTIONS TO BE INTEGRATED IN COUNTRY-LEVEL DATA COLLECTION PROCESS

■ PROVIDER OF DEVELOPMENT CO-OPERATION

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

Q^p15. …national *budget execution* procedures (USD)? _____

Q^p16. …national *financial reporting* procedures (USD)? _____

Q^p17. …national *auditing* procedures (USD)? _____

Q^p18. …national *procurement* systems (USD)? _____

MEASUREMENT OF INDICATOR

At the global level, this indicator is calculated as follows:

$$Indicator\ 9b\ (\%) =\ 100 \times \frac{\frac{1}{4}(Q^p15 + Q^p16 + Q^p17 +\ Q^p18\,)}{Q^p12}$$

DEFINITIONS

Use of national budget execution procedures	Providers of development co-operation 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. This means that programmes supported by providers of development co-operation are subject to normal country budgetary execution procedures, namely procedures for authorisation, approval and payment.
	Providers of development co-operation are invited to review all their development co-operation activities with a view to determining how funding for the government sector meet three **out of the four criteria** below (anything less does not qualify):
	1. Are your funds **included in the annual budget** approved by country legislature? (Y/N)
	2. Are your funds subject to established country **budget execution procedures**? (Y/N)
	3. Are your funds processed (e.g. deposited & disbursed) through the **established country treasury system**? (Y/N)
	4. You do NOT require the **opening of separate bank accounts** for your funds? (Y/N).[29]
Use of national financial reporting procedures	Legislative frameworks normally provide for specific types of financial reports to be produced as well as periodicity of such reporting. The use of national financial reporting means that providers of development co-operation do not impose additional requirements on governments for financial reporting. In particular providers of development co-operation do NOT require: i) maintenance of a separate accounting system to satisfy the provider of development co-operation's reporting requirements, and ii) creation of a separate chart of accounts to record the use of funds from the provider of development co-operation.
	Providers of development co-operation are invited to review all their development activities with a view to determining how much funding for the government sector meet BOTH criteria below (anything less does not qualify):
	1. You do NOT require maintenance of **a separate accounting system** to satisfy your own reporting requirements? (Y/N)[30]
	2. You ONLY require financial reports prepared using the **country's established financial reporting arrangements**? (Y/N)
Use of national auditing procedures	Providers of development co-operation rely on the audit opinions, issued by the country's supreme audit institution, on the government's normal financial reports/statements as defined above. The use of national auditing procedures means that providers of development co-operation do not make additional requirements on governments for auditing.
	Providers of development co-operation 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[31] :
	1. Are your funds subject to audit carried out **under the responsibility of the Supreme Audit Institution**? (Y/N)

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[29] *Budget execution* — **Yes**: you do not require opening separate accounts. **No**: you do require opening separate accounts.

[30] *Financial reporting* — **Yes:** you do not require a separate accounting system. **No**: you do require a separate accounting system.

[31] 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:

Providers of development co-operation 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)

AND at least one of the two criteria below:

3. You do NOT require audit standards different from those adopted by the partner country for the audit of parastatal entities? (Y/N)

4. You do NOT require a change in the audit cycle of the parastatal entity to audit your funds? (Y/N)

	2. You do **NOT** under normal circumstances **request additional audit arrangements**[32]? (Y/N)[33]
	AND at least one of the two criteria below:
	3. You do NOT require **audit standards different** from those adopted by the Supreme Audit Institution? (Y/N)[34]
	4. You do NOT require the Supreme Audit Institution to change its **audit cycle** to audit your funds? (Y/N)[35]
Use of national procurement systems	Providers of development co-operation 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. The use of national procurement procedures means that providers of development co-operation 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, providers of development co-operation may work with developing countries in order to improve the efficiency, economy, and transparency of their implementation).

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

[33] **Yes**: providers do not require additional audits. **No**: providers do require additional audits.

[34] **Yes**: providers do not require different audit standards. **No:** providers do require different audit standards.

[35] **Yes**: providers do not require to change the audit cycle. **No**: providers do require change to the audit cycle.