



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

Supporting the second round of the Monitoring Indicators clinics A: Indicators 2, 3 and 7

UNDP-OECD Joint Support Team
www.effectivecooperation.org

=>THE GPEDC MONITORING: APPROACH AND PROCESS

- GPEDC INDICATOR 2: CSO ENABLING ENVIRONMENT
- GPEDC INDICATOR 3: PUBLIC-PRIVATE DIALOGUE
- GPEDC INDICATOR 7: MUTUAL ACCOUNTABILITY

Monitoring approach – “global-light, country-focused”

- **Country leadership**

Data collection and validation is:

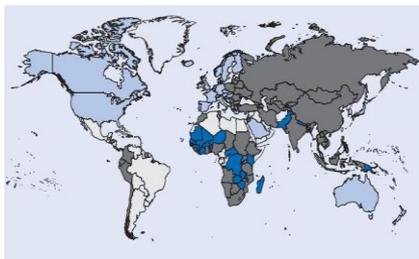


- ✓ led by developing country governments, in consultation with development partners (providers, CSOs, private sector)
- ✓ grounded in existing national processes when possible (e.g. data collection through country-level aid management systems, dialogue embedded in mutual accountability frameworks)

=> Monitoring process and findings spark multi-stakeholder dialogue and accountability

- **Global coordination**

The OECD-UNDP Joint Support Team:



- ✓ coordinates the aggregation and analysis of existing data (country-sourced data and globally-sourced data)
- ✓ provides continued support to countries through operational guidance and a help desk
- ✓ produces global Progress Reports to inform ministerial-level meetings

=> Progress monitored on a rolling basis (2013-14, 2015-16)

What is monitored?

10 indicators, grounded in effective development cooperation principles

Paris Declaration indicators

Strong country demand and good track record

- **Mutual accountability**
- **Predictability**
- **Aid on budget**
- **Use of PFM/procurement systems**
- **Aid untying**

NEW Busan indicators

- **Results**
- **Private sector**
- **CSO environment**
- **Transparency**
- **Gender**

Baseline

For indicators from the Paris Survey, baseline = 2010

For new indicators, baseline = 2013 or 2015

Targets set for 2015

What is monitored? 10 indicators

THEMES and INDICATORS	Source of information	
	country level	other processes
Theme: Development co-operation is focused on results that meet developing countries' priorities Indic 1. Extent of use of country results frameworks by co-operation providers	■	
Theme: Civil society operates within an environment that maximises its engagement in and contribution to development Indic 2. Extent to which governments and providers of development co-operation contribute to an enabling environment for CSOs, and extent to which CSOs are implementing development effectiveness principles in their own operations	■	
Theme: Engagement and contribution of the private sector to development Indic 3. Quality of public-private dialogue	■	■ (Open Budget Survey & WWG indices)
Theme: Transparency - information on development co-operation is publicly available Indic 4. Measure of state of implementation of the common standard by co-operation providers		■ (IATI and OECD-DAC)
Theme: Development co-operation is more predictable Indic 5a. annual predictability - proportion of aid disbursed within the fiscal year within which it was scheduled by co-operation providers Indic 5b. medium-term predictability - proportion of aid covered by indicative forward spending plans provided at the country level	■	
Theme: Aid is on budgets which are subject to parliamentary scrutiny Indic 6. % of aid scheduled for disbursement that is recorded in the annual budgets approved by the legislatures of developing countries	■	
Theme: Mutual accountability strengthened through inclusive reviews Indic 7. % of countries that undertake inclusive mutual assessments of progress in implementing agreed commitments	■	
Theme: Gender equality and women's empowerment Indic 8. % of countries with systems that track and make public allocations for gender equality and women's empowerment	■	
Theme: Effective institutions - developing countries' systems are strengthened and used Indic 9a. Quality of developing country PFM systems Indic 9b. Use of developing country PFM and procurement systems	■	■ (CPIA)
Theme: Aid is untied Indic 10. % of aid that is fully untied		■ (OECD-DAC)

Key steps and timeline for the second monitoring round

June - October 2015

Preparation and sensitisation

September - October 2015

Launch of the monitoring exercise

October 2015 - March 2016

Data collection and validation

key deadline: 31 March, submission of validated data to OECD/UNDP

April-May 2016

Data processing and final review

June-September 2016

Data aggregation and analysis, report production and publication

September – December 2016

Dialogue and dissemination (**2nd HLM – Nov 2016**)

Note: country-level specific milestones should be adapted to country contexts.

WHO should engage?



DEVELOPING COUNTRY GOVERNMENTS



National co-ordinator the leading player!

- He/she usually sits in ministry of finance / planning
- With the support of his minister (high level political engagement)
- In relation with relevant government institutions

PROVIDER COUNTRY OFFICES

- In liaison with their **HQs**
- **1 “provider focal point”**, who will:
 - ✓ Act as the main counterpart
 - ✓ Facilitate engagement of other providers
- Some UN focal points/UNDP focal points play this role

OTHER PARTNERS

- **Parliamentarians, CSOs, private sector, trade unions**
- **1 “focal point” for each stakeholder group**, who will:
 - ✓ Act as the main counterpart
 - ✓ Share views from their group



JOINT SUPPORT TEAM

- Team in Paris/NY: coordination and help desk
- [on a case by case basis] UNDP country offices and regional centres



Regional platforms



Reporting data

- For each indicator:
- ✓ Who reports to the national co-ordinator?
- ✓ What type of data (quantitative or qualitative)?

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

And HOW should they engage ?

- The national co-ordinator is in charge of leading and coordinating the process
- All stakeholders should actively engage in the different phases of the monitoring exercise, including: (1) Preparation, (2) Data collection and validation, (3) Data review and final processing, (4) Use and dissemination of findings

Who?	What?
Government (Nat. co-ordinator, engaging relevant ministries/ gov, agencies)	<ul style="list-style-type: none"> - Oversee and coordinate data collection and validation - Provide data for indic. 1, 5b, 6, 7, 8 - Coordinate the assessment for indicators 2 and 3 - Facilitate dialogue around monitoring results
Providers	<ul style="list-style-type: none"> - Provide data for indic. 1, 5a, 6, 9b and contribute to data validation - Participate in the assessment for indicators 2 and 3 (focal point) - Participate in dialogue around the monitoring results
CSOs	<ul style="list-style-type: none"> - Participate in the assessment for indicators 2 and 3 (focal point) - Participate in dialogue around the monitoring results
Private sector	<ul style="list-style-type: none"> - Participate in the assessment for indicators 3 (focal point) - Participate in dialogue around the monitoring results
Trade unions	<ul style="list-style-type: none"> - Participate in the assessment for indicators 3 (focal point) - Participate in dialogue around the monitoring results
Parliamentarians	<ul style="list-style-type: none"> - Participate in dialogue around the monitoring results
Local authorities	<ul style="list-style-type: none"> - Participate in dialogue around the monitoring results

CSO enabling environment and development effectiveness

INDICATOR 2

Extent to which:

- **governments and providers contribute to an enabling environment for CSOs**
- **CSOs are implementing development effectiveness principles in their own operations**

Global target for 2015: *Continued progress over time*

CSO enabling environment (CSO EE): the political, financial, legal and policy context that affects how CSOs carry out their work. It can include:

- ✓ Law, policy and practice respecting freedom of association, the right to operate without state interference, the right to pursue self-defined objectives, and the right to seek and secure funding from national & international sources
- ✓ Institutionalised, inclusive and transparent multi-stakeholder dialogue fora
- ✓ Effective support from development providers to empower CSOs

CSO development effectiveness (CSO DE): CSO DE principles, also known as Istanbul principles, are internationally agreed principles meant to guide the work and practices of CSOs. Indicator 2 focuses on one of these principles, according to which CSOs are effective as development actors when they practice transparency and accountability.

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.

- **Objectives of the indicator**

- ✓ Assess the extent to which governments and providers contribute to an enabling environment for CSOs and to which CSOs are in alignment with development effectiveness principles.
- ✓ Collect **qualitative information at country level**, to inform a global snapshot on the state of play of CSO EE and CSO DE (2016 progress report)
- ✓ **Spark multi-stakeholder dialogue** (engaging governments, CSOs, providers, parliamentarians) at country, regional and global levels
- ✓ **Incentivize behaviour change** of all stakeholders for effective implementation of Busan commitments

- **Underpinning commitments**

- ✓ **2011 - Busan** commitment to enable CSOs to exercise their roles as independent development actors, with a particular focus on EE (§ 22a) and to encourage CSOs to implement practices that strengthen their accountability and their contribution to DE (§ 22b)

INDICATOR 2 How is it measured (1/5)?

Note: This is a new indicator. The methodology was refined in close collaboration with the Task team on CSO DE and EE (incl. CPDE), and light tested in El Salvador and Rwanda.

Required data:

The national coordinator reports on the following questions, in consultation with representatives from providers and CSOs

(16 qualitative questions in four thematic modules + guiding questions detailed in the guide to facilitate responses)

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?
- ✓ **Q^g+2.** Do CSOs have the right to access government information?
- ✓ **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?

INDICATOR 2 How is it measured (2/5)?

MODULE 2. CSO DE: accountability and transparency

- ✓ **Q^{g+4}**. In practice, are there CSO-managed processes in place to address transparency and multiple accountabilities in CSO operations?
- ✓ **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)?
- ✓ **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?
- ✓ **Q^{g+7}**. Are there other significant initiatives related to CSO development effectiveness principles being implemented at the country level?
- ✓ **Q^{g+8}**. Do CSOs report annually to government on the basic finances, sectors of support, and main geographic areas of involvement in development?

INDICATOR 2 How is it measured (3/5)?

MODULE 3. Official development co-operation with CSOs

- ✓ **Q⁹⁺⁹**. Do providers of development co-operation consult with CSOs on their development policy/programming in a systematic way?
- ✓ **Q⁹⁺¹⁰**. Are providers promoting a CSO enabling environment in their co-operation with civil society?
- ✓ **Q⁹⁺¹¹**. Is the promotion of a CSO enabling environment an agenda item in providers' policy dialogue with partner governments?
- ✓ **Q⁹⁺¹²**: Do providers share information on their CSO support with the government?

MODULE 4. Legal and regulatory environment

- ✓ **Q⁹⁺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?
- ✓ **Q⁹⁺¹⁴**. Is the legal and regulatory environment enabling for CSO formation, registration and operation?
- ✓ **Q⁹⁺¹⁵**. Does the legal and regulatory environment facilitate access to resources for CSOs?
- ✓ **Q⁹⁺¹⁶**. Does the legal and regulatory environment marginalise certain groups?

Process:

- **National co-ordinator** coordinates data collection and validation process, in liaison with
 - (1) colleagues from relevant institutions/ministries
 - (2) focal points from CSOs, providers (and possibly parliamentarians)
- National co-ordinator is encouraged to:
 - ✓ convene a **multi-stakeholder dialogue** (kick-off),
 - ✓ seek **CSOs and providers' feedback on the questionnaire** (focal points are invited to consult with their respective constituencies, and to provide consolidated feedback to the national co-ordinator)
 - ✓ re-convene a **multi-stakeholder dialogue** at the end of the process to jointly discuss and validate the findings, before sending them to the Joint Support Team.
 - ✓ To the extent possible, the national co-ordinator will seek **consensus** in the responses. Where agreement is not reached, focal points are invited to flag **diverging views** to the national co-ordinator. The level of agreement of each stakeholder group regarding will be registered in a table attached to the questionnaire

INDICATOR 2 How is it measured (5/5)?

Process:

- Use of **existing coordination platforms** is encouraged to support the process and institutionalise the dialogue
- **Use of a consultant**

Governments can decide to use the services of a consultant, in order to:

- ✓ Avoid overburdening the national co-ordinator
- ✓ Enable a neutral and balanced assessment which effectively captures all stakeholder's views

The **UNDP-OECD Joint Support Team** can, to the extent possible, facilitate this process through **technical support**:

- ✓ TORs
- ✓ List of possible consultants
- ✓ Technical guidance to steer the consultant's work

Engagement of private sector in development

INDICATOR 3

Quality of public private dialogue

Global target for 2015: Continued progress over time

Private sector: includes a wide range of actors such as domestic and foreign companies, large companies and SMEs, professional organisations, intermediary organisations.

- The assessment of indicator 3 should cover a representative sample of private sector actors that play a different role in different sectors and industries of the country's market (i.e. 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).

Public-private dialogue: An engagement mechanism to ensure more inclusive and sustainable policy reforms through a structured and participatory reform process. 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.

- PPDs are diverse, with a broad scope of activity (cross-cutting or sector-specific issues; rural or urban, national or sub-national levels). Initiatives to promote PPD consist in most cases in establishing a combination of technical working groups, a secretariat and a high-level oversight structure.
- Examples of PPDs: the Vietnam Business Forum, the National Competitiveness Council in the Philippines.

- **Objectives of the indicator**

- ✓ Assess the **quality of PPD** at the country level (quality of PPD as a proxy to capture private sector engagement in improving public policies)
- ✓ Collect **qualitative information at country level**, to inform a global snapshot on the state of play of PPD (2016 progress report)
- ✓ **Spark multi-stakeholder dialogue** (engaging governments, private sector, CSOs (incl. trade unions), providers, parliamentarians) at country, regional and global levels
- ✓ **Incentivize inclusive dialogue** with the private sector for building a policy environment conducive to growth and sustainable development

- **Underpinning commitments**

- ✓ **2011 - Busan** 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 (§ 32b)

- This indicator builds on tools developed by the **World Bank**



INDICATOR 3 How is it measured (1/4)?

Note: This is a new indicator. Pilot studies were conducted in Colombia, Ethiopia, the Philippines

A mix of globally-sourced data (module 1) and country-sourced data (modules 2 and 3)

MODULE 1. *The legal and regulatory context for PPD*

Required data:

The JST will use existing country scores from 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](#)
- ✓ the “[Citizen engagement in rulemaking](#)” index.

Assessment process:

This information will be provided to the national co-ordinator as a source of evidence to inform discussions related to Module 2.

INDICATOR 3 How is it measured (2/4)?

MODULE 2 – *The country's readiness to host, create or sustain a dialogue process*

Required data:

The national coordinator reports on the following questions, in consultation with representatives from the private sector, providers and CSOs

(4 qualitative questions + guiding questions detailed in the guide to facilitate responses)

- ✓ **Q^g+17.** Is the private sector ready and willing to engage and interact with the government?
- ✓ **Q^g+18.** Is the government ready and willing to engage and interact with the private sector?
- ✓ **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?
- ✓ **Q^g+20.** Are logistical, financing and capacity building instruments available to support PPD?

INDICATOR 3 How is it measured (3/4)?

MODULE 2 – *The country's readiness to host, create or sustain a dialogue process*

Assessment process:

- **National co-ordinator** coordinates data collection and validation process, in liaison with
 - (1) colleagues from relevant institutions/ministries
 - (2) focal points from the private sector, trade unions, CSOs, providers (and possibly parliamentarians)
- National co-ordinator is encouraged to:
 - ✓ convene a **multi-stakeholder dialogue** (kick-off),
 - ✓ **seek private sector, trade unions, CSOs and providers' feedback on the questionnaire** (focal points are invited to consult with their respective constituencies, and to provide consolidated feedback to the national co-ordinator)
 - ✓ re-convene a **multi-stakeholder dialogue** at the end of the process to jointly discuss and validate the findings, before sending them to the Joint Support Team.
 - ✓ To the extent possible, the national co-ordinator will seek **consensus** in the responses. Where not possible, focal points are invited to flag **diverging views** to the national co-ordinator. The level of agreement of each stakeholder group regarding will be registered in a table attached to the questionnaire

INDICATOR 3 How is it measured (4/4)?

MODULE 3 – *The organisational effectiveness of a given PPD platform*

Required data:

This module uses a shortened version of the World Bank's existing PPD evaluation wheel. It looks into the PPD platform's mandate, structure, participation, facilitation and management, outputs, outreach and communication, monitoring and evaluation and its degree of autonomy.

Assessment process:

Governments interested to assess module 3 are encouraged to contract a consultant to carry out the assessment

The **UNDP-OECD Joint Support Team** can, to the extent possible, facilitate this process through **technical support**:

- ✓ TORs
- ✓ List of possible consultants
- ✓ Technical guidance to steer the consultant's work

Mutual accountability

INDICATOR 7

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

***Global target for 2015:** All developing countries have inclusive mutual assessment reviews in place*

- ✓ National exercises that engage both developing country authorities and providers of dev. cooperation at senior level in a mutual performance review

- ✓ The reviews should ideally be conducted through inclusive dialogues involving:
 - Government ministries (incl. line ministries, relevant departments, central and local levels)
 - Providers of dev. cooperation (bilateral, multilateral and global initiatives)
 - “non-executive” stakeholders (parliamentarians, private sector, civil society)

- ✓ The assessment should be done regularly and can be supplemented by independent/impartial reviews

- **Objectives of the indicator**

- ✓ Measure progress made by developing countries in undertaking mutual assessment reviews
- ✓ Incentivise (1) stronger and more inclusive accountability mechanisms at country level; (2) participation of all stakeholders in mutual assessment of progress.

- **Underpinning commitments**

- ✓ **2005 - Paris** commitment to jointly assess mutual progress in implementing aid effectiveness commitments (PD § 50).
- ✓ **2008 - Accra** commitment to ensure mutual assessment reviews in place in all countries, with stronger parliamentary scrutiny and citizen engagement (AAA § 24b).
- ✓ **2011 - 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).

- The indicator draws on questions from the **UN-DESA national Mutual Accountability survey**. The national co-ordinator is encouraged to liaise with the UN country Team (UNDP) to explore opportunities to synchronise the assessment of indicator 7 and the work around the MA survey

INDICATOR 7 How is it measured?

Note: The methodology does NOT change compared to the first monitoring round (2013-14), and comes from the Paris Declaration Survey.

Required data:

The national coordinator reports on the following 5 questions:

- ✓ **Q⁹**. Is there an aid or partnership policy or strategy in place defining a country's development co-operation priorities? *Yes/No*
- ✓ **Q¹⁰**. 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*
- ✓ **Q¹¹**. Has an assessment towards these targets been undertaken jointly by the developing country government and providers at senior level in the past two years? *Yes/No*
- ✓ **Q¹²**. Have non-executive stakeholders (e.g. CSOs, Parliaments, private sector) and local government been actively involved in such reviews? *Yes/No*
- ✓ **Q¹³**. Have comprehensive results of such exercises been made public in a timely manner? *Yes/No*

Measurement:

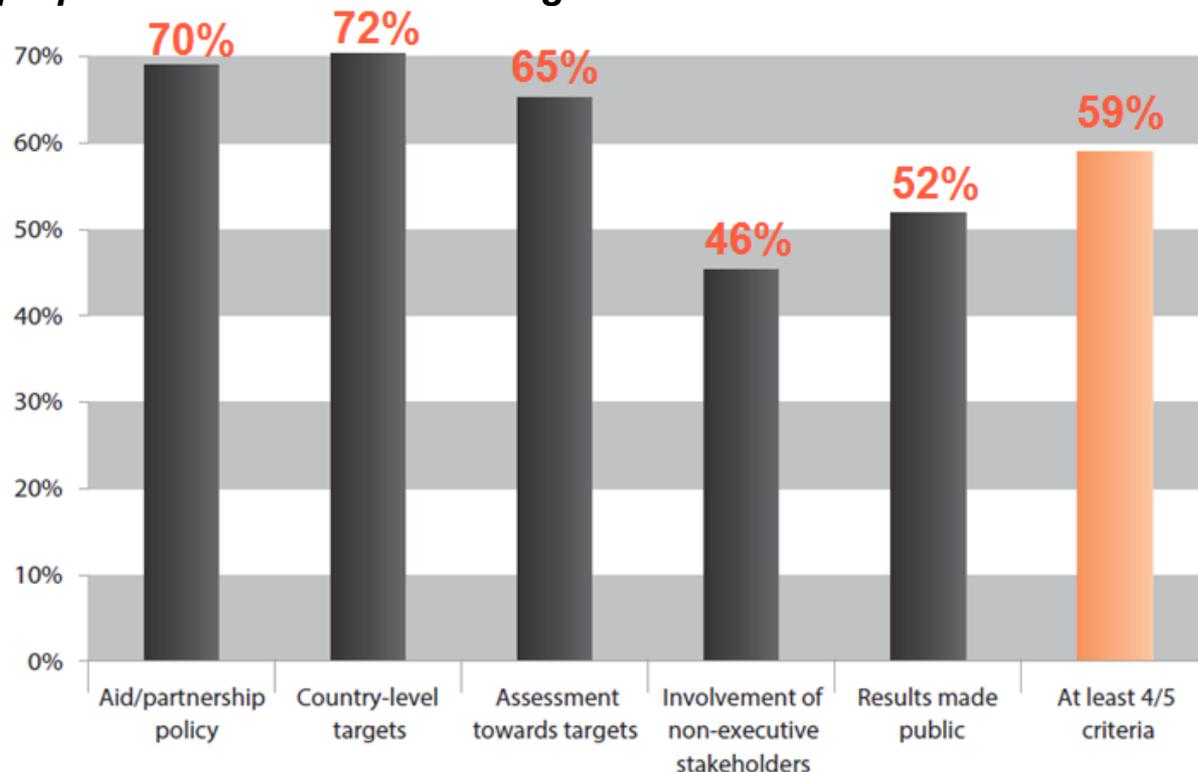
A country is considered to have a mutual assessment of progress in place when the response to at least four of the above questions is "Yes"

INDICATOR 7

Highlights from the 2013-14 monitoring round

- In 2013, **59%** of reporting countries had mutual assessment reviews in place

The proportion of countries meeting the criteria for mutual assessment reviews:



- This remains well below the 100% target, but it shows some progress since the PD Survey in 2010 (in 2013, an additional 11 countries had MA reviews despite stricter criteria used for defining MA review processes)

Thank you

তোমাকে ধন্যবাদ

ありがとう

Gracias

Dankjewel

Asante

Merci

Hvala

مننه

Obrigado

شكرا

Salamat



**Global
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