Annexes to the Revised Proposal: New Global Partnership Monitoring Framework

May 2022

Contents

Annex I. Mapping of content of new and old frameworks – for reference

This table helps stakeholders to map the former indicators to the new organisation of the framework across dimensions. It also illustrates the changes to the former measurements and the degree of comparability. More details on the previous framework can be found in the 2018 Monitoring Guide for National Co-ordinators. The calculation methods to generate results for the indicators/assessments from the former monitoring framework is preserved to allow comparability across time[1].

Indicators (previous framework)	Dimensions (revised framework) Bold text= indicated the dimension in which a former indicator fits	Changes in revised framework (+ additions; - removals; ~ no impact on measurement) *Grey italic (complementary information)*	Comparability of former indicators
1b. Quality of national development strategies and results frameworks Made up of 11 criteria which look at whether a national development strategy: 1. is approved/established 2. is developed in an inclusive manner (whole-of-society) 3. is transparent to the public 4. defines priorities, targets and indicators 5. incorporates SDGs 6. informs sector and subnational priorities 7. is monitored regularly and transparently 8. it monitors whole-of-government engagement 9. relies on government's own systems and data to monitor progress 10. uses the framework to inform budgeting 11. uses the framework to guide priorities in development co-operation	Whole-of-society approach **State and Use of Country Systems** Transparency Leaving no one behind	+ LNOB and data/statistic questions + element on envisaged role of the private sector (TBC)	Yes (with adjusted scoring system)
1a. Development partners use national planning tools and results frameworks Made up of four sub-indicators: 1a.1. Project objectives area drawn from country plans and strategies 1a.2. Results indicators are drawn from Country Results Frameworks (CRFs)	**State and Use of Country Systems** Leaving no one behind Transparency	- sub-indicator 1a.4 to remove discrepancy with SDG 17.15.1 + one question on LNOB *+ reason for limited use of CRFs* ~ Possibility for large foundations to report	Yes (for all elements of SDG 17.15.1); no for 1a.4

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[1] For the element of the framework that assesses national development strategies and results frameworks (referred as Indicator 1b in the 2018 Monitoring Round), a change in the methodology is under exploration to possibly account for the additional questions related to LNOB and data and statistics introduced with this reform. If a change in the calculation method is considered statistically appropriate, in the first year of reporting, the old and new results will be presented to allow comparability with the past scores.

1a.3. Results indicators are monitored using government data and statistics 1a.4. Final evaluation involves the government The first three sub-indicators correspond to SDG 17.15.1			
*Complementary module tested in 2018, with questions on country-level strategies, not an indicator		- questions not producing relevant evidence + LNOB and PSE related questions *+ questions on existence of: agreements on preferred modalities of co-operation and on use of PFM systems; support to planning and information systems*	Not applicable (it was complementary information)
2. CSOs effectiveness and enabling environment Made up of four modules: 1. Government consultation with CSOs 2. CSOs' development effectiveness 3. Effectiveness of development partners' work with CSOs 4. Legal and regulatory environment	**Whole-of-society approach**	~ slight adjustment to language to better reflect LNOB ~ small domestic foundations and trade unions to be consulted as part of the reporting process	Yes
3. Quality of public-private dialogue	Whole-of-society approach	Discontinued. To be replaced by measurement of Private Sector Engagement/implementation of Kampala Principles	No
4. Transparency of development co-operation (global) Three [separate] external assessments: • OECD-Creditor Reporting System • OECD-Forward Spending Survey • International Aid Transparency Initiative	**Transparency**	To be confirmed based on availability of data from the three external assessments	Yes, overall (possible adjustments based on availability of data from the three external assessments)
*Complementary module tested in 2018 with questions on country-level transparency, not an indicator)	Transparency State and Use of Country Systems	Country-level module becomes central (no longer complementary) ~ adjusting questions to increase relevance of evidence produced	Not applicable (it was complementary information)
5a. Annual predictability of development co-operation	**State and Use of Country Systems**	*+ complementary question for development partners to provide key reason for low predictability*	Yes

		~ possibility for large foundations to report	
5b. Medium term predictability of development co-operation	**State and Use of Country Systems**	~ possibility for large foundations to be reflected in this measurement	Yes
6. Development co-operation is recorded on budget	**State and Use of Country Systems** **Whole-of-society approach**	=	Yes
7. Quality of mutual accountability mechanisms	**State and Use of Country Systems** Whole-of-society approach LNOB	~ revised language and structure of questions to improve quality of measurement *+ complementary information (preferences for co-operation modality; involvement of representatives of vulnerable and marginalized groups in joint assessments)*	Yes
8/SDG5.c.1. Countries have systems in place to track and make public allocations for gender equality and women's empowerment	**State and Use of Country Systems**	=	Yes
9a. Quality of Public Financial Management (PFM) systems Based on [external] PEFA assessment	**State and Use of Country Systems**	=	Yes
9b. Use of PFM systems	**State and Use of Country Systems**	*+ complementary questions (reason for limited use of PFM systems; support to strengthen PFM systems)* ~ possibility for large foundations to report	Yes
10. Untied ODA Based on OECD [external] assessment	**State and Use of Country Systems**	=	Yes

Annex II. Full questionnaire of the GPEDC monitoring framework

This annex presents all the draft questions that different stakeholders will be responding to as part of the GPEDC monitoring exercise.

It is **organised in three main parts, according to the stakeholder group** that will be responding to the questions. Questions are grouped according to the topical area they relate to (e.g. national development strategies, development partners' country-level strategies). Under each group of questions, and to facilitate the link with Table 2 in the main framework proposal [link], components and dimensions are indicated in a table. New questions are indicated in green font. Questions that will collect complementary evidence are indicated in *green italic font*.

These draft questions may be subject to adjustments based on feedback provided by stakeholders and further technical refinements required.

QUESTIONS FOR PARTNER COUNTRY GOVERNMENTS

National development strategies and results frameworks

These questions provide evidence on whether countries have national development strategies in place and whether they are developed in an inclusive manner, comprise results framework(s) that define and track the country's development objectives, targets, and results, including those for the most vulnerable and marginalised segments of the population. They also provide information on whether countries have data and statistics to track progress and report on those targets and indicators.

These questions provide evidence on the following dimensions and components of the revised framework:

Dimension	Component
Whole-of-society approach to development	Engagement and dialogue
State and use of country systems	Planning
Transparency	Countries' action
Leaving no one behind	Consultation
	Targets and Results
	Data and statistics

Questions

1. Is there a national development strategy for the country?

[Yes, No]

1.1. If Yes, what is the name? Which period does it cover?

[20_ _ - 20_ _]

1.2. If Yes, is this strategy publically available online? [Yes, No]

1.2.1. If Yes, please include web link: [Type here]

1.3. If No, is there one under preparation? [Yes, No]

2. Does the national development strategy or government strategic plan define development priorities, targets and associated results indicators?
☐ Development priorities ☐ Targets ☐ Results indicators

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

[The following question is about the development priorities potentially contained in the national development strategy. For this questionnaire, development priority refers to a specific policy area, action, or objective (or similar heading) within the national development strategy/plan. Examples: Uganda's National Development Plan II prioritized Gender Based Violence as an area for intervention and emphasized ending all forms of discrimination against all women and girls everywhere; Indonesia's Medium-Term National Development Plan 2020-2024 seeks to actively reduce rural poverty; South Africa's National Development Plan 2030 includes a specific component for "Persons with Disabilities as Equal Citizens"; or Colombia's National Development Plan 2018-2022 comprises a cross-cutting area to support ethnic groups.]

3. [If the strategy defines development priorities] Does this strategy define specific development priorities for...?

	Yes/No/Not applicable to the country
o The poorest o Women and girls o Youth and children o Elderly o People with disabilities o People in disadvantaged geographical areas o Indigenous people o Ethnic minorities o Internally displaced people o Stateless people, asylum-seekers and refugees Other: o Sexual and gender identity (LGBTIQ+[2]) o Population vulnerable to climate change o Other (to be added by the country as relevant)	[to be responded for each]

Note: while there is recognition that vulnerabilities and inequalities can also occur across individuals and within groups, a group approach to LNOB was deemed necessary to generate evidence that can be associated with specific stakeholder groups and stakeholders.

[The following question is intended to provide a proxy of how a development strategy addresses multiple vulnerabilities]

3.1. Girls and women represent half of the world population and are often exposed to a combination of risk factors that may results in overlapping vulnerabilities. Does this development strategy explicitly include specific development priorities for the poorest or the most vulnerable women in your country? [Yes, No]

3.1.1. If yes, please specify for which of the following categories of women in your country:
❑ Youth (between the ages of 15 and 24).
❑ Old population (age 65 or older)
❑ People with disability
❑ Indigenous people
❑ Racial groups
❑ Other

4. Which of the following stakeholders have participated in developing the national development strategy/plan?

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[2] Lesbian, Gay, Bisexual, Trans(gender), Intersex persons, gender non-conforming, as well as other individuals whose sexual orientation, gender identity, gender expression and/or sex characteristics do not conform to prevailing sociocultural norms." Taken from a UNHCR brochure https://www.unhcr.org/protection/operations/60db21c9254/tip-sheet-applying-unhcr-age-gender-diversity-policy-lgbtiq-persons.html. It is worth it to note that while different gender identities are included in the list under question 6, the same is not reflected in questions 7 and 13. This is to recognise that collecting such data can be very dangerous for these individuals in some countries, and therefore should not be universally encouraged.

Stakeholders			
Parliament	No participation	Consulted	Enacted the plan with a vote
Domestic civil society organisations* • CSOs representing women and girls • CSOs representing youth and children • CSOs representing vulnerable groups [add all those that apply]	No participation	Consulted	Participatory process
Trade Unions	No participation	Consulted	Participatory process
Domestic foundations	No participation	Consulted	Participatory process
Domestic private sector	No participation	Consulted	Participatory process
Subnational governments	No participation	Consulted	Participatory process
Development partners	No participation	Consulted	Participatory process
Other[3] [specify]	No participation	Consulted	Participatory process

Note: In the process for developing an national developing strategy/plan, governments often involve multiple actors either formally (e.g. specifically submitting a written request addressed for consultation) or informally (e.g.no written requests needed)

[If the national development strategy or government strategic plan defines targets and results indicators] in the strategy:
5. are targets and results indicators disaggregated?
6. is disaggregated data available to monitor progress on those results indicators?
Please provide your answers in the table below.

Disaggregation level[4]	Are targets disaggregated by…?	Are results indicators disaggregated by…?	Are disaggregated data available to monitor progress on results indicators?
o Income groups (e.g. quintile, decile) o Sex o Age (younger/older population) o Health status (i.e. people with disabilities) o Geographic area (urban/rural) o Territorial units (e.g. state/province or district/municipalities) o Ethnicity and indigenous status o Migration status [e.g. refugees, stateless, Internally Displaced People] o Other [to be added as relevant in the country]	Yes/No/not applicable to the country [to be responded for each disaggregation]	Yes/No/not applicable to the country [to be responded for each disaggregation]	Yes, available for all indicators/Yes, available for some indicators/No, not available for any indicator/Not relevant [to be responded for each disaggregation]

7. Are targets and/or results indicators for any of these groups available in other strategies? If, yes please provide further information to complement your answer above (e.g. name of strategy, link to document)
[type your response]

8. [If you have indicated that the national development strategy defines results indicators], to what extent does the national statistical system meet the data demands to track results indicators contained in the national development strategy or plan?
☐ Data is available for most indicators (i.e. the majority or more than half of the indicators roughly).
☐ Data is available for some indicators only (i.e. around half of the indicators roughly).

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[3] The reporting tool would allow indicating the different levels that apply.

[4] The disaggregation included in the table are drawn from those identified as the minimum disaggregation dimensions for the SDG global indicator framework, in accordance with the Fundamental Principles of Official Statistics (General Assembly resolution 68/261).

☐ Data is available for very few indicators (i.e. less than half of the indicators roughly).

[The following 3 questions concern the data available from the national statistical system to report on the results indicators referred in the previous question.]

8.1. Overall, is the data used to report on these indicators timely (i.e. the data is up-to-date and reported frequently)?
[Yes, No]
8.2. Overall, is the data used to report on these indicators updated regularly (i.e. at determined intervals – weekly, monthly, yearly, etc.)?
[Yes, No]
8.3. Overall, is the data used to report on these indicators accurate (i.e. it measures what intended to measure)?
[Yes, No]

[The following question is work-in-progress and could be asked in lieu of the above question 8, to provide an indication of the extent to which the national statistical system meets the data demands to track specific results indicators contained in the national development strategy or plan. The Joint Support Team welcomes views on whether this question can be considered a good proxy to replace question 8 or whether it should complement it.]

8-alternative. The following table contains 5 randomly selected data categories drawn from the Open Data Inventory (ODIN) of the Open Data Watch, which also features in PARIS21's Statistical Capacity Monitor. For each category, please look into your national development strategy and select from it one indicator that falls under this data category (e.g. infant mortality if one the assigned categories is Health outcomes). Please then answer the following questions:

Data category	Indicators	[NSS availability]	[Timeliness - Frequency]	[Regularity]	[Timeliness – time-lag]	[Timeliness – time-lag]	[Accuracy]
[Example: Education]	Example: (3.1)Enrolment rate; (3.2)Completion or graduation rate; (3.3)Competency exam results.	Please select the option that best describes the main type of source used for each indicator: 1. Census and national survey data 2. Administrative data 3. Surveys data from international assessments (such as the Multiple Indicator Cluster Survey (MICS) or Demographic and Healthy Survey (DHS)) 4. Survey data generated by civil society organizations 5. Data generated by the private sector 6. Other data sources	How often is this indicator updated? 1. Less than once a month. 2. More than once a month but less than every three months. 3. Every quarter. 4. Every semester. 5. Every year 6. Every two years. 6. More than 2 years	Is this indicator regularly updated (i.e. at fixed intervals)? 1. Yes 2. No	Is the data used to report on this indicator up-to-date (i.e. the lag between the date of the update and the reporting period is less than 6 months)? 1. Yes 2. No	On a scale from 1 to 4 (where 1 is "I very much disagree" and 4 is "I very much agree"), to what extent does this time lag prevent the data from informing timely policy decisions?	On a scale from 1 to 4 (where 1 is being very likely and 4 very unlikely), to what extent is the data used to report on this indicator accurate?
		Example: [2]	Example: [4]			[ ]	[ ]
[Randomly attributed]	1 [Select from the list provided]	[ ]				[ ]	[ ]
[Randomly attributed]	2 [Select from the list provided]	[ ]				[ ]	[ ]
[Randomly attributed]	3 [Select from the list provided]	[ ]				[ ]	[ ]
[Randomly attributed]	4 [Select from the list provided]	[ ]				[ ]	[ ]
[Randomly attributed]	5 [Select from the list provided]	[ ]				[ ]	[ ]

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

Strategic Alignment

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

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

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

12. National governments often use statistical indicators to identify the most deprived population groups (in other words, the population that is at risk of being left behind). Although these measurements often refer to poverty indicators, they may also refer to broader notions of individual wellbeing such as multidimensional poverty index, marginalisation index, or index of vulnerability. In order to identify the population that is being left behind, does the country have such an official data-driven assessment?
[Yes, No]
[Filter: If yes pass to 13. If not pass to 18]

13. If yes, what is the main measure that is being used to identify the most deprived groups in the country:
❑ Poverty measurement (e.g. income, expenditure or multidimensional)
❑ Vulnerability measurement (e.g. to climate change)
❑ Marginalized measurement (e.g. access to public services)
❑ Subjective measures (e.g. happiness or life satisfaction indicators)
❑ Other type of achievements/deprivation information _____

Is this assessment publicly available?
[Yes, No]

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

14. When did this assessment last take place?
[Specify the concluding year of the data collection YYYY (regardless of the year of publication)]
[_ _ _ _]

15. Is data from this assessment also available at subnational levels (i.e. States/Provinces or more disaggregated levels District/Municipality)?
[Yes, No]
[Filter: If not pass to 16]

15.1. Please specify

- ❑ States/Provinces
- ❑ District/Municipality
- ❑ Other

16. What are the data sources used in this assessment?
[Please tick as appropriate]
- ❑ Census and national survey data
- ❑ Administrative data
- ❑ Surveys data from international assessments (such as the Multiple Indicator Cluster Survey (MICS) or Demographic and Healthy Survey (DHS))
- ❑ Survey data generated by civil society organizations
- ❑ Data generated by the private sector
- ❑ Other data sources   [Specify]

17. Are the development priorities, targets and results indicators in this development strategy informed by this data-driven assessment?

[Yes, No]

17.1. Please specify
- ❑ Development priorities
- ❑ Targets
- ❑ Results indicators

18. Is (Are) there a progress report(s) of the national development strategy?
[Yes, No]

[Filter: If not pass to 19]

18.1. If Yes, how often are they formulated?
- ❑ Every year
- ❑ Every 2 years
- ❑ Every 3-4 years

18.2. Every 5 years   Is the most recent report publicly available? [Type web link here]

If Yes (to 18).

18.3. How is the progress against the national development strategy or government plan reported?
- ❑ A central unit collates all the data from different sources and produces a unified progress report
- ❑ Several ministries (and/or entities) are responsible for collating the data, but a central unit produces a unified progress report
- ❑ Several line ministries (and/or entities) are responsible for collating the data and producing sector or thematic progress report(s)
- ❑ Responsibilities for data collection are fragmented across the government, and only some entities have produced progress report(s)

19. Does the government use the national strategy/plan (or its progress reports) to inform dialogue with stakeholders groups and/or representatives of vulnerable groups of the population on development priorities and results?

[Yes, No]

[Filter: If not pass to 19.2]

19.1. If yes, please indicate the stakeholder:
- ❑ Dialogue with development partners
- ❑ Dialogue with parliaments
- ❑ Dialogue with CSOs representing women
- ❑ Dialogue with CSOs representing youth and children
- ❑ Dialogue with CSOs representing vulnerable groups of the population [add all those relevant]
- ❑ Dialogue with Trade unions
- ❑ Yes, for dialogue with Private sector
- ❑ Yes, for dialogue with Foundations

19.2.   Please indicate other uses of the national strategy/plan (or its progress reports) among the following :

- ❑ To agree on priority sectors by development actor
- ❑ To agree on priority results by development actor
- ❑ To identify financing gaps
- ❑ To monitor country progress
- ❑ Other uses [specify]

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

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

Accountability mechanisms

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

These questions provide evidence on the following dimensions and components of the revised framework:

Dimension	Component
Whole-of-society approach to development	Engagement and dialogue
State and use of country systems	Accountability mechanisms
Transparency	Countries' action
Leaving no one behind	Consultation

Questions[5]

1. Policy framework for development co-operation

1. Is there a policy framework in place to guide development co-operation and partnerships?
[Yes, No]
[Filter: If Yes go to 1.1 & 1.2 | If No go to 2]

1.1. For which of the following stakeholders, the policy framework provides guidance? (please check all that apply):
- ❑ Bilateral development partners
- ❑ Multilateral organisations & development banks
- ❑ South-South co-operation partners
- ❑ Civil society organisations and NGOs
- ❑ Private sector
- ❑ Foundations
- ❑ Trade Unions
- ❑ Parliaments/ Legislative body
- ❑ Local governments

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[5] When compared to what contained under Indicator 7 of the former monitoring framework, questions have been restructured to break down double barrelled questions into simple dichotomous questions. The meaning of the questions remains unchanged as well as the computation method. This approach makes the assessment more rigorous and easier to be answered by the national coordinator while keeping it comparable with the past.

1.2. Which types of development co-operation does this policy cover? (please check all that apply):

- ❑ International grants
- ❑ International concessional loans
- ❑ International non-concessional flows with development objectives
- ❑ Technical development co-operation
- ❑ Other – please specify_____

[Complementary questions]

Does this policy framework indicate preferences for modality of support by development partners? (E.g. budget support, public sector support) [Yes/No]
Does this policy framework require development partners to report information on their development co-operation to your relevant information management system/s? [Yes/No]

2. Country-level targets for effective development co-operation

2. Are there country-level targets for effective development co-operation?
[Yes, No]
[Filter: If Yes go to 2.1 | If No go to next element]

2.1. Are these country-level targets specific to individual development actors?
[Yes, No]
[Filter: If Yes go to 2.2 | If No go to 3]

2.2 Stakeholders reflected in specific country-level targets
(please check all that apply)
- ❑ Bilateral development partners
- ❑ Multilateral development partners
- ❑ South-south co-operation partners
- ❑ Civil society organisations
- ❑ Private sector
- ❑ Foundations

Other [specify others stakeholders]

3. Assessment of progress towards country-level targets

3 Did the government carry out a mutual assessment of the above-mentioned development co-operation targets, with its development partners, in the past 3 years?
[Yes, No]
 [Filter: If Yes go to 3.1. | If No go to next element]

3.1. Are these mutual assessment(s) embedded in the government's regular development planning and monitoring process?
[Yes, No]
3.2. Are these mutual assessments performed on an ad-hoc basis or in regular intervals?
- ❑ These assessments are carried on an ad-hoc basis.
- ❑ These assessments are carried out on a regular basis.

[Complementary questions]

In the context of national SDG follow-up and review, do the above assessments (if any) contribute to the reviews of progress listed below?

- ❑ *Domestic country reporting on the Sustainable Development Goals*
- ❑ *Voluntary National Reviews submitted to the UN High-Level Political Forum*
- ❑ *Other [please specify]*

Did your country hold a national cooperation/partnership forum in the past 3 years? [Yes, No]

[If Yes] Has the mutual assessment (indicated in question 3)…

❏ *Informed the discussion at the national cooperation/partnership forum?*
❏ *Resulted in adopting joint actions or an action plan at the forum?*

4. Inclusiveness of assessments of country-level targets

4. Have other actors been involved in these mutual assessments?
   ❏ No, only national government and official development partners have been involved
   ❏ Yes, other actors, beyond government and official development partners, have been involved

[Filter: If Yes go to 4.1]

4.1. Which other actors have been involved in these mutual assessments?

   ❏ CSOs
      ❏ CSOs representing youth and children
      ❏ CSOs representing women and girls
      ❏ CSOs representing vulnerable groups [add all those relevant]
   ❏ Private sector
   ❏ Trade Unions
   ❏ Foundations
   ❏ Parliament/legislative body
   ❏ Subnational governments
   ❏ Academia
   ❏ Media/journalists
   ❏ Other [specify]

5. Public availability of assessment results

5. Are the results of such assessments made publicly available?
[Yes, No]

[Filter: If Yes go to 5.1]

5.1 How often are the results of the mutual assessments made available to the public?
   ❏ Within 3 months
   ❏ Within 1 year
   ❏ After more than a year later

If results are public, please include available electronic links to relevant platforms or most recent documents

Forward-looking spending plans and national budget

This part of the questionnaire looks at whether development partners have shared forward-looking spending plans with the partner government. It also provides information on development co-operation recorded in national budget of partner countries.

It provides evidence on the following dimensions and components of the revised framework:

Dimension	Component
State and use of country systems	National budget

Questions

<u>Forward spending plans to partner countries from development partners</u>

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

1. Fiscal year ending 20xx? [Yes, No]

2. Fiscal year ending 20xx? [Yes, No]

3. Fiscal year ending 20xx? [Yes, No]

<u>Development co-operation recorded on budget</u>

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

Gender budgeting

This part of the questionnaire corresponds to the measurement for <u>SDG Indicator 5.c.1 "Countries have systems to track and make public allocations for gender equality and women's empowerment"</u> (see metadata here), for which the Global Partnership monitoring exercise provides data on partner countries. It looks at government efforts to track budget allocations for gender equality throughout the public financial management cycle and to make these allocations publicly available. It links national budgeting systems with implementation of legislation and policies for gender equality and women's empowerment (SDG target 5.c). The questions are organised around three criteria. The first focuses on the intent of a government to address gender equality and women's empowerment (GEWE) by identifying if a country has gender responsive policies/programs and corresponding resource allocations to support their implementation. The second criterion assesses if a government has mechanisms to track resource allocations for GEWE throughout the public financial management cycle – from introduction of the budget through to evaluation of impact of expenditures. The third criterion focuses on transparency by identifying if a government has made information publicly available on allocations for gender equality and women's empowerment.

It provides evidence on the following dimension and component of the revised framework:

Dimension	Component
State and use of country systems	Gender budgeting – **SDG 5.c.1**

Questions

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

1.1. Are there policies and/or programs of the government designed to address well-identified gender equality goals, including those where gender equality is not the primary objective (such as public services, social protection and infrastructure) but incorporate action to close gender gaps? [Yes, No]

1.2. Do these policies and/or programs have adequate resources allocated within the budget, sufficient to meet both their general objectives and their gender equality goals? [Yes, No]

1.3. Are there procedures in place to ensure that these resources are executed according to the budget? [Yes, No]

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

2.1. Does the Ministry of Finance/budget office issue call circulars, or other such directives, that provide specific guidance on gender-responsive budget allocations? [Yes, No]

2.2. Are key policies and programs, proposed for inclusion in the budget, subject to an ex ante gender impact assessment? [Yes, No]

2.3. Are sex-disaggregated statistics and data used across key policies and programs in a way which can inform budget-related policy decisions? [Yes, No]

2.4. Does the government provide, in the context of the budget, a clear statement of gender-related objectives (i.e. gender budget statement or gender responsive budget legislation)? [Yes, No]

2.5. Are budgetary allocations subject to "tagging" including by functional classifiers, to identify their linkage to gender-equality objectives? [Yes, No]

2.6. Are key policies and programs subject to ex post gender impact assessment? [Yes, No]

2.7. Is the budget as a whole subject to independent audit to assess the extent to which it promotes gender-responsive policies? [Yes, No]

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

3.1. Is the data on gender equality allocations published? [Yes, No]

3.2. If published, has this data been published in an accessible manner on the Ministry of Finance (or office responsible for budget) website and/or related official bulletins or public notices? [Yes, No]

3.3. If so, has the data been published in a timely manner? [Yes, No]

In addition to the above questions, a set of optional questions is also asked as part of this assessment[6].

[Complementary information – not part of SDG 5.c.1]

Does your country have in place similar systems [to track and make public budget allocations] for any of the following?

- ❑ *Poorest*
- ❑ *Youth and children*
- ❑ *Elderly*
- ❑ *[…]*
- ❑ *Other*

---

[6]The optional questions are the following: 1. Is there a requirement to apply a gender perspective in the context of setting budget-related performance objectives (e.g. program-based or performance-related budgeting)? 2. Do subnational levels of government have systems to track allocations for gender equality? 3. Do subnational levels of government make the allocations for gender equality public? 4. Is a budget execution report provided, during the year or at year-end, showing the extent to which allocations for gender equality have been applied in practice? 5. What is the level of resources both in absolute terms (national currency) and as a percentage of total public expenditure, allocated to gender responsive policies and/or programs in the last financial year? A. In absolute terms (national currency); B. As percentage of total public expenditure. 6. Has the Ministry of Finance consulted with the Ministry of Gender Equality or relevant government body on the necessary allocations for gender equality and women's empowerment? 7. Do women's organizations and parliamentarians monitor local and national budget allocations for gender equality and women's empowerment? 8. Does tax policy include gender equality considerations in its design and implementation?

Information management systems for development co-operation

These questions provide evidence on the state of country-level information management systems for development co-operation, the extent to which development partners report to those systems, and whether governments are making information on development co-operation to the parliament and their citizens.

These questions provide evidence on the following dimension and component of the revised framework:

Dimension	Component
Whole-of-society approach to development	Parliamentary oversight
State and use of country systems	Information management
Transparency	Countries' action

Questions

A: State of country-level information management systems for development co-operation

[An information management system for development co-operation is an information and communication application that enables development partners to share data on development co-operation with the partner country government. They are generally owned and managed by governments and populated with the information that development partners are providing to that country. Partner country governments can use them to report on the development co-operation they receive. Aid Information Management Systems are the most common type of these systems.]

1.   Does your country have an Aid Information Management system in place? [Yes/No]
If No
1.1. Do you have another system in place to capture development co-operation information?
[Yes, No]

If yes, please specify

          [If yes to 1 and/or 1.1]
2. Is the information in this (these) system(s) used to inform public financial management or debt management?
[Yes, No]

     (if Yes to 1):

3.   Which type of development partner are expected to report to your system?
   ❑   Bilateral partners
   ❑   United Nations Organisations
   ❑   Multilateral Development Banks
   ❑   International foundations
   ❑   International NGOs

4.   Please indicate the type of development co-operation flows for which your system gathers information on:
   ❑   International grants
   ❑   International concessional loans
   ❑   Non concessional flows with development objectives
   ❑   Technical development co-operation
   ❑   Other – *please specify_____*
5.   Which type of development co-operation does your system allow to record?
   ❑   Budget support provided by development partners
   ❑   Project-type support

[follow-up questions]
5.1. If the system does not include budget support, is it recorded in another system? [Yes, No]

5.2. For the project-level information, which of the following elements does your system allow to record?
   ❑   Start and end date

- ❑ Sector of intervention
- ❑ Objectives
- ❑ Expected results
- ❑ Amounts (when applicable)
- ❑ Implementing partner

6. How frequently do you request development partners to report/update information to this/these system/s?
   - ❑ Less than once a year
   - ❑ Once a year
   - ❑ More than once a year

7. For each of your development partners reporting in this exercise, please indicate below:

Name of Organisation or Agency	Does this development partner report to your system?	[If yes] Does this development partner report at the frequency you request (in line with the frequency indicated in question 6)?	Does this development partner provide comprehensive information?
XYZ	Yes/No	Yes/No	Yes/No

8. If any, what would you identify as the main challenges to the functioning of this system? (check all those that apply):
   - ❑ Lack of resources to maintain the system operative
   - ❑ Lack of staff to manage the system and underline processes (e.g. requesting updates from development partners, extracting and analysing the information reported)
   - ❑ The system is not compatible with other government systems
   - ❑ Other [specify]

B: Transparency of development co-operation information

9. Do you make information on development co-operation publicly available? (yes/no)
If yes, how?
   - ❑ (if Yes to question 1 - information management is in place): AIMS can be accessed on the web (provide web link)
   - ❑ Annual reports are made available online (provide web link)
   - ❑ Annual reports in national language are made available online (provide web link)
   - ❑ The public is informed about annual reports through a press release or through social media
   - ❑ Other (please specify)

10. Do you have a specific procedure to report information development co-operation to Parliament? (yes/no)

QUESTIONS FOR DEVELOPMENT PARTNERS

Development partners' country-level strategies

These questions provide evidence on key features of development partners' country-level strategies including whether strategies have been developed in an inclusive manner, whether they include reference to the SDGs, and whether they focus on vulnerable and marginalised segments of the population. They also provide evidence development partners' support to strengthen national systems.

These questions provide evidence on the following dimension and component of the revised framework:

Dimension	Component
Whole-of-society approach to development	Engagement and dialogue
State and use of country systems	Planning Public financial management Accountability mechanisms Information management
Transparency	Development partners' action
Leaving no one behind	Consultation Targets and results

	Data and statistics

Questions

<u>Inclusiveness of development partners' countries strategies</u>

1. At this moment, is there a <u>country strategy</u> or programme that guides your <u>development interventions</u> in the country? [Yes, No]

    If Yes, please indicate the period it covers and provide the link to the document or include an electronic copy of it when you submit your answers to the questionnaire.

Development partners that answered yes to 1 continue the survey

2. Has the national government been involved in the preparation of the strategy?
    ❑ Yes, consulted in the preparation;
    ❑ Yes, strategy signed off by the government;
    ❑ No

   [If strategy signed off by the government] does it include agreement on:
    ❑ preferred co-operation modalities [Yes, No]
    ❑ use of PFM systems [Yes, No]

3. What type of co-operation does your country strategy cover?
    ❑ Bilateral co-operation only
    ❑ Bilateral co-operation and co-operation through the multilateral system
    ❑ Other [please specify]

4. Have any of the following **country-level** stakeholders [in the partner country] been engaged in the preparation of your country strategy/programme[7]?

    ❑ Civil society organisations (CSOs) from the partner country
       ❑ CSOs representing women and girls
       ❑ CSOs representing youth and children
       ❑ CSOs representing vulnerable groups [add all those relevant]
    ❑ Trade Unions
    ❑ Private sector from the partner country
    ❑ Foundations from the partner country
    ❑ Subnational governments
    ❑ Other providers of development co-operation
    ❑ Other [to be specified]

<u>Reference to the Sustainable Development Goals</u>

5. How are the 2030 Agenda and SDGs incorporated or referenced in your country strategy or partnership framework? *[Multiple answer among the following options]*

    ❑ The 2030 Agenda/SDGs are referenced at strategic level [in the narrative]
    ❑ SDGs are referenced at goal level [in the narrative or results framework]
    ❑ SDGs are referenced at target level [in the results framework]
    ❑ SDGs are referenced at indicator level [in the results framework]
    ❑ There is no reference to the Agenda 2030 and the SDGs in the current country strategy or partnership framework
    ❑ There is no reference to the SDGs as the strategy was approved before September 2015.

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[7] Please note that the government involvement is included in a separate question not indicated in this paper. Full questionnaire can be found in Annex 1.

<u>Leaving no one behind</u>

Does your country strategy include development priorities for … ? [8]

	Yes/No/not applicable to the country
o The poorest o Women and girls o Youth and children o Elderly o People with disabilities o People in disadvantaged geographical areas o Indigenous people o Ethnic minorities o Internally displaced people o Stateless people, asylum-seekers and refugees o Sexual and gender identity (LGBTIQ+[9]) o Population vulnerable to climate change o Other (to be added by the country as relevant)	[to be responded for each]

7. How have these groups been identified?
   ❑ Assessment based on existing data from the national statistical system
   ❑ Assessment based on data from international surveys
   ❑ Ad hoc assessment undertaken by your organisation
      ▪ If yes, was this assessment shared and discussed
      ❑ (a) with the partner country government and/or
      ❑ (b) with representatives of these groups?
   ❑ Joint assessment between the partner country government and your organisation
   ❑ Other sources [specify]

8. Does your country strategy/partnership framework include support to increase the capacity of the following to organise and represent themselves?
   ❑ women and girls
   ❑ youth and children
   ❑ other vulnerable and marginalised groups [please elaborate]

<u>Support to strengthening national systems</u>

[Complementary questions]

Does your strategy/country programme includes support to strengthen…?
   ❑ *Partner country development planning capacity*
   ❑ *PFM systems*
      ❑ *Yes, by contributing financially to a multi-donor PFM program;*
      ❑ *Yes, through technical co-operation project(s)*
      ❑ *Yes, other (specify)*
      ❑ *No*
   ❑ *Aid Management Information Systems (AIMS) or similar systems at country level*

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[8] In the assessment on the quality of national development strategies and results framework (see 2.1) specific questions are asked in relation to LNOB-related targets and results indicators (in addition to objectives) for different vulnerable groups. Within the country strategies of development partners, these same questions are not asked, because if aggregated in a profile they will lose meaning and would not provide relevant information (while for partner countries that information could be represented in a country profile). Nevertheless, similar questions are asked within the assessment on the use of country-owned indicators by development partners (see 2.3)

[9] Lesbian, Gay, Bisexual, Trans(gender), Intersex persons, gender non-conforming, as well as other individuals whose sexual orientation, gender identity, gender expression and/or sex characteristics do not conform to prevailing sociocultural norms." Taken from a UNHCR brochure https://www.unhcr.org/protection/operations/60db21c9254/tip-sheet-applying-unhcr-age-gender-diversity-policy-lgbtiq-persons.html. It is worth it to note that while different gender identities are included in the list under question 6, the same is not reflected in questions 7 and 13. This is to recognise that collecting such data can be very dangerous for these individuals in some countries, and therefore should not be universally encouraged.

- ❑ *Yes, by contributing financially to the establishment/maintenance of the system;*
- ❑ *Yes, through technical co-operation project(s)*
- ❑ *Yes, other (specify)*
- ❑ *No*

If applicable, please provide key challenges to reporting to AIMS or similar systems at country level
- ❑ *AIMS (or similar system) is not fully operational*
- ❑ *No regular calls for updates*
- ❑ *Difficult to provide [your own] project information in the format requested by the government*
- ❑ *Not clear if/how the information is used*
- ❑ *Decision not to report to government on specific projects deemed sensitive*
- ❑ *Other [specify]*

Development partners' country-level interventions (17.15.1)

These questions provide evidence to report on <u>SDG indicator 17.15.1 on the use of country-owned results frameworks and planning tools by providers of development co-operation</u> providing a proxy for the degree of policy space and leadership accorded to a country in establishing its own path towards poverty eradication and sustainable development. They look at the alignment of development partners with country-owned development objectives, results as well as their progressive reliance on countries' own statistical systems to track progress in achieving the intended results.

These questions provide evidence on the following dimension and component of the revised framework:

Dimension	Component
State and use of country systems	Respect country's policy space
Leaving no one behind	Data and statistics

Questions

Development partners report on their six (6) largest programmes or projects, from all the new interventions above USD 100,000 <u>approved</u> in the country during the full calendar year preceding the year they are taking part in the monitoring exercise in a given partner country[10]. Development partners should report only on projects for which they have been responsible for/have approved the development of objectives, and results indicators even if implemented by a third party[11]. Emergency response interventions should not be reported under this assessment.

BASIC DESCRIPTORS

1. Name of the intervention: [Name of the programme/project]
2. Approved amount for the intervention: USD ___
3. Approval date: [Month / Year]
4. Implementing actor: ____ [Note: options offered in the data submission tool]

Provide the electronic link to the document describing the project/programme at approval.[12]

ASSESSMENT FIELDS
5. Where are the objective/s of the intervention drawn from?

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

[11] If the development partner provides delegates the project to a third entity (a NGOs or a multilateral) which will be fully responsible of the project design and implementation, that project should not be reported under this assessment.

[12] This will facilitate review and validation by partner country government and the JST.

- ❑ National development strategy
- ❑ Sector/planning tools
- ❑ Ministry plans
- ❑ Local government plans
- ❑ Multi-donor trust fund co-led by the government
- ❑ Other government planning tools
- ❑ Objectives not drawn from government planning tools

[Complementary question]

If answer to the question above is "objectives not drawn from government planning tools", please indicate the main reason among the following options:

- ❑ *The intervention's objectives align with objectives identified by the international community that are not reflected in the national development strategy nor in other government planning tools. If this option is ticked:*
  - ❑ *Source of objectives identified by the international community is the SDGs*
  - ❑ *Source is not the SDGs*
- ❑ *The intervention responds to needs of the population/ population groups that are not reflected in the national development strategy nor in other government planning tools*
- ❑ *The intervention responds to a request from the partner country government that is not reflected in its own planning tools*
- ❑ *The intervention's objectives reflect your own corporate strategy /comparative advantage as a provider*
- ❑ *Other [open field for answer]*

6. Does the intervention have a results framework or logical framework? [Yes/No]
7. How many results indicators are included in the results framework or logical framework of this intervention? [Number]
    a. Among the indicators included in the results framework of this intervention, how many are drawn from existing government results frameworks, plans and strategies? [Number]
    b. How many results indicators will be reported using sources of information directly provided by existing government monitoring systems or national statistical services? [Number]

[Complementary questions]

If relevant, please indicate:

- A. *The reason for little or no drawing results indicators from Country Results Frameworks:*
  - ❑ *The intervention addresses issues that are not considered priorities for the government*
  - ❑ *There are no results indicators in country results frameworks, plans and strategies*
  - ❑ *The results indicators included in country results frameworks, plans and strategies are not of adequate quality to measure progress for this intervention*

- B. *For not reporting those indicators using data from the national statistical system:*
  - ❑ *There are no data available from the national statistical system to monitor progress on the results indicators*
  - ❑ *Data from the national statistical system exist but unavailable in a timely manner*
  - ❑ *Data from the national statistical system are available but their quality is not adequate to measure progress for this intervention*
  - ❑ *Other [to be added as relevant]*

- C. *If, instead of results indicators from Country Results Frameworks, you used:*
  - ❑ *results indicators generated in the partner country*
    - o *from academia (universities, research institutes, etc.)*
    - o *from domestic CSOs*
    - o *from the domestic private sector*
  - ❑ *Results indicators defined by your organisation*
  - ❑ *Other [to be added as relevant]*

- D. *If, instead of data from the national statistical system, you used:*
  - ❑ *data generated in the partner country…:*
    - o *by academia (universities, research institutes, etc.)*
    - o *by domestic CSOs*
    - o *by the domestic private sector*

8. In the design of the reported intervention, have you used distributional analysis (e.g. poverty indices, deprivation indicators) or disaggregated data to define:
    a. targets for the beneficiaries? [Yes/No/not applicable to the project]
    b. results indicators? [Yes/No/not applicable to the project]

Development co-operation flows scheduled and disbursed at country level

These questions provide evidence to assess the proportion of development co-operation: disbursed as development partners had scheduled at the beginning of the year; and the proportion of development co-operation disbursed to a given country that is managed using the partner country's national norms, procedures and systems for budget management and execution, financial reporting, auditing and procurement – instead of using the development partner's own norms, procedures and systems.

These questions provide evidence on the following dimension and component of the revised framework:

Dimension	Component
State and use of country systems	National budget Public financial management

Questions

1. How much development co-operation flows did you disburse at country-level in the reporting year of reference? USD _____

[This question covers all flows disbursed to the country, including disbursements to the public sector and also direct support to non-governmental organisations, civil society, private sector and other non-state domestic actors in the partner country.]

2. How much of this was disbursed to the public sector in the reporting year of reference? USD _____

[This question covers flows disbursed only to the public sector. It does NOT include flows disbursed via other bilateral or multilateral development organisations.]

3. How much development co-operation flows for the public sector did you schedule for disbursement at country-level in the reporting year of reference? USD _____

[This question covers flows planned to be disbursed only to the public sector entities in the country. It does NOT include flows planned to be disbursed via other bilateral or multilateral development organisations.]

4. How much development co-operation flows for the public sector did you disburse through other development partners at the country level in the reporting year of reference? USD _____

[Amounts reported here are not captured in responses to Qp1-Qp3. They refer to the indirect support you provided to the country via other official bilateral and multilateral agencies.]

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

5. …government budget execution procedures (USD)? _____

6. … government financial reporting procedures (USD)? _____

7. … government auditing procedures (USD)? _____

8. … government procurement systems (USD)? _____

[Complementary question] If your disbursements to the public sector in the year of reference differs from what you had scheduled for disbursement, please indicate the main reasons.

❑ *Differences in disbursements due to changes in country context*
❑ *Differences in disbursements due to changes in DP priorities/country-level strategy*

- *Under disbursement due to limited absorptive capacity of partner country systems, including for financial management*
- *Under disbursement due to delays in project expenditure from the government (of previous disbursements)*
- *Under disbursements due to concerns over governmental instability*
- *Under disbursement due to preference to build capacity of implementing partners with limited absorptive capacity*
- *Over disbursement due to provider side pressure for budget delivery*
- *Other [specify]*

[Complementary question] If not all your funding disbursed to the public sector was channelled using government's PFM systems, please indicate the main reasons behind it:

- *Poor quality of PFM systems– please check PEFA scores[13] for the country before answering*
- *quality of PFMs system does not meet your corporate fiduciary risk assessment*
- *reluctance to use PFM systems because of persisting political, reputational and fiduciary risks*
- *Non- adherence of the government to core principles (e.g. human rights, good governance, and democratic principles)*
- *Limited absorptive capacities of partner country systems and institutions*
- *Preference to use your [provider] own systems, for reasons different from those indicated above [specify]*
- *Other [specify]*

QUESTIONS REPORTED THROUGH A MULTISTAKEHOLDER PROCESS

Civil society: enabling environment and development effectiveness

These questions provide evidence to assess the extent to which governments and development partners contribute to an enabling environment for Civil Society Organisations (CSOs); and the extent to which CSOs are implementing the development effectiveness principles in their own operations.

These questions provide evidence on the following dimension and component of the revised framework:

Dimension	Component
Whole-of-society approach to development	Enabling environment for Civil Society Organisations

Questions

[Each of the 16 questions has its own scale of response options that are composed of 4 levels, each containing detailed characteristics of practice (available here). These characteristics of practice remain the same as in 2018 with a small language adjustment made to emphasise the LNOB elements already captured under this assessment. To answer these questions, a multi-stakeholder dialogue between government, CSOs and development partners is suggested. This dialogue can happen with focal points from CSOs and development partners who should bring representative views from their respective constituencies. CSO focal points are encouraged to reach out to a variety of organisations in the country in order to collect their perspectives and bring representative contributions to the dialogue. To enable this diverse outreach, trade unions and philanthropic organisations can provide country contacts, which CSO focal points can reach out to for collecting inputs on these questions.]

Module 1: Space for CSO dialogue on national development policies

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

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

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[13] This information may be available in the reporting tool, if technically possible.

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

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

Module 2: CSO development effectiveness: Accountability and transparency

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

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

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

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

Module 3: Development co-operation with CSOs

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

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

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

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

Module 4: Legal and regulatory framework

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

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

4C. To what extent are CSOs working with vulnerable and marginalised groups of the population and at-risk groups effectively protected from discrimination?

4D. To what extent does the legal and regulatory environment facilitate access to resources for domestic CSOs in partner countries?

[Complementary and optional to be answered by philanthropic organisations and trade unions]

- *Is there an issue from the questionnaire that is particularly relevant to your type of organisation where you would like to provide a different perspective? [specify]*

- *Did the civil society focal point consult philanthropic organisations? If yes, provide name, organisation and email address of the person consulted. [optional, to facilitate their future engagement]*
- *Did the civil society focal point consult trade unions? If yes, provide name, organisation and email address of the person consulted. [optional, to facilitate their future engagement]*

Private sector engagement through development co-operation (Kampala Principles assessment)

The questions for the assessment of the Kampala Principles are contained in the Annex III. As the KPs assessment is an entirely new assessment area for the monitoring exercise, those questions are a very initial draft – to a greater degree than other areas of the framework which have been subject already to consultation and/or are adjustments to existing measurement areas. As such, the draft KPs assessment will be subject to additional consultations over the course of 2022.

INFORMATION COLLATED FROM EXTERNAL ASSESSMENTS (FOR REFERENCE)

Quality of development partners' reporting to international transparency systems and standards

Data is collated by the JST from three different systems and standards that provide online data on development co-operation in an open and accessible manner. These are the OECD-DAC Creditor Reporting System (CRS), the OECD-DAC Forward Spending Survey (FSS), and the International Aid Transparency Initiative standard (IATI). The JST collaborates with the OECD and IATI Secretariat to obtain the scores. No data collection is required at country level for this element.

State of countries' public financial management (PFM) systems

Data is collated by the JST using the following nine dimensions of the available PEFA assessments, for the two most recent assessments:

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

No data collection is required at country level for this element.

Untied Official Development Assistance

Data is collated by the JST using the most recent information available at the OECD Creditor Reporting System which is self-reported by the members of the Development Assistance Committee (DAC). Results are only available for bilateral development partners that report on untied ODA status to the OECD DAC. No data collection is required at country level for this element.

Annex III. DRAFT Kampala Principles (KPs) Assessment

I.   Introduction

Important disclaimer: As the KPs assessment is an entirely new assessment area for the monitoring exercise, those questions are a very initial draft – to a greater degree than other areas of the framework which have been subject already to consultation and/or are adjustments to existing measurement areas. As such, the draft KPs assessment will be subject to additional consultations over the course of 2022.

In the pages that follow, **all information and questions should be considered as draft/proposed, even if not explicitly labelled as such.** This initial work to iterate the questionnaires is based on expectations expressed by stakeholders during consultations in 2020 and 2021 (including but not limited to dedicated discussions with the GPEDC Business Leader Caucus and the Action Area 2.1 Working Group on Private Sector Engagement); guidance from the Global Partnership Steering Committee; and feedback received on the technical paper circulated on the GPEDC Knowledge Platform in October 2021 which proposed the parameters for the KPs assessment.

The KPs assessment questions are proposed to provide evidence on the following dimensions and components of the revised framework:

Dimension	Component
Whole of society	Private sector engagement in development co-operation
Leaving no one behind	Targeted focus of private sector engagement

The structure of this annex is as follows:

Part II: Overview of key metrics to monitor the application of the Kampala Principles
Part III: Questionnaires for Data Collection :
   a.   Partner Country Governments
   b.   Development Partners
   c.   Private Sector Representatives
   d.   Trade Unions
   e.   Civil Society Organisations

II.   Overview of key metrics to monitor the application of the Kampala Principles

The overall objective of the Kampala Principles assessment is to gather information at the national level on whether the 'building blocks' are in place for effective engagement of the private sector in development co-operation. The information generated should be useful to stimulate inclusive, multi-stakeholder action dialogue at the national level. This in turn should inform actions at policy, programming and operational levels for effective private sector partnerships supported by development co-operation.

The draft assessment has the following key characteristics and objectives:

   a) **Assess the application of key aspects of the five Kampala Principles at the national level through seven key metrics (explained below).**

      ✓ The first key metric is chosen to **assess how Development Partners engage the private sector in development co-operation at the national level.** This includes collecting

information on the modalities for private sector engagement used (such as policy dialogue, technical assistance, capacity building, and knowledge sharing) and the type of private sector engaged (based on size, local or international ownership).

- ✓ The second key metric is chosen to **assess whether all relevant stakeholders at the national level are sufficiently aware of the key conditions** that make private sector partnerships for development co-operation more effective.

- ✓ The third key metric is chosen to **assess the state of policy framework at national level.** This includes whether the framework recognizes and/or defines the role of private sector engagement and partnerships in development cooperation. This further includes whether the framework sets clear expectations regarding priorities and objectives for private sector engagement with regard to specific sectors, geographies, and the inclusion of vulnerable groups. This includes whether any framework was developed through inclusive consultation with all relevant national stakeholders (through national development cooperation forums, etc). (KP1, KP3 and KP5).

- ✓ The fourth key metric is chosen to **assess whether inclusive dialogue on private sector engagement in development co-operation is taking place at the national policy level (see above), and also at the programme level**. In the latter case, it is important to assess whether stakeholders were sufficiently consulted during programme design and whether they continue to be involved throughout the programme life cycle. (KP 3 and KP 5).

- ✓ The fifth key metric is chosen to **assess whether the private sector partnerships (emerging from these consultative processes) are designed with a clear business case in mind, a clear perspective on sustainable results, and a credible effort to targeting those who are furthest behind**. Also, this metric assesses whether private sector projects have additionality, i.e., they are the preferred solution to create inclusive, sustainable development results. (KP 2 and KP 5).

- ✓ The sixth key metric is chosen to **assess the transparency and accountability of the partnerships** in place. (KP 2, KP 4 and KP5).

- ✓ The last key metric is chosen **to assess whether the private sector is aware of private sector engagement opportunities** and considers itself to be enabled to partner with other stakeholders in development co-operation. (Touching upon all five KPs).

- ✓ Finally, all metrics **assess whether sufficient investments were made and actions were taken to make the consultative processes and private sector partnership development inclusive and reach those who are furthest behind.**

b) Engage all relevant stakeholders in the process of assessing the application of the Kampala Principles.

The multi-stakeholder nature of the Kampala Principles emphasises the importance of inclusion of different stakeholders (in particular also those who may be furthest behind) for effective engagement of the private sector in development cooperation and assurance that related partnerships yield results for relevant target groups. In this assessment it is important to bring in the perspectives from all relevant stakeholders to be able to triangulate the information collected.

The different stakeholders who will be consulted in this assessment are:

- ✓ **Partner Country Government (PCG) representatives** (consulting relevant ministries and other government entities, e.g., Prime Minister's Office, Ministry of Finance, Ministry of Foreign Affairs, Ministry of Planning etc. that work on private sector projects, programmes and policies with the private sector involving development co-operation);

- ✓ **Development Partners (DPs)** (consulting foreign and development ministries, agencies, DFIs, government business promotion agencies, etc, as needed);

- **Private Sector (PS) representatives** (the assessment aims to have responses from large firms including those export oriented and MNCs operating in the country, and from SMEs, with particular emphasis on micro- and small-enterprises and related networks and associations, including from the informal sector);
- **Trade Union representatives** (with potential inclusion of other relevant actors such as ILO representatives)**.**
- **CSO representatives** (from a CSO network with specific experience on PSE).

c) Collate quantitative data and qualitative information available at the country level that combined provides sufficient detail and insight to inform country results briefs and national action dialogue in each partner country. The briefs can provide a substantive basis for the action dialogue. This allows all stakeholders to understand the results collected and come prepared to discuss them at the action dialogue

Table 1 below provides a more detailed overview of the key metrics. It shows what each specific metric measures. It lists the sub-elements which list the main data that will be collected through specific questions under each metric. It shows whether the key metric will provide qualitative information or quantitative data. Finally, it shows how the data generated through the metrics can be used for action dialogue and learning at the national level.

Table 1 Key Metrics to monitor the application of the Kampala Principles

Item	Detail
Key Metric 1: The prevalence of Private Sector Engagement at the country level	
What this measures	This metric will give an overview of how Development Partners engage the private sector in development co-operation at the national level.
Sub-elements	- Modality of Private Sector Engagement used by Development Partners at country level (policy dialogue, knowledge sharing, technical assistance, capacity development) - The type of private sector engaged (based on size, local or international ownership)
Information type	Quantitative (Measure the percentage of Development partners who engage in private sector engagement through development co-operation in a country) Qualitative (Information on the modality of Private Sector Engagement and type of private sector engaged)
How it can be used	The information collected from this metric can help stakeholders identify what is prevalent at national levels and who is engaged (type of private sector business). This can help trigger dialogue on the current state of Private Sector Engagement.
Key Metric 2: Perception on key conditions that make private sector partnerships for development co-operation effective	
What this measures	This metric will assess whether all relevant stakeholders at the national level are sufficiently aware of the key conditions that make private sector partnerships for development co-operation more effective.
Sub-elements	Knowledge about the different elements that make PS partnerships for development co-operation more effective.
Information type	Quantitative (Measure the percentage of stakeholders who are aware of the importance of all the different elements) Qualitative (Information on specific elements that are prioritized or nor prioritized by relevant stakeholder group at national level)
How it can be used	The information collected from this metric can help stakeholders understand whether relevant actors at the national level have an appropriate understanding on

	the essential "building blocks" for engaging the private sector effectively in development co-operations. This can help identify if awareness on certain elements is weaker and support action dialogue on how to improve knowledge on the related topic.
Key Metric 3: The state of private sector policy	
What this measures	This metric will assess the following things for the different stakeholder groups: Partner country government: Whether a partner country government has a national strategy (either as a stand-alone policy, or as a component of a broader development strategy) for working with the private sector in development cooperation. Development partner: Whether a development partner has a well-defined and country-specific private sector engagement policy in development cooperation aligned with PC development priorities. Private sector, trade unions and CSO representatives: Whether they have been consulted in the development of such policies or related elements thereof.
Sub-elements	- Existence of a national development co-operation policy/framework for working with the private sector in development cooperation - Whether it articulates how the private sector should be engaged in development co-operation - Whether it includes a results framework for assessing private sector engagement partnerships - Whether it includes the ambition to focus on vulnerable and poor populations through private sector engagement partnerships (specific sectors, geographies, or vulnerable groups) - Whether the policy/framework is developed through an inclusive process - Whether relevant stakeholders build institutional capacities to apply the policy/framework
Information type	Quantitative (Measure the percentage of partner country governments and development partners who have such a framework including the characteristics listed above) Qualitative (Information on the different characteristics of the policy/framework)
How it can be used	This information collected from this metric can help stakeholders identify if their policy/framework for working with the private sector in development cooperation is holistic and specific in its objectives. This can help trigger action dialogue on how to make the framework/policy better-defined and country-specific on the private sector engagement policy.
Key Metric 4: Inclusive dialogue on PSE through development co-operation	
What this measures	This metric will assess the following things for the different stakeholder groups: Partner country government and development partner: Whether there is institutionalized dialogue on private sector engagement through development co-operation at the national level policy level and also at the programme level. Private sector, trade unions and CSO representatives: Whether they have been included in such dialogues.
Sub-elements	- Whether multi-stakeholder dialogues are held at different levels: national development co-operation forum/dialogue on development co-operation/aid; - Who participates in such dialogues (specifically if there is representation of those most left behind) - The different kinds of innovative mechanism that are used to increase engagement (such as using technology to engage people in more remote locations)
Information type	Qualitative (Information on which stakeholders are engaged in different dialogues on private sector engagement in development co-operation).

How it can be used	The information collected from this metric can help stakeholders to identify if there are particular groups who tend to be more unrepresented across different dialogues. This can help trigger action dialogue to increase representation.

Key Metric 5: Private sector partnerships that utilize opportunities to maximize results for groups most in need, supported by sustainable business case and agreed exit strategy

What this measures	This metric will assess the following things for the different stakeholder groups: Development partners: Whether private sector partnerships are designed with a clear business case in mind, a clear perspective on sustainable results, and a credible effort to targeting those who are furthest behind. Partner country government, Private sector, trade unions and CSO representatives: Their perception on whether private sector partnerships are developed with the above listed characteristics.
Sub-elements	- Whether additionality is considered in private sector engagement programmes - Who are target beneficiaries - Whether privates sector engagement programmes include a risk checking mechanism to assess environmental, social and governance (ESG) risks in private sector engagement programmes - Whether the business case is considered - Whether a clear exit strategy is designed - Whether due diligence is conducted on potential private sector partners - Whether international standards (such as International Labour Organisation, UN Principles on Business and Human Rights, and the OECD Guidelines for multination-al enterprises) and local standards (ESG standards) are checked in private sector engagement programme design
Information type	Quantitative (Measure the percentage of development partners who design private sector partnerships which include all the characteristics listed above Qualitative (Information on the different characteristics)
How it can be used	The information collected from this metric can help stakeholders identify if any of the key characteristics are not considered or gets less priority in the design of private sector partnerships. This can help trigger action dialogue on what is needed improve the effectiveness of private sector engagement projects.

Key Metric 6: Accountability and transparency through results measurement and reporting

What this measures	This metric will assess the following things for the different stakeholder groups: Partner country government: Whether the private sector engagement policy includes an overarching results framework that can be used by stakeholders for private sector engagement projects. Development partner: Whether development partners use a results framework that is suited to assess the results for private sector engagement projects. Private sector: Whether they have been involved in developing results framework for private sector engagement partnerships (if they have been involved as partners)
Sub-elements	- Existence of an overarching results framework in a partner country government's engagement policy - Existence of a results framework that is suited to assess the results for private sector engagement projects at the national level. - Whether the results framework can be used to track development results (particularly on vulnerable groups) - Whether the results framework can be used to track business results - Whether the results framework has been developed jointly with private sector engagement project partners. - Whether the results measured using the framework is made publicly available. - How the results are shared

Information type	Quantitative (Measure the number of development partners who make results available publicly) Qualitative (Information on the kind of results that are made available at national level, such as development results, business results, expected results, actual results measured)
How it can be used	The information collected from this metric can help stakeholders identify the transparency and accountability mechanisms in place at national level. This can trigger action dialogue on how to improve the dissemination of results and learning from private sector engagement projects.
Key Metric 7: Private sector feels enabled to engage in partnerships supported by development co-operation	
What this measures	This metric will assess if the private sector is aware of private sector engagement opportunities and considers itself to be enabled to partner with other stakeholders in development co-operation.
Sub-elements	- Whether private sector is aware of private sector engagement opportunities - Whether the private sector feels enabled to partner with other stakeholders in development co-operation.
Information type	Qualitative (Information on specific issues that make it easy/difficult for private sector to participate in private sector partnerships)
How it can be used	The information collected from this metric can help stakeholders understand what the private sector perceives as key impediments that may restrict them to engage in more private sector engagement projects. This can help trigger action dialogue on how to address the relevant constraints.

III.   Questionnaires for data collection

a. Questionnaire for Partner Country Governments

Prevalence of PSE at country level (Key Metric 1)

A. To your knowledge, which development partners (most) actively engage the private sector in their development co-operation projects and programmes in your country?

1. Perception on key conditions that make private sector partnerships for development co-operation effective (Key Metric 2)

1.1 From your perspective, what are the key conditions that make private sector partnerships for development co-operation effective? (Multiple answers possible)
- A clear national policy to engage the private sector in development co-operation
- Regular consultation and dialogue with multi-stakeholders on PSE through development co-operation to agree on priorities, identify solutions to shared challenges and build longer term partnerships
- Inclusion of those with lesser capacity in dialogue on private sector engagement through development co-operation
- Development of PSE partnerships that maximize results for groups most in need
- Development of PSE partnerships that include a sustainable business case for private sector partner
- Making results of PSE partnerships available to the public

1.2 Are you aware of the Kampala Principles (Yes/No)

2. The state of policy framework (Key Metric 3)

2.1 To what extent was your government involved/consulted in the development partners' (listed above in A) decisions to work with the national or international private sector in their development co-operation for your country?
- i)   Very involved
- ii)   Somewhat involved
- iii) Not involved at all

2.2 Do you have a national development co-operation policy that articulates how the private sector should be engaged in development co-operation, with a view to contributing to sustainable development in your country? (Yes/No)
If yes, continue to 2.2.1, otherwise go to 2.2.2.
- 2.2.1   If yes, hyperlink to the document or upload a copy: _____
- 2.2.2   Is there another document that articulates the same? (Yes/No) If yes, hyperlink to the document or upload a copy: _____
- 2.2.3   Is this document made publically available? (Yes/No)
- 2.2.4   Do the documents identified in 2.2.1 or 2.2.2 explicitly include the following (multiple answers possible):
  - i)   Rationale on why to work with the private sector
  - ii)   Priority sectors
  - iii) Priority regions
  - iv)   Clear roles and responsibilities across the central government for implementing, monitoring, and overseeing PSE objectives
  - v)   Targets for reaching vulnerable and poor populations. Specify which groups (multiple answers possible):
    - The poorest
    - Women and girls
    - Youth and children
    - Elderly
    - People with disabilities

- People in disadvantaged geographical areas
- Indigenous people
- Ethnic minorities
- Internally displaced people
- Stateless people, asylum-seekers and refugees
- Sexual and gender identity (LGBTIQ+[1])
- Population vulnerable to climate change
- Others, specify: _____

vi) A commitment to in-depth, inclusive and systematic consultations and dialogues with specific stakeholder groups? Specify with which stakeholder groups:
   - Different government departments, specify: _____
   - Local governments, specify: _____
   - Development partners
   - Business community, specify:
     - Multinational companies
     - Large domestic companies
     - SMEs
     - Micro enterprises
     - Associations
   - CSOs
   - Trade Unions
   - Co-operatives
   - Community leaders
   - Academia
   - Others: _____

vii) A reference to specific national standards to be used in projects with the private sector? (such as ESG standards, labour rights)? (Yes/no) If yes, specify which:_____

viii) An overarching results framework that can be used by stakeholders at the project level? (Yes/No)

2.2.5 Has this document been developed in consultation with any of the following actors (multiple answers possible):
i) The Prime Minister's Office (Head of Government)
ii) Relevant Ministries across the National Government
iii) Business community, specify:
   - Multinational companies
   - Large domestic companies
   - SMEs
   - Micro enterprises
iv) Associations
v) Trade Unions
vi) CSOs
vii) Development Partners

2.3 Have you invested in capacity building and training opportunities for your staff or other project partners to ensure they can support the development and implementation of PSE projects? (Multiple answers possible)
i) Own ministry
ii) Other line ministries
iii) Other government agencies
iv) Local government
v) Other project partners, specify _____

3. Inclusive dialogue on PSE through development co-operation (Key metric 4)

3.1 Are there Development Partners who frequently/regularly consult with you in designing their PSE strategy and projects in the country? (Yes/No) If yes, specify which development partners consult most frequently: _____

3.2 Which stakeholders participate in your national development co-operation forum/dialogue on development co-operation/aid?
    i)   Different government departments, specify: _____
    ii)   Local governments, specify: _____
    iii)   Development partners
    iv)   Business community, specify:
            -    Multinational companies
            -    Large domestic companies
            -    SMEs
            -    Micro enterprises
    v)   Associations
    vi)   CSOs
    vii)   Trade Unions
    viii)   Community leaders
    ix)   Co-operatives
    x)   Academia
    xi)   Others: _____

3.3 Do you hold regular consultations with different stakeholders that are involved in private sector partnerships and projects? (Yes/No). If yes, specify with which stakeholder groups:
    i)   Different government departments, specify: _____
    ii)   Local governments, specify: _____
    iii)   Development partners
    iv)   Business community, specify:
            -    Multinational companies
            -    Large domestic companies
            -    SMEs
            -    Micro enterprises
            -    Associations
    v)   CSOs
    vi)   Trade Unions
    vii)   Community leaders
    viii)   Co-operatives
    ix)   Academia
    x)   Others: _____

3.4 Do you use any innovative engagement modality to increase the voice in partnerships and projects of those private sector entities with less capacity such as micro, small, and medium-sized enterprises or the informal sector?
    i)   No
    ii)   Yes. What innovative mechanism do you use?
            -    Use people with business knowledge to convene the discussions
            -    Use of online meeting platforms to reach remote locations
            -    Using local contact personnel who speak the same language/dialogue as different groups
            -    Others, specify: _____

4.   Private sector partnerships that utilize opportunities to maximize results for groups most in need, supported by sustainable business case and agreed exit strategy (Key metric 5)

4.1 In your opinion, do you think PSE projects are justified (i.e. the preferred solution to realizing inclusive, sustainable results? (Yes/No). If yes, why? (Multiple answers possible)

<blockquote>

i)   If private sector by itself does have a commercial interest to make/deliver products and/or services for the most poor and vulnerable

ii)   If private sector lacks the skill to make/deliver products and/or services for the most poor and vulnerable

iii) If private sector lacks financial capacity to make/deliver products and/or services for the most poor and vulnerable

iv) Others: _____

</blockquote>

5. Accountability and transparency through results measurement and reporting (Key metric 6)

5.1 Do you have a national country results framework that specifically includes development priorities, targets, and associated indicators for PSE in development co-operation? Yes/No. *If yes, continue to 5.1.1, otherwise go to 5.2*

    5.1.1   Please hyperlink to the document: _____

    5.1.2   Is this document made available to development partners? (Yes/No)

    5.1.3   Does your management information system(s) which is used to collect information on development co-operation allow you to identify projects that involve the private sector?

    5.1.4   Do you make the results collected publicly available? (Yes/No) If yes, Link: __

5.2 Do you have a grievance sharing mechanism in place where all PSE project partners upward (towards headquarters) and downward (down to local beneficiaries) can share their concerns? (Yes/No) If yes, specify the actors who can report their grievances:

       i)   Government departments, specify: _____

       ii)   Local governments, specify: _____

       iii) Development partners

       iv) Business community, specify:

- Multinational companies
- Large domestic companies
- SMEs
- Micro enterprises
- Associations

   -   CSOs

   -   Trade Unions

   -   Community leaders

   -   Co-operatives

   -   Others: _____

5.3 Do at least five or more development partners in your country share information related to their PSE contribution along with results achieved with you? (Yes/No). *If no, why?*

    vi)   They are not mandated to do so

    vii) There is no system in place for them to easily report results (e.g. a knowledge sharing platform)

    viii) It is too cumbersome to get results from multiple DPs

    ix)   Other, specify:_____

b. Questionnaire for Development Partners

Prevalence of PSE at country level (Key Metric 1)
- A. Do you engage the PS in your DC in this country (i.e. at least one private sector entity is directly part of development co-operation projects/programmes)? (Yes/No) *If yes, continue with the remaining questions.*
- B. How many PSE projects do you have under your current portfolio?
- C. What private sector engagement mechanism do you use? (Multiple answers possible)
     - v) Financial mechanism:
          - a) Grants
          - b) Loans
          - c) Guarantees
          - d) Equities
          - e) Development bonds
          - f) Insurance
          - g) Others, specify _____
     - vi) Non-financial mechanism
          - a) Policy dialogue
          - b) Knowledge sharing
          - c) Technical Assistance
          - d) Capacity development
          - e) Others, specify _____
- D. What type of PS is involved in these projects? (Multiple answers possible)
     - i) Multinational companies from your own country
     - ii) Multinational companies from other countries
     - iii) Large domestic companies
     - iv) SMEs
     - v) Micro enterprises

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1. **Perception on key conditions that make PS partnerships for development co-operation effective (Key Metric 2)**

1.1 What are the key conditions that make your private sector partnerships for development co-operation more effective? (Multiple answers possible)
   - A clear national policy to engage the private sector in development co-operation
   - Regular consultation and dialogue with multi-stakeholders on PSE through development co-operation to agree on priorities, identify solutions to shared challenges and build longer term partnerships
   - Inclusion of those with lesser capacity in dialogue on private sector engagement through development co-operation
   - Development of PSE partnerships that maximize results for groups most in need
   - Development of PSE partnerships that include a sustainable business case for private sector partner
   - Making results of PSE partnerships available to the public

1.2 Are you aware of the Kampala Principles (Yes/No)

2. **The state of policy framework (Key Metric 3)**

2.1 Do you have a country level PSE policy that articulates how to implement partnerships with the private sector in your development co-operation programmes and projects? (Yes/No) *If yes, continue to 2.1.1, if no go to 2.2*

   2.1.1   Is it:

   i)   A standalone document. Please link: _____

ii) As a section on PSE in the country strategy or co-operation programme for a partner country. Please link:_____

2.1.2 Does this document explicitly include the following (multiple answers possible):

i) Rationale on why and under which circumstances to work with the private sector
ii) Guidance on checking additionality to identify whether private sector solutions are the most appropriate to solve specific development challenge
iii) Priority sectors (including social sector), specify:_____
iv) Priority regions, specify:_____
v) Targets for reaching vulnerable and poor populations. Specify which groups (multiple answers possible):
xii) The poorest
xiii) Women and girls
xiv) Youth and children
xv) Elderly
xvi) People with disabilities
xvii) People in disadvantaged geographical areas
xviii) Indigenous people
xix) Ethnic minorities
xx) Internally displaced people
xxi) Stateless people, asylum-seekers, and refugees
xxii) Sexual and gender identity (LGBTIQ+[1])
xxiii) Population vulnerable to climate change
xxiv) Others, specify:_____
vi) How to do risk assessment to ensure that PSE projects do not adversely affect any stakeholder group
vii) How to assess the business case in PSE projects
viii) How to design an exit-strategy in PSE projects
ix) How to use due diligence process examine whether and how a proposed private sector partner's core business aligns with and contributes to development objectives
x) Require conformance to international standards and norms (such as International Labour Organisation, UN Principles on Business and Human Rights, the OECD Guidelines for multination-al enterprises, Kampala Principles for Effective Private Sector Engagement in Development Co-operation)
xi) Require conformance to national standards. Specify:_____
xii) Includes a results framework to specifically assess results of PSE projects

2.1.3 Has this document been developed in consultation with any of the following actors:
i) National government
ii) Local governments
iii) Local Private sector/business partners
iv) Local Trade Unions
v) Local CSOs

2.2 Do you have a global strategy that articulates how to implement partnerships with the private sector in your development co-operation programmes and projects? (Yes/No) If yes, continue to 2.2.1

2.2.1 Can you provide a link to the document:_____

2.2.2 Does this document explicitly include the following (multiple answers possible):
i) Rationale on why and under which circumstances to work with the private sector
ii) Guidance on checking additionality to identify whether private sector solutions are the most appropriate to solve specific development challenge
iii) Identifies priority sectors (including social sector), specify: _____
iv) Sets targets for reaching vulnerable and poor populations. Specify which groups (multiple answers possible):
   a. The poorest

       b. Women and girls

       c. Youth and children

       d. Elderly

       e. People with disabilities

       f. People in disadvantaged geographical areas

       g. Indigenous people

       h. Ethnic minorities

       i. Internally displaced people

       j. Stateless people, asylum-seekers and refugees

       k. Sexual and gender identity (LGBTIQ+[1])

       l. Population vulnerable to climate change

       m. Others, specify:_____

   v) How to do risk assessment to ensure that PSE projects do not adversely affect any stakeholder group

   vi) How to assess the business case in PSE projects

   vii) How to design an exit-strategy in PSE projects

   viii) How to use due diligence process examine whether and how a proposed private sector partner's core business aligns with and contributes to development objectives

   ix) Require conformance to international standards (such as International Labour Organisation, UN Principles on Business and Human Rights, and the OECD Guidelines for multination-al enterprises, Kampala Principles for Effective Private Sector Engagement in Development Co-operation)

   x) Includes a results framework to specifically assess results of PSE projects

2.2.3 Does this document help you to design and implement PSE projects at country level? (Yes/No) Explain why:_____

2.3 Does the country in which you operate have a national development co-operation policy which elaborates on how the private sector should be engaged in development co-operation? (Yes/No) If yes, continue to 2.3.1

   2.3.1 Is your country level PSE policy aligned to it (targeting at least some of the same sectors, geographies and populations)? (Yes/No) If no, go to the next question.

   2.3.2 Why is it not aligned?

     - The partner country's national development co-operation policy does not specify sectors, geographies or populations

     - Your global PSE policy has different interest

     - Others, specify:_____

2.4 Have you made any investment (direct or through projects) to build the institutional capacity of the following organisations to ensure they can support the development and implementation of your PSE strategy? *For example, by employing staff who come with a business background to talk with the private sector, training national government staff on PSE principles.* (Multiple answers possible)

   i) Own organisation

   ii) National government

   iii) Private sector

   iv) Contractors who may implement PSE projects

   v) Other Project partners, specify _____

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3. Inclusive dialogue on PSE through development co-operation

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3.1 Do you engage in dialogue with outside stakeholders in conceptualizing a PSE policy or project and its subsequent monitoring? (Yes/No) If yes, respond to 3.1.1, otherwise go to 3.2.

   3.1.1 Who do you engage in dialogue with? (Multiple answers possible)

   i) Own entities (implementation agency, DFI etc.)

   ii) National CSOs

  iii) Local CSOs active in the project location
  iv) National business associations
  v) Local business associations
  vi) Trade Unions
  vii) Multinational companies
  viii) Large national companies
  ix) SMEs
  x) National government
  xi) Local governments
  xii) Community leaders
  xiii) Co-operatives
  xiv) Academia
  xv) Others:_____

3.2 Do you use any innovative modality to engage with stakeholders at community level, including micro, small and medium-sized enterprises in order to LNOB? (Yes/No) *If yes, respond to 3.4.1, otherwise go to 3.5.*
  3.2.1 What innovate engagement mechanisms do you use to increase inclusion?
   xxv) Use people with business knowledge to convene the discussions
   xxvi) Use of online meeting platforms to reach remote locations
   xxvii) Using local contact personnel who speak the same language/dialogue as different groups
   xxviii) Others, specify: _____

3.3 Does the donor coordination roundtable or structure/aid co-ordination mechanism include representatives from the private sector? (Yes/No) If yes, *w*ho from the private sector?
  i) Multinational companies
  ii) Large national companies
  iii) SMEs
  iv) Micro enterprises
  v) Social enterprises
  vi) Trade Unions

4. Private sector partnerships that utilize opportunities to maximize results for groups most in need, supported by sustainable business case and agreed exit strategy (Key metric 5)

4.1 Are the top 5 PSE partnerships in your portfolio supported by the following (multiple answers possible) include:

  i) Rationale on why working with the private sector is justified in their specific case
  ii) Additionality check to identify whether private sector solutions are the most appropriate to solve specific development challenge
  iii) Targets for reaching vulnerable and poor populations. Specify which groups (multiple answers possible):
  xxix) The poorest
  xxx) Women and girls
  xxxi) Youth and children
  xxxii) Elderly
  xxxiii) People with disabilities
  xxxiv) People in disadvantaged geographical areas
  xxxv) Indigenous people
  xxxvi) Ethnic minorities
  xxxvii) Internally displaced people
  xxxviii) Stateless people, asylum-seekers, and refugees
  xxxix) Sexual and gender identity (LGBTIQ+[1])
  xl) Population vulnerable to climate change

xli) Others, specify:_____

iv) Task assessment to ensure that the projects do not adversely affect any stakeholder group

v) Assessment of the business case for private sector partners to continue with the partnership effort once the project ends

vi) An exit-strategy on how to stop your involvement in specific projects

vii) Due diligence check on whether and how a proposed private sector partner's core business aligns with and contributes to development objectives

viii) Conformation to international standards (such as International Labour Organisation, UN Principles on Business and Human Rights, and the OECD Guidelines for multination-al enterprises)

ix) Includes conformance to national standards. Specify:_____

5. Accountability and transparency through results measurement and reporting (Key metric 6)

5.1 Do you use a results framework that is specifically designed to capture impact of PSE projects? Yes/No. *If yes, continue to 5.1.1, otherwise go to 5.2*

   5.1.1 Please hyperlink to the document:_____

   5.1.2 Does the results framework provide guidance on the following topics (multiple answers possible):

     i) How to measure impact for all relevant stakeholders in the program including beneficiaries

     ii) Specific indicators and methodology to assess development outcome

     iii) Specific indicators and methodology to assess business outcome

     iv) Roles and responsibility related to measurement

     v) How to support projects in data collection

     vi) Any provisions for external evaluation

   5.1.3 Is your results framework aligned with partner country-led results framework? (Yes/No/There is not one)

   5.1.4 Do your PSE projects use this framework to measure results?(Yes/No/Some)

   5.1.5 Do you include private sector partners in results measurement? (Yes/No/Sone)

5.2 Have you established systematised mechanisms for both upwards (towards headquarter level) and downwards (down to local beneficiaries) accountability of PSE policies and projects? (Yes/No) If yes, specify to which stakeholder groups:_____

5.3 Do you publicly share information on your PSE results? (Yes/No/Yes, some projects). *If yes, continue to 5.3.1, otherwise go to 5.4.*

   5.3.1 Does the document(s) include information on the following. Multiple answers possible.

     i) Your total financial contribution in PSE portfolio

     ii) Your total financial contribution in specific PSE projects

     iii) Total contribution leveraged from the private sector in the PSE portfolio

     iv) Total contribution leveraged from the private sector in specific PSE projects

     v) Targets for outputs, outcomes, and impact at PSE portfolio level

     vi) Targets for outputs, outcomes, and impact at project level

     vii) Output level results at the portfolio level

     viii) Output level results against specific projects

     ix) Outcome level results at the portfolio level

     x) Outcome level results against specific projects

     xi) Impact level results at the portfolio level

     xii) Outcome level results against specific projects

   5.3.2 Can you share a link to this report:_____

   5.3.3 How is this shared:_____

5.4 Do you have a grievance sharing mechanism in place where all PSE project partners upward (towards headquarters) and downward (down to local beneficiaries) can share their concerns? (Yes/No) If yes, specify the actors who can report their grievances:

- v) National Government
- vi) Local governments
- vii) Business community, specify:
  - Multinational companies
  - Large domestic companies
  - SMEs
  - Micro enterprises
  - Associations
- CSOs
- Trade Unions
- Community leaders
- Co-operatives
- Others: _____

c. Questionnaire for Private Sector Representatives

Contextual Questions

A. Has the group that you are representing been engaged with development partners/donors/the international community in development co-operation? (Yes/No) If yes, in what role (multiple answers possible)?
- i) In Project/programme consultations
- ii) As implementing partners
- iii) As beneficiary (e.g., recipient of microfinance loans or participant in capacity development programmes),
- iv) As funding partner

1. Perception on key conditions that make PS partnerships for development co-operation effective (Key Metric 2)

1.1 Are you aware of the Kampala Principles (Yes/No)

2. The state of policy framework (Key Metric 3)

2.1 Are you aware of any policy framework or other document in which the government outlines your groups' (private sector) role in national development co-operations? (Yes/No). If yes, continue with 2.1.1
- 2.1.1 Can you specify where this can be found:_____
- 2.1.2 Has the group that you are representing been consulted by the government on any discussion related to development of such a policy framework which specifies the private sectors role in national development co-operation? Yes/No

2.2 Has the group that you are representing been consulted by any donors or development agencies when they developed their private sector engagement policy? (Yes/No). If yes, specify the donor:_____

3. Inclusive dialogue on PSE through development co-operation (Key Metric 4)

3.1 Have any donors or development agencies who are active in your country asked for your group's input when conceptualizing a project where the private sector can play a role? (Yes/No) If yes, specify which donor(s):_____

3.2 Has your group been involved in any national dialogue on what should be the role of the private sector in development co-operation (Yes/No)

3.3 Have you ever participated in your country's national development co-operation forum/dialogue on development co-operation/aid? (Yes/No) If yes, specify:_____

4. PSE partnerships that utilize opportunities to maximize results for groups most in need, supported by sustainable business case and agreed exit strategy (Key metric 5)

Answer only if the group that you are representing has been involved in one or more PSE projects as a project implementer or funder:

4.1 In your knowledge after the project ended, has the private sector partner who was involved in the project continue to offer the same products/services as initially designed in the project? (Yes/No). If no, why:_____

4.2 In your opinion, why is donor support needed for such projects? (Multiple answers possible)
- i) The PS partner would not otherwise target the most poor and vulnerable as they are a risky group
- ii) The PS partner lacks the experience/expertise to work with the most poor and vulnerable

iii)   The PS partner lacks the experience/expertise on how to create social value for the society
iv)   Others:_____

Answer only if the group that you are representing has been involved in one or more PSE projects as a project beneficiary:

4.3 In your knowledge after the project ended, did the PS beneficiaries who were impacted through the project continue to get the same benefits? (Yes/No). If no, why_____

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5. Accountability and transparency through results measurement and reporting (Key metric 6)

Answer only if the group that you are representing has been involved in one or more PSE projects as a project implementer or funder:

5.1 In your knowledge if your group has been involved in a PSE project, did the donor share a results framework to measure results? (Yes/No) *If yes, continue to 5.1.1, otherwise go to 6*
   5.1.1 Did the framework outline how to measure impact at the beneficiary level? (Yes/No)
   5.1.2 Did the framework outline how to measure impact for your business (such as whether the initiative in profitable, forecasting future revenues) (Yes/No)
   5.1.3 Were you involved in the results measurement? (Yes/No)
   5.1.4 Were the results of the project shared with you? (Yes/No)
   5.1.5 Did you use those result to inform your management decisions (Yes/No)
   5.1.6 Are those results publicly available? (Yes/No) If yes, share:_____

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6. Private Sector feels sector feels enabled to engage in partnerships supported by development co-operation (Key metric 7)

Answer only if the group that you are representing has been involved in one or more PSE projects as a project implementer or funder:

6.1 If you have engaged/partnered with development partners/donors in development co-operation projects that involve public funds/ODA, how would you rate the ease/effectiveness of partnering with them?
   i)   N/A
   ii)   Very easy
   iii) Easy
   iv)   Somewhat easy
   v)   Difficult
   vi)   Very difficult

6.2 From your groups' experience, what are the main challenges to engaging in PSE partnerships?
   i)   Lack of mutual trust
   ii)   Heavy reporting burden
   iii) Complying with high donor standards
   iv)   Lack of staff with expertise who can coordinate on your side
   v)   Speed of project delivery
   vi)   Lack of business case in the project
   vii) Donor does not understand business
   viii) Processes and systems not harmonized across different donors/DPs
   ix)   Others:_____

6.3 How could PSE partnership opportunities be made more accessible to your group?
   i)   Increased information on what opportunities are available
   ii)   Easier procedures to apply
   iii) More capacity building on how to report
   iv)   Faster responses

v) Clear information on how a PSE project can also be commercially successful
vi) Others:_____

6.4 Based on your experience, would you like to engage in PSE projects? (Yes/No)
Why:_____

d. Questionnaire for Trade Unions

Contextual Questions

A. Has the group that you are representing been engaged with development partners/donors/the international community in development co-operation? (Yes/No) If yes, in what role (multiple answers possible)?
   i)   In Project/programme consultations
   ii)   As implementing partners
   iii) As beneficiary (e.g., trade union members have been involved in a skills development programme)

1. Awareness of the Kampala Principles

1.1 Are you aware of the Kampala Principles? (Yes/No)

2. The state of policy framework (Key Metric 3)

2.1 Are you aware of any policy framework or other document in which the government outlines your groups' role in national development co-operations? (Yes/No). If yes, continue with 2.1.1
   2.1.1   Can you specify where this can be found:_____

   2.1.2   Has the group that you are representing been consulted by the government on any discussion related to development of such a policy framework which specifies the private sector's role in national development co-operation? Yes/No

   2.1.3   Do you feel that this policy is clear focused to serve the needs of poor and vulnerable groups such as the following? (Multiple answers possible)

   -   People in specific geographies who are more vulnerable
   -   People in specific sectors who are more vulnerable
   -   Women
   -   Micro enterprises
   -   Businesses in the informal sector
   -   Other excluded groups, please specify _____

2.2 Have you been consulted by any donors or development agencies when they developed a strategy for private sector engagement? (Yes/No). If yes, specify the donor:_____

3. Inclusive dialogue on PSE through development co-operation (Key Metric 4)

3.1 Have any donors or development agencies who are active in your country asked for your group's input when conceptualizing a project where the private sector can play a role? (Yes/No)

3.2 Has your group ever participated in your country's national development co-operation forum/dialogue on development co-operation/aid? (Yes/No) If yes, specify:_____

3.3 Has your group been involved in social dialogue and/or regular consultations organised by national governments and development partners related to PSE policy or projects? (Yes/No) If yes, specify such an event:_____

4.   PSE partnerships that utilize opportunities to maximize results for groups most in need, supported by sustainable business case and agreed exit strategy (Key metric 5)

4.1 Does your group feel that PSE partnerships specifically target poor and vulnerable groups such as the following? (Multiple answers possible)
- i)   People in specific geographies who are more vulnerable
- ii)   People in specific sectors who are more vulnerable
- iii) Women
- iv) Micro enterprises
- v)   Businesses in the informal sector
- vi) Other excluded groups, please specify _____

4.2 In your opinion, why is PSE through development co-operation needed? (Multiple answers possible)
- i)   PS would not otherwise target the most poor and vulnerable as they are a risky group
- ii)   PS lacks the experience/expertise to work with the most poor and vulnerable
- iii) PS lacks the experience/expertise on how to create social value for the society
- iv) Others:_____

5.   Accountability and transparency through results measurement and reporting (Key metric 6)

5.1 Has any development partner shared the results achieved in PSE project with you? If yes, how:_____

5.2 If your group have any concern/grievance regarding any specific PSE programme in development co-operation, can you share your concern with any of the involved stakeholders? If yes, specify:_____

e. Questionnaire for Civil Society Organisations (CSOs)

Contextual Questions

A. Have you been engaged with development partners/donors/the international community in development co-operation? (Yes/No) If yes, in what role (multiple answers possible)?

- i) Project/programme consultations
- ii) As implementer

1. Perception on key conditions that make PS partnerships for development co-operation effective (Key Metric 2)

1.1 What are the key conditions that make private sector partnerships for development co-operation more effective? (Multiple answers possible)
- A clear national policy to engage the private sector in development co-operation
- Regular consultation and dialogue with multi-stakeholders on PSE through development co-operation to agree on priorities, identify solutions to shared challenges and build longer term partnerships
- Inclusion of those with lesser capacity in dialogue on private sector engagement through development co-operation
- Development of PSE partnerships that maximize results for groups most in need
- Development of PSE partnerships that include a sustainable business case for private sector partner
- Making results of PSE partnerships available to the public

1.2 Are you aware of the Kampala Principles (Yes/No)

2. The state of policy framework (Key Metric 3)

2.1 Are you aware of any policy framework or other document in which the government outlines your role in national development co-operation? (Yes/No). If yes, continue with 2.1.1
- 2.1.1 Can you specify where this can be found:_____
- 2.1.2 Have you been consulted by the government on any discussion related to development of such a policy framework which specifies the private sectors role in national development co-operation? Yes/No
- 2.1.3 Do you feel that this policy is clear focused to serve the needs poor and vulnerable groups such as the following? (Multiple answers possible)
  - People in specific geographies who are more vulnerable
  - People in specific sectors who are more vulnerable
  - Women
  - Micro enterprises
  - Businesses in the informal sector
  - Other excluded groups, please specify _____

2.2 Have you been consulted by any donors or development agencies when they developed a national development co-operation strategy for private sector engagement? (Yes/No). If yes, specify the donor:_____

3. Inclusive dialogue on PSE through development co-operation (Key Metric 4)

3.1 Have any donors or development agencies who are active in your country asked for your group's input when conceptualizing a project where the private sector can play a role? (Yes/No)

3.2 Have you participated in your country's national development co-operation forum/dialogue on development co-operation/aid? (Yes/No) If yes, specify:_____

3.3 Has your group been involved in social dialogue and/or regular consultations organised by national governments and development partners related to PSE policy or projects? (Yes/No) If yes, specify such an event:_____

4. PSE partnerships that utilize opportunities to maximize results for groups most in need, supported by sustainable business case and agreed exit strategy (Key metric 5)

4.1 Does your group feel that PSE partnerships specifically target poor and vulnerable groups such as the following? (Multiple answers possible)
   i) People in specific geographies who are more vulnerable
   ii) People in specific sectors who are more vulnerable
   iii) Women
   iv) Micro enterprises
   v) Businesses in the informal sector
   vi) Other excluded groups, please specify _____

4.1 In your opinion, why is PSE through development co-operation needed? (Multiple answers possible)
   i) The PS would not otherwise target the most poor and vulnerable as they are a risky group
   ii) PS lacks the experience/expertise to work with the most poor and vulnerable
   iii) PS lacks the experience/expertise on how to create social value for the society
   iv) Others:_____

5. Accountability and transparency through results measurement and reporting (Key metric 6)

5.1 Has any development partner shared the results achieved in PSE project with you? If yes, how:_____

5.3 If your group have any concern/grievance regarding any specific PSE programme in development co-operation, can you share your concern with any of the involved stakeholders? If yes, specify:_____