SURVEY GUIDANCE

**2011 Survey on
Monitoring the Paris Declaration**
*Fourth High Level Forum on
Aid Effectiveness*

This document explains the objectives, process and methodology agreed for the 2011 Survey on Monitoring the Paris Declaration. It is designed to guide national co-ordinators and donor focal points in partner countries in the management of the Survey at the country level. This document includes definitions and guidance for the completion of the donor and government questionnaires and the country report. The questionnaires are included as annexes in this document, and can also be downloaded as separate Word forms for ease of completion.

These materials and further information on the 2011 Survey can be found online at
http://www.oecd.org/dac/pdsurvey

CONTENTS

EXPLANATORY NOTES

This document provides information on the process, questionnaires and guidance used for the 2011 Survey on Monitoring the Paris Declaration on Aid Effectiveness. The first section of the document explains the purpose, structure and process of the survey. It also provides explanations on how the questionnaire should be managed at partner country level and clarifies the roles of the National Co-ordinator and Donor Focal Points. The second part of the document contains detailed definitions and guidance designed to assist stakeholders in completing the Donor and Government Questionnaires.

The documents which are completed by government and donors for the survey are included as annexes. The questionnaires can also be downloaded as Word forms to facilitate completion. Please visit
http://www.oecd.org/dac/pdsurvey.

Annexes:

1. *Donor Questionnaire* — Questionnaire for all donor agencies providing Official Development Assistance to the country receiving aid. (Document also available separately as a Word form for ease of completion).

2. *Government Questionnaire* — Questionnaire to be completed by government authorities in the country receiving aid. (Document also available separately as a Word form for ease of completion).

3. *Country Spreadsheet* — This is an Excel spreadsheet which is used to consolidate data for the survey.

4. *Country Report* — A set of questions designed to guide a qualitative assessment of the survey.

PURPOSE OF THE SURVEY

The Paris Declaration on Aid Effectiveness commits donors and partner countries to increase efforts in the harmonisation, alignment and management of aid for results, with a set of monitorable actions and indicators. The Accra Agenda for Action builds on these commitments. The 2011 Survey on Monitoring the Paris Declaration follows previous surveys conducted in 2006 and 2008, and will be critical in **determining whether the targets set in the Paris Declaration for 2010 have been met**. These results will form a key contribution to discussions at the **Fourth High Level Forum on Aid Effectiveness** (Busan, Korea, 29 November - 1 December 2011).

In practice, the survey provides evidence of progress and signals obstacles and opportunities for further progress at the partner country level. In the process, the survey will:

- Stimulate broad-based dialogue at both country and international levels on how to make aid more effective.

- Promote agreements on specific actions that contribute to the successful implementation of the Paris agenda at the partner country level.

- Generate an accurate description of how aid is managed in countries taking part in the survey.

The survey will be the key input for a major publication ahead of the Fourth High Level Forum: a **Monitoring Report** providing an assessment of progress against commitments agreed in Paris and Accra, with separate **Country Chapters** for each partner country taking part in the survey.

MANAGING THE SURVEY AT COUNTRY LEVEL

A National Co-ordinator nominated for this exercise by his/her government manages the Survey at the partner country level. Where appropriate, he/she is assisted by a Donor Focal Point(s) (see below). The role of the National Co-ordinator is to:

- Manage the 2011 Survey in a timely and transparent manner.

- Ensure that government (including, as much as possible, line ministries) and donors are fully informed and take part in the 2011 Survey.

- Convene and chair the various meetings needed to complete the 2011 Survey (see Key Steps and Milestones).

- Support donor and government representatives in completing the survey.

- Ensure quality control and consistency in the responses provided.

- Submit survey results (*Country Report*, *Government Questionnaire* and the *Country Spreadsheet*) to the OECD Secretariat for analysis by 31 March 2011, at the very latest. Responses should be sent to pdsurvey@oecd.org. (It is not necessary to send individual Donor Questionnaires to the OECD – data should be consolidated in the *Country Spreadsheet*).

Donor Focal Point — National Co-ordinators can decide to appoint a donor, or another organisation, to assist and support the National Co-ordinator in managing the 2011 survey. The role of the **Donor Focal Point** is to:

- Facilitate the collection of survey data from all donors in a timely way. Donors are expected to submit their data to national co-ordinators no later than 28 February 2011.

- Consolidate survey data in the Country Spreadsheet.

- Make available survey data and relevant information to the National Co-ordinator for discussion at the various meetings convened by the National Co-ordinator for the 2011 Survey.

- Help the National Co-ordinator mobilise the financial or human resources that are needed to manage the 2011 Survey in a timely way.

In many countries, the Donor Focal Point is typically the lead donor(s) co-ordinating harmonisation or aid effectiveness initiatives at country level.

Civil Society Organisations — National Co-ordinators are encouraged to include Civil Society Organisations and parliamentarians in relevant discussions and meetings around the 2011 Survey. For the purpose of this survey, CSOs do not provide Official Development Assistance and therefore should not complete the donor questionnaire.

The 2011 Survey can play an important role in helping to support dialogue at the country level around progress and challenges in the implementation of aid effectiveness commitments. Close communication between the stakeholders identified above is important in ensuring the quality of the Survey as a monitoring tool, and as a means of strengthening mutual understanding.

KEY STEPS AND MILESTONES

The key steps and milestones described below are presented to help guide National Co-ordinators organise the 2011 Survey. They should be adapted to country contexts.

1	International launch	The 2011 Survey is launched at a series of regional workshops held in <u>October and November 2010</u>. These events provide an opportunity for National Co-ordinators and Donor Focal Points to familiarise themselves with the Survey documents, process and methodology.
2	Country launch	<u>Before the end of December 2010</u>, National Co-ordinators convene a meeting with government representatives, all donors, representatives of parliament, and civil society organisations to agree on the process for managing the Survey at country-level.
3	Questionnaires are completed	<u>By 28 February 2011</u>, the government and donor questionnaires are completed. Only one questionnaire should be completed by government and one questionnaire completed by each donor (see *Donor* and *Government Questionnaires*). To ensure accountability and accuracy, the donor questionnaire is usually submitted by the head of the donor organisation in country.
4	Data are consolidated	Data from the donor questionnaires are consolidated by the Donor Focal Point, where appointed, or by the National Co-ordinator in the *Country Spreadsheet*.
5	Qualitative assessment	The National Co-ordinator supervises the preparation of the qualitative assessment (*Country Report*).
6	Data are reviewed	<u>By the middle of March 2011</u>, the National Co-ordinator convenes a meeting with government representatives, donors, parliamentarians and civil society to review the data in the *Country Spreadsheet* and to validate this along with the Government Questionnaire and *Country Report*. The quality, accuracy and consistency of data are controlled collectively under the supervision of the National Co-ordinator.
7	Submission of data	The National Co-ordinator submits the survey results (the *Country Report*, *Government Questionnaire* and *Country Spreadsheet*) to the OECD Secretariat (pdsurvey@oecd.org) <u>by 31 March 2011</u> at the very latest. This information is verified by the OECD Secretariat, and provides the basis for the country chapter.
8	Review country chapters	<u>By the end of May 2011</u>, the OECD shares a first draft of the country chapter with the National Co-ordinator. The National Co-ordinator convenes a meeting with government, donors, parliamentarians and civil society organisations to review the accuracy of the chapter and submit comments to the OECD. National Co-ordinators will have 10 working days on reception of the draft to provide feedback.
9	Final country chapter	Comments from National Co-ordinators are addressed in the advanced drafts of the country chapters produced by the OECD Secretariat, which in turn feed into the global Monitoring Report. Country chapters are shared again with National Co-ordinators to ensure accuracy before being finalised.
10	Korea High-Level Forum	<u>By September 2011</u>, the 2011 Monitoring Report is published, in time to inform the Fourth High-Level Forum on Aid Effectiveness (Busan, Korea).

AGREED TARGETS FOR THE 12 INDICATORS OF PROGRESS

Twelve Indicators of Progress were agreed at the High Level Forum on Aid Effectiveness in Paris.

	INDICATORS	TARGETS FOR 2010
1	Operational development strategies	At least 75% of partner countries have operational development strategies.
2a	Reliable Public Financial Management (PFM) systems	Half of partner countries move up at least one measure (i.e., 0.5 points) on the PFM/CPIA (Country Policy and Institutional Assessment) scale of performance.
2b	Reliable Procurement systems	One-third of partner countries move up at least one measure (i.e., from D to C, C to B or B to A) on the four-point scale used to assess performance for this indicator.
3	Aid flows are aligned on national priorities	Halve the gap — halve the proportion of aid flows to government sector not reported on government's budget(s) (with at least 85% reported on budget).
4	Strengthen capacity by co-ordinated support	50% of technical co-operation flows are implemented through co-ordinated programmes consistent with national development strategies.
5a	Use of country Public Financial Management systems	Reduce the gap by two-thirds – A two-thirds reduction in the % of aid to the public sector not using partner countries' PFM systems. For partner countries with a score of 5 or above on the PFM/CPIA scale of performance (see Indicator 2a).
		Reduce the gap by one-third — A one-third reduction in the % of aid to the public sector not using partner countries' PFM systems. For partner countries with a score between 3.5 and 4.5 on the PFM/CPIA scale of performance (see Indicator 2a).
5b	Use of country procurement systems	Reduce the gap by two-thirds — A two-thirds reduction in the % of aid to the public sector not using partner countries' procurement systems; for partner countries with a score of 'A' on the Procurement scale of performance (see Indicator 2b).
		Reduce the gap by one-third — A one-third reduction in the % of aid to the public sector not using partner countries' procurement systems; for partner countries with a score of 'B' on the Procurement scale of performance (see Indicator 2b).
6	Strengthen capacity by avoiding parallel PIU	Reduce by two-thirds the stock of parallel Project Implementation Units (PIUs).
7	Aid is more predictable	Halve the gap — halve the proportion of aid not disbursed within the fiscal year for which it was scheduled.
8	Aid is untied	Continued progress over time.
9	Use of common arrangements or procedures	66% of aid flows are provided in the context of programme-based approaches.
10a	Joint missions to the field	40% of donor missions to the field are joint.
10b	Joint country analytic work	66% of country analytic work is joint.
11	Results-oriented frameworks	Reduce the gap by one-third — Reduce the proportion of countries without transparent and monitorable performance assessment frameworks by one-third.
12	Mutual accountability	All partner countries have mutual assessment reviews in place.

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QUESTIONNAIRES AND DESK REVIEWS

A distinction is made between those indicators established through the questionnaires and indicators that are established through desk reviews and other mechanisms.

	INDICATORS	QUESTIONNAIRES	OTHER PROCESS
1	Operational Development Strategies	■(qualitative inputs)	World Bank scoring
2a	Reliable Public Financial Management (PFM) systems		CPIA Desk review
2b	Reliable Procurement systems		MAPS Self-assessment
3	Aid flows are aligned on national priorities	■	
4	Strengthen capacity by co-ordinated support	■	
5a	Use of country PFM systems	■	
5b	Use of country procurement systems	■	
6	Strengthen capacity by avoiding Parallel PIUs	■	
7	Aid is more predictable	■	
8	Aid is untied		Collected by OECD-DAC
9	Use of common arrangements or procedures	■	
10b	Joint missions to the field	■	
10b	Joint country analytic work	■	
11	Results-oriented frameworks	■(qualitative inputs)	World Bank scoring
12	Mutual accountability	■	

■ **Indicator 1**: *Operational Development Strategies* — In 2006 and 2008, this indicator drew on the World Bank's Aid Effectiveness Review. In order to strengthen stakeholder participation, the 2011 Survey includes additional questions of a qualitative nature in the *Government Questionnaire.* The questions are designed to collect descriptive information from participating countries so that the World Bank can conduct scoring using the same methodology developed for the previous surveys.[1]

■ **Indicator 2a**: *Reliable Public Financial Management (PFM) systems* — This indicator is based on the World Bank Country Policy and Institutional Assessment (CPIA) data for 2009. The CPIA framework of analysis includes 16 indicators, one of which — CPIA sub-indicator 13 — measures the quality of partner countries budget and financial management systems.

■ **Indicator 2b**: *Reliable Procurement systems* — This indicator is based on the Methodology for Assessing Procurement Systems (MAPS) developed by the WP-EFF Task Force on Procurement. It provides a methodology for countries to self-assess the quality of their procurement systems, with scope for dialogue and validation of the results at the country level.[2]

■ **Indicator 8**: *Aid is untied* — Data for this indicator is drawn from reporting by DAC donors to the annual DAC Questionnaire on untied aid. Data is provided by donor headquarters and collected centrally by the OECD-DAC.

■ **Indicator 11**: *Results-oriented frameworks* — As with Indicator 1, scoring will be conducted using the same methodology developed for the previous survey based on information provided by partner countries through questions in the *Government Questionnaire.*[1]
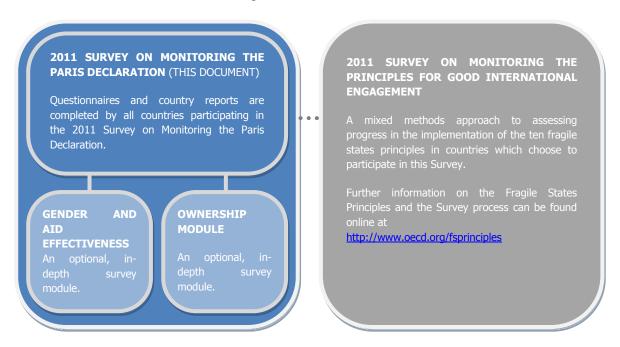
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[1]   Full details of the assessment criteria are published in World Bank (2007) Results-based National Development Strategies: Assessment and Challenges Ahead, pp. A14-A15. Available online at: http://www.worldbank.org/aer.

[2]   Further information on MAPS is available online at http://www.oecd.org/dac/effectiveness/procurement.
Countries interested in undertaking an assessment of procurement systems in 2011 should contact the OECD Secretariat (pdsurvey@oecd.org).

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OPTIONAL SURVEY MODULES AND COMPLEMENTARY MONITORING INITIATIVES

The 2011 Survey on Monitoring the Paris Declaration provides an established methodology for assessing progress against the 12 indicators agreed in 2005. Stakeholders in some countries may also be interested in exploring performance against some specific commitments contained in the Paris Declaration and Accra Agenda for Action in greater depth. Two **optional** survey modules – relating to ownership and gender – have been developed for this purpose. National co-ordinators may, in consultation with donors and civil society, choose to use these modules to collect additional information and facilitate dialogue around these issues.

2011 SURVEY ON MONITORING THE PARIS DECLARATION (THIS DOCUMENT)

Questionnaires and country reports are completed by all countries participating in the 2011 Survey on Monitoring the Paris Declaration.

GENDER AND AID EFFECTIVENESS
An optional, in-depth survey module.

OWNERSHIP MODULE
An optional, in-depth survey module.

2011 SURVEY ON MONITORING THE PRINCIPLES FOR GOOD INTERNATIONAL ENGAGEMENT

A mixed methods approach to assessing progress in the implementation of the ten fragile states principles in countries which choose to participate in this Survey.

Further information on the Fragile States Principles and the Survey process can be found online at
http://www.oecd.org/fsprinciples

In addition to these modules, the 2011 Survey on Monitoring the Paris Declaration is being rolled out in conjunction with the OECD-DAC 2011 Survey on Monitoring the Principles for Good International Engagement in Fragile States and Situations in those countries that have chosen to participate in both processes. This survey looks primarily at the quality of international assistance in fragile and conflict-affected countries.

- **My country is participating in the 2011 Survey on Monitoring the Paris Declaration. Do we also need to complete the questionnaires on ownership and gender?** – The survey modules on ownership and gender are optional. National co-ordinators should, in consultation with donors and civil society, decide whether to complete the additional survey modules. The in-depth information gathered through these modules will be analysed in the publications that draw on the 2011 Survey on Monitoring the Paris Declaration.

- **I am a national co-ordinator and would like to complete one of the optional survey modules. What do I need to do?** – The questionnaires and guidance for the optional modules are available online at http://www.oecd.org/dac/pdsurvey . Please inform the OECD Secretariat of your intention to use one of the optional modules so that support can be provided: pdsurvey@oecd.org.

- **My country is participating in both the Survey on Monitoring the Paris Declaration and the Fragile States Survey. How can we conduct both processes simultaneously?** - The OECD Secretariat will provide guidance to countries participating in both processes to support close co-ordination at the country level. Further information on the Fragile States Survey is available online at http://www.oecd.org/fsprinciples.

HELP DESK

A help desk has been established to respond to queries from national co-ordinators and donor focal points.

> **How do I contact the help desk?**
>
> By email: pdsurvey@oecd.org
> By telephone: + 33 1 45 24 89 80 / + 33 1 45 24 94 48 / + 33 1 45 24 79 17
> By fax: + 33 1 44 30 61 27
>
> You may also wish to visit the Survey web site, which contains responses to frequently asked questions:
> http://www.oecd.org/dac/pdsurvey

The help desk is co-ordinated by the OECD and brings together specialists from the World Bank and OECD, and regional experts at the United Nations Development Programme, to support national co-ordinators and donor focal points in the successful completion of the 2011 Survey on Monitoring the Paris Declaration. Donors completing the Donor Questionnaire at the country level are invited to contact their donor focal point for support in the first instance.

WHAT HAS CHANGED IN THE 2011 SURVEY?

The purpose and design of the indicators in the 2011 Survey remain the same as those in the 2006 and 2008 Surveys in order to ensure comparability. Feedback from the previous surveys suggested that the definitions and guidance for the 2011 Survey could be enhanced further to improve clarity of purpose and increase consistency of the survey data. This has been achieved in the guidance for the 2011 Survey by refining or re-wording existing criteria to ensure that they are understood in a clear and consistent manner, and through the use of new examples for some indicators, which show situations in which criteria are both met and not met.

The 2011 Survey has been strengthened in a number of ways:

- The quality of the definitions and guidance provided in support of the indicators has been improved further to support consistency and accuracy of the data. **Donors and countries are invited to rigorously comply** with these revised definitions and guidance. New illustrative examples have also been added for some indicators to guide donors and country authorities.

- The qualitative assessments in the 2011 Survey have been deepened further to ensure that evidence of progress and challenges beyond the 12 indicators is captured. This reflects a shared desire to ensure that the final *Monitoring Report* – a key input to the Korea High Level Forum – captures evidence of progress across key commitments set out in both the Paris Declaration and Accra Agenda for Action. For example, questions relating to ownership; gender equality; use of country systems as first option; aid fragmentation and division of labour; medium-term predictability and conditionality have been added to the Country Report and optional survey modules.

- The Donor Questionnaire for the 2011 Survey includes an additional question – Q^d5 – which asks donors to report on the volume of ODA for the government sector that they provided in 2010 through other donors in-country. In other words, that volume of ODA that is not reported on in the remainder of the questionnaire. This includes, for example, ODA which is channelled through another donor or multilateral agency at the country level in the context of a silent partnership, delegated co-operation, multi-donor trust fund or similar arrangement, and which reported on only by that donor for the purpose of responding to the other questions in the *Donor Questionnaire*. This data is not used in any of the indicators, but will allow for a clearer understanding of the scale of ODA flows delivered in this way and will be used in the presentation of results.

- Partner country involvement in the assessment of progress on ownership (indicator 1) and results-oriented frameworks (indicator 11) has been enhanced, complementing the established desk-based methodology. A series of qualitative questions have been added to the *Government Questionnaire* as the basis for scoring of indicators 1 (Operational Development Strategies) and 11 (Results-oriented Frameworks). Scoring of these indicators will be conducted by the World Bank using the same methodology developed in the previous surveys based on information provided through qualitative questions in the *Government Questionnaire* by partner countries. National Co-ordinators should lead in formulating responses to these questions, which should then be discussed with donors, parliamentarians and civil society stakeholders as part of the validation process.

- Progress in the implementation of mutual assessments of progress (indicator 12 – mutual accountability) is now assessed through three questions presented in the *Government Questionnaire*. These questions are based on the definitions and criteria used in the 2006 and 2008 Surveys, and draw on a more detailed methodology developed under the auspices of the UN Development Cooperation Forum. In addition to participating in the 2011 Survey on Monitoring the Paris Declaration, partner countries will be invited to participate in a detailed survey on mutual accountability co-ordinated by the UN Department for Economic and Social Affairs and UNDP in the first quarter of 2011.

Donors and country authorities are invited to **comply as rigorously as possible with the 2011 definitions and guidance**. If definitions have been interpreted in a very different manner in the 2006 and 2008 Surveys, and retrospective correction of data for these surveys is a possibility, the national co-ordinator should contact the Help Desk for advice.

DEFINITIONS AND GUIDANCE FOR THE QUESTIONNAIRES

This section of the Survey Guidance provides detailed definitions and advice to assist in the completion of the questionnaires used to gather information at the country level. Some indicators of progress are assessed through desk reviews and other mechanisms that are not described here. See page 5 for information relating to indicators 2a (reliable PFM systems), 2b (reliable procurement systems) and 8 (aid is untied).

COMPLETING THE SURVEY QUESTIONNAIRES

■ Who should complete the questionnaires?

The questionnaires should be completed by the government (Government Questionnaire) and by ALL donors providing official development assistance to the country. Global programmes (for example, The Global Fund, GAVI…) are also invited to complete the Donor Questionnaire. Each donor should complete ONE questionnaire combining ODA from all its agencies (Donor Questionnaire) and submit the results to the Donor Focal Point, where appointed, or the National Co-ordinator, for consolidation in the Country Spreadsheet. Once the data has been consolidated, it is submitted to the National Co-ordinator who convenes a meeting to discuss the results before submission of the full survey results to the OECD for analysis. Civil Society Organisations should NOT complete the questionnaires.

In order to avoid double counting in cases where one donor disburses ODA funds on behalf of another, it is **only** the donor who makes the final disbursement to the government who should report on these funds. The only exception to this is question Q^d5 in the *Donor Questionnaire*, against which donors should record total ODA funds channelled through other donors.

■ Who is a donor?

A donor is a country, organisation or official agencies — including state and local governments — that provides Official Development Assistance (see OECD-DAC Statistical Directives). Non-Governmental Organisations (NGOs) and private companies do not qualify as donors under this definition even when they implement ODA funded programmes.

■ What transactions should and should not be recorded in this Survey?

SHOULD BE RECORDED — Official Development Assistance (ODA) includes all transactions as defined in OECD-DAC Statistical Directives para. 35, including official transactions that:

- are administered with the promotion of the economic development and welfare of developing countries as its main objective; and

- are concessional in character and convey a grant element of at least 25%.

Where ODA is provided to the partner country as part of a donor's regional (multi-country) programme and it is possible to identify those activities and disbursements that are specific to that partner country, these disbursements should also be recorded.

SHOULD NOT BE RECORDED — The following transactions are excluded from the scope of this survey and should not be recorded:

- Transactions made to beneficiaries that are not based in the country receiving ODA or to regional organisations.

- Debt reorganisation/restructuring.

- Emergency and relief assistance.

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■ How can CSOs take part in the Survey?

Civil Society Organisations (CSOs) play an important role in the Survey. While they should not complete questionnaires (even when they implement ODA funded projects and programmes) they are encouraged to take part in country level dialogue on aid effectiveness by attending the relevant meetings convened by the National Co-ordinator.

VALIDATION AND SUBMISSION OF DATA

The National Co-ordinator convenes a meeting with government, donors, parliamentarians and Civil Society Organisations to finalise and validate the **Country Spreadsheet**, **Government Questionnaire** and **Country Report** before submission to the OECD.

Once these documents have been completed and validated, they should be communicated to the OECD Secretariat by **31 March 2011** at the latest. The National Co-ordinator should submit the **Country Spreadsheet**, **Country Report** and **Government Questionnaire** by email to pdsurvey@oecd.org , or by fax to + 33 1 44 30 61 27.

INTRODUCTION

The Paris Declaration recognises that development efforts are more likely to be successful and sustainable where the partner country takes the lead in determining the goals and priorities of its own development, and sets the agenda for how they are to be achieved. The Paris Declaration commits partner countries to exercise leadership in developing and implementing their national development strategies, and donors to respect and encourage this leadership, by helping to strengthen partner countries' capacity to exercise it. To make ownership a reality, partner countries must lead their development policies and strengthen their institutions and systems for managing public resources, including external resources. In the Accra Agenda for Action, the importance of country ownership was reaffirmed. Developing country governments will take stronger leadership of their own development policies, and will engage with their parliament and citizens in shaping those policies.

Indicator 1 articulates a specific vision of what it means for a country to assume ownership of its development efforts. Indicator 1 is assessed based on three criteria: (i) the existence and quality of unified strategic framework; (ii) prioritisation within that framework; and (iii) the existence and quality of strategic link to the budget. All of these criteria are essential features of any serious effort to harness domestic and external resources for development purposes.

WORDING OF QUESTIONS

■ **GOVERNMENT QUESTIONNAIRE**

■ Basic Information:

Q^g1. Is there national development strategy / Poverty Reduction Strategy Paper (PRSP)?

> If Yes, (i) what is its name?
> (ii) when was it formulated?
> (iii) which period does it cover?

> If No, is there one under preparation?

> > If Yes, what is the stage of its preparation?

Q^g2. Is (Are) there a progress report(s) of the national development strategy /PRSP?

> If Yes, (i) when was the latest one formulated?
> (ii) How often is it formulated?

Q^g3. Please list any other national development strategies preceding the most recent one (including the dates of formulation and time periods covered) in the last 10 years:

Q^g4. (a) Is there Medium-term fiscal framework (MTFF)?

> If Yes, (i) when was it formulated?
> (ii) which period does it cover?

> (b) Is there Medium-term expenditure framework (MTEF)?

> If Yes, (i) when was it formulated?
> (ii) which period does it cover?

■ Unified Strategic Framework:

Q^{g}5. Is there long-term vision underpinning the latest national development strategy?

> If Yes, (i) the name of document:
> (ii) when was it formulated?
> (iii) please explain how the long-term vision and national development strategy are linked (e.g. timing and sequencing, consistency of their objectives, and institutional responsibilities).

Q^{g}6. How, if they exist, are sector and sub-national strategies linked to the national development strategy for example timing and sequencing, consistency of their objectives and institutional responsibilities?

If the link is weak, what are key challenges to improving the link?

Q^{g}7. Do policy makers and line ministries use the national development strategy at national, sub-national and sectoral levels?

> If Yes, please describe how policy makers and line ministries use the strategy:

■ Prioritisation:

Q^{g}8. Does the national development strategy have prioritised targets?

> If Yes, (i) What is the mechanism to achieve the prioritised targets?
> (ii) What is the sequence of actions to achieve the targets?

Q^{g}9. (a) Are the objectives/targets of the strategy linked with Millennium Development Goals (MDGs)?

> If Yes, (i) how many MDG targets are included in the strategy?
> (ii) how are MDG related targets tailored to your country's circumstances?

(b) Are objectives/targets of the strategy linked with cross-cutting issues such as gender, environment and governance?

> If Yes, please explain how the national development strategy is linked with cross-cutting issues:

■ Strategic Link to the Budget:

Q^{g}10. Is the national development strategy costed?

> If Yes, (i) please explain how it is costed?
> (ii) which page(s) of the national development strategy includes information on costing (if costing is in the national development strategy)?
> (iii) where can costing information be found (if costing is outside the national development strategy)?

Q^{g}11. How is the national development strategy linked to MTFF (if it exists) and the annual budget?

Q^{g}12. Are sector strategy priorities reflected in the MTEF, if it exists, and how are they broadly reflected in the most recent annual budget?

Q^{g}13. Is there a performance orientation in the budgeting/MTEF process?

> If Yes, please explain how it works in the budgeting/MTEF:
> If No, please explain key challenges:

DEFINITIONS

National Development Strategies	In this context, National development strategies include Poverty Reduction Strategies (PRSPs) and/or similar overarching strategies. These are typically prepared to cover a clearly identified period of time covering several years.
Progress Report of the National Development Strategies	Such report(s) are typically published once or more during the implementation of the national development strategy, and will provide a comprehensive overview of progress drawing on relevant evidence.
Medium-Term Fiscal Framework (MTFF)	A framework that defines the overall medium term (typically 3-5 years) fiscal aggregates including revenue, expenditure and deficit /surplus that a country has available in the medium term consistent with a macro-economic framework
Medium-Term Expenditure Framework (MTEF)	A framework that combines coherently a medium term (typically 3-5 years) fiscal framework, medium term sector strategies for key sectors of the economy and medium term indicative expenditure plans/ceilings for each sector.
Performance-orientation (in the budgeting and MTEF)	A focus on identifying and monitoring output and outcome targets with indicators and ensure that allocation decisions are linked to these.
Long-term vision	A document, plan or policy providing overarching direction over a longer time horizon (typically 10-25 years) with respect to the partner country's development goals and priorities and key means of achieving these.

MEASUREMENT OF INDICATOR

Scoring of indicator 1 will be conducted by the World Bank using the same methodology developed in the previous surveys based on information provided through qualitative questions Q^g1 to Q^g13 in the *Government Questionnaire* by partner countries.

This process will result in the allocation of a score on a five-point scale running from A (highest score) to E (lowest score). The scores assigned through this process will be shared with partner countries at the same time as the draft Country Chapters (end May 2011).

Full details of the assessment criteria are published in World Bank (2007) *Results-based National Development Strategies: Assessment and Challenges Ahead*, pp. A14-A15. Available online at http://www.worldbank.org/aer

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INDICATOR 3: AID FLOWS ARE ALIGNED ON NATIONAL PRIORITIES

INTRODUCTION

Comprehensive and transparent reporting on aid, and how it is used, is critical not only as a way of ensuring that donors align aid flows with national development priorities, but also in order to achieve accountability for the use of development resources and results. The formulation of the budget is a central feature of the formal policy process in all countries. So the degree to which donor financial contributions to the government sector are fully and accurately reflected in the budget provides a significant indication of the degree to which there is a serious effort to connect aid programmes with country policies and processes.

This indicator is a proxy for measuring alignment. It measures the total volume of aid recorded in countries' annual budgets as a percentage of donors' disbursements. *Budget support is always on budget, but other aid modalities including project support can and should also be recorded on budget, even if funds do not pass through the country's treasury.*

The objective is to ensure that by 2010, aid is appropriately recorded in countries' annual budgets so that partner authorities can present accurate and comprehensive budget reports to their legislatures and citizens. Achieving progress requires both donors AND partner authorities to work together at different levels:

- Donors should provide budget authorities with *timely* and *comprehensive* information on their scheduled disbursements in line with government's system of classification.

- Government should record comprehensive budget estimates for aid provided for the government sector (see definition below of "disbursement for the government sector").

- Government and donors should work together to ensure that aid recorded in budget estimates is as *realistic* as possible. In other words, budget estimates should roughly match the volume of aid that is actually disbursed within government's fiscal year.

WORDING OF QUESTIONS

■ **DONOR QUESTIONNAIRE**

■ How much ODA[3] did you disburse at country-level in…

$Q^d1.$ …calendar year 2010? USD[4]_____

$Q^d2.$ …fiscal year 2009/10? USD _____ (response to Q^d2 needed only if the fiscal year of the country receiving ODA is not from January to December)

■ How much of this was for the government sector in…

$Q^d3.$ …calendar year 2010? USD _____

$Q^d4.$ …fiscal year 2009/10? USD _____ (response to Q^d4 needed only if the fiscal year of the country receiving ODA is not from January to December)

[3.] Excluding debt reorganisation, humanitarian assistance and support to regional programmes.

[4.] ODA should be reported in US dollars. Average annual exchanges rates for major currencies are available at : http://www.oecd.org/dac/pdsurvey

■ For reference purposes only, how much ODA for the government sector did you disburse through other donors (ODA which is not captured in your responses to $Q^d1 - Q^d4$ above) at the country level in

Q^d5. …calendar year 2010? USD _____

■ GOVERNMENT QUESTIONNAIRE

■ How much estimated ODA was recorded in the annual budget as grants, revenue or ODA loans?

$Q^g14.$ In the 2010 (or 2009/10) annual budget: USD _____

DEFINITIONS

Donor	A donor is an official agency — including state and local governments — that provides Official Development Assistance (OECD-DAC Statistical Directives para. 35). Under this definition, non-governmental Organisations (NGO) and private companies do NOT qualify as donors.
ODA	Official Development Assistance (ODA) includes all transactions as defined in OECD-DAC Statistical Directives para. 35, including official transactions that: • are administered with the promotion of the economic development and welfare of developing countries as its main objective; and • are concessional in character and convey a grant element of at least 25%.
ODA transactions not to be recorded in this survey	The following transactions are excluded from the scope of this survey and should not be recorded: • Transactions made to beneficiaries that are not based in the country receiving ODA or to regional organisations. • Debt reorganisation/restructuring. • Emergency and relief assistance. Information on these components of ODA, and how they are managed, can be described within the scope of the Country Report (Annex 4).
Fiscal year 2009/10	The fiscal year is the fiscal year of the country receiving ODA. In order to have data available in time for the Korea High-Level Forum both donors and partner countries are required to report against the *calendar year 2010* except in the case of Indicator 3 (Aid Flows aligned on national priorities) that is measured against partner country's fiscal year 2009/10.

Disbursements	A disbursement is the placement of resources at the disposal of a recipient country or agency (OECD-DAC Statistical Directives para. 15-18). Resources provided in-kind should only be included when the value of the resources have been monetised in an agreement or in a document communicated to government. Where ODA is provided to the partner country as part of a donor's regional (multi-country) programme and it is possible to identify those activities and disbursements that are specific to that partner country, these disbursements should also be recorded. In order to avoid double counting in cases where one donor disburses ODA funds on behalf of another, it is **only** the donor who makes the final disbursement to the government who should report on these funds. The only exception to this is Q^d5, against which donors should record total ODA funds channelled through other donors (in the case of delegated co-operation, funds provided through multilateral organisations at the country level or multi-donor trust funds administered by another donor).
Disbursements for the government sector	ODA disbursed in the context of an agreement with administrations (ministries, departments, agencies or municipalities) authorised to receive revenue or undertake expenditures on behalf of central government. This includes works, goods or services delegated or subcontracted by these administrations to other entities such as: • Non-Governmental Organisations (NGOs); • semi-autonomous government agencies (e.g. parastatals), or; • private companies.
Annual budget	Is the annual budget as it was originally approved by the legislature. In order to support discipline and credibility of the budget preparation process, subsequent revisions to the original annual budget — even when approved by the legislature — **should NOT be recorded** under question Q^g14. This is because it is the credibility of the original, approved budget that is important to measure and because revisions to the annual budget in many cases are retroactive.
ODA recorded in annual budget	This should include all ODA recorded in the annual budget as grants, revenue or ODA loans.
Exchange rates	ODA should be reported in US dollars. A table of exchange rates is provided on the 2011 Survey website: http://www.oecd.org/dac/pdsurvey

MEASUREMENT OF INDICATOR

The following formula is applied by the OECD Secretariat in the calculation of the indicator:

$$Indicator\ 3\ (\%) =\ 100 \times \frac{Q^g14}{Q^d4}$$

INDICATOR 4: STRENGTHEN CAPACITY BY CO-ORDINATED SUPPORT

INTRODUCTION

This indicator measures the degree of alignment of donor technical co-operation in support of capacity development with the partner country's development objectives and strategies. As such, it measures performance by both partner countries and donors. The following paragraphs, drawn from the Paris Declaration on Aid Effectiveness, describe respective roles and responsibilities for strengthening capacity:

The capacity to plan, manage, implement, and account for results of policies and programmes, is critical for achieving development objectives — from analysis and dialogue through implementation, monitoring and evaluation. Capacity development is the responsibility of partner countries with donors playing a support role. It needs not only to be based on sound technical analysis, but also to be responsive to the broader social, political and economic environment, including the need to strengthen human resources (Para. 22)

Partner countries commit to integrate specific capacity strengthening objectives in national development strategies and pursue their implementation through country-led capacity development strategies where needed (Para. 23).

Donors commit to align their analytic and financial support with partners' capacity development objectives and strategies, make effective use of existing capacities and harmonise support for capacity development accordingly (Para. 24).

The Accra Agenda for Action reaffirms these roles and responsibilities:

Together, developing countries and donors will take the following actions to strengthen capacity development:

a) Developing countries will systematically identify areas where there is a need to strengthen the capacity to perform and deliver services at all levels — national, sub-national, sectoral, and thematic — and design strategies to address them. Donors will strengthen their own capacity and skills to be more responsive to developing countries' needs.

b) Donors' support for capacity development will be demand-driven and designed to support country ownership. To this end, developing countries and donors will i) jointly select and manage technical co-operation, and ii) promote the provision of technical co-operation by local and regional resources, including through South-South co-operation.

c) Developing countries and donors will work together at all levels to promote operational changes that make capacity development support more effective. (Para. 14).

Donor agencies support a wide range of capacity building programmes mainly in the public sector. However, donors' collective efforts are often less effective than they could be. One reason is that, all too often, capacity building is fragmented and does not fit well with countries' development strategies.

WORDING OF QUESTIONS

■ **DONOR QUESTIONNAIRE**

■ How much technical co-operation did you disburse in calendar year 2010?

Q^d6. USD _____

■ How much technical co-operation did you disburse through co-ordinated programmes in support of capacity development in calendar year 2010?

Q^d7.   USD _____

DEFINITIONS

Capacity development	Different organisations use different definitions for capacity development. According to the OECD-DAC Network on Governance, capacity development is the process whereby people, organisations and society as a whole unleash, strengthen, create, adapt and maintain capacity over time. Recent research shows that capacity development is more likely to be effective when: • Capacity development is treated as a goal in its own right and that increased efforts are made to identify the objectives it seeks to achieve ("Capacity development for what?"). • Support for capacity development addresses three dimensions: human capacity, organisational capacity and broader institutional capacity. • Capacity development is country owned rather than donor driven.
Technical co-operation	Technical co-operation (also referred to as technical assistance) is the provision of know-how in the form of personnel, training, research and associated costs. (OECD DAC Statistical Reporting Directives 40-44). It comprises donor-financed: • Activities that augment the level of knowledge, skills, technical know-how or productive aptitudes of people in developing countries; and • Services such as consultancies, technical support or the provision of know-how that contribute to the execution of a capital project. Technical co-operation can be provided to both government and non-government entities, and includes both free standing technical co-operation and technical co-operation that is embedded in investment programmes (or included in programme-based approaches). In order to report against this question, donors are invited to review their portfolio of projects and programmes and estimate the share of technical co-operation.
Co-ordinated technical co-operation	Co-ordinated technical co-operation means free standing and embedded technical co-operation that respects the following principles. *Ownership* -- Partner countries exercise effective leadership over their capacity development programmes. *Alignment* – Technical co-operation in support of capacity development is aligned with countries' development objectives and strategies. *Harmonisation* – Where more than one donor is involved in supporting partner-led capacity development, donors co-ordinate their activities and contributions. Donor are invited to review all their development activities with a view to determining how much technical co-operation was disbursed through co-ordinated programmes that meet *BOTH criteria* below: 1. Have relevant country authorities (government or non-government) communicated clear capacity development objectives as part of broader national or sector strategies? (Y/N) 2. Is the technical co-operation aligned with the countries' capacity development objectives? (Y/N) **AND at least ONE** of the criteria below: 3. Do relevant country authorities (government or non-government) have control over the technical co-operation? (Y/N) 4. If more than one donor is involved in supporting country programmes, are there arrangements involving the country authorities in place for co-ordinating the technical co-operation provided by different donors? (Y/N)

Version 28-Sep-10

MEASUREMENT OF INDICATOR

The following formula is applied by the OECD Secretariat in the calculation of the indicator:

$$Indicator\ 4\ (\%) = 100 \times \frac{Q^d 7}{Q^d 6}$$

ILLUSTRATIVE EXAMPLES

<table>
<tr>
<td colspan="2">Example: Co-ordinated Technical Co-operation
Project for Strengthening District Health Services in the Morogoro Region, Tanzania</td>
</tr>
<tr>
<td>1. Have relevant country authorities (government or non-government) communicated clear capacity development objectives as part of broader national or sector strategies?</td>
<td>YES: Government strategic plans at the sub-national level include capacity development interventions and prioritise these in the context of Tanzania's health sector reform.</td>
</tr>
<tr>
<td>2. Is the technical co-operation aligned with the countries' capacity development objectives?</td>
<td>YES: JICA provided the technical cooperation to complement the Health Sector Basket Fund (HSBF) as part of the Health SWAp, in order to strengthen the capacity of local government for planning, implementing, and managing public health services.</td>
</tr>
<tr>
<td>3. Do relevant country authorities (government or non-government) have control over the Technical Co-operation?</td>
<td>YES: The Government of Tanzania manages the day-to-day implementation of the technical co-operation project. This project was formulated in response to a request for technical cooperation by the Tanzanian Government. Under Tanzanian ownership and their clear objectives, Japan supports self-help efforts of the government as a catalyst.</td>
</tr>
<tr>
<td>4. If more than one donor is involved in supporting country programmes, are there arrangements involving the country authorities in place for co-ordinating the technical co-operation provided by different donors?</td>
<td>YES: Regular donor co-ordination meetings are convened under the leadership of the Government of Tanzania. Through this forum, JICA has worked with the World Bank and Canada to ensure that all capacity development support is complementary. This has meant that support is not duplicated, and synergies are achieved between the interventions supported by different donors.</td>
</tr>
<tr>
<td colspan="2">Source: Japan International Co-operation Agency (JICA)</td>
</tr>
</table>

Example: Co-ordinated Technical Co-operation Support to PRSP Monitoring, Benin	
1. Have relevant country authorities (government or non-government) communicated clear capacity development objectives as part of broader national or sector strategies?	**YES:** A three-year work plan (2010-12) sets out capacity development objectives and activities in the area of PRSP monitoring and evaluation. The plan was developed jointly by government and donors.
2. Is the technical co-operation aligned with the countries' capacity development objectives?	**YES:** German Technical Cooperation supports the co-ordination of a basket which supports the implementation of the activities set out in the plan described above.
3. Do relevant country authorities (government or non-government) have control over the Technical Co-operation?	**YES:** This support is managed and co-ordinated by the responsible government structure within the Ministry of Development. A joint steering committee oversees activities financed through the basket fund as well as technical co-operation provided to the basket in kind.
4. If more than one donor is involved in supporting country programmes, are there arrangements involving the country authorities in place for co-ordinating the technical co-operation provided by different donors? *Source: German Technical Cooperation (GTZ)*	**YES:** Co-ordination among the three contributing donors is formalised in a memorandum of agreement. Regular steering committee meetings led by government oversee implementation.

Example: Co-ordinated Technical Co-operation Support to irrigation, Cambodia	
1. Have relevant country authorities (government or non-government) communicated clear capacity development objectives as part of broader national or sector strategies?	**YES:** Cambodia's national irrigation strategy articulates objectives for capacity development.
2. Is the technical co-operation aligned with the countries' capacity development objectives?	**YES:** Technical co-operation provided through the irrigation project strengthens sector-wide management systems in line with established objectives.
3. Do relevant country authorities (government or non-government) have control over the Technical Co-operation?	**YES:** The project is being implemented by the Ministry of Water Resources and Meteorology (MOWRAM), and the Ministry's project management office oversees the technical co-operation. An Agriculture and Water Working Group meets every three months under the aegis of the government.
4. If more than one donor is involved in supporting country programmes, are there arrangements involving the country authorities in place for co-ordinating the technical co-operation provided by different donors? *Source: Agence française de développement (AFD).*	**YES:** Co-ordination among the three contributing donors is formalised in a memorandum of agreement. Regular steering committee meetings led by government oversee implementation.

INDICATOR 5A: USE OF COUNTRY PUBLIC FINANCIAL MANAGEMENT SYSTEMS

INTRODUCTION

Using a partner country's own institutions and systems increases aid effectiveness by strengthening partners' sustainable capacity to develop, implement and account for its policies to its citizens and parliament (PD §17). This is why the Paris Declaration encourages donors to use country systems and procedures to the maximum extent possible (PD §21). It also recognises that there are circumstances under which donors have legitimate reasons not to use country systems. Where this is the case donor should work with partner countries to address weaknesses and strengthen country systems. The Accra Agenda for Action includes commitments to accelerate the implementation of the Paris Declaration, notably that "Donors agree to use country systems as the first option for aid programmes in support of activities managed by the public sector." (Para. 15a). Donors also "aim to channel 50% or more of government-to-government assistance through country fiduciary systems" (para. 15e).

This indicator focuses on the use of partners' public financial management (PFM) systems when funding is provided to the government sector. It measures the volume of aid that uses partner country PFM systems as a percent of total aid provided to the government sector. National systems for the management of funds are those established in the general legislation (and related regulations) of the country and implemented by the line management functions of the government.

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

WORDING OF QUESTIONS

■ **DONOR QUESTIONNAIRE**

■ In calendar year 2010, how much ODA disbursed for the government sector used…

$Q^d8.$ …national **budget execution** procedures (USD)? _____

$Q^d9.$ …national **financial reporting** procedures (USD)? _____

$Q^d10.$ …national **auditing** procedures (USD)? _____

$Q^d11.$ …**all three** national procedures as defined above (USD)? _____

DEFINITIONS

Disbursements for the government sector	ODA disbursed in the context of an agreement with administrations (ministries, departments, agencies or municipalities) authorised to receive revenue or undertake expenditures on behalf of central government. This includes works, goods or services delegated or subcontracted by these administrations to other entities such as: • Non-Governmental Organisations (NGOs); • semi-autonomous government agencies (e.g. parastatals), or; • private companies.
Use of national budget execution procedures (Q^d8)	Donors use national budget execution procedures when the funds they provide are managed according to the national budgeting procedures established in the general legislation and implemented by government. This means that programmes supported by donors are subject to normal country budgetary execution procedures, namely procedures for authorisation, approval and payment. Donors are invited to review all their development activities with a view to determining how much ODA for the government sector meet three *out of the four criteria* below (anything less does not qualify): 1. Are your funds *included in the annual budget* approved by country legislature? (Y/N) 2. Are your funds subject to established country *budget execution procedures*? (Y/N) 3. Are your funds processed (e.g. deposited & disbursed) through the *established country treasury system*? (Y/N) 4. You do NOT require the *opening of separate bank accounts* for your funds? (Y/N)[5]
Use of national financial reporting procedures (Q^d9)	Legislative frameworks normally provide for specific types of financial reports to be produced as well as periodicity of such reporting. The use of national financial reporting means that donors do not impose additional requirements on governments for financial reporting. In particular donors do NOT require: (i) maintenance of a separate accounting system to satisfy donor reporting requirements, and (ii) creation of a separate chart of accounts to record the use of donor funds. Donors are invited to review all their development activities with a view to determining how much ODA for the government sector meet BOTH criteria below (anything less does not qualify): 1. You do NOT require maintenance of a separate accounting system to satisfy your own reporting requirements?[6] 2. You ONLY require financial reports prepared using country's established financial reporting arrangements? (Y/N)

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

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

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Use of national auditing procedures (Q^d10)	Donors rely on the audit opinions, issued by the country's supreme audit institution, on the government's normal financial reports/statements as defined above. The use of national auditing procedures means that donors do not make additional requirements on governments for auditing.
	
	Donors are invited to review all their development activities with a view to determining how much ODA for the government sector meet **BOTH criteria** *below[7]* :
	
	    1. Are your funds subject to audit carried out u**nder the responsibility of the Supreme Audit Institution**? (Y/N)
	
	    2. You do **NOT** under normal circumstances **request additional audit arrangements**[8]? (Y/N)[9]
	
	AND at least one of the two criteria below:
	
	    3. You do NOT require **audit standards different** from those adopted by the Supreme Audit Institution? (Y/N)[10]
	
	    4. You do NOT require the SAI to change its **audit cycle** to audit your funds? (Y/N)[11]

All three national procedures (Q^d11)	Disbursements of ODA for the government sector that use all three components of a country's national public financial management procedures, i.e.: (i) national budget execution procedures; (ii) national financial reporting procedures and (iii) national auditing procedures.

MEASUREMENT OF INDICATOR

The following formula is applied by the OECD Secretariat in the calculation of the indicator:

$$Indicator\ 5a\ (\%) = 100 \times \frac{\frac{1}{3}(Q^d8 + Q^d9 + Q^d10)}{Q^d3}$$

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[7]   Note: where aid is provided to parastatal entities (for example, public enterprises) and these entities are not subject to audit by the Supreme Audit Institution, the following criteria should be considered:

Donors are invited to review all their development activities with a view to determining how much ODA for the government sector meet BOTH criteria below:

1. Are your funds subject to audit carried out under the regular audit procedures established for the audit of parastatal entities? (Y/N)

2. You do NOT under normal circumstances request additional audit arrangements ? (Y/N)

AND at least one of the two criteria below:

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

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

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

[9]   **Yes**: donors do not require additional audits. **No**: donors do require additional audits.

[10]   **Yes**: donors do not require different audit standards. **No:** donors do require different audit standards.

[11]   **Yes**: donors do not require to change the audit cycle. **No**: donors do require change to the audit cycle.

ILLUSTRATIVE EXAMPLES

Example: A project <u>using all three components</u> of a partner country's PFM system **Social Investment Programme**	
Budget execution (Q^{d}8):	
1. Are your funds included in the annual budget approved by country legislature?	**Yes.** Estimated annual project expenditures are included in the annual budget approved by the parliament. The project expenditures are included as a separate sub-account in the budget classification.
2. Are your funds subject to established country budget execution procedures?	**Yes.** Project expenditures are committed, contracted, and paid according to country rules and procedures. Internal controls and internal audit arrangements established in the country apply to project expenditures. There are no additional internal control procedures required for project expenditures.
3. Are your funds processed (e.g. deposited & disbursed) through the established country treasury system?	**Yes.** The treasury applies its established procedures for processing project expenditures.
4. You do NOT require the opening of separate bank accounts for your funds?	**Yes.** Donor funds are transferred to the bank account held and operated by the treasury. The bank account forms part of the Treasury Single Account.
Financial reporting (Q^{d}9):	
1. You do NOT require maintenance of a separate accounting system to satisfy your own reporting requirements?	**Yes.** Project expenditures are recorded and accounted in the government account system. Neither MoF nor the line ministry maintains separate accounting records for tracking project expenditures. However, separate sub-accounts in the budget helps to keep track of project expenditures.
2. You ONLY require financial reports prepared using country's established financial reporting arrangements?	**Yes.** Project financial statements are prepared using the government accounting system. For presentation purposes, the accounting reports prepared by the government accounting system are further 'processed' using Excel spreadsheets (not requiring any extensive recalculations or reconciliation).
Auditing (Q^{d}10):	
1. Are your funds subject to audit carried out under the responsibility of the Supreme Audit Institution?	**Yes.** Project financial statements and audited by the SAI. Since the project expenditures form part of the budget approved by the legislature, the SAI is mandated to audit those in the normal course of their audit.
2. You do NOT under normal circumstances request additional audit arrangements?	**Yes.** Donors do not require additional audits (e.g. operational audits or performance audits) by private sector auditors. However, considering capacity constraints of SAI, twinning arrangements were agreed upon to strengthen technical capacity of the SAI.
3. You do NOT require audit standards different from those adopted by the Supreme Audit Institution?	**Yes.** Audit of project financial statements are carried out by SAI using audit standards generally used by the SAI. Although the SAI audit standards were not fully converged with the INTOSAI or ISA standards, there was no additional requirement for the SAI to adopt INTOSAI or ISA for auditing project financial statements.
4. You do NOT require the SAI to change its audit cycle to audit your funds?	**No.** The project financial statements were audited by SAI on an annual basis. The SAI generally audits budget programs only once in two/three years, so the annual audit requirement was an additional requirement.
Source: World Bank (reproduced from the guidance for the 2008 Survey on Monitoring the Paris Declaration).	

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INDICATOR 5B: USE OF COUNTRY PROCUREMENT SYSTEMS

INTRODUCTION

Using a partner country's own institutions and systems increases aid effectiveness by strengthening partners' sustainable capacity to develop, implement and account for its policies to its citizens and parliament. This is why the Paris Declaration encourages donors to use country systems and procedures to the maximum extent possible (PD §21). The Accra Agenda for Action builds on this by committing donors "to use country systems as the first option for aid programmes in support of activities managed by the public sector" (AAA §15). It is also recognised that there are circumstances under which donors have legitimate reasons not to use country systems. Where this is the case donors should work with partner countries to address concerns and strengthen country systems.

This indicator focuses on the use of national procurement systems when funding is provided for the government sector. It measures the volume of aid that uses national country procurement system as a percent of total aid provided for the government sector. In cases where donors use national systems but apply safeguard measures, this should be reported as part of the qualitative information provided under Indicator 5b in the *Country Report*.

No particular aid modalities automatically qualify as using country procurement systems. Most aid modalities including project support can be designed to use country procurement systems.

WORDING OF QUESTIONS

■ **DONOR QUESTIONNAIRE**

■ In calendar year 2010, how much ODA disbursed for the government sector used national procurement systems?

Q^d12. USD _____

DEFINITIONS

Disbursements for the government sector	ODA disbursed in the context of an agreement with administrations (ministries, departments, agencies or municipalities) authorised to receive revenue or undertake expenditures on behalf of central government. This includes works, goods or services delegated or subcontracted by these administrations to other entities such as: • Non-Governmental Organisations (NGOs); • semi-autonomous government agencies (e.g. parastatals), or; • private companies.
Use of national procurement systems	Donors use national procurement systems when the funds they provide for the implementation of projects and programmes are managed according to the national procurement procedures as they were established in the general legislation and implemented by government. The use of national procurement procedures means that donors do not make additional, or special, requirements on governments for the procurement of works, goods and services. (Where weaknesses in national procurement systems have been identified, donors may work with partner countries in order to improve the efficiency, economy, and transparency of their implementation).

MEASUREMENT OF INDICATOR

The following formula is applied by the OECD Secretariat in the calculation of the indicator:

$$Indicator\ 5b\ (\%) =\ 100 \times \frac{Q^d 12}{Q^d 3}$$

ILLUSTRATIVE EXAMPLES

<table>
<tr><td colspan="2">Example: Procurement that <u><i>does not</i></u> use national procurement systems
Textbook procurement, Ghana</td></tr>
<tr>
<td>Donors use national procurement systems when the funds they provide for the implementation of projects and programmes are managed according to the national procurement procedures as they were established in the general legislation and implemented by government.</td>
<td>The Government of Ghana sought to procure textbooks through a donor-financed project in the education sector. The donor agreed in principle to use Ghana's procurement procedures. Ghanaian procurement procedures allow for the use of national competitive bidding in this case. The donor however insisted on the use of international competitive bidding, which resulted in a derogation from Ghana's standard procedure for the procurement of textbooks.</td>
</tr>
<tr>
<td>The use of national procurement procedures means that donors do not make additional, or special, requirements on governments for the procurement of works, goods and services.</td>
<td>In this case, the donor did make additional requirements. In addition to requesting the use of international competitive bidding, it sought to review elements of the procurement process conducted by the Government of Ghana before a contract was awarded.</td>
</tr>
<tr>
<td colspan="2"><i>Source: Ministry of Finance and Economic Planning, Ghana.</i></td>
</tr>
</table>

INDICATOR 6: STRENGTHEN CAPACITY BY AVOIDING PARALLEL IMPLEMENTATION STRUCTURES

INTRODUCTION

When providing development assistance in a country, some donors establish Project Implementation Units (PIUs) — dedicated management units designed to support development projects or programmes. The Paris Declaration invites donors to: "avoid to the maximum extent possible, creating dedicated structures for day-to-day management and implementation of aid-financed projects and programmes".

The intent of this indicator is to see a progression toward strengthening local capacity for planning, implementation, and ongoing accountability to a country's citizens and parliament. This indicator measures progress through the reduction in parallel PIUs — those which are created outside the existing structures of national implementation agencies. There is strong evidence that parallel PIUs tend to undermine national capacity building efforts, distort salaries and generally confuse accountability for development.

This indicator measures the total number of parallel PIUs in a single country. It is expressed in absolute terms rather than a ratio. As a result, the number of parallel PIUs in a single country needs to be considered against nature and volume of development assistance in that country.

It is recognised that parallel and integrated Project Implementation Units evolve on a continuum, and the purpose of this indicator is, therefore, to better identify where parallel begins and integrated ends.

WORDING OF QUESTIONS

■ DONOR QUESTIONNAIRE

■ How many *parallel* project implementation units did you make use of in calendar year 2010 in the provision of aid for the government sector?

Q^d13. Number of parallel PIUs: _____

DEFINITIONS

Project Implementation Unit (PIU)	When providing development assistance in a country, some donors establish Project Implementation Units (They are also commonly referred to as project management units, project management consultants, project management offices, project co-ordination offices etc.). These are dedicated management units designed to support the implementation and administration of projects or programmes. PIUs typically share the following key features: • PIUs are TYPICALLY required to perform subsidiary (rather than principal) tasks with regard to the implementation of a project or programme: monitoring and reporting on technical and/or financial progress, accounting, procurement of works, goods and services, drawing-up of terms of reference, contract supervision, detailed design or equipment specification. • PIUs are often established at the request of a donor following the inception of a project or programme. • The staff of PIUs vary considerably in size and composition. Staff size can vary from 1 to as many as 200 but most count less than 10 professional staff. Although a significant number of PIUs make use of government staff, most PIUs rely on staff recruited outside the civil service (e.g. long-term local consultants). • A distinction is made here between a PIU and technical advice provided directly to national administrations.
PARALLEL PIU	A PIU is parallel when it is created and operates outside existing country institutional and administrative structures at the behest of a donor. In practice, there is a continuum between parallel and integrated PIUs. The criteria below have been designed to help donors and partner authorities draw a line within this continuum and identify with greater certainty parallel PIUs. Donors are invited to review all their development activities for the government sector with a view to determining how many PIUS are parallel. For the purpose of this survey, PIUs are said to be parallel when there are three or more "Yes" to the four questions below (anything less counts as integrated): 1. Are the PIUs accountable to the external funding agencies/donors rather than to the country implementing agencies (ministries, departments, agencies etc)? (Y/N) 2. Are the terms of reference for externally appointed staff determined by the donor (rather than by the country implementing agencies)? (Y/N) 3. Is most of the professional staff appointed by the donor (rather than the country implementing agencies)? (Y/N) 4. Is the salary structure of national staff (including benefits) higher than those of civil service personnel? (Y/N)
Aid for the government sector	ODA disbursed in the context of an agreement with administrations (ministries, departments, agencies or municipalities) authorised to receive revenue or undertake expenditures on behalf of central government. This includes works, goods or services delegated or subcontracted by these administrations to other entities such as: • Non-Governmental organisations (NGOs); • semi-autonomous government agencies (e.g. parastatals), or; • private companies. All parallel PIUs used in the context of aid for the government sector should be reported for the purpose of calculating indicator 6. This includes parallel PIUs where aid for the government sector is provided through – for example – Non-Governmental Organisations (NGOs). Aid to or through Non-Governmental Organisations which is not deemed to be for the government sector should not be reported.

MEASUREMENT OF INDICATOR

The following formula is applied by the OECD Secretariat in the calculation of the indicator:

$$Indicator\ 6\ (units) = \ Q^d 13$$

ILLUSTRATIVE EXAMPLES

Example: An integrated PIU (i.e. a PIU which is *not* parallel) **Tertiary education programme, South Africa**	
1. Are the PIUs accountable to the external funding agencies/donors rather than to the country implementing agencies (ministries, departments, agencies etc)?	**No.** The PIU has been established as a centre co-located at a South African university. There is a contract between the Department of Education (DoE) and the Centre concerning the work of the PIU. The donor pays the work of the PIU upon request from DoE.
2. Are the terms of reference for externally appointed staff determined by the donor (rather than by the country implementing agencies)?	**No.** The Terms of Reference for the Centre and all staff is approved by the Department of Education.
3. Is most of the professional staff appointed by the donor (rather than the country implementing agencies)?	**No.** All staff is hired and contracted by the Centre, and approved by the DoE.
4. Is the salary structure of national staff (including benefits) higher than those of civil service personnel?	**No.** The salary structure of national staff follows the government's salary structure.
Source: NORAD (reproduced from the guidance for the 2008 Survey on Monitoring the Paris Declaration).	

Example: An integrated PIU (i.e. a PIU which is *not* parallel) **Millennium Challenge Account (MCA) Unit, Cape Verde**	
1. Are the PIUs accountable to the external funding agencies/donors rather than to the country implementing agencies (ministries, departments, agencies etc)?	**No.** The Millennium Challenges Compact (MCC) is accountable to the Steering Committee, which is chaired by the Minister of Finance and Public Administration, and includes ministries relevant to the components of the Compact, representatives of civil society, private sector and local government. The members of the Advisory Board come from the business community, civil society and the government.
2. Are the terms of reference for externally appointed staff determined by the donor (rather than by the country implementing agencies)?	**No.** The Managing Unit and national implementing agencies of the Compact decides who, if any, external staff is hired and for what purpose. The TORs are drafted by the Managing Unit with capacity building assistance from the MCC.
3. Is most of the professional staff appointed by the donor (rather than the country implementing agencies)?	**No.** The selection is made by the Government, following criteria and processes agreed with the MCC.
4. Is the salary structure of national staff (including benefits) higher than those of civil service personnel?	**Yes.** Justifications for higher salaries are: 1) greater responsibilities; 2) no guarantee for long-term employment; and 3) required specific professional qualifications (analytical, statistical, engineering, agronomic skills etc.)
Source: USAID (reproduced from the guidance for the 2008 Survey on Monitoring the Paris Declaration).	

INDICATOR 7: AID IS MORE PREDICTABLE

INTRODUCTION

Development assistance in many aid recipient countries constitutes an important source of revenue and resources. In order to make best use of development assistance, partner authorities need to be in a position to plan for the medium and long term and to optimise allocation of resources within and across sectors. In this connection, the Paris Declaration calls on donors to provide reliable indicative commitments of aid over a multi-year framework and disburse aid in a timely and predictable fashion according to agreed schedules (PD-§26). While improvements in aid predictability are needed over the short, medium and long-term, this indicator focuses specifically on in-year predictability of aid flows to the government sector. In doing so, it recognises that shortfalls in the total amount of aid for the government sector and delays in the in-year disbursements of scheduled funds can have serious implications for a government's ability to implement its national development strategy as planned.

This indicator measures the gap between aid scheduled and aid effectively disbursed and recorded in countries' accounting systems. The objective of the Paris Declaration is to gradually close this predictability gap so that aid is increasingly: disbursed according to agreed schedules, and comprehensively recorded in countries' accounting systems. Meeting this objective is not exclusively within donors' control: it is a shared responsibility that requires donors and government to work together on various fronts at the same time. Actions include efforts in improving:

- The realism of predictions on volume and timing of expected disbursements. This includes realism on the pace of programme implementation.

- The mechanisms for notifying and recording donor-funded disbursements.

- The comprehensiveness of government's records of disbursements made by donors.

For a more detailed discussion on this indicator, its purpose and measurement please refer to Chapter 1 of the 2006 Survey on Monitoring the Paris Declaration available at http://www.oecd.org/dac/pdsurvey

WORDING OF QUESTIONS

■ **DONOR QUESTIONNAIRE** – How much total ODA for the government sector did you schedule for disbursement in calendar year 2010?

Q^d14. USD _____

■ **GOVERNMENT QUESTIONNAIRE** – How much total ODA for the government sector was actually recorded in your accounting systems in calendar year 2010?

Q^g15. USD _____

DEFINITIONS

ODA scheduled for disbursement	This includes ODA scheduled by donors for disbursement in calendar year 2010 and notified to government within calendar year 2009; it includes ODA scheduled for disbursement in aid agreements entered into in 2010.
ODA actually received	ODA actually received in the context of agreements between donors and the government sector (see definition provided under Indicator 3). Government should report data as it was recorded in the government accounting/reporting systems including, where the information is available, payments made directly by donors to third parties.
Disbursements for the government sector	ODA disbursed in the context of an agreement with administrations (ministries, departments, agencies or municipalities) authorised to receive revenue or undertake expenditures on behalf of central government. This includes works, goods or services delegated or subcontracted by these administrations to other entities such as: • Non-Governmental Organisations (NGOs); • semi-autonomous government agencies (e.g. parastatals), or; • private companies.

MEASUREMENT OF INDICATOR

The following formula is applied by the OECD Secretariat in the calculation of the indicator:

$$Indicator\ 7\ (\%) = 100 \times \frac{Q^g 15}{Q^d 14}$$

INDICATOR 9: USE OF COMMON ARRANGEMENTS OR PROCEDURES

INTRODUCTION

Donors do not work in isolation. They undertake activities to support other organisations to implement their own strategies and plans and generally work in areas where other donors are also active. Aid effectiveness is significantly enhanced when there is a good mechanism for aid co-ordination that builds on shared objectives and set within a framework that reconciles different interests in a constructive way. In this connection, programme-based approaches (PBA) are an effective model for co-ordinating development assistance and the Paris Declaration encourages donors to channel a greater proportion of their aid in support of them. While in practice there are many different modalities for implementing PBAs they all operate at the following levels:

- *The programme of the partner country* — The partner country is responsible for defining a clear country-owned programme (e.g. sector policy) and establishing a single budget framework that captures all resources both domestic and external.

- *The modalities for supporting the programme* — Donors are responsible for taking steps to use local systems for programme design and implementation, financial management, monitoring and evaluation.

- *The process of co-operation associated with it* — Partner countries and donors are jointly responsible for establishing a formal process for donor co-ordination and harmonisation of donor procedures.

No particular aid modalities automatically qualify as PBAs. A range of aid modalities can be designed to exhibit the features of a PBA. For example, direct budget support (including General and Sector budget support) is typically likely to respond to the attributes of a PBA (see definition below). Similarly project aid that is delivered in the context of a Sector-Wide Approach, or that is pooled through a basket fund or through a pooled arrangement for technical assistance can respond to the required attributes.

In each of the countries where the survey is undertaken, donors should identify which of their programmes are PBAs and be prepared to share the information with the National Co-ordinator providing information on how the programme meets the four criteria of a PBA. The National Co-ordinator should establish a list of programmes and projects that qualify as PBAs in close consultation with both donors and the government.

This indicator measures ODA provided in support of programme-based approaches as a percentage of *total ODA* rather than just ODA for the government sector (as with other indicators). The rationale for this broader based approach is that PBAs are a way of engaging in development assistance that should not be limited to the government sector but also makes sense when applied to the non-government sector (e.g. chambers of commerce, guilds, civil society organisations etc.).

WORDING OF QUESTIONS

■ **DONOR QUESTIONNAIRE**

■ How much ODA did you disburse in support of initiatives adopting programme-based approaches in calendar year 2010? Please provide information for the following components of PBAs:

Q^d15. Direct budget support provided in support of PBAs (USD): _____

Q^d16. Other donor assistance provided in support of PBAs (USD): _____

DEFINITIONS

Programme-Based Approach (PBA)	Programme-based approaches (PBA) are a way of engaging in development co-operation based on the principles of co-ordinated support for a locally owned programme of development, such as a national development strategy, a sector programme, a thematic programme or a programme of a specific organisation. Programme based approaches share the following features: (i) Leadership by the host country or organisation; (ii) A single comprehensive programme and budget framework; (iii) A formalised process for donor co-ordination and harmonisation of donor procedures for reporting, budgeting, financial management and procurement; (iv) Efforts to increase the use of local systems for programme design and implementation, financial management, monitoring and evaluation.

Donors can support and implement programme-based approaches in different ways and across a range of aid modalities including budget support, sector budget support, project support, pooled arrangements and trust funds.

Donors are invited to review all their development activities with a view to determining how much ODA was disbursed in support of programme-based approaches that meet **ALL 4 of the following criteria** should be met (anything less does not qualify as a PBA):

1. Is the host country or organisation exercising leadership over the programme supported   by donors? (Y/N)

2. Is a single comprehensive programme and budget framework used? (Y/N)

3. Is there a formal process for donor co-ordination and harmonisation of donor procedures for **at least two** of the following systems: (i) reporting, (ii) budgeting, (iii) financial management and (iv) procurement? (Y/N)

4. Does your support to the programme use **at least two** of the following local systems: (i) programme design, (ii) programme implementation, (iii) financial management and (iv) monitoring and evaluation? (Y/N)

Donors are invited to review their portfolio of activities with a view to determining which of them meet all four of the above criteria (activities that meet less than four criteria do not qualify as ODA provided in support PBAs). A list of illustrative examples is provided below to help respondents determine how the criteria apply to specific assistance activities. For the purpose of this survey, direct budget support provided in support of PBAs is tracked separately from other PBA modality:

- Direct budget support provided in support of PBAs (Definition below).

- Other assistance in support of programme-based approaches (Definition below).

Direct budget support provided in support of PBAs (Q^{d}15)	This includes all direct budget support provided in support of PBA under the definition of PBA provided above. Direct budget support — including general and sector budget support — is defined as a method of financing a partner country's budget through a transfer of resources from a donor to the partner government's national treasury (see definition below).

Other donor assistance provided in support of PBAs (Q^{d}16)	This includes ODA provided in support of PBAs as defined above but excluding direct budget support (see above). This might include:

- Projects integrated into Sector-Wide Approaches (SWAps).

- Pooled arrangements in support of programme-based approaches (e.g. basket funding or pooling of technical assistance).

- Other assistance in support of programme-based approaches.

In each of the countries where the survey is undertaken, donors should be prepared to share with National Co-ordinators the list of their activities that qualify as programme-based approaches and how each meets the PBA criteria.

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Direct budget support	Direct budget support is defined as a method of financing a partner country's budget through a transfer of resources from a donor to the partner government's national treasury. The funds thus transferred are managed in accordance with the recipient's budgetary procedures. Funds transferred to the national treasury for financing programmes or projects managed according to different budgetary procedures from those of the partner country, with the intention or earmarking the resources for specific uses, are therefore excluded from this definition of budget support (OECD 2006[12]) This definition also includes sector budget support provided and general budget support (see definitions below).
Sector budget support	For the purposes of this survey, sector budget support is a sub-category of direct budget support. Sector budget support means that dialogue between donors and partner governments focuses on sector-specific concerns rather than on overall policy and budget priorities (OECD 2006).
General budget support	General budget support is a sub-category of direct budget support. In the case of general budget support, the dialogue between donors and partner governments focuses on overall policy and budget priorities (OECD 2006).

MEASUREMENT OF INDICATOR

The following formula is applied by the OECD Secretariat in the calculation of the indicator:

$$Indicator\ 9\ (\%) = 100 \times \frac{(Q^d15 + Q^d16)}{Q^d1}$$

[12.]   OECD 2006, *Harmonising Donor Practices for Effective Aid Delivery*, Vol. 2, Chap. 2: Budget Support.

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ILLUSTRATIVE EXAMPLES

Example: Donor assistance that _is_ considered as provided in support of a PBA Health SWAp, Tanzania	
1. Is the host country or organisation exercising leadership over the programme supported by donors?	**Yes.** Basket funding is managed by the Ministry of Health and Social Welfare (MOHSW) which its Chief Medical Officer chairs the Health SWAp Technical Working Group. The technical working group is comprised of a subset of invited partners from government, donors, CSOs and private sector.
2. Is a single comprehensive programme and budget framework used?	**Yes.** A Mid-Term Economic Framework budgets all health funds at the district and above levels. Funds include government revenue, General Budget Support and the Health Basket. Progress is being made to include projectised donations into the MTEF.
3. Is there a formal process for donor co-ordination and harmonisation of donor procedures for reporting budgeting, financial management and procurement?	**Yes**. A very active Donor Partner Group for Health meets monthly and has sub-groups for basket funding, M & E and other topics which cover all four areas.
4. Does your support to the programme use at least two of the following local systems: (i) programme design, (ii) programme implementation, (iii) financial management and (iv) monitoring and evaluation?	**Yes.** Programme implementation uses the SWAp Technical Working Group. Financial management is done through the basket subcommittee of Donor Partner Group on Health reviews and comments on the MTEF. Monitoring and evaluation is done through the Joint Assistance Strategy for Tanzania Review.

Source: USAID (reproduced from the guidance for the 2008 Survey on Monitoring the Paris Declaration).

Example: Donor assistance that _is_ considered as provided in support of a PBA Support to Water and Sanitation Sector Programme, Uganda	
1. Is the host country or organisation exercising leadership over the programme supported by donors?	**Yes.** The Water and Sanitation Sector Working Group is chaired by the Permanent Secretary of the Ministry of Water and Environment and co-chaired by a donor lead. They discuss all programme proposals, approve all projects, monitor and assess all activities.
2. Is a single comprehensive programme and budget framework used?	**Yes.** The Joint Water and Sanitation Sector Programme provides the overarching framework detailing the budget and contributions of both Ugandan and international partners.
3. Is there a formal process for donor co-ordination and harmonisation of donor procedures for reporting, budgeting, financial management and procurement?	**Yes.** A Joint Assistance Strategy provides a formal setting for cooperation in Uganda. Donors in the water sector meet monthly. Within the Sector Wide Approach (SWAp) reporting is harmonised around the ten "golden Indicators" of the water sector and the Joint Assessment Framework core indicators. Budget forecasts are made several years in advance. Financial management and procurement are undertaken by the government.
4. Does your support to the programme use at least two of the following local systems: (i) programme design, (ii) programme implementation, (iii) financial management and (iv) monitoring and evaluation?	**Yes.** The integrated technical support project was designed according to the partner's planning procedures. It supports the Ministry and other Ugandan mandated institutions, which implement activities according to the sector programme. Performance is monitored against the "golden Indicators", thus using the partner's monitoring system. Components of the local public financial management system are used.

Source: German Technical Co-operation (GTZ)

INDICATOR 10A: JOINT MISSIONS

INTRODUCTION

One of the most frequent complaints made by partner authorities is that too much time is spent with donor officials and responding to donor needs. Sometimes meetings are scheduled by donors without giving sufficient consideration to partner authorities' agendas and irrespective of claims made by other donors on the time of partner authorities. In planning their missions to the field, it is important that donors:

- Conduct fewer missions.

- Co-ordinate timing of missions with partner authorities and, where necessary, with other donors.

- Conduct more missions jointly with other donors.

- Avoid conducting missions during 'mission free periods'.

This indicator focuses only on the proportion of missions undertaken by two or more donors jointly or by one donor on behalf of another (see definitions below). In doing so, it recognises that the intention behind this Indicator is not simply to have more joint missions but to have fewer missions overall. It also recognises that there is a proper place for single donor missions that are not undertaken jointly.

WORDING OF QUESTIONS

■ **DONOR QUESTIONNAIRE**

■ How many donor missions to the field were undertaken in calendar year 2010?

Q^d17. Number of missions: _____

Q^d18. How many of these were co-ordinated: _____

DEFINITIONS

Donor missions to the field	Donor missions to the field are defined as missions that meet all of the following criteria: - The mission is undertaken by, or on behalf of, a donor, including programme developers, appraisers and evaluators, sector assessment teams commissioned by a donor. - The mission involved international travel typically, but not exclusively, from donor headquarters. - The mission made a request to meet with government officials including local government. This definition should exclude missions: - Undertaken by donors to attend events (workshops, conferences, etc.) that do not involve request to meet with government officials. - Undertaken by parliamentary or other political delegations. - Special event missions undertaken as part of a defined programme, e.g. electoral observers. - External consultants that are executing work as part of scheduled programme implementation plans. - Disaster assessment teams.

Co-ordinated missions	Co-ordinated missions are: (i) missions undertaken by one or more donor jointly, or (ii) missions undertaken by one donor on behalf of another donor (delegated co-operation).

MEASUREMENT OF INDICATOR

The following formula is applied by the OECD Secretariat in the calculation of the indicator:

$$Indicator\ 10a\ (\%) = 100 \times \frac{Q^d 18}{Q^d 17}$$

ADDITIONAL GUIDANCE: AVOIDING THE DOUBLE-COUNTING OF MISSIONS

In order to avoid double-counting missions reported by donors as co-ordinated, donors should provide descriptive information about each mission in their responses. To work out the number of missions and co-ordinated missions and avoid double counting (which occurs when two donors report the same mission and these are incorrectly recorded as two separate missions rather than a single mission), the worked example below may be used by national co-ordinators and donor focal points before completing the country spreadsheet.

- First establish a list of missions on one column, and then a list of donors on another.
- Use C to denote co-ordinated missions or S for single, unco-ordinated missions, to count the number of missions / co-ordinated missions for each donor.
- Establish the total number of mission for country X in Column F (Column F should always be one);
- Establish the total number of co-ordinated missions in Column G.

A	B	C	D	E	F	G
Mission	Donor 1	Donor 2	Donor 3	Donor 4	Total # of Missions for Country X (Q^d17)	Total # of Co-ordinated Missions for Country X (Q^d18)
1	C	C	C	C	1	1
2	S				1	0
3		S			1	0
4	C		C		1	1
5		C	C		1	1
6				S	1	0
	Total # of Missions: 3 Total # of Co-ordinated Missions: 2	Total # of Missions: 3 Total # of Co-ordinated Missions: 2	Total # of Missions: 3 Total # of Co-ordinated Missions: 3	Total # of Missions: 2 Total # of Co-ordinated Missions: 1	6	3

C= Co-ordinated
S= Single Missions (unco-ordinated)

ILLUSTRATIVE EXAMPLES

Example: A Co-ordinated Donor Mission **Mid-term review of a community health programme**	
1. Was the mission either (i) a mission undertaken by one or more donor jointly, or (ii) a mission undertaken by one donor on behalf of another donor (delegated co-operation).	**YES.** Representatives of two donor organisations travelled from their respective headquarters to the partner country to undertake a week-long review of a jointly supported programme in the health sector. The mission involved meetings with government officials in the partner country. By undertaking a single mission jointly, the donors contributed to reducing the burden of separate missions on partner country government officials.

Example: A Donor Mission which _was not considered to be_ co-ordinated **Project scoping visit, wetlands protection and rehabilitation**	
1. Was the mission either (i) a mission undertaken by one or more donor jointly, or (ii) a mission undertaken by one donor on behalf of another donor (delegated co-operation).	**NO.** Representatives of a donor organisation travelled to the partner country to meet with government officials and discuss a potential project in the environment sector. Although the mission was planned in close collaboration with the Ministry of Environment, this mission was _not_ considered to be co-ordinated for the purpose of indicator 10a. The donor concerned did not undertake the mission with or on behalf of another donor.

INDICATOR 10B: JOINT COUNTRY ANALYTIC WORK

INTRODUCTION

Country analytic work encompasses the analysis and advice necessary to strengthen policy dialogue, develop and implement country strategies in support of sound development assistance. It typically includes country or sector studies and strategies, country evaluations, discussion papers etc. Good analytic work is essential for well-focused development policy and programmes. The Paris Declaration recognises that donors have a responsibility in ensuring that the analytic work they commission is undertaken, as much as possible, jointly (PD §32). Doing country analytic work jointly has a number of benefits. It helps curb transaction costs for partner authorities, avoid unnecessary duplicative work and helps foster common understanding between donors. In doing so, donors need also to draw on partner countries' own analytical work and, where appropriate, work with government and other donors.

This indicator measures the proportion of country analytic reports or reviews undertaken by two or more donors jointly or by one donor on behalf of other donor(s) as a percent of the total number of reports or reviews

WORDING OF QUESTIONS

■ **DONOR QUESTIONNAIRE**

■ How many country analytic works did you undertake in calendar year 2010?

Q^d19. Number of works: _____

Q^d20. How many of these were co-ordinated: _____

DEFINITIONS

Country Analytic Work (CAW)	Country analytic work (CAW) encompasses the analysis and advice necessary to strengthen policy dialogue, develop and implement country strategies in support of sound development assistance. Good analytic work is essential for well-focused development policy and programmes. It should include major pieces of analytical work such as: - Diagnostic reviews (e.g. Country Procurement Assessment Report, Country Financial Accountability Assessments etc.). - Country or sector studies and strategies. - Country or sector evaluations. - Cross-cutting analytical work such as gender assessments.
Co-ordinated Country Analytic Work	Co-ordinated country analytic work is: (i) CAW undertaken by one or more donor jointly; (ii) CAW undertaken by one donor on behalf of another donor (including work undertaken by one and/or used by another when it is co-financed and formally acknowledged in official documentation); (iii) CAW undertaken with substantive involvement from government.

MEASUREMENT OF INDICATOR

The following formula is applied by the OECD Secretariat in the calculation of the indicator:

$$Indicator\ 10b\ (\%) = 100 \times \frac{Q^d 20}{Q^d 19}$$

ADDITIONAL GUIDANCE: AVOIDING THE DOUBLE-COUNTING OF COUNTRY ANALYTIC WORKS

In order to avoid double-counting country analytic works reported by donors as co-ordinated, donors should provide descriptive information about each analytic work in their responses.

To work out the number of analytic works and co-ordinated analytic works and avoid double counting (which occurs when two donors report the same analytic work and these are incorrectly recorded as two separate analytic works rather than a single analytic work), national co-ordinators and donor focal points are encouraged to follow the worked example provided in the guidance for indicator 10a above (joint missions).

ILLUSTRATIVE EXAMPLES

Example: A Co-ordinated Country Analytic Work **Joint Governance Assessment, Rwanda**	
1. Was the analytic work either (i) undertaken by one or more donor jointly; or (ii) undertaken by one donor on behalf of another donor (including work undertaken by one and/or used by another when it is co-financed and formally acknowledged in official documentation); or (iii) undertaken with substantive involvement from government?	**YES.** The Joint Governance Assessment establishes a common understanding on governance problems and priorities. It establishes a framework for assessing progress on policies to strengthen governance. The Joint Governance Assessment was undertaken for the first time in 2008, jointly by both the Government of Rwanda and development partners. It was led by the World Bank and actively supported by other donors.
Source: UK Department for International Development	

Example: A Co-ordinated Country Analytic Work **Joint Appraisal for future Poverty Reduction Budget Support, Zambia**	
1. Was the analytic work either (i) undertaken by one or more donor jointly; or (ii) undertaken by one donor on behalf of another donor (including work undertaken by one and/or used by another when it is co-financed and formally acknowledged in official documentation); or (iii) undertaken with substantive involvement from government?	**YES.** Five bilateral donors (UK, Finland, Netherlands, Norway and Sweden) will work together during 2010 to develop several pieces of technical analysis to appraise the case for budget support. Undertaking the appraisal jointly avoids duplication of technical work, minimises costs and reduces the number of separate missions required. The production of one Joint Appraisal Report will also minimise transaction costs for the Government of Zambia and other stakeholders and should lead to a more harmonised approach to any future budget support.
Source: UK Department for International Development	

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Example: A Co-ordinated Country Analytic Work **Joint Country Analysis of Viet Nam**	
1. Was the analytic work either (i) undertaken by one or more donor jointly; or (ii) undertaken by one donor on behalf of another donor (including work undertaken by one and/or used by another when it is co-financed and formally acknowledged in official documentation); or (iii) undertaken with substantive involvement from government?	**YES.** A group of 13 bilateral donors and the United Nations commissioned an independent study outlining key policy challenges facing Viet Nam during the period of its next Socio-Economic Development Plan (SEDP) 2011-2015. This is intended to inform donor and UN support to the implementation of the SEDP. A consulting team was guided by a working group comprised of representatives of participating donors and the UN. Substantive comments were received from selected peer reviewers from government, academia and civil society.
Source: United Nations	

INDICATOR 11: RESULTS-ORIENTED FRAMEWORKS

INTRODUCTION

The Paris Declaration (PD §43-46) commits donors and partner countries to manage and implement aid in a way that focuses on the desired results and uses information to improve decision making; partners to strengthen the linkages between strategies and budgets, and endeavour to establish results-oriented reporting and assessment frameworks; donors to link country programming to results and align them with partners' assessment and monitoring frameworks, and harmonise reporting requirements; and partner and donors to jointly strengthen the necessary capacities.

Indicator 11 measures the extent to which the country commitment on establishing performance frameworks has been realised.

WORDING OF QUESTIONS

■ **GOVERNMENT QUESTIONNAIRE**

■ Basic Information:

Q^{g}16. Is there a monitoring and evaluation (M&E) framework in the national development strategy?

> If Yes, which page(s) of the national development strategy includes the M&E?
> Then, please go to **Q^{g}17**.

> If No, please explain the stage of preparation to develop the M&E framework for the national development strategy, if any.
> Then, please go to **Q^{g}20**.

Q^{g}17. Please describe the institutional responsibilities (e.g., data collection, analysis and reporting) of the M&E framework and the co-ordination arrangements among ministries.

Q^{g}18. Does the M&E framework have comprehensive sector coverage?

> If Yes, please check all the sectors covered in the national development strategies:
> ☐ Education   ☐ Banking and financial services
> ☐ Health   ☐ Business and other services
> ☐ Water supply and sanitation   ☐ Agriculture, forestry and fishing
> ☐ Transportation   ☐ Industry, mining and construction
> ☐ Communication   ☐ Energy
> ☐ Others (please specify):

Q^{g}19. Please check the most appropriate one with regard to geographical coverage of data collection for the national development strategy:

> ☐ Entire country covered   ☐ Most of the country covered
> ☐ Half of the country covered   ☐ Only part of the country covered
> ☐ Other (please explain):

Q^{g}20. Is the progress against the national development strategy reported in a unified way?

> If Yes, in which form? Also, please provide us with web addresses:

> ☐ Progress report to the national development strategy

☐ Separate monitoring report
☐ Others (please explain):

Also, how often?
☐ Quarterly   ☐ Semi-annually   ☐ Annually
☐ Other (please explain):

■ Quality of Development Information:

Qᵍ21.   (a) Is there comprehensive data coverage for qualitative and quantitative targets in the national development strategy?

(b) What % of quantitative indicators has baseline-data?

Qᵍ22. Please check the main data sources and their frequencies of data collection for monitoring the national development strategy:

☐ Population census. (Frequency:)
☐ Household survey. (Frequency:)
☐ Gross Domestic Product. (Frequency:)
☐ Poverty survey. (Frequency:)
☐ Labour survey. (Frequency:)
☐ Others (please explain together with their data frequency):

Qᵍ23. Does data have high quality and reliability to meet M&E demands from the national development strategy in terms of accuracy, timeliness and usefulness?

If Yes, please describe how quality and reliability is ensured:

If No, please describe key challenges to improve quality and reliability:

Qᵍ24. Please describe the evolution/development of data in terms of frequency, geographical coverage, sectoral coverage, accuracy, and the process for collection and analysis of data over the past 10 years?

■ Stakeholder Access to Information:

Qᵍ25. Is the national development strategy (and any progress report) publically available?

If yes,   (i) how is it disseminated (please check all relevant answers)?

☐ Internet (please include web links):
☐ Electronically
☐ Hardcopy
☐ Others (please specify):

(ii) how many local languages is it translated into?

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Q^{g}26. Is public expenditure data publically available?

If yes, (i) how is it disseminated (please check all relevant answers)?

☐ Internet (please include web links):
☐ Electronically
☐ Hardcopy

☐ Others (please specify):

(ii) how often is it updated and made public (please check the most relevant answer)?

☐ Monthly ☐ Quarterly ☐ Semi-annually ☐ Annually
☐ Other (please specify):

(iii) how many local languages is it translated into?

Q^{g}27. Please describe the evolution/development of stakeholder access to information (especially national development strategy and public expenditure data) over the past 10 years in terms of how widely it has been made available, how frequently it is updated, and quality of its contents?

■ Co-ordinated Country-Level Monitoring and Evaluation:

Q^{g}28. Does the national M&E system track input, output and outcome indicators identified in the national development strategy?

If Yes, please describe how the national M&E system tracks them:

Q^{g}29. Do policy makers and line ministries use the M&E reports?

If Yes, please describe how policy makers and line ministries use the reports:

Q^{g}30. Please describe the evolution/development of the national M&E system over the past 10 years.

DEFINITIONS

Baseline data	Data is available at the start of the period covered by the national strategy, relating directly to outputs and outcomes targeted by the strategy, which serves as a basis for comparison – and therefore the monitoring of progress - with the subsequently acquired data.
Geographical and sectoral coverage	Data availability at a sub-national level (e.g., province and district) and a sectoral level (e.g., education and health).
Indicator	Quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of a development factor.
Impacts	Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.

Input	The financial, human, and material resources used for the development intervention.
Monitoring and evaluation	These are two complementary, but distinct processes. Monitoring focuses on systematically tracking inputs, outputs, outcomes and impacts as interventions are implemented. Evaluation systematically assesses the efficiency, effectiveness, sustainability and impact of interventions (typically after they have been implemented). Together, monitoring and evaluation allow policymakers to track results, suggest corrections or improvements during implementation, and assess success. M&E systems can also promote ownership of reforms and accountability.
National Development Strategies	In this context, National development strategies include Poverty Reduction Strategies (PRSPs) and/or similar overarching strategies. These are typically prepared to cover a clearly identified period of time covering several years.
National monitoring and evaluation system	Building on sound statistical data and open access to information, produces data on progress toward desired inputs, outputs, and outcomes that are identified in the national development strategy.
Outcome	The likely or achieved short-term and medium-term effects of an intervention's outputs.
Output	The products, capital goods and services which result from a development intervention; may also include changes resulting from the intervention which are relevant to the achievement of outcomes.
Public expenditure	Expenditures by general government, central government through the national budget and other budgetary instruments and local government.

MEASUREMENT OF INDICATOR

Scoring of indicator 11 will be conducted by the World Bank using the same methodology developed in the previous surveys based on information provided through qualitative questions Q^g16 to Q^g30 in the *Government Questionnaire* by partner countries.

This process will result in the allocation of a score on a five-point scale running from A (highest score) to E (lowest score). The scores assigned through this process will be shared with partner countries at the same time as the draft Country Chapters (end May 2011).

Full details of the assessment criteria are published in World Bank (2007) *Results-based National Development Strategies: Assessment and Challenges Ahead*, pp. A14-A15. Available online at http://www.worldbank.org/aer

INDICATOR 12: MUTUAL ACCOUNTABILITY

INTRODUCTION

The Paris Declaration recognises that for aid to become truly effective, stronger and more balanced accountability mechanisms are required at all levels. In particular, it calls donors and partner countries to jointly assess through existing country level mechanisms mutual progress in implementing agreed commitments on aid effectiveness including those included in the Paris Declaration (Para. 50).

The Paris Declaration also invites initiatives by partner countries to establish their own targets for improved aid effectiveness within the framework of the agreed Partnerships Commitments and Indicators of Progress included in the Paris Declaration (Para. 9).

This indicator seeks to measure progress in this area. It measures the number of partner countries that undertake mutual assessments of progress as a percentage of the total number of countries that have taken part in this survey. In contrast with the single question asked in the 2006 and 2008 Surveys, the 2011 Survey asks three questions that consider important aspects of such a process. Where the response to all three questions is "Yes", the country is considered to have a mutual assessment of progress for the purpose of measuring indicator 12.

DEEPENING OUR UNDERSTANDING OF MUTUAL ACCOUNTABILITY IN 2011

The wording of the questions for indicator 12 in the 2011 Survey has been refined to build on the findings of the 2010 UN Development Cooperation Forum (DCF) Survey on Mutual Accountability. These questions are based on the criteria provided in the 2006 and 2008 Surveys, and are designed to provide a more accurate assessment of progress.

In addition to participating in the 2011 Survey on Monitoring the Paris Declaration, partner countries will be invited to participate in a detailed survey on mutual accountability co-ordinated by the UN Department for Economic and Social Affairs and UNDP in the first quarter of 2011 in preparation for the 2012 United Nations Development Cooperation Forum. UNDESA, UNDP and the OECD are working together closely to ensure that the findings of both surveys support comprehensive analysis and discussions around mutual accountability in the run up to the Fourth High Level Forum on Aid Effectiveness.

Questions Q^g31, Q^g32 and Q^g33 below are drawn from the 2011 DCF Survey on Mutual Accountability. National co-ordinators are encouraged to ensure consistent responses to these questions in both survey questionnaires.

WORDING OF QUESTIONS

■ **GOVERNMENT QUESTIONNAIRE**

Q^g31. Is there an aid policy or strategy agreed between the partner country government and donors? (Yes/No)

Q^g32. Are there specific country-level aid effectiveness targets for both the partner country government and donors? (Yes/No)

Q^g33. Has an assessment towards these targets been undertaken by both partner and donors in the last two years and discussed in a forum for broad-based dialogue? (Yes/No)

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DEFINITIONS

Mutual assessments of progress	Mutual assessments of progress are exercises that engage at a national level both partner authorities and donors in a review of mutual performance. For the purpose of assessing progress against indicator 12 in the 2011 Survey, a country is considered to have a mutual assessment of progress in place when the response to **all three** questions Q^g31, Q^g32 and Q^g33 is "Yes".
Aid policy or strategy (Q^g31)	A document which sets out agreed approaches to the delivery of aid in the partner country, containing agreed principles, processes and/or targets designed to improve the effectiveness of aid. This may take the form of a stand-alone policy or strategy document, or may be addressed within another document (for example, as part of a national development strategy or similar). The document has been the subject of consultation and agreement between government and donors.
Country-level aid effectiveness targets (Q^g32)	Country targets for improved aid effectiveness have been established, including within the framework of the agreed Partnerships Commitments and Indicators of Progress included in the Paris Declaration (PD §9). They may, however, go beyond the Paris Declaration wherever government and donors agree to do so. Targets exist for both the partner country government and donors.
Assessments towards aid effectiveness targets (Q^g33)	A formal process of assessment towards the targets agreed by government and donors. Such an assessment is undertaken on a regular basis (e.g. one to two years) and might be supplemented through independent/impartial reviews. The results of such assessments should be made publicly available through appropriate means to ensure transparency.
Broad-based dialogue	Mutual assessments should engage in dialogue a broad range of government ministries (including line ministries and relevant departments) and donors (bilateral, multilateral and global initiatives). Government and donors should also consider engaging with non-executive stakeholders, including parliamentarians and civil society organisations.

MEASUREMENT OF INDICATOR

A country is considered to have had a mutual assessment of progress when the response to each of the questions Q^g31, Q^g32 and Q^g33 is "Yes". Where the response to one or more of these questions is "No", the country is not considered to have met the criteria for a mutual assessment of progress.

At the global level, indicator 12 is calculated as follows:

$$Indicator\ 12\ (\%\ of\ countries) = 100 \times \frac{[no.\ of\ countries\ meeting\ all\ three\ criteria\ (Qg31, Qg32, Qg33)]}{[total\ number\ of\ countries\ participating\ in\ the\ survey]}$$

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ANNEX 1: DONOR QUESTIONNAIRE

ABOUT THIS QUESTIONNAIRE

This questionnaire is to be completed by all donor agencies providing Official Development Assistance (ODA) directly to the country receiving aid. Each donor should complete a single questionnaire[13]. It should be noted that in cases where a donor provides funds through another donor - bilateral or multilateral - the latter only is responsible for reporting such funds in this questionnaire. The *only* exception to this is question Q^{d}5.

Once the questionnaire has been completed, it should be communicated to the **Donor Focal Point** for the consolidation of results in the Country Spreadsheet before it is shared with the **National Co-ordinator**[14]. The head of the donor organisation in country is responsible for the quality and accuracy of responses provided and as such (s)he is usually responsible for transmitting the completed questionnaire to the Donor Focal Point and National Co-ordinator.

This questionnaire is part of a set of documents that also includes:

- Survey Guidance
- Government Questionnaire
- Country Spreadsheet
- Country Report

Definitions of key terms and additional guidance for all of the indicators included in this Questionnaire are provided in the **Survey Guidance**. Indicators 2 and 8 are established through desk reviews and other mechanisms. Indicators 1, 11 and 12 are covered in the Government Questionnaire. For more information, please refer to the **Survey Guidance.**

INFORMATION ON THE DONOR

■ Name of donor: [Type here]

■ Donor official submitting this completed questionnaire (this is usually the head of the donor organisation in the country):

...Name: [Type here]

...Job title: [Type here]

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[13]   UN agencies (e.g. UNDP, UNICEF etc) are encouraged to complete the individual questionnaire and share it with other donors at country level. However, for the purpose of the 2011 Survey, only one questionnaire for ALL UN agencies should be submitted to the Donor Focal Point for inclusion in the Country Spreadsheet. The 2011 Survey results will not be broken down by UN agency, but will be presented under a single heading: "United Nations."

[14]   For countries without a Donor Focal Point, the questionnaire should be communicated directly to the National Co-ordinator.

INDICATOR 3: AID FLOWS ARE ALIGNED ON NATIONAL PRIORITIES

■ How much ODA[15] did you disburse at country-level in…

Q^d1. …calendar year 2010? USD[16] [Type here]

Q^d2. …fiscal year 2009/10? USD [Type here] (response to Q^d2 needed ONLY if the fiscal year of the country receiving ODA is not from January to December)

■ How much of this was for the government sector in…

Q^d3. …calendar year 2010? USD [Type here]

Q^d4. …fiscal year 2009/10? USD [Type here] (response to Q^d4 needed ONLY if the fiscal year of the country receiving ODA is not from January to December)

■ For reference purposes only, how much ODA for the government sector did you disburse through other donors (ODA which is not captured in your responses to $Q^d1 - Q^d4$ above) at the country level in

Q^d5. …calendar year 2010? USD [Type here]

INDICATOR 4: STRENGTHEN CAPACITY BY CO-ORDINATED SUPPORT

■ How much technical co-operation did you disburse in calendar year 2010?

Q^d6. USD [Type here]

■ How much technical co-operation did you disburse through co-ordinated programmes in support of capacity development in calendar year 2010?

Q^d7. USD [Type here]

INDICATOR 5A: USE OF COUNTRY PUBLIC FINANCIAL MANAGEMENT SYSTEMS

■ In calendar year 2010, how much ODA disbursed for the government sector used…

Q^d8.　　…national **budget execution** procedures? USD [Type here]

Q^d9.　　…national **financial reporting** procedures? USD [Type here]

Q^d10.　　…national **auditing** procedures? USD [Type here]

Q^d11.　　…**all three** national procedures as defined above? USD [Type here]

---

[15]　　Excluding debt reorganisation, humanitarian assistance and support to regional programmes.

[16]　　ODA should be reported in US Dollars. Average annual exchange rates for the major currencies for 2010 will be available at: http://www.oecd.org/dac/pdsurvey

INDICATOR 5B: USE OF COUNTRY PROCUREMENT SYSTEMS

■ How much ODA disbursed for the government sector used national procurement systems in calendar year 2010?

Q^{d}12.   USD [Type here]

INDICATOR 6: STRENGTHEN CAPACITY BY AVOIDING PARALLEL IMPLEMENTATION STRUCTURES

■ How many **_parallel_** project implementation units did you make use of in calendar year 2010 in the provision of aid for the government sector?

Q^{d}13.   Number of parallel PIUs: [Type here]

INDICATOR 7: AID IS MORE PREDICTABLE

■ How much total ODA for the government sector did you schedule for disbursement in calendar year 2010?

Q^{d}14.   USD [Type here]

INDICATOR 9: USE OF COMMON ARRANGEMENTS OR PROCEDURES

■ How much ODA did you disburse in support of initiatives adopting programme-based approaches in calendar year 2010? Please provide information for the following components of PBAs:

Q^{d}15.   Direct budget support provided in support of PBAs? USD [Type here]

Q^{d}16.   Other forms of assistance provided in support of PBAs? USD [Type here]

INDICATOR 10A: JOINT MISSIONS

■ How many donor missions to the field were undertaken in calendar year 2010?

Q^{d}17.   Number of missions: [Type here]

Q^{d}18.   How many of these were co-ordinated: [Type here]

In order to facilitate consolidation of results by the Donor Focal Point, please list below for each joint mission counted in Q^{d}18 the date, description and list of other donors with whom the mission was undertaken.

[Type here]

INDICATOR 10B: JOINT COUNTRY ANALYTIC WORK

■ How many country analytic works did you undertake in calendar year 2010?

Q^{d}19.   Number of works: [Type here]

Q^{d}20.   How many of these were co-ordinated: [Type here]

In order to facilitate consolidation of results by the Donor Focal Point, please list below for each co-ordinated country analytic work counted in Q^{d}20 the date, description and list of stakeholders with whom the analytic work was considered to be co-ordinated.

[Type here]

ANNEX 2: GOVERNMENT QUESTIONNAIRE

*The deadline for submitting the results of the 2011 Survey to the OECD in time to inform the Korea High-Level Forum is **31 March 2011.***

ABOUT THIS QUESTIONNAIRE

This questionnaire is to be completed by government authorities in the country receiving aid. Only one questionnaire should be completed by central government. Once the questionnaire has been completed, it should be communicated to the **National Co-ordinator** for consolidation of results at country level.

This questionnaire is part of a set of documents that also includes:

- Survey Guidance
- Donor Questionnaire
- Country Spreadsheet
- Country Report

Definitions of key terms and additional guidance for all of the indicators included in this Questionnaire are provided in the **Survey Guidance**. Please record and consolidate the data for questions Q^g14 and Q^g15 in the **Country Spreadsheet** and submit this along with this completed questionnaire and the **Country Report** to the OECD Secretariat no later than 31 March 2011.

A blank spreadsheet can be downloaded at http://www.oecd.org/dac/pdsurvey .

INFORMATION ON THE COUNTRY

■ Name of country: [Type here]

■ Fiscal year end date: [Type here] (the last day of the fiscal year 2009/10, where the fiscal year is not the calendar year).

INDICATOR 1: OPERATIONAL DEVELOPMENT STRATEGIES

■ Basic Information:

Q^{g}1. Is there national development strategy / Poverty Reduction Strategy Paper (PRSP)? (Select Yes/No)

      If Yes,   (i) what is its name? [Type here]

                (ii) when was it formulated? [Type here]

                (iii) which period does it cover? [Type here]

      If No, is there one under preparation? (Select Yes/No)

           If Yes, what is the stage of its preparation? [Type here]

Q^{g}2. Is (Are) there a progress report(s) of the national development strategy /PRSP? (Select Yes/No)

      If Yes,   (i) when was the latest one formulated? [Type here]

                (ii) How often is it formulated? [Type here]

Q^{g}3. Please list any other national development strategies preceding the most recent one (including the dates of formulation and time periods covered) in the last 10 years: [Type here]

Q^{g}4. (a) Is there Medium-term fiscal framework (MTFF)? (Select Yes/No)

      If Yes,   (i) when was it formulated? [Type here]

                (ii) which period does it cover? [Type here]

    (b) Is there Medium-term expenditure framework (MTEF)? (Select Yes/No)

      If Yes,   (i) when was it formulated? [Type here]

                (ii) which period does it cover? [Type here]

■ Unified Strategic Framework:

Q^{g}5. Is there long-term vision underpinning the latest national development strategy? (Select Yes/No)

      If Yes,   (i) the name of document: [Type here]

                (ii) when was it formulated? [Type here]

                (iii) please explain how the long-term vision and national development strategy are linked (e.g. timing and sequencing, consistency of their objectives, and institutional responsibilities). [Type here]

Q^{g}6. How, if they exist, are sector and sub-national strategies linked to the national development strategy for example timing and sequencing, consistency of their objectives and institutional responsibilities? [Type here]

If the link is weak, what are key challenges to improving the link? [Type here].

Q^{g}7. Do policy makers and line ministries use the national development strategy at national, sub-national and sectoral levels? (Select Yes/No)

      If Yes, please describe how policy makers and line ministries use the strategy: [Type here]

■ Prioritisation:

Q^{g}8. Does the national development strategy have prioritised targets? (Select Yes/No)

> If Yes,   (i) What is the mechanism to achieve the prioritised targets? [Type here].
>
>   (ii) What is the sequence of actions to achieve the targets? [Type here].

Q^{g}9. (a) Are the objectives/targets of the strategy linked with Millennium Development Goals (MDGs)? (Select Yes/No)

> If Yes,   (i) how many MDG targets are included in the strategy? [Type here]
>
>   (ii) how are MDG related targets tailored to your country's circumstances? [Type here].

(b) Are objectives/targets of the strategy linked with cross-cutting issues such as gender, environment and governance? (Select Yes/No)

> If Yes, please explain how the national development strategy is linked with cross-cutting issues: [Type here].

■ Strategic Link to the Budget:

Q^{g}10. Is the national development strategy costed? (Select Yes/No)

> If Yes,   (i) please explain how it is costed? [Type here]
>
>   (ii) which page(s) of the national development strategy includes information on costing (if costing is in the national development strategy)? [Type here]
>
>   (iii) where can costing information be found (if costing is outside the national development strategy)? [Type here]

Q^{g}11. How is the national development strategy linked to MTFF (if it exists) and the annual budget? [Type here]

Q^{g}12. Are sector strategy priorities reflected in the MTEF, if it exists, and how are they broadly reflected in the most recent annual budget? [Type here]

Q^{g}13. Is there a performance orientation in the budgeting/MTEF process? (Select Yes/No)

> If Yes, please explain how it works in the budgeting/MTEF: [Type here]
>
> If No, please explain key challenges: [Type here]

INDICATOR 3: AID FLOWS ARE ALIGNED ON NATIONAL PRIORITIES

■ How much estimated ODA[17] was recorded in the 2010 annual budget as revenue, grants or ODA loans...

Q^g14. ...in the 2010 (or 2009/10)[18] annual budget? USD: [Type here]

*(Governments should provide detailed data for each donor in the **Country Spreadsheet**, including for donors that are not participating in the Survey).*

INDICATOR 7: AID IS MORE PREDICTABLE

■ How much total ODA for the government sector was actually recorded in your accounting systems in calendar year 2010?

Q^g15. USD: [Type here]

*(Governments should provide detailed data for each donor in the **Country Spreadsheet**, including for donors that are not participating in the Survey).*

INDICATOR 11: RESULTS-ORIENTED FRAMEWORKS

■ Basic Information:

Q^g16. Is there a monitoring and evaluation (M&E) framework in the national development strategy? (Select Yes/No)

> If Yes, which page(s) of the national development strategy includes the M&E? [Type here].
> Then, please go to Q^g17.

> If No, please explain the stage of preparation to develop the M&E framework for the national development strategy, if any. [Type here]

> Then, please go to Q^g20.

Q^g17. Please describe the institutional responsibilities (e.g., data collection, analysis and reporting) of the M&E framework and the co-ordination arrangements among ministries.

> [Type here]

Q^g18. Does the M&E framework have comprehensive sector coverage? (Select Yes/No)

> If Yes, please check all the sectors covered in the national development strategies:
> ☐ Education   ☐ Banking and financial services
> ☐ Health   ☐ Business and other services
> ☐ Water supply and sanitation   ☐ Agriculture, forestry and fishing
> ☐ Transportation   ☐ Industry, mining and construction
> ☐ Communication   ☐ Energy
> ☐ Others (please specify): [Type here]

---

[17]   Excluding debt reorganisation, humanitarian assistance and support to regional programmes.

[18]   Countries whose fiscal year is from January to December should report data for 2010. Other countries should report data for their fiscal year 2009/10.

Q^{g}19. Please check the most appropriate one with regard to geographical coverage of data collection for the national development strategy:

☐ Entire country covered   ☐ Most of the country covered
☐ Half of the country covered   ☐ Only part of the country covered
☐ Other (please explain): [Type here]

Q^{g}20. Is the progress against the national development strategy reported in a unified way? (Select Yes/No)

If Yes, in which form? Also, please provide us with web addresses:
☐ Progress report to the national development strategy
☐ Separate monitoring report
☐ Others (please explain): [Type here]

Also, how often?
☐ Quarterly   ☐ Semi-annually   ☐ Annually
☐ Other (please explain): [Type here]

■ Quality of Development Information:

Q^{g}21.   (a) Is there comprehensive data coverage for qualitative and quantitative targets in the national development strategy? (Select Yes/No)

(b) What % of quantitative indicators has baseline-data? [Type here]

Q^{g}22. Please check the main data sources and their frequencies of data collection for monitoring the national development strategy:

☐ Population census. (Frequency: [Type here])
☐ Household survey. (Frequency: [Type here])
☐ Gross Domestic Product. (Frequency: [Type here])
☐ Poverty survey. (Frequency: [Type here])
☐ Labour survey. (Frequency: [Type here])
☐ Others (please explain together with their data frequency): [Type here].

Q^{g}23. Does data have high quality and reliability to meet M&E demands from the national development strategy in terms of accuracy, timeliness and usefulness? (Select Yes/No)

If Yes, please describe how quality and reliability is ensured: [Type here]

If No, please describe key challenges to improve quality and reliability: [Type here].

Q^{g}24. Please describe the evolution/development of data in terms of frequency, geographical coverage, sectoral coverage, accuracy, and the process for collection and analysis of data over the past 10 years?

[Type here].

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■ Stakeholder Access to Information:

Q^g25. Is the national development strategy (and any progress report) publically available? (Select Yes/No)

If yes,   (i) how is it disseminated (please check all relevant answers)?

☐ Internet (please include web links [Type here].
☐ Electronically
☐ Hardcopy
☐ Others (please specify): [Type here].

(ii) how many local languages is it translated into? [Type here].

Q^g26. Is public expenditure data publically available? (Select Yes/No)

If yes,   (i) how is it disseminated (please check all relevant answers)?

☐ Internet (please include web links): [Type here].
☐ Electronically
☐ Hardcopy

☐ Others (please specify): [Type here].

(ii) how often is it updated and made public (please check the most relevant answer)?

☐ Monthly   ☐ Quarterly   ☐ Semi-annually   ☐ Annually
☐ Other (please specify): [Type here].

(iii) how many local languages is it translated into? [Type here]

Q^g27. Please describe the evolution/development of stakeholder access to information (especially national development strategy and public expenditure data) over the past 10 years in terms of how widely it has been made available, how frequently it is updated, and quality of its contents?

[Type here].

■ Co-ordinated Country-Level Monitoring and Evaluation:

Q^g28. Does the national M&E system track input, output and outcome indicators identified in the national development strategy? (Select Yes/No)

If Yes, please describe how the national M&E system tracks them: [Type here].

Q^g29. Do policy makers and line ministries use the M&E reports? (Select Yes/No)

If Yes, please describe how policy makers and line ministries use the reports: [Type here]

Q^g30. Please describe the evolution/development of the national M&E system over the past 10 years.

[Type here]

INDICATOR 12: MUTUAL ASSESSMENT OF PROGRESS

(See definitions provided for Indicator 12 in **_Survey Guidance_**).

Q^{g}31. Is there an aid policy or strategy agreed between the partner country government and donors? (Select Yes/No)

Q^{g}32. Are there specific country-level aid effectiveness targets for both the partner country government and donors? (Select Yes/No)

Q^{g}33. Has an assessment towards these targets been undertaken by both partner and donors in the last two years and discussed in a forum for broad-based dialogue? (Select Yes/No)

(In responding to these questions the National Co-ordinator is invited to consult parliament, civil society organisations and donors).

ANNEX 3: COUNTRY SPREADSHEET

*The deadline for submitting the results of the 2011 Survey to the OECD in time to inform the Korea High-Level Forum is **31 March 2011.***

ABOUT THIS DOCUMENT

This ***Country Spreadsheet*** is an Excel spreadsheet that records the ***quantitative data*** for the indicators covered by the Survey. This document is part of a set of documents that also includes:

- Survey Guidance
- Donor Questionnaire
- Government Questionnaire
- Country Report

COMPLETING THE COUNTRY SPREASHEEET

Quantitative data from the ***Government Questionnaire*** and all the ***Donor Questionnaires*** are consolidated in this Country Spreadsheet. This is an Excel spreadsheet designed specifically for this purpose. It can be downloaded from http://www.oecd.org/dac/pdsurvey.

Note — For Indicator 3 and Indicator 7 partner country authorities should record data for all donors including those that have not taken part in the Survey.

REPORTING

Once the Country Spreadsheet has been completed and validated, it should be communicated to the OECD Secretariat, along with the ***Government Questionnaire*** and ***Country Report*** by ***31 March 2011*** at the latest. Following this, the OECD Secretariat will share with the National Co-ordinator a first draft of the country chapter for comments.

The ***Country Spreadsheet***, ***Country Report*** and ***Government Questionnaire*** should be submitted by email to pdsurvey@oecd.org , or by fax to + 33 1 44 30 61 27.

ANNEX 4: COUNTRY REPORT

*The deadline for submitting the results of the 2011 Survey to the OECD in time to inform the Korea High-Level Forum is **31 March 2011.***

ABOUT THIS DOCUMENT

This ***Country Report*** consolidates qualitative information on progress and challenges in the implementation of the Paris Declaration and Accra Agenda for Action at the country level. It is designed to achieve a better understanding of the challenges and opportunities in improving aid effectiveness at the country level. This document is part of a set of documents that also includes:

- Survey Guidance
- Donor Questionnaire
- Government Questionnaire
- Country Spreadsheet

COMPLETING THE COUNTRY REPORT

For the 2011 Survey, the ***Country Report*** takes the form of a set of Country Chapter inputs, providing space for a ***short qualitative assessment*** for each of the 12 indicators covered in the survey, along with supplementary questions on progress against aspects of aid effectiveness commitments that may not be covered fully by the existing 12 indicators. Illustrative questions are provided for each indicator / area of commitment. These are intended to guide the drafting of the qualitative assessment.

This report is established under the authority of the National Co-ordinator, and should reflect the views of a broad range of stakeholders including country authorities, parliamentarians, donors and relevant civil society organisations. Stakeholders are, as much as possible, encouraged to reach agreement on a common position. However, where consensus cannot be reached, the reports should record different opinions rather than seek consensus at all costs.

VALIDATION AND SUBMISSION OF THE COUNTRY REPORT

The National Co-ordinator should supervise the preparation of the ***Country Report*** with additional support where this is required. The National Co-ordinator convenes a meeting with government, donors, parliamentarians and Civil Society Organisations to finalise and validate these documents before submission to the OECD.

Once the Country Report has been completed and validated, it should be communicated to the OECD Secretariat, along with the Country Spreadsheet and Government Questionnaire by ***31 March 2011*** at the latest. The ***Country Spreadsheet***, ***Country Report*** and ***Government Questionnaire*** should be submitted by email to pdsurvey@oecd.org , or by fax to + 33 1 44 30 61 27.

COUNTRY REPORT QUESTIONS

The *illustrative* questions below are designed to help guide National Co-ordinators in providing qualitative assessments of progress, both in the context of the 12 indicators assessed by the survey, and also in the context of the broader commitments on aid effectiveness embodied in the Paris Declaration and Accra Agenda for Action. The answers provided will provide the basis for drafting the country chapters and should help better understand the issues and challenges in implementing the Paris Declaration. The responses provided for each indicator / topic should not exceed 800 words.

Country overview	■ Please describe government and donor priorities with respect to the implementation of the aid effectiveness at the country level. ■ What are the main challenges faced by government and partner countries in implementing their commitments on aid effectiveness?
Indicator 1: Operational National Development Strategies	*Note: a number of issues relating to the national development strategies are now addressed through the Government Questionnaire. The following questions are intended to guide inputs on additional dimensions of ownership not covered fully in the Government Questionnaire. Countries that have chosen to complete the optional survey module "Assessing inclusive ownership" need not repeat their responses to these questions, which are captured in the optional module.* ■ Is there an institutionalised process for broad-based participation of Parliament, civil society, local government and the private sector in the formulation / monitoring of the national development strategy? ■ Did the Parliament, civil society, local government and the private sector participate in the formulation/monitoring of the national development strategy? If yes, please describe how. ■ How have donors supported multi-stakeholder participation in the formulation/monitoring of the national development strategy? What have been the benefits and shortcomings of this support? ■ What have been the main outcomes of such participatory processes?
Indicator 2a: reliable country public financial management systems	■ What reforms have been implemented or are planned to improve the quality of public financial management systems? ■ What efforts are being made to improve financial management at sub-national levels?
Indicator 2b: reliable country procurement systems	■ What actions have been taken or are planned to reform and improve the quality of procurement systems (laws, regulations and institutions)? ■ If legal or institutional frameworks are established (Procurement Acts, Regulatory Authorities, anti-Corruption laws), what steps are taken to build capacities or allocate resources to effectively implement them?
Indicator 3: Aid flows are aligned on national priorities	■ Please list the main reasons why there are gaps between what is disbursed by donors and what is recorded in annual budget estimates. ■ To what extent do these gaps reflect poor alignment of aid with national priorities? How can the gaps be narrowed? ■ Please list the main reasons why there are gaps between what was estimated by the Government to be received as disbursements and what was recorded in the budget. ■ What efforts are being made, or need to be made, by donors to ensure the necessary information disclosure to the relevant government authorities?
Indicator 4: Strengthen capacity by co-ordinated support	■ What are the challenges in supporting capacity development and improving the provision of technical co-operation? ■ What steps are being made by relevant country authorities to identify and communicate clear objectives and strategies for capacity development? ■ What are the steps taken by donors to integrate technical co-operation as part of country programmes and co-ordinate support among donors?

Indicator 5a: Use of country public financial management systems	■ Please describe the constraints and challenges placed on donors in making use of partner country's public financial management systems (budget execution procedures, financial reporting procedures, auditing procedures)? ■ Are procedures currently in place to use country systems beyond general or sector budget support (e.g. project and basket fund modalities)? ■ Have significant efforts been made to increase use of partner countries' public financial management systems by donors in a way that may not be captured fully by indicator 5a (for example, through partial use of systems)[19]? ■ To what extent are donors making efforts at the country level to implement their AAA commitments to use country systems as a first option, communicate clearly reasons for not using country systems where this is the case, and to review this regularly? (see AAA para. 15a-c).
Indicator 5b: Use of country procurement systems	■ Please describe the constraints and challenges placed on donors in making use of the partner country's procurement systems? ■ Are procedures currently in place to use country procurement systems beyond general or sector budget support (e.g. project and basket fund modalities)? ■ To what extent are donors making efforts at the country level to implement their AAA commitments to use country systems as a first option, communicate clearly reasons for not using country systems where this is the case, and to review this regularly? (see AAA para. 15a-c). ■ Please describe cases where donors apply safeguard measures. Are measures in place to phase these out?
Indicator 6: Avoiding parallel implementation structures	■ For which reasons are parallel PIUs established? ■ What steps, if any, are being taken by both donors and governments to (i) avoid creating new parallel PIUs, and (ii) to phase-out parallel PIUs and/or mainstream PIUs into national structures?
Indicator 7: Aid is more predictable	■ Please list the main reasons where there are gaps between (i) estimated aid disbursements recorded in the annual budget by the Government and actual disbursements received by the Government from donors; (ii) donor estimated disbursements to the Government sector and actual disbursements recorded in the donor's system. ■ What efforts are being made by the government to 1) meet the various requirements (administrative, technical, financial, etc.) for timely execution of projects and disbursement of funds; and 2) fully capture disbursements in its accounting systems? ■ To what extent do donors "provide full and timely information on annual commitments and actual disbursements" (AAA 26a)? ■ To what extent are donors delivering on their AAA commitment to provide rolling three-to-five year expenditure and/or implementation plans? (AAA 26c). What are the challenges experienced with this?
Indicator 8: Aid is increasingly untied	■ What efforts are being made by donors at country level to untie aid?
Indicator 9: Use of common arrangements or procedures	■ Please describe what use is currently being made of PBAs (i.e. approaches that meet all 4 criteria set out in the *Survey Guidance*). ■ What are the challenges in channelling a greater proportion of aid in support of PBAs? ■ To what extent have country authorities taken a lead in promoting the development of PBAs?
Indicator 10a: Joint missions	■ Please describe what efforts are being made to rationalise and improve co-ordination of donor missions?
Indicator 10b: Joint country analytic work	■ Please describe what mechanisms are available to rationalise and co-ordinate country analytic work, either by theme, sector, or other?

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[19] Partial use of a country's PFM systems entails the use of some components of a country's PFM system by donors, but not necessarily use of the three elements captured by indicator 5a.

Indicator 11: Results-oriented frameworks	*Note: significant qualitative evidence relating to results-oriented frameworks is now collected through the Government Questionnaire. Stakeholders may wish to record any additional comments on these issues here.* ■ What progress has been made, and what are the challenges remaining, in operationalising results-oriented frameworks?
Indicator 12: Mutual assessment of progress	*Note: these questions are intended to stimulate initial discussions around indicator 12. A more detailed survey on mutual accountability will be conducted under the auspices of the UN Development Cooperation Forum (DCF) in 2011. Countries participating in both surveys could draw on responses prepared for the DCF Survey here (see* **Survey Guidance** *for further details).* ■ If a mutual assessment of progress **HAS** been conducted in your country, what are the key features of this mutual assessment? Has it resulted in changes in approaches to development co-operation? To what extent are other stakeholders (parliament, local government, CSOs...) involved in the process? ■ If a mutual assessment of progress **HAS NOT** been conducted in your country, were efforts undertaken to implement one? If so, what challenges were encountered? How might these be overcome?
Aid Fragmentation	■ What actions have been undertaken or are planned to reduce the fragmentation of aid and improve the complementarity of donors' efforts and division of labour at the country level? ■ What evidence is there that such actions are achieving results? ■ What are the challenges faced in improving complementarity and division of labour at the country level?
Conditionality	■ What progress has been made in agreeing on a limited set of conditions drawn from the country's national development strategy? What are the challenges faced? ■ What progress has been made and challenges are faced in regularly making public all conditions linked to disbursements at the country level?