

# 2011 SURVEY GUIDE FOR MONITORING IMPLEMENTATION OF THE FRAGILE STATES PRINCIPLES



This 2011 survey guide (final version) provides a basic common methodology for the 14 countries/territories monitoring implementation of the Fragile States Principles in 2011 (Burundi, Chad, Comoros, Cote d'Ivoire, Central African Republic, Democratic Republic of Congo, Guinea-Bissau, Haiti, Liberia, Sierra Leone, Southern Sudan; Timor-Leste, Togo and Tonga), which each country can add to if required.

The 2011 survey guide is based on:

- Lessons learned from the 2009 survey round
- The integration of the Fragile States Principles Survey and the Paris Declaration Monitoring Survey, since the 14 countries/territories have chosen to participate in both surveys in 2011.
- Comments received from National Coordinators, International Contact Points and donor headquarters on the draft of the 2011 survey guide.

Comments and questions on the survey can be addressed to [fsprinciples@oecd.org](mailto:fsprinciples@oecd.org).

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## I. BACKGROUND: THE FRAGILE STATES PRINCIPLES

### IN SHORT

Fragile and conflict-affected states present very specific challenges. Reflecting this, development partners have committed to ten Principles for Good International Engagement in Fragile States, which applies for the whole of international support: aid, peacebuilding, statebuilding, security/peacekeeping, and private sector development.

**1. Fragile and conflict-affected states.** While many countries are making progress towards achieving the Millennium Development Goals, a group of countries affected by weak capacity, problematic state-society relations, deep social divides and/or the legacy of violent conflict, is lagging 40 to 60 percent behind other low and middle-income countries in MDG achievement. It is in these countries that one billion of the world's six billion people live, but where half of the world's children die before the age of five, and where one third of all people live on less than USD1 a day. About 35 of the countries considered fragile in 1979 are still fragile in 2009, and the gap with other developing countries has been widening since the 1970s. A strengthened model of international engagement is needed to support partner countries to reverse this trend, involving improved financing and focusing on peacebuilding, statebuilding, security.

**2. The Principles for Good International Engagement in Fragile States and Situations.** In April 2007 the ministers of development from OECD countries adopted a set of *DAC Principles for Good International Engagement in Fragile States and Situations*. Originally drafted in 2005, they were tested in nine fragile states from 2005-2006 and then revised.<sup>1</sup> The Principles reflect a growing consensus that fragile states require responses that are different from those needed in better performing countries. Since 2007, the Principles have been a point of reference for most development partner policies or position papers on fragile states<sup>2</sup> and have led to changes in behaviour among international actors. The Principles are currently the subject of discussions to adapt them, widen their endorsement (to include both fragile states and international actors, and possibly civil society organisations) and turn them into a framework for mutual accountability.

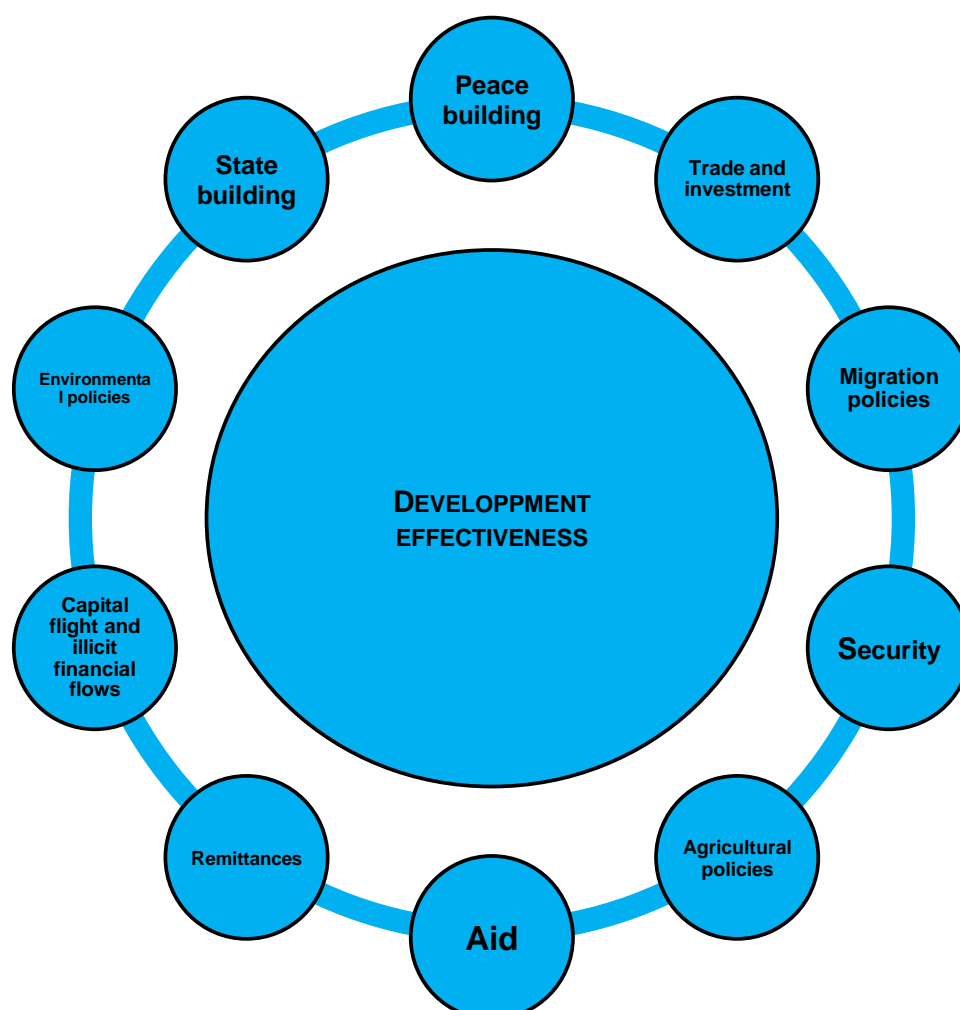
**3. Development effectiveness.** The Principles are meant to guide international engagement in fragile states as a whole, for all international actors including development actors, peacekeepers, diplomats, humanitarians, economic actors, and international civil society organisations (see Figure 1 and Annex B for definition of key terms). The Principles complement and inform the commitments set out in the 2005 Paris

<sup>1</sup> Two of these countries also participated in 2009: the Democratic Republic of Congo – facilitator: Belgium; and Haiti – facilitator: Canada. The pilots highlighted country-specific issues for each of the ten Principles and provided direct feedback for the country-level dialogue on the Principles in 2009.

<sup>2</sup> For example: French Position Paper on Fragile States and Situations (2007), Development-oriented transformation in conditions of fragile statehood and poor government performance (BMZ, 2007), Netherlands Policy Brief - Our Common Concern (2007), European Commission Communication: Towards an EU response to situations of fragility - engaging in difficult environments for sustainable development, stability and peace (2007), Conclusions of the General Affairs and External Relations Council of 19 November 2007 on an EU response to situations of fragility, European Parliament resolution of 15 November 2007 on the EU response to situations of fragility in developing countries, Strengthening the World Bank's Rapid Response and Long-Term Engagement in Fragile States (2007) and Operational approaches and financing in Fragile States (World Bank, 2007); Enhanced Engagement in Fragile States (African Development Bank, 2008).

Declaration, which notes the need to adapt and apply aid effectiveness principles to differing country situations, particularly in fragile states<sup>3</sup>.

Figure 1. The Fragile States Principles apply to all policies and programming of international actors



<sup>3</sup> Paras 7; 37-39.

## II. OBJECTIVES OF THE FSP SURVEY

### IN SHORT

Besides responding to a request from fragile states to document whether the Principles are being implemented, the FSP survey aims to stimulate dialogue among the main stakeholders; identify priorities for improved impact; and provide incentives for improved international behaviour.

**4. A request made by countries in fragile situations.** In September 2008, ministers, heads of development agencies and civil society organisations from around the world gathered in Accra for the Third High-Level Forum on Aid Effectiveness. The issue of improved aid effectiveness in the most challenging contexts received particular attention, and a group of fragile states coalesced to voice their concerns and priorities. The members of this group decided that:

*"at country level and on a voluntary basis, donors and developing countries will monitor implementation of the Principles for Good International Engagement in Fragile States and Situations, and will share results as part of progress reports on implementing the Paris Declaration."*<sup>4</sup>

The Fragile States Principles (FSP) Survey was launched in 2009 with a baseline survey covering 6 countries, followed in 2011 by a survey that will be implemented in 14 countries/territories (see Table 1). As all 14 countries/territories are also part of the Paris Declaration Monitoring Survey, both surveys are combined and their results will be presented in a single Country Chapter for each participating country.

The Paris Declaration Survey monitors the implementation of Paris Declaration commitments on aid effectiveness by donors and partner countries alike. Following on the Paris Declaration, the Accra Agenda for Action specifies that the Paris Declaration goals need to be qualified in and adapted to fragile situations, in line with the FSP (please see Annex G for more details).

<sup>4</sup> Accra Action Agenda: [www.accrahlf.net](http://www.accrahlf.net)

Table 1. Participation in the 2009 and 2011 FSP surveys

2009	2011
1. Afghanistan	1. Burundi*
2. Central African Republic	2. Central African Republic*
3. D.R. Congo (chair of the 2009 Survey)	3. Chad
4. Haiti	4. Comoros
5. Sierra Leone	5. Cote d'Ivoire*
6. Timor-Leste	6. Democratic Republic of Congo*
	7. Guinea-Bissau*
	8. Haiti*
	9. Liberia*
	10. Sierra Leone*
	11. Timor-Leste (chair of the 2011 Survey)*
	12. Tonga
	13. Togo*
	14. Southern Sudan

\* Countries/territories taking part in the International Dialogue

**In bold:** countries that are also part of the Paris Declaration Monitoring Survey 2008 and 2011 respectively.

**5. A triple objective.** Beyond responding to the request of partner countries to use the Principles to monitor the international community's performance over time, the objectives of the survey are to:

1. **Stimulate dialogue** among the main stakeholders at country level about the extent to which each Principle is applied
2. **Provide evidence of progress** in the implementation of the Principles and identify priorities for improved impact.
3. **Provide incentives for international actors to implement the Principles**, through a visible and iterative process conducted in a spirit of mutual accountability.

**6. The outputs** expected from the 2011 Survey are:

- **Country Chapters**
  - Each Country Chapter will summarise the findings from both the 2011 FSP Survey and the 2011 Paris Declaration Monitoring Survey. In each country, they will highlight (i) the progress made in implementing the FSP and the Paris Declaration; (ii) remaining challenges; and (iii) priority areas for improved impact. Each Country Chapter will include a set of limited indicators that are scored in each round of the survey.
  - The Country Chapters will be published by the OECD and presented at the Fourth High Level Forum on Aid Effectiveness.
- **A Global Progress Report**
  - The Global Progress Report summarises the findings from the Country Chapters and provides global recommendations for consideration by the international community. The Global Progress Report is prepared by the OECD on the basis of the Country Chapters.
  - The 2011 Global Progress Report will feed into the report on monitoring the Paris Declaration "Progress since Paris", to be presented at the Fourth High Level Forum on Aid Effectiveness.

**A short report on the lessons learned** from the 2011 Survey, once completed. Lessons will be drawn by the OECD with the 14 National Coordinators, the 14 International Contact Points and international actors' headquarters.

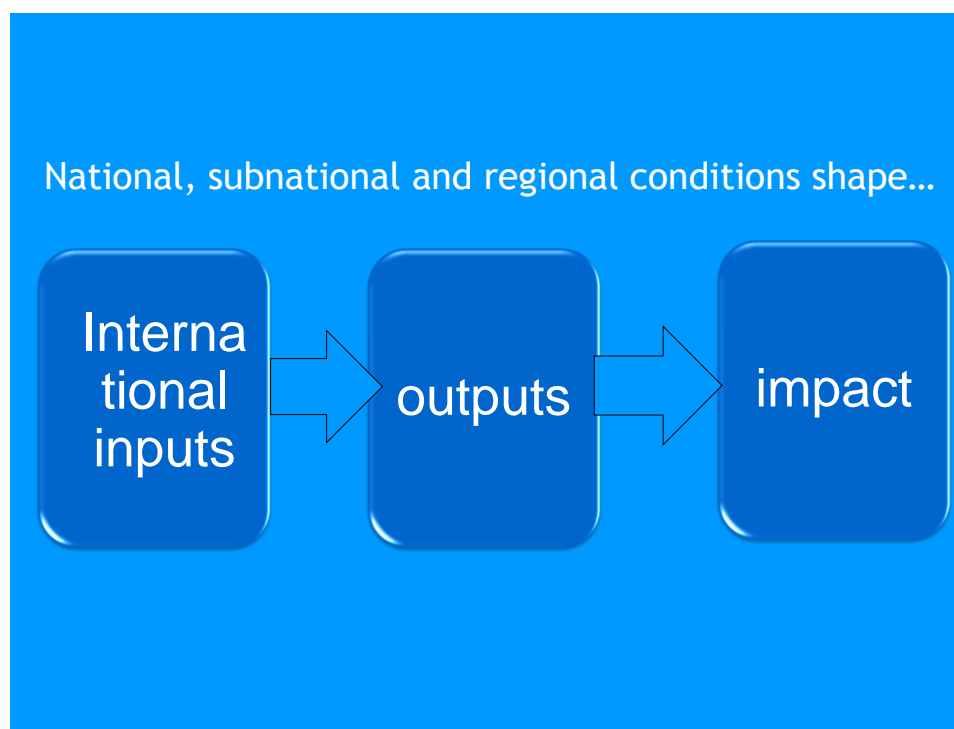
**7. Scope of the survey: inputs, outputs and impact.** The Principles were originally developed by international actors for international actors and thus focus on the way in which international actors engage in fragile states and situations. However, development outcomes require a partnership between national, subnational, regional and international actors across the policy spectrum, it is important to look at both international behaviour and its impact in relation to the context: given the current situation, is international engagement optimal or is there room for improved impact? To what extent is the fragile situation conducive to improved development effectiveness? What would it take (on the national or international side) to drastically improve development outcomes? In addition, fragile situations are too complex (inter-related challenges in security and humanitarian crises; political transitions and development; employment and peace) and often too fast changing to only focus on what international actors bring to the table without regards to impact.

As a result, in the continuum illustrated below (see Figure 2 and Box 1) monitoring the Principles will focus equally on

- i. What international actors invest and how (inputs);
- ii. What results from international engagement (outputs and impact).

In other words, for each Principle, the question that will be asked is twofold: "To what extent does international engagement accord with this Principle, and with what impact?"

Figure 2: The inputs-to-impact continuum



**Box 1. Definitions of basic monitoring and evaluation terms**

**Inputs** are the resources (*e.g.* staff, financial resources, space) brought together to accomplish a program's objectives.

**Outputs** are the products (*e.g.* number of trainees, immunised children) that result from programmes.

**Impact** is the long-term results (*e.g.* improved food security, improved yields, improved nutrition) produced by programmes, directly or indirectly, positive or negative, intended or unintended.



### III. APPROACH TO THE SURVEY

#### IN SHORT

This survey guide is a methodology for the survey common to all participating countries, but can be supplemented to advance country-specific objectives and processes.

The survey rests on a multi-stakeholder, multi-sector, mixed-methods approach (quantitative and qualitative data), building on data collection and a national consultation.

**8. A methodology common to all participating countries/territories, to be complemented according to country context.** The 6 countries that participated in the 2009 FSP survey agreed the original survey guide at a meeting in December 2008. It was designed as a methodology common to all participating countries, leaving scope for each country to add supplementary consultations and indicators to fit to issues particular to the country context:<sup>5</sup>

- The Survey should not become a disconnected process from existing country level dialogues between international actors and the government involving a heavy workload that is disproportionate to the expected outcomes.
- It is crucial that the survey builds on and fits into existing country processes, in order to advance them (see Box 2). The ultimate objective of the survey should not be the production of the Country Chapter but behaviour change and impact at country-level.

#### Box 2. The survey should advance country-level processes

The FSP survey can be used to contribute to on-going processes in the country such as the formulation of medium-term objectives (2009 FSP survey in Timor-Leste); the reconciliation of different strategic frameworks or visions (2009 FSP survey in Haiti); to foster or strengthen consensus in view of a development partner meeting or to advance the adoption of a national aid policy (2009 FSP survey in Sierra Leone); to contribute to national dialogue between stakeholders (2009 FSP survey in DRC, Haiti and CAR).

As such, the starting point for the survey in each country should be: “How can the survey contribute to strategic objectives that we’ve already identified, or to certain ongoing processes?”

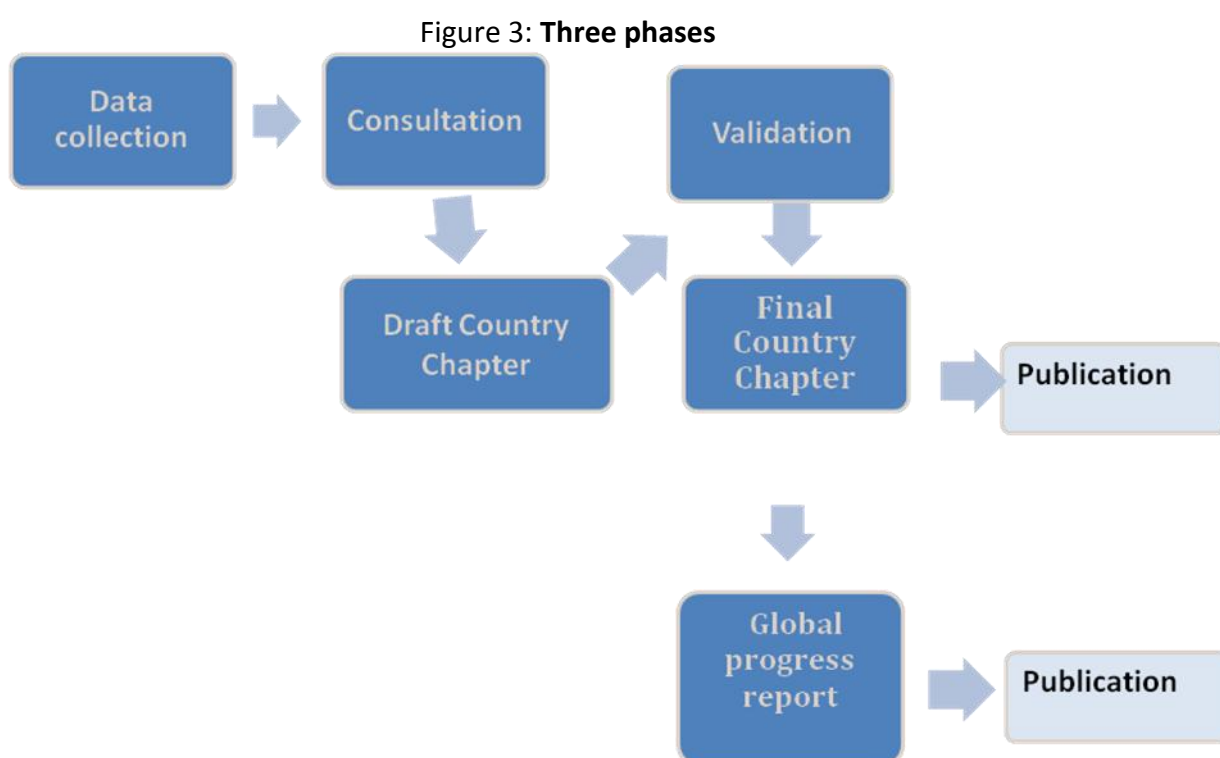
<sup>5</sup> For example, Afghanistan and DRC have identified additional indicators.

With this in mind, countries are encouraged to complement this basic methodology as needed, at the beginning of the process, so as to integrate country-specific features: for example through additional consultations (e.g. consultations with civil society or at district level or at sector level; focus group interviews; a perception survey), or through additional indicators.

**9. The survey consists of three phases and is a multi-stakeholder process** (see Figure 3).

The three phases of the survey are:

1. **Data collection** (literature review; data search; interviews; focus group discussions; donor questionnaire) before the national consultation meeting
2. **A national consultation meeting**
3. **Validation of the Country Chapter.**



Consultations should bring together multiple stakeholders:

**1. National actors:**

- Members of government, from the President or Prime Minister's office and from various ministries
- Members of Parliament
- Civil society organisations
- Diasporas when they play a critical role

**2. Subnational actors:** local authorities (formal and, if any, informal); local civil society organisations; local parliaments (if any).

**3. Regional actors** (on any relevant issue, e.g. peacekeeping or regional trade).

4. **International actors** working in the fields of development, diplomacy, security or any other relevant area.

These multiple stakeholders will be involved in all three phases of the survey: the data collection, the national consultation, and the validation of the Country Chapter (see below and a more detailed timeline in Annex A).

### Phase I. Data collection, prior to consultation meeting (January-February 2010)

**The data collected by the consultant before the consultation will be both quantitative and qualitative.** Both types of data are complementary, the qualitative data (*why, how?*) allow us to contextualise the quantitative data (*what, how much?*).<sup>6</sup> Experience shows that in fragile states particularly, the multiplicity of interrelated challenges, sometimes fast-changing contexts and a dearth of statistical data makes reliance of mainly quantitative data problematic.

The data collection phase will draw from:

- A combined FSP-Paris Declaration Monitoring Survey donor questionnaire
- The Paris Declaration Monitoring Survey government questionnaire
- Statistical data gathered by the consultant with support from the Steering Committee (see para. 11) and from the OECD Secretariat
- Stakeholder interviews, focus group discussions conducted by the consultant and direct observation.

**The data to be collected will inform the scoring of indicators** (please see Annex E). They aim at measuring progress towards good practices usually associated with each of the FSP. The indicators are only a part of the survey and will be contextualised by the other data that is collected. In other words, indicators are not meant as a perfect or comprehensive measure of how a given Principle is implemented<sup>7</sup>. The indicators in Annex E have been chosen balancing (i) what value each indicator brings and (ii) the investment it takes to find the data for it, taking into account the specific challenges of fragile states.

- The indicators are common to all participating countries in order to assess existing trends in all countries. However, these indicators can be supplemented by country-specific indicators, which should be decided on by the Steering Committee before the national consultations are held.
- Some indicators are quantitative (e.g. an average, a Gini coefficient, a GDP), others are qualitative (e.g. yes/no/in part).
- Data for some of the indicators can be collected from existing data sources, which will have to be identified at the outset in each country: e.g. statistical institutes; the monitoring and evaluation framework of an existing integrated planning framework; World Bank and UN data; etc. When the data for indicators comes from the donor questionnaire, the consultant will score the indicators on this basis. Scores will be verified by the National Coordinator and International Contact Point, and will be presented at the national consultation.
- As all 14 countries/territories participating in the Principles monitoring survey will also take part in the Paris Declaration Monitoring Survey, some of the indicators will be quantitative indicators used in the Paris Declaration survey.

**The data will include data disaggregated by gender, region and other relevant social group for the country under study.** Fragile states are often characterised by fragmented societies and one of the main

<sup>6</sup> Quantitative data is usually gathered through survey questionnaires and existing databases. Qualitative data (*why, how?*) is usually gathered through interviews, focus group discussions and direct observation.

<sup>7</sup> For example, a judgment on the number of Parallel Implementation Units in one country is not possible unless the context is considered. The number of Parallel Implementation Units can only illustrate one aspect of Principle 7 “Align with national priorities in different ways in different contexts”.

findings from the 2009 FSP survey was the need to focus more attention on Principles 10 (risks of exclusion).

**The consultant will prepare a short note summarising initial findings** from the consultations. These will be used to inform the dialogue at the national consultation meeting.

## Phase II. The national consultation (February or March 2010)

**The consultation meeting will begin with a presentation of the initial findings from the consultant**, in order to frame the discussion.

**The consultation allows for an in-depth qualitative dialogue** about whether international support accords with each Principle, and with what impact. Examining each context with its specific features and dynamics will help explain why certain approaches and options have been preferred over others. The consultations are an opportunity to foster consensus on these issues, but in a number of cases diverging viewpoints will remain, and these will also be reflected in the Country Chapters.

**All of the Principles will be considered in each country:** the Principles were piloted over 2005-2006 in nine fragile states and none were deemed irrelevant. On the contrary, they were generally seen to form a coherent whole. However, each country discussion will naturally focus on the Principles that are the most useful or the most pertinent in their context. The consultation will review the principles one by one, in the order that makes most sense given the country context, or the Principles can be bundled together (for example, it can make sense to bundle Principles # 5 and #8 together, and Principles #6 and #10 together. The discussions can be structured as follows:

	DISCUSSION TOPIC	OUTCOME
1	<b>Discussion of main terms</b> (using for instance the definitions available in Annex B)	Participants agree on main terms
2	<b>Presentation of findings from the collected data and if applicable of good practices of international engagement in fragile states</b>	Participants have a solid basis, grounded in hard data, for the discussion; they are familiar with the good practices recorded in similar contexts.
3	<b>Discussion: To what extent is the Principle being applied, and with what impact?</b> If the discussion is too abstract, moderators are encouraged to use the questions listed in Annex C.	A consensus is built (if viewpoints are still divergent, record them)
4	<b>Priority Actions</b> The identification of <b>priority actions</b> , for both national and international actors, to increase adherence to each Principle and improve the impact of international engagement can either take place after the review of each Principle, or after review of all the Principles ( <i>as is the case for the first consultative meeting in Timor-Leste – see Annex D</i> ).	Priority actions for the different stakeholders are determined

## Phase III. Validation (July 2010)

The data collected and the discussions at the national consultation will be summarised in a Country Chapter, submitted to the different stakeholders by the National Coordinator for validation. This validation can take place during a meeting or electronically.

## IV. ROLES AND RESPONSIBILITIES IN THE FSP SURVEY

### IN SHORT

This section describes the roles and responsibilities of the National Coordinator, the International Contact Point, the Steering Committee, the consultant, and the OECD Secretariat.

**10. The National Coordinator and International Contact Point.** The Survey is supervised in each partner country by a National Coordinator nominated specifically to coordinate this exercise by his/her government. The role of the National Coordinator is to co-ordinate the 2011 survey in a timely and transparent manner and he/she holds ultimate responsibility for the success of the survey (as measured by the three objectives para. 5).

He/she is assisted by an International Contact Point (*e.g.* a donor country or international or regional organisation). All decisions below are taken jointly by the National Coordinator and International Contact Point, with assistance provided by an in-country Steering Committee, a consultant and the OECD Secretariat. In particular, the National Coordinator and International Contact Point should:

1. Establish the steering committee (see para. 11).
2. Mobilise the financial and human resources necessary for a successful survey with the support of the International Contact Point and the OECD Secretariat.
3. Confirm the selection of a consultant (proposed by the OECD Secretariat) who will be responsible for drafting the Country Chapter.
4. Ensure that the national, sub-national, regional and international actors listed para. 9 are fully informed and take part in the 2011 Survey.
5. Send and collect the donor questionnaire.
6. Convene the consultation.
7. Ensure the quality of the joint FSP-Paris Declaration Country Chapter and oversee its validation by the different stakeholders.
8. Submit the draft Country Chapter to the OECD Secretariat (first draft: by **30 May 2011** at the latest; second draft: by **31 June 2011** at the latest). Draft Country Chapters should be sent to: [fsprinciples@oecd.org](mailto:fsprinciples@oecd.org).

**11. The steering committee** is established by the National Coordinator and the International Contact Point at the onset of the survey process. The steering committee should include a limited number (5 or 6 people) representing key stakeholders from government and international actors:

- National Coordinator
- International Contact Point
- Representative of the President, the Prime Minister or a Ministry other than that of the National Coordinator

- Representatives of 2 or 3 other international actors.
- Other essential representative according to context (local CSOs; regional organisations; etc.)

The steering committee:

1. Identifies the country-specific objectives the Survey should contribute to
2. Decides whether to supplement the Survey Guide with country-specific consultations and/or indicators
3. Identifies the main data sources for the survey
4. Identifies the main national, subnational, regional and international stakeholders
5. Decide what kind of dissemination of the FSP and underlying good practices is required among stakeholders (national, subnational, regional and international) in-country in advance of the national consultation.

**12. The consultant** is confirmed by the National Coordinator in conjunction with the International Contact Point. The consultant

1. Collects data and supports the preparation of the consultation
2. Drafts the Country Chapter under the guidance of the National Coordinator
3. Finalises the Country Chapter on the basis of comments provided by stakeholders in-country (national and international) and the OECD Secretariat.

He/she typically works 28 days, of which 20 are in-country. If the government cannot finance the consultant alone, it should seek assistance from the International Contact Point and other development partners locally or regionally. If funding is not available locally/regionally, it should seek assistance from the OECD Secretariat.

**13. The OECD Secretariat** supports the survey by

1. Coordinating the development of the present survey guide with participating partner countries (through the National Coordinators and International Contact Points) and with headquarters of international actors.
2. Providing real-time support to National Coordinators and International Contact Points throughout 2010-2011. The Help Desk will serve as a first port of call on technical and process issues related to the both the FSP and PD surveys, especially when it comes to clarifying definitions and indicators.
3. Helping to raise funds to co-finance consultants supporting the survey in different countries.
4. Ensuring final quality control of the joint FSP-Paris Declaration Country Chapters and their publication.
5. Drafting the Global Report summarizing the findings of the Country Chapters and by ensuring the visibility of the Survey on a global level; providing inputs into the global “Progress since Paris” report.
6. Coordinating the compilation of lessons learned after each round of the survey.

### Box 3. How do I contact the help desk?

By email: [pdsurvey@oecd.org](mailto:pdsurvey@oecd.org) or [fsprinciples@oecd.org](mailto:fsprinciples@oecd.org)

By telephone: + 33 1 45 24 99 86/ + 33 1 45 24 93 12

By fax: + 33 1 44 30 61 47

You may also wish to visit the Survey web site, which contains responses to frequently asked questions:

[www.fsprinciples.org](http://www.fsprinciples.org) and [www.oecd.org/dac/pdsurvey](http://www.oecd.org/dac/pdsurvey)

## ANNEX A. TIMELINE

*The integrated timeline for the FSP and Paris Declaration surveys includes 12 steps. These steps build on the third round of the Paris Declaration Monitoring Survey (2011), defined by the Working Party on Aid Effectiveness. The exact date of the month for each step will be defined by the steering committee according to the context in each country.*

Table A. Integrated timeline for the FSP and Paris Declaration monitoring surveys

THE 2011 FRAGILE STATES PRINCIPLES (FSP) AND PARIS DECLARATION (PD) MONITORING SURVEYS			
<b>1. PARTICIPATION</b>	<b>Countries</b> decide if they want to be part of the FSP and PD 2011 round and designate a National Coordinator and an International Contact Point.	April 2010	Done
<b>3. REGIONAL WORKSHOPS</b>	<b>The OECD Secretariat</b> presents the Survey Guide (FSP and PD) at the regional workshops on aid effectiveness.	Between 1 October and 30 November 2010	Done
<b>2. CONSULTANT BLOCKED AND BOOKED</b>	<p><b>The OECD Secretariat</b> identifies options for the consultant.</p> <p><b>The National Coordinator and International Contact Point</b> decide on the consultant jointly and chart the survey's timing, especially the dates for the national consultation (which ideally should be back-to-back or part of a strategic meeting already planned and take place between 1 February and 31 March) and the validation of the Country Chapter.</p> <p><b>The OECD Secretariat</b> blocks the consultant and oversees the drafting of his/her contract.</p>	Between 1 Oct. and 22 December 2010	Ongoing
<b>4. STEERING COMMITTEE</b>	<p><b>The National Coordinator and International Contact Point</b> set up a steering committee to</p> <ul style="list-style-type: none"> <li>Identify the country-specific results the Survey should contribute to</li> <li>Decide whether to supplement the Survey Guide with country-specific consultations and/or indicators</li> <li>Identify the main data sources for the survey</li> <li>Identify the main national, subnational, regional and international stakeholders</li> <li>Decide what kind of dissemination of the FSP and underlying good practices is required among stakeholders (national, subnational, regional and international) in-country in advance of the national consultation.</li> </ul>	December 2010	
<b>5. SURVEY QUESTIONNAIRES</b>	<b>The National Coordinator</b> sends the combined FSP-Paris Declaration donor questionnaire and the Paris Declaration government questionnaire out.	December 2010	
<b>6. DATA</b>	<b>The Consultant</b> , under the responsibility of the National Coordinator, collects the data (literature review, interviews, focus	February 2011	

<b>COLLECTION</b>	<p>group discussions, data from the donor questionnaires, statistical data) to present initial findings at the national consultation and prepares the Country Chapter, which should address the questions in Annex C and synthesise the findings from both the FSP and PD surveys. If a baseline exists (which is the case for CAR, DRC, Haiti, Sierra Leone and Timor-Leste), the Country Chapter will assess the progress that has been made in relation to this baseline.</p> <p><b>Donors</b> send the donor questionnaires back to the National Coordinator by <u>28 February 2011</u> at the latest.</p>		
<b>7. NATIONAL CONSULTATION</b>	<p><b>The National Coordinator and International Contact Point</b> convene a meeting with the main stakeholders for a dialogue on international engagement's accordance with the FSP and its impact. This consultation is also an opportunity to validate the data collected so far for both the PD survey and the FSP survey.</p>	Between 1 and 31 March 2011	
<b>8. COUNTRY CHAPTER AND "PROGRESS SINCE PARIS" DRAFTED</b>	<p><b>The Consultant</b> drafts the Country Chapter, under the responsibility of the National Coordinator and based on the data collection (FSP and PD) and the consultation. As needed, the consultant conducts post-consultation interviews and collects additional data (triangulation).</p> <p><b>The National Coordinator</b> submits the Country Chapter to the OECD Secretariat (pdsurvey@oecd.org) by <u>31 May 2011</u> at the latest.</p> <p>Meanwhile, the <b>OECD Secretariat</b> drafts the global "Progress since Paris" report, based on the Country Chapters and well as other sources.</p>	Between 1 April and 31 May 2011	
<b>9. REVISED COUNTRY CHAPTERS</b>	<p><b>The OECD Secretariat</b> provides comments on the Country Chapter by 10 June, which the consultant revises by 17 June.</p> <p><b>The National Coordinator</b> submits the revised draft of the Country Chapter to the OECD Secretariat (pdsurvey@oecd.org) by <u>30 June 2011</u> at the latest.</p>	June 2011	
<b>10. FINALISATION OF THE COUNTRY CHAPTER AND OF THE GLOBAL "PROGRESS SINCE PARIS" REPORT</b>	<p><b>The National Coordinator</b> convenes a meeting with the same stakeholders as for the national consultation to review the draft Country Chapter. Alternatively, this validation can take place by e-mail exchange. Any comments are submitted to the OECD Secretariat.</p> <p><b>The OECD Secretariat</b> finalises the Country Chapter, taking into account the comments, and publishes it.</p> <p><b>The OECD Secretariat</b> finalises "Progress since Paris".</p>	July 2011	
<b>11. DRAFTING OF THE GLOBAL PROGRESS REPORT</b>	<p><b>The OECD Secretariat</b> drafts the Global Progress Report as a contribution to the Fourth High Level Forum on Aid Effectiveness, which provides recommendations for reform at the global level.</p>	Sept. 2011	
<b>12. PUBLICATION AND DISSEMINATION AT HLF4</b>	<p><b>The 14 countries/territories</b> meet at the Fourth High Level Forum on Aid Effectiveness.</p> <p><b>The OECD Secretariat</b> publishes and disseminates the 14 Country Chapters, "Progress since Paris" and the Global Report.</p>	30 Nov.-1 Dec. 2011	



After the 2011 survey:

- The OECD Secretariat will prepare a short note about the lessons learned from the 2011 FSP survey, with inputs from the National Coordinators, the International Contact Points and consultants.
- The 14 countries/territories will take stock of findings from the 2011 survey and consider adapting and adopting the FSPs as a framework for mutual accountability at the Second Meeting of the International Dialogue in Monrovia, June/July 2011.

## ANNEX B. DEFINITIONS

*These definitions are provided to ensure methodological and conceptual consistency across the 14 countries/territories.*

<b>Aid for the government sector</b>	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 the central government. This includes activities 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 <i>used in the context of aid for the government sector</i> should be reported as aid for the government sector.
<b>Alignment</b>	International actors align when they base their support on partner countries' national development strategies, institutions and procedures.
<b>Capacity Development</b>	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.
<b>Country analytic work</b>	Encompasses the analysis and advice necessary to strengthen policy dialogue, develop and implement country strategies in support of sound development assistance. It includes 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.
<b>Co-ordinated country analytic work</b>	(i) Country analytic work undertaken by one or more donor jointly; and/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); and/or (iii) undertaken with substantive involvement from government.
<b>Co-ordinated missions</b>	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).
<b>Co-ordinated technical co-operation</b>	<p>means free standing and embedded technical co-operation (see definition of technical assistance) that respects the following principles. <i>Ownership</i> -- Partner countries exercise effective leadership over their capacity development programmes. <i>Alignment</i> – Technical co-operation in support of capacity development is aligned with countries' development objectives and strategies. <i>Harmonisation</i> – Where more than one donor is involved in supporting partner-led capacity development, donors co-ordinate their activities and contributions.</p> <p>For the PD-Survey, donors should include programmes that meet <i>BOTH criteria</i> below:</p> <ol style="list-style-type: none"> <li>1. Have relevant country authorities (government or non-government) communicated clear capacity development objectives as part of broader national or sector strategies? (Y/N)</li> <li>2. Is the technical co-operation aligned with the countries' capacity development objectives? (Y/N)</li> </ol> <p><b>AND at least ONE</b> of the criteria below:</p> <ol style="list-style-type: none"> <li>3. Do relevant country authorities (government or non-government) have control</li> </ol>

	<p>over the technical co-operation? (Y/N)</p> <p>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)</p>
<b>Development partners</b>	are representatives of donor countries, bilateral and multilateral agencies and global programmes engaged in development co-operation activities and policy dialogue at country level.
<b>Direct budget support</b>	a method of financing a partner country's budget through a transfer of resources from a donor to the partner government's national treasury and managed in accordance with the recipient's budgetary procedures. Funds transferred to the national treasury 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 (OECD 2006 <sup>8</sup> ). <b>Direct budget support provided in support of PBAs</b> includes all direct budget support provided in support of PBA (see definition of PBA)
<b>Disbursement</b>	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.
<b>Donor</b>	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.
<b>Donor missions to the field</b>	<p>missions that meet all of the following criteria:</p> <ul style="list-style-type: none"> <li>• The mission is undertaken by, or on behalf of, a donor, including programme developers, appraisers and evaluators, sector assessment teams commissioned by a donor.</li> <li>• The mission involved international travel typically, but not exclusively, from donor headquarters.</li> <li>• The mission made a request to meet with government officials including local government.</li> </ul> <p>(It therefore does NOT include: 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.)</p>
<b>Fiscal year</b>	Refers to 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 <b>calendar year 2010</b> except in the case of Indicator 3 (Aid Flows aligned on national priorities) that is measured against partner country's fiscal year 2009/10.
<b>Impact</b>	is the long-term results (e.g. changes in food security, changes in personal security) produced by a programme, directly or indirectly, positive or negative, intended or unintended.
<b>Inputs</b>	are the resources (e.g. staff, financial resources, space) brought together to accomplish a program's objectives.
<b>International</b>	include development actors, peacekeepers, diplomats, humanitarians, economic actors,

<sup>8</sup>. OECD 2006, *Harmonising Donor Practices for Effective Aid Delivery*, Vol. 2, Chap. 2: Budget Support.

<b>actors</b>	and international civil society organisations.
<b>Official Development Assistance (ODA)</b>	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%.
<b>Outputs</b>	are the products ( <i>e.g.</i> number of trainees, immunised children) that result from programmes.
<b>Other donor assistance provided in support of PBAs</b>	<p>is ODA provided in support of PBAs (see above) but excluding direct budget support (see above). This might include:</p> <ul style="list-style-type: none"> <li>• Projects integrated into Sector-Wide Approaches (SWAs).</li> <li>• Pooled arrangements in support of programme-based approaches (<i>e.g.</i> basket funding or pooling of technical assistance).</li> <li>• Other assistance in support of programme-based approaches.</li> </ul> <p>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</p>
<b>Peacebuilding</b>	involves a range of measures targeted to reduce the risk of lapsing or relapsing into conflict by strengthening national capacities at all levels for conflict management, and to lay the foundations for sustainable peace and development.
<b>Programme based approaches (PBA)</b>	<p>are a way of engaging in development co-operation based on co-ordinated support for a locally/nationally owned programme of development, such as a national development strategy, a sector programme, a thematic programme or the programme of a specific organisation. The existence of formal mechanisms for co-ordination, harmonisation and gradual alignment of support to country systems are also defining features of programme-based approaches. For the Paris Declaration survey indicator 9, 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 <i>all 4 of the following criteria</i>:</p> <ol style="list-style-type: none"> <li>1. Is the host country or organisation exercising leadership over the programme supported by donors? (Y/N)</li> <li>2. Is a single comprehensive programme and budget framework used? (Y/N)</li> <li>3. Is there a formal process for donor co-ordination and harmonisation of donor procedures for <b>at least two</b> of the following systems: (i) reporting, (ii) budgeting, (iii) financial management and (iv) procurement? (Y/N)</li> <li>4. Does your support to the programme use <b>at least two</b> of the following local systems: (i) programme design, (ii) programme implementation, (iii) financial management and (iv) monitoring and evaluation? (Y/N)</li> </ol>
<b>Project Implementation Unit (PIU)</b>	<p>also referred to as project management units, project management consultants, project management offices, project co-ordination offices etc., PIUs are dedicated management units designed to support the implementation and administration of projects or programmes. PIUs typically share the following key features:</p> <ul style="list-style-type: none"> <li>• PIUs are typically required to perform subsidiary (rather than principal) tasks with regard to the implementation of a project or programme.</li> <li>• PIUs are often established at the request of a donor following the inception of a project or programme.</li> <li>• 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. Most PIUs rely on staff recruited outside the civil service (<i>e.g.</i> long-term local consultants).</li> </ul>

<b>Project Implementation Unit (PIU), parallel</b>	<p>A PIU is parallel when it is created and operates outside existing country 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 parallel PIUs.</p> <p>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):</p> <ol style="list-style-type: none"> <li>1. Are the PIUs accountable to the external funding agencies/donors rather than to the country implementing agencies (ministries, departments, agencies etc)? (Y/N)</li> <li>2. Are the terms of reference for externally appointed staff determined by the donor (rather than by the country implementing agencies)? (Y/N)</li> <li>3. Is most of the professional staff appointed by the donor (rather than the country implementing agencies)? (Y/N)</li> <li>4. Is the salary structure of national staff (including benefits) higher than those of civil service personnel? (Y/N)</li> </ol>
<b>Security system</b>	refers to core security actors ( <i>e.g.</i> armed forces, police, gendarmerie, border guards, customs and immigration, intelligence); security management and oversight bodies ( <i>e.g.</i> ministries of defence and internal affairs, financial management bodies and public complaints commissions); justice and law enforcement institutions; and non-statutory security forces ( <i>e.g.</i> private security companies, guerrillas and militias).
<b>State functions</b>	Core state functions are usually considered to be security and justice, revenue mobilization and expenditure management, provision or oversight of basic service delivery, and the creation of an enabling environment for economic performance and job creation. Which of these are strategic priorities for statebuilding will depend on the context.
<b>Statebuilding</b>	is an endogenous process of strengthening the capacity, institutions and legitimacy of the state, driven by state-society relations. This definition places state-society relations and political processes at the heart of statebuilding and identifies legitimacy as central to the process as it both facilitates and enhances statebuilding. It recognises that statebuilding needs to take place at both the national and local levels. It gives a central role to strengthening the state's capacities in order to provide key state functions. The concept of statebuilding is increasingly used to describe a desired ("positive") process of statebuilding and therefore emphasises the importance of inclusive political processes, accountability mechanisms and responsiveness.
<b>Technical co-operation</b>	<p>(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:</p> <ul style="list-style-type: none"> <li>• Activities that augment the level of knowledge, skills, technical know-how or productive aptitudes of people in developing countries; and</li> <li>• Services such as consultancies, technical support or the provision of know-how that contribute to the execution of a project.</li> </ul> <p>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</p>
<b>Use of national auditing</b>	Is when donors do not make additional requirements on governments for auditing, but rely on the government's normal financial reports/statements. Donors are invited to

<b>procedures</b>	<p>review all their development activities with a view to determining how much ODA for the government sector meet <b>BOTH criteria</b> below<sup>9</sup> :</p> <ol style="list-style-type: none"> <li>1. Your funds are subject to audit carried out <i>under the responsibility of the Supreme Audit Institution</i>? (Y/N)</li> <li>2. You do <b>NOT</b> under normal circumstances <i>request additional audit arrangements</i><sup>10</sup>? (Y/N) (i.e.: donors do not require additional audits. <b>No</b>: donors do require additional audits)</li> </ol> <p><b>AND at least one of the two criteria</b> below:</p> <ol style="list-style-type: none"> <li>1. You do NOT require <i>audit standards different</i> from those adopted by the Supreme Audit Institution? (Y/N) (i.e.: <b>Yes</b>: donors do not require different audit standards. <b>No</b>: donors do require different audit standards)</li> <li>2. You do NOT require the SAI to change its <i>audit cycle</i> to audit your funds? (Y/N) (i.e.: <b>Yes</b>: donors do not require to change the audit cycle. <b>No</b>: donors do require change to the audit cycle.)</li> </ol>
<b>Use of national budget execution procedures</b>	<p>Is when the funds donors provide are managed according to the national budgeting procedures established in general legislation and implemented by government. Programmes supported by donors are subject to normal country budgetary execution procedures for authorisation, approval and payment.</p> <p>Donors are invited to review all their development activities with a view to determining how much ODA for the government sector meet <b>three out of the four criteria</b> below (anything less does not qualify):</p> <ol style="list-style-type: none"> <li>1. Are your funds <i>included in the annual budget</i> approved by country legislature? (Y/N)</li> <li>2. Are your funds subject to established country <i>budget execution procedures</i>? (Y/N)</li> <li>3. Are your funds processed (e.g. deposited &amp; disbursed) through the <i>established country treasury system</i>? (Y/N)</li> <li>4. You do NOT require the <i>opening of separate bank accounts</i> for your funds? (Y/N) (ie.: <b>Yes</b>: you do not require opening separate accounts. <b>No</b>: you do require opening separate accounts)</li> </ol>
<b>Use of national financial reporting procedures</b>	<p>is when donors do not impose additional requirements on governments for financial reporting beyond their regular national requirements. 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.</p> <p>Donors are invited to review all their development activities with a view to determining how much ODA for the government sector meet <b>BOTH criteria</b> below (anything less</p>

<sup>9</sup> 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)*

<sup>10</sup> Reserving the right to make an exceptional audit (e.g. when fraud or corruption is discovered) does not count against this criteria.

	<p>does not qualify):</p> <ol style="list-style-type: none"> <li>1. You do NOT require maintenance of a separate accounting system to satisfy your own reporting requirements? (i.e.: <b>Yes:</b> you do not require a separate accounting system. <b>No:</b> you do require a separate accounting system.)</li> <li>2. You ONLY require financial reports prepared using country's established financial reporting arrangements? (Y/N)</li> </ol>
<b>Use of national procurement systems</b>	<p>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.</p>
<b>Whole-of-government approaches</b>	<p>Whole-of-government approaches to policy development, programming and implementation entail the collaboration of public services agencies working across portfolio boundaries to achieve a shared goal and a coherent government response to particular issues. Approaches can be formal or informal.</p>

## ANNEX C. QUESTIONS FOR CONSULTANTS AND MODERATORS

**For the consultant:** for the data collection before the consultation, and to draft the Country Chapter, the consultant will have to answer the following questions.

**For the moderator:** for each Principle, a general, open question will be asked: “To what extent does international engagement accord with the Principle [being reviewed] or fail to respect it?”. However, in case the discussions remain too general or lose their focus, these guidance questions are for moderators to use and tease out more specific inputs.

**For the consultant and the moderator:** On top of the specific questions below, and in a spirit of mutual accountability, participants should be encouraged to think about what, on the national side, impedes good international engagement, and what it would take to deepen implementation of the Principles and reach improved development outcomes.

### 1. QUESTIONS FOR “TAKE CONTEXT AS A STARTING POINT”

- a. Is there a process through which national and international actors conduct contextual analysis together when deciding priority actions, appropriate division of responsibilities, aid modalities etc.? Failing that, is the analysis shared among international actors?
- b. If there is shared analysis, does it translate into explicitly shared objectives? If there are no shared objectives, are they at least convergent, or are they undermining of each other?
- c. Does the main strategic framework identify root causes of fragility? Is this analysis used to inform programming?
- d. Is the international community’s engagement based on a multi-stakeholder, multi-sector assessment of priorities? Are they sequenced?

### 2. QUESTIONS FOR “DO NO HARM”

- a. How is “do no harm” understood? What does it mean for national actors including national governments and civil society groups? Is this the same vision that international actors are working to?
- b. How is “do no harm” addressed? Is “do no harm” a consideration that is regularly included in programming? In monitoring and evaluation? Are there processes in place to monitor and adjust international engagements for negative impacts (e.g. aggravating societal divisions; weakening the legitimacy or capacity of the state)? Is there a process in place to collectively identify and address areas of potential policy incoherence in the engagement of the international community and within individual donor systems on different, related dossiers? For example immigration or hiring policies that cause brain drain; banking regulations that stimulate capital flight and allow money laundering; reform in one area that threatens to derail the transition, if any.
- c. Are international actors “doing no harm”? Is international engagement generally considered to be conflict sensitive? Or does international engagement have a negative impact on particular issues (e.g. aggravating societal divisions; weakening the legitimacy or capacity of the state)? Have the international actors been responsive to occurrences of policy incoherence?

### 3. QUESTIONS FOR “FOCUS ON STATEBUILDING AS THE CENTRAL OBJECTIVE”

*Note: Statebuilding is understood as aiming for both effective and accountable states (see definition in Annex B). Strengthening the capacity of the executive at central level is only one, incomplete part of statebuilding.*



- a. Does the international community make concerted and sustained efforts to positively affect the accountability, legitimacy and/or capacity of the state to deliver key functions<sup>11</sup>? With what impact?
- b. More generally, is the international community providing support in a way that strengthens or undermines the state?
- c. Are there shared statebuilding objectives (promoting state capacity, legitimacy or accountability) among international actors and with the government? Is there shared analysis of critical statebuilding areas to be strengthened?
- d. Do international actors factor in the potential impact on statebuilding when choosing a funding instrument over another?

#### **4. QUESTIONS FOR “PRIORITIZE PREVENTION”**

- a. Does the international community have early warning and early response systems in place or otherwise proactively invest in crisis prevention (e.g. through contingency planning; through management of spoilers)?
- b. Has the international community taken action on those occasions (if any) where early warning systems indicated trouble ahead? If yes, what are the examples hereof? If not, why not?
- c. Does the international community invest in conflict prevention and/or strengthening conflict resolutions mechanisms?

#### **5. QUESTIONS FOR “RECOGNIZE THE LINKS AMONG POLITICAL, SECURITY AND DEVELOPMENT OBJECTIVES”<sup>12</sup>**

- a. Does the international community have a process for joint planning that integrates political, security and development dimensions and prioritisation?
- b. Are the goals of the different policy communities convergent? If not are they at least coherent? Are there recognised trade-offs?
- c. Are donors part of the political processes in which diplomats are taking part (if any such processes)? Are diplomats part of donor discussions?
- d. Does the international community have mechanisms to work across sectors (for example multi-sector missions, analysis, and planning across sectors, pooled funding, pooled staff or secondment schemes across sectors, and joint information management systems)?

#### **6. QUESTIONS FOR “PROMOTE NON-DISCRIMINATION AS A BASIS FOR INCLUSIVE AND STABLE SOCIETIES”**

*Note: In the FSP survey, we take discrimination (Principle 6) as entailing an element of intent, whereas exclusion/inclusion (Principle 10) is the result of how programmes are implemented, regardless of their intent.*

- a. Does the international community explicitly promote human rights and inclusion of women, youth, the poor, minority or marginalized groups, through dialogue, programmes and/or capacity strengthening, and with what impact?
- b. Do international actors’ monitoring and evaluation systems disaggregate resource flows (e.g. going to the capital vs. the provinces, across gender lines, across social groups, across regions, etc.)? What about in terms of results (e.g. access to health or education) with these different groups?
- c. Is the international community taking into account perspectives from different parts of society across social divides, in both programming and implementation?

<sup>11</sup> In particular security and justice, strengthening the jurisdiction of the state’s law, revenue mobilization, the provision of an enabling environment for basic service delivery, economic performance or employment generation.

<sup>12</sup> Principle #5 “Recognize the links among political, security and development objectives” emphasises the need for coherence across different policy communities. Principle #8 “Agree on practical coordination mechanisms among international actors” is about good coordination more generally, both within and across policy communities or sectors.

**7. QUESTIONS FOR “ALIGN WITH NATIONAL PRIORITIES IN DIFFERENT WAYS ACCORDING TO CONTEXT”**

- a. Does the international community broadly align its programmes with government-led national strategies or an international compact where they exist? And at sector-level?
- b. Where such strategies and/or compacts do not exist, has the international community started an inclusive dialogue with government and/or civil society to identify a joint vision and strategy?
- c. Are views from civil society systematically taken into account, underpinned by an understanding of the makeup of civil society (representativeness and agendas of civil society organisations)?
- d. Does the international community make use of parallel project implementation units and is this practice justified at present?

**8. QUESTIONS FOR “AGREE ON PRACTICAL COORDINATION MECHANISMS AMONG INTERNATIONAL ACTORS”**

- a. Does government provide the main mechanisms for coordination among international actors? If yes, are international actors making use of them?
- b. If not, does the international community have a lead (for example the UN integrated mission)? Do international actors use or promote coordination mechanisms (for example integrated results framework, joint assessment missions, shared upstream analysis, multi-donor trust funds, joint offices, and common reporting and financial requirements)?
- c. Is there an agreed division of labour among international actors in the various sectors?

**9. QUESTIONS FOR “ACT FAST... BUT STAY ENGAGED LONG ENOUGH TO GIVE SUCCESS A CHANCE”**

- a. Are international actors flexibly adjusting modalities and levels of engagement according to changing circumstances (*e.g.* rapid response mechanism)?
- b. Do most international actors have a policy to stay engaged when government-to-government relations become difficult, for example through collaboration with NGOs or local authorities?
- c. In the past, have international actors who suspended or reduced their engagement in the country followed a step by step approach, discussing developments first with the partner government, considering switching to different modalities next and only cutting or reducing engagement in the last resort?
- d. Is international funding volatile (*i.e.* have there been aid shocks in past years)? Is it predictable (*i.e.* to what extent are donors delivering on their Accra Agenda for Action commitment to provide three-to-five year expenditure and/or implementation plans; Do most international actors have five- (or more) year strategies)?

**10. QUESTIONS FOR “AVOID POCKETS OF EXCLUSION**

- a. In allocating resources globally (aid but also presence of peacekeepers), do most international actors take other international actors’ engagement into account? For example, is the country under consideration under-aided with regards to both needs and the quality of its policies and institutions?
- b. In allocating resources nationally, are there neglected provinces, sectors or social groups within the country? Are international actors sufficiently engaged beyond the capital city?
- c. How do international actors ensure no group is excluded? What tools are used to ascertain differentiated needs?
- d. Has international action exacerbated any inequalities across the country?

## ANNEX D. INDICATORS FOR THE 2011 SURVEY

*The indicators are only a part of the survey and will be contextualised by the other data that is collected. In other words, indicators are not meant as a perfect or comprehensive measure of how a given Principle is implemented.*

*The indicators below have been chosen balancing (i) what value each indicator brings and (ii) the investment it takes to find the data for it, taking into account the specific challenges of fragile states.*

*The data used for these indicators should be collected by the consultant prior to the consultation. It is then presented and validated during the consultation. The methods for the data collection to score each indicator are indicated below. Several (third column) will have to be determined according to each country's context (available statistics, questionnaires, one-on-one or focus group interviews).*

	Joint FSP-Paris Declaration questionnaire (Annex E)	Source common to all 14 countries/territories	Source to be determined at country- level at the outset
<b>PRINCIPLE 1. TAKE CONTEXT AS THE STARTING POINT</b>			
<b>1a. Are the international actors' country strategies based on sound political and social analysis (i.e. taking into account the situation in terms of national capacity, state-society relations and societal divisions?)</b> <input type="checkbox"/> Yes overall <input type="checkbox"/> Not consistently No overall.	X		
<b>1b. Is there a process through which national and international actors conduct</b>			X

contextual analysis together when deciding priority actions, appropriate division of responsibilities, aid modalities etc.?			
<b>1c. Have the development partners agreed on joint strategic objectives?</b> <input type="checkbox"/> Yes overall <input type="checkbox"/> No overall: there are different strategic objectives <input type="checkbox"/> No overall: there are different strategic objectives and they are incompatible.	X		
Any additional country-specific indicators			X
<b>PRINICPLE 2. DO NO HARM</b>			
<b>2a. Does international engagement benefit one population group over another (on an economic or political level, for instance) or more generally contribute to social divisions?</b> <input type="checkbox"/> In some significant cases <input type="checkbox"/> In marginal cases <input type="checkbox"/> In no case.			X
<b>2b. Have the development partners performed previous assessments of the negative impacts their intervention could cause?</b> <input type="checkbox"/> Yes for most of them <input type="checkbox"/> No for most of them	X		
<b>2c. Do the development partners have an institutional mechanism for integrating lessons learned from past assessments into strategy and/or programming?</b> <input type="checkbox"/> Yes for most of them <input type="checkbox"/> No for most of them.	X		
<b>2d. Do the development partners individually or jointly monitor wages and recruitment of national staff, or have they set up any other actions to avoid a brain drain from the national public sector?</b> <input type="checkbox"/> Yes for most of them <input type="checkbox"/> No for most of them.	X		
Any additional country-specific indicators			X

PRINCIPLE 3. FOCUS ON STATEBUILDING AS THE CENTRAL OBJECTIVE			
3a. Percent of aid disbursed focused on governance and security between 2006 and 2009		Data source: OECD statistics, Official Development Assistance data, sector breakdown, "governance and security"	
3b. On the whole, has international engagement sufficiently strengthened strategic state functions? <input type="checkbox"/> Strengthened <input type="checkbox"/> Overall neutral <input type="checkbox"/> Undermined.			X
3c. On the whole, has international engagement contributed to strengthening political processes and supported dialogue between the state and society? <input type="checkbox"/> Strengthened <input type="checkbox"/> Overall neutral <input type="checkbox"/> Undermined.			X
Any additional country-specific indicators			X
PRINCIPLE 4. PRIORITISE PREVENTION			
4a. Over the past 5 years, has the international community invested in preventing future conflict and fragility: <input type="checkbox"/> Sufficiently and effectively <input type="checkbox"/> Insufficiently or not effectively.			X
Any additional country-specific indicators			X
PRINCIPLE 5. RECOGNISE THE LINKS BETWEEN POLITICAL, SECURITY AND DEVELOPMENT OBJECTIVES			
5a. Do the development partners have a whole-of-government (or, in the case of the EU and UN, whole-of-system) country strategy (i.e. one joint strategy for the partner country, including political, development, security and other objectives) or at least joint strategic objectives? <input type="checkbox"/> Yes for most <input type="checkbox"/> No for most	X		
Any additional country-specific indicators			X

PRINCIPLE 6. PROMOTE NON-DISCRIMINATION AS A BASIS FOR INCLUSIVE AND STABLE SOCIETIES			
6a. Percentage of ODA earmarked for human rights		OECD statistics, Official Development Assistance data, sector breakdown, "human rights"	
6b. Does the international community explicitly promote inclusion of women, youth, the poor, minority or marginalized groups, through dialogue, programmes and/or capacity strengthening: <input type="checkbox"/> Yes <input type="checkbox"/> No			X
Any additional country-specific indicators			X
PRINCIPLE 7. ALIGN WITH NATIONAL PRIORITIES IN DIFFERENT WAYS IN DIFFERENT CONTEXTS			
7a. Percentage of aid flows to the government sector that is reported on partners' national budgets		Paris Declaration Monitoring Survey, indicator 3.	
7c. If there are joint strategic objectives among international actors, are they also shared by the national government? <input type="checkbox"/> Yes <input type="checkbox"/> No			X
Any additional country-specific indicators			X
PRINCIPLE 8. AGREE ON PRACTICAL COORDINATION MECHANISMS BETWEEN INTERNATIONAL ACTORS			
8a. Is there an agreed division of labour <input type="checkbox"/> Yes, for most international engagement <input type="checkbox"/> No or marginally.			X
7b. Is there a pooled funding mechanism, and what percentage of ODA flows through it (fiscal year 2010)?			X
8b. Has practical coordination resulted in better analysis, greater agreement on strategic objectives and improved implementation of international programmes? <input type="checkbox"/> Yes, for most international engagement <input type="checkbox"/> No or marginally.	X		

8c. Percentage of technical cooperation disbursed through coordinated programmes in line with country development strategies		Paris Declaration Monitoring Survey, indicator 4.	
<b>PRINCIPLE 9. ACT FAST... BUT STAY ENGAGED LONG ENOUGH TO GIVE SUCCESS A CHANCE</b>			
9a. Are there rapid response mechanisms? <input type="checkbox"/> Yes, and they are effective <input type="checkbox"/> No, or existing ones are not effective.			X
9b. Amount of aid committed at a given time (February 2011) beyond a three-year timeframe	X		
9c. Aid fluctuations to GDP (2004-2009)		OECD statistics, Official Development Assistance data, and United Nations, <a href="http://data/un.org/CountryProfile.aspx">http://data/un.org/CountryProfile.aspx</a>	
Any additional country-specific indicators			X
<b>PRINCIPLE 10. AVOID POCKETS OF EXCLUSION</b>			
10a. Is the country under-aided with regard to its needs and the quality of its institutions and policies? - 2009 Official Development Assistance, which measures the level of aid received - 2009 gross national income per capita and 2009 proportion of population living with less than USD1 per day, which are proxies for a country's needs - 2009 Country Policy and Institutional Assessment (CPIA), which is a proxy for the quality of a country's institutions and policies		- 2009 Official Development Assistance: OECD statistics, Official Development Assistance data - 2009 gross national income per capita: World Bank, 2010 World Development Indicators - 2009 Proportion of population living with less than USD1 per day: UNDP Human Development Report) - 2009 Country Policy and Institutional Assessment (CPIA): World Bank	

10b. All things being equal, does international engagement have a positive or a negative impact on social divides? <input type="checkbox"/> Positive <input type="checkbox"/> Neutral <input type="checkbox"/> Negative			X
10c. What percentage of ODA is disbursed at country-level beyond the capital city in calendar year 2010?			X
Any additional country-specific indicators			X



## ANNEX E. DONOR QUESTIONNAIRE



*The deadline for submitting this questionnaire to the National Survey Co-ordinator and Donor Focal Point in time to inform the Korea High-Level Forum is 28 February 2011.*

### About this questionnaire

This questionnaire is specific to the 14 countries/territories taking part in both the Paris Declaration and Fragile States Principles Monitoring Surveys. 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<sup>13</sup>.

The questionnaire is composed of two sections. Section One covers the Paris Declaration Indicators. Section Two covers the *Principles for Good International Engagement in Fragile States and Situations*. Please provide complete and detailed answers and please append the appropriate documents. 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 in section one is question Q<sup>d</sup>5.

Once the questionnaire has been completed, it should be communicated to the *International Contact Point* for the consolidation of Section One results in the Country Spreadsheet before it is shared with the *National Co-ordinator*.

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:

- For the Paris Declaration Monitoring Survey: Survey Guide; Government questionnaire; Country spreadsheet and Country Report.
- For the Fragile States Principles Monitoring Survey: Survey Guide

Definitions of key terms and additional guidance for all of the indicators included in this Questionnaire are provided in the *Paris Declaration Survey Guide*<sup>14</sup> and the *Fragile States Principles Survey Guide*.

<sup>13</sup> 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 copy of section one for ALL UN agencies should be submitted to the Donor Focal Point for inclusion in the Country Spreadsheet as the results for this section will not be broken down by UN agency, but will be presented under a single heading: "United Nations."

<sup>14</sup> 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]

## SECTION 1: PARIS DECLARATION INDICATORS

### Indicator 3: Aid flows are aligned on national priorities

■ How much ODA<sup>15</sup> did you disburse at country-level in...

Q<sup>d</sup>1. ...calendar year 2010? USD<sup>16</sup> [Type here]

Q<sup>d</sup>2. ...fiscal year 2009/10? USD [Type here] (response to Q<sup>d</sup>2 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<sup>d</sup>3. ...calendar year 2010? USD [Type here]

Q<sup>d</sup>4. ...fiscal year 2009/10? USD [Type here] (response to Q<sup>d</sup>4 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<sup>d</sup>1 – Q<sup>d</sup>4 above) at the country level in

Q<sup>d</sup>5. ...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<sup>d</sup>6. 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<sup>d</sup>7. 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<sup>d</sup>8. ...national **budget execution** procedures? USD [Type here]

Q<sup>d</sup>9. ...national **financial reporting** procedures? USD [Type here]

Q<sup>d</sup>10. ...national **auditing** procedures? USD [Type here]

Q<sup>d</sup>11. ...**all three** national procedures as defined above? USD [Type here]

<sup>15</sup> Excluding debt reorganisation, humanitarian assistance and support to regional programmes.

<sup>16</sup> 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<sup>d</sup>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<sup>d</sup>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<sup>17</sup> in calendar year 2010?

Q<sup>d</sup>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<sup>d</sup>15. Direct budget support provided in support of PBAs? USD [Type here]

Q<sup>d</sup>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<sup>d</sup>17. Number of missions: [Type here]

Q<sup>d</sup>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<sup>d</sup>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<sup>d</sup>19. Number of works: [Type here]

Q<sup>d</sup>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<sup>d</sup>20 the date, description and list of stakeholders with whom the analytic work was considered to be co-ordinated.*

[Type here]

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<sup>17</sup> 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. 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.

## SECTION 2: FRAGILE STATES PRINCIPLES

### PRINCIPLE 1: “TAKE CONTEXT AS A STARTING POINT”

■ Please append your current country strategy to this questionnaire and provide the name of the document here: [Type here]

■ Does your country strategy identify and address:

Causes and drivers of conflict and fragility and factors that can strengthen peace and stability? (Select Yes/No)

Statebuilding challenges and priorities (Select Yes/No)

Regional dimensions of conflict, fragility and insecurity? (Select Yes/No)

Relevant global drivers of conflict, fragility and insecurity<sup>18</sup>? (Select Yes/No)

■ Which of the following analysis tools is your engagement and country strategy based on (conflict analysis, political economy analysis including an analysis of formal and informal institutions, stakeholder mappings, risk assessments)? How do they inform your programming? [Type here]

■ Do you have a mechanism in place that allows you to adapt country strategies, programmes and funding to evolving contexts and to plan for unexpected circumstances (e.g. scenario planning, contingency planning)? (Select Yes/No)

If yes, please elaborate: [Type here]

■ In your opinion, do different development partners in your host country have shared strategic objectives? (Select Yes/No)

■ Please indicate the number and type of key training courses your staff have received on working in fragile states in 2010. Please repeat as necessary.

[Name]

[duration (number of days)]

[number of participants]

### PRINCIPLE 2: “DO NO HARM

■ In your country strategy do you identify and/ or address trade-offs between your priorities? (Select Yes/No)

■ Do you have a process in place to actively manage trade-offs between your country or agency's objectives (e.g. between political, security and development objectives)? (Select Yes/No)

If yes, please elaborate. Is this institutionalised in any way? [Type here]

■ To avoid a harmful brain drain from the local labour market to development partner agencies:

Do you monitor salary developments in your host country? (Select Yes/No)

Do you have a policy on recruitment of staff working for the host government? (Select Yes/No)

Do you co-ordinate salary levels and recruitment practices with other development partners? (Select Yes/No)

Are you taking any further actions to avoid a brain-drain from the national public sector? If yes, please elaborate: [Type here]

■ Do you monitor/ evaluate the effects of your programming on statebuilding processes? (Select Yes/No)

<sup>18</sup> Global drivers of fragility and insecurity are incentives and enabling factors operating at an international level, such as access to rents from extractive industries, illicit trade and smuggling, and through corruption or inadequate financial regulation, and trafficking access to the means of violence through small arms and light-weapon.

If yes, have you established an institutional mechanism or protocol for integrating lessons learned from past monitoring or assessments into strategy and/or programming? (Select Yes/No)

If yes, please provide the titles of the evaluations along with the areas of work they evaluate [Type here]

■ Do your branding practices and communications policy prioritise visibility and/or credit for delivery by national actors over your agency's visibility? (Select Yes/No)

If yes, please elaborate: [Type here]

### **PRINCIPLE 3: "FOCUS ON STATEBUILDING AS THE CENTRAL OBJECTIVE"**

■ Does your country strategy include objectives for strengthening political processes and supporting or facilitating dialogue between state and non-state actors? (Select Yes/No)

■ Does your country strategy include objectives for strengthening strategic state functions<sup>19</sup>? (Select Yes/No) If yes, roughly what proportion of your country programmable aid is going to:

Security and justice? [Type here]

Revenue mobilization and expenditure management? [Type here]

Government provision or oversight of basic service delivery? [Type here]

Economic performance and job creation? [Type here]

■ Is there a role for partner government oversight and regulation in your partnerships with non-state service providers, including international NGOs? (Select Yes/No)

■ At the country level, have you agreed on joint indicators for assessing statebuilding progress with other development partners and/or the partner government? (Select Yes/No)

### **PRINCIPLE 4: "PRIORITISE PREVENTION"**

■ Do you have early warning or response systems in place or do you support national early warning or response systems? [Type here]

■ Do you provide support to conflict and crisis prevention and conflict resolution mechanisms (e.g. by strengthening local, including women's, or regional capacity to manage conflict)? (Select Yes/No)

If yes, please elaborate: [Type here]

### **PRINCIPLE 5: "RECOGNIZE THE LINKS AMONG POLITICAL, SECURITY AND DEVELOPMENT OBJECTIVES"**

■ To address the linkages between political, security and development objectives:

Is your country strategy shared with other ministries or agencies from your government? (Select Yes/No)

If yes, which ministries or agencies is it shared with? [Type here]

Have you carried out context analysis with other ministries or agencies from your government? (Select Yes/No)

If yes, please elaborate, providing information on the type of cross-government assessment: [Type here]

■ Do you have instruments in place for joined-up working across sectors at country level<sup>20</sup>? (Select Yes/No)

<sup>19</sup> Core state functions are generally security and justice, revenue mobilization and expenditure management, provision or oversight of basic service delivery, and economic performance and job creation; which of these are strategic priorities for statebuilding will depend on the context.

If yes, please elaborate: [Type here]

- Do you provide support to your partner country to comply with international codes of conduct and regulation aimed at addressing regional and international drivers of conflict and fragility<sup>21</sup>? [Type here]

## **PRINCIPLE 6: “PROMOTE NON-DISCRIMINATION AS A BASIS FOR INCLUSIVE AND STABLE SOCIETIES”**

- In your country strategy, do you analyze inequalities in society? (Select Yes/No)
- Do you have mechanisms in place to ensure the views of vulnerable and marginalised groups inform your programming? (Select Yes/No)

Please elaborate: [Type here]

- Do you have specific programmes in place that aim to ensure the protection and participation of women<sup>22</sup>? (Select Yes/No)
- Do you have programmes in place that aim to reduce inequalities and empower vulnerable and marginalised groups? (Select Yes/No)

If yes, please elaborate: [Type here]

## **PRINCIPLE 7: “ALIGN WITH LOCAL PRIORITIES IN DIFFERENT WAYS ACCORDING TO CONTEXT”**

- Does a government planning framework, national strategy, or an international compact exist that includes peacebuilding and statebuilding priorities? (Select Yes/No)

Do you align your programming with it? (Select Yes/No)

If you do not align programming, what tools or mechanisms do you use to ensure your work follows demand-driven domestic priorities? [Type here]

In your opinion, do existing planning strategies or framework(s) give sufficient attention to peacebuilding and statebuilding priorities (conflict prevention, security and justice, political governance issues etc.)? [Type here]

- How many months notice do you usually give your partner country government between pledging and disbursement of aid? [Type here]
- Did you include off-budget support in reporting disbursed aid to your partner country in 2010? (Select Yes/No)

## **PRINCIPLE 8: “AGREE ON PRACTICAL COORDINATION MECHANISMS AMONG INTERNATIONAL ACTORS”**

- In your partner country, is there a lead development partner co-ordination agreement? (Select Yes/No)

Are there agreed sectoral lead development partners? (Select Yes/No)

- Are there other practical co-ordination mechanisms among international actors? [Type here]

- In your opinion, have these or other existing co-ordination mechanisms resulted in better analysis, greater agreement on strategic objectives and improved implementation of development assistance programmes? [Type here]

<sup>20</sup> For example missions, analyses, and planning across sectors, pooled funding, pooled staff or secondment schemes across sectors, or joint information management systems)?

<sup>21</sup> These include: initiatives to address resource issues (e.g. the Extractive Industries Transparency Initiative), on financial regulation (e.g. the Stolen Asset Recovery Programme), controlling illicit trade including trade in narcotics and small arms and light weapons, and regulating private military and security service providers.

<sup>22</sup> Please also refer to the optional Gender Equality Module that forms part of the Paris Declaration Survey.

**PRINCIPLE 9: “ACT FAST... BUT STAY ENGAGED LONG ENOUGH TO GIVE SUCCESS A CHANCE”**

■ Do you have rapid response mechanisms or financing modalities that can be used to flexibly bridge the transition between humanitarian and development assistance? (Select Yes/No)

■ Do you have an articulated strategy for gradually moving aid on budget and through country systems? (Select Yes/No)

If yes, what are the key benchmarks to measure progress of country systems to the point where you would be willing to use them? [Type here]

■ Is your humanitarian and service-delivery programming integrated into a long-term vision emphasising capacity development and statebuilding? (Select Yes/No)

■ Do you have a policy to stay engaged if relations with the central government were to become difficult, for example through collaboration with NGOs or local authorities? (Select Yes/No)

■ If you answered yes to any of the questions above, please append any relevant policy or programming documents to the questionnaire and provide the name of the document(s) here: [Type here]

■ How much ODA do you currently have committed beyond a three-year timeframe (i.e. beyond February 2014)? USD [Type here]

**PRINCIPLE 10: “AVOID POCKETS OF EXCLUSION”**

■ What percentage of your ODA did you disburse at country-level to beyond-capital programmes in calendar year 2010? [Type here]

■ In your opinion, are there provinces, sectors, or population groups in your partner country that receive insufficient development assistance? (Select Yes/No)

■ In monitoring and evaluation, do you disaggregate resource flows and results (e.g. by geographic location, by gender, and across social groups)? (Select Yes/No)

If yes, please elaborate: [Type here]

If yes, please append any relevant monitoring and evaluation documents to the questionnaire and provide the name of the document(s) here: [Type here]



## ANNEX F. EXAMPLE OF AGENDA FOR A NATIONAL CONSULTATION

*This is an example from the 2009 FSP survey in Timor-Leste.*

### Program

*Ministry of Foreign Affairs Conference Hall, 2-3 March 2009*  
*Chair: H. E. Emilia Pires, Minister of Finance*

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#### MONDAY, 2 MARCH 2009: TIMOR-LESTE'S GOALS, PROGRESS AND CHALLENGES

Government, Civil society, and international partners

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8:30-9:00am	<i>Registration</i>
9:00-9:45am	<p><b>Welcoming Remarks by H.E. Emilia Pires, Minister of Finance.</b>  <b>Official Launch of the Survey by H. E. Dr. José Ramos-Horta, President of Timor-Leste.</b></p> <ul style="list-style-type: none"> <li>• Remarks by <b>H.E. Kay Rala Xanana Gusmão, Prime Minister.</b></li> <li>• Brief remarks by a representative from civil society (<i>Dinorah Granadeiro, NGO Forum</i>).</li> <li>• Brief remarks by the International Contact Point, World Bank (<i>Antonio Franco</i>).</li> </ul>
9:45-10:00am	<b>Purpose of this meeting and approval of the agenda</b> , presented by the National Coordinator ( <i>Helder da Costa</i> )
10:00-10:15am	<i>Coffee break</i>
10:15-11:00am	<p><b>Presentation of the proposed approach</b> by the Organization for Economic Cooperation and Development (<i>OECD, Juana de Catheu</i>)</p> <ul style="list-style-type: none"> <li>• Moderated discussion on the proposed approach and on how the process can best improve international engagement in Timor-Leste (<i>Florentino Sarmento</i>)</li> </ul>
11:00-1:00pm	<p><b>Overall peace building and state building goals for Timor-Leste and main frameworks for international engagement</b></p> <ul style="list-style-type: none"> <li>• Presentation by <b>H.E. Emilia Pires, Minister of Finance</b></li> <li>• Brief remarks by UN Representative (<i>Takahisa Kawakami</i>)</li> <li>• Moderated discussion (<i>Florentino Sarmento</i>)</li> <li>• Summary of discussion, by the moderator</li> </ul>
1:00-2:00pm	<i>Lunch</i>
2:00-4:00pm	<p><b>Discussion on international engagement, Principle by Principle:</b> Areas of progress and remaining challenges</p> <ul style="list-style-type: none"> <li>• The Basics (facilitated by <i>Homa Z. Fotouhi – international contact point, World Bank</i>)</li> <li>• State-Building and peace building (facilitated by <i>Juana de Catheu – OECD DAC</i>)</li> <li>• The Practicalities (facilitated by <i>Jemal Sharah – AusAID</i>)</li> </ul> <p><i>Coffee break</i></p> <ul style="list-style-type: none"> <li>• Summary of discussions on each Principle, by the facilitators</li> </ul>
4:00-4:15pm	
4:15-5:30pm	
5:30-6:00pm	<b>Summary of the day's discussions</b> , by <b>H.E. Emilia Pires, Minister of Finance</b>
6:00-8:00pm	<i>Cocktail Reception hosted by the World Bank in the Foyer of the Ministry of Foreign Affairs</i>

*(all participants invited)*

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**TUESDAY, 3 MARCH 2009: IMPROVING THE IMPACT OF INTERNATIONAL ENGAGEMENT**  
**Government, Civil society, and international partners**

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9:00-9:30am	<b>Recapitulation of Day 1 and objectives for Day 2</b> by <i>H.E. Emilia Pires, Minister of Finance</i>
9:30-11:30am	<b>Identification of priority actions</b> for government and international actors across policy communities by the National Coordinator ( <i>Helder da Costa</i> ) <ul style="list-style-type: none"> <li>• Moderated discussion towards common priority actions (<i>Florentino Sarmiento</i>)</li> <li>• Summary of discussions by the moderator</li> </ul>
11:30-11:45am	<i>Coffee break</i>
11:45am-1:00pm	<b>Conclusions and next steps</b> <ul style="list-style-type: none"> <li>• Draft Country Chapter and second consultative meeting</li> <li>• Closing Remarks by <i>H.E. Kay Rala Xanana Gusmão, Prime Minister</i></li> </ul>

END OF MEETING.

## **ANNEX G. THE FSP SURVEY, THE PD SURVEY AND THE INTERNATIONAL DIALOGUE ON PEACEBUILDING AND STATEBUILDING**

### **DOES MONITORING THE PRINCIPLES IMPOSE A BURDEN ON PARTNER COUNTRIES AND DEVELOPMENT PARTNERS?**

- The decision to monitor the Fragile States Principles and/or the Paris Declaration is that of the partner country alone.
- The monitoring process in each country is designed to strike the right balance between being participatory and not overly burdening already limited capacity. In all cases, partner countries have confirmed their wish to build on existing relevant processes, such as dialogues on national priorities. Linkages are also identified with processes that are not led by the partner countries, such as the strategic frameworks for peacebuilding by the Peacebuilding Commission, the EU pilots on fragility and the EU conflict prevention and peacebuilding case study countries.

### **REGARDING THE MONITORING OF THE FRAGILE STATES PRINCIPLES, CAN YOU EXPLAIN THE RELATIONSHIP WITH THE PARIS DECLARATION MONITORING PROCESS?**

- Fourteen countries/territories have decided to take part in both the Fragile States Principles and Paris Declaration Surveys.
- The Fragile States Principles are complementary to the Paris Declaration, taking aid effectiveness themes and adjusting these to the most challenging country contexts adding substantive policy themes such as security and development, governance, etc.
- Complementary to the Paris Declaration monitoring process, the FSP Survey is based on data from a mixed qualitative/quantitative methodology derived from multi-stakeholder consultations.

### **WHAT IS THE DIVISION OF LABOUR TO MANAGE THE TWO MONITORING PROCESSES?**

- The OECD Secretariat supports both surveys.
- Monitoring of the Paris Declaration and monitoring the Principles will be closely coordinated in order to build synergies between both exercises and minimise the burden on developing countries. To this end, the Working Party on Aid Effectiveness and INCAF have established a common platform – Cluster D on Assessing Progress – with a view to ensuring effective coordination between the two surveys, and also other related exercises (e.g. the ongoing evaluation of the Paris Declaration).
- In all countries, the National Coordinator and International Contact Point coordinate both surveys.
- Both surveys have been launched at regional workshops on aid effectiveness in October-December 2010.
- The timeline for both surveys is integrated.
- The Country Chapter will report on both the FSP and the Paris Declaration.
- The global “Progress since Paris” report to be presented at the Fourth High Level Forum on Aid Effectiveness will include global findings and recommendations on fragile situations.

### **HOW DOES MONITORING THE PRINCIPLES RELATE TO THE PILOTING OF THE PRINCIPLES IN 2005-2006?**

The Principles were piloted in three of the fourteen countries/territories, DRC, Guinea-Bissau and Haiti. The pilots illuminated country-specific issues for each of the ten Principles and fed directly into the country-level dialogue on the Principles.

**WHAT ARE THE LINKAGES WITH THE INTERNATIONAL DIALOGUE ON PEACEBUILDING AND STATEBUILDING?**

The International Dialogue was launched in 2010 and brings together most of the 14 countries/territories, in addition to 22 international development partners. It contributes to identifying good practices and challenges in peacebuilding and statebuilding, and to foster consensus around strategic goals ([www.pbsbdialogue.org](http://www.pbsbdialogue.org)).

## ANNEX H. BIBLIOGRAPHY

*This bibliography is provided in order to help the National Coordinators and the International Contact Points to get familiarized, if needed, with the main references regarding the Principles. They can also be used to disseminate the Principles when the Survey is launched.*

### **The Principles of Good International Engagement in Fragile States and related good practice**

Anderson, M. (1999), *Do No Harm: How Aid Can Support Peace – Or War*, Boulder, Lynne Rienner Publishers.

Brorsen, P. (2010), Synthesis of lessons learned from the 2009 Survey on Monitoring the Principles for Good International Engagement in Fragile States and Situations – Recommendations for the 2011 Survey.

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Whaites, A. (2008), DfID Working Paper, “States in Development: Understanding State-building”, available at [www.dfid.gov.uk/Documents/publications/State-in-Development-Wkg-Paper.pdf](http://www.dfid.gov.uk/Documents/publications/State-in-Development-Wkg-Paper.pdf).

### **The 2009 FSP survey**

OECD (2009a), Principles Monitoring Plan, OECD, Paris, available at [www.oecd.org/fsprinciples](http://www.oecd.org/fsprinciples).

OECD (2010a), *Afghanistan Country Report, Fragile States Monitoring Survey*, OECD, Paris, available at [www.oecd.org/fsprinciples](http://www.oecd.org/fsprinciples).

OECD (2010b), *Central African Republic Country Report, Fragile States Monitoring Survey*, OECD, Paris, available at [www.oecd.org/fsprinciples](http://www.oecd.org/fsprinciples).

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OECD (2010e), *Sierra Leone Country Report, Fragile States Monitoring Survey*, OECD, Paris, available at [www.oecd.org/fsprinciples](http://www.oecd.org/fsprinciples).

OECD (2010f), *Timor-Leste Country Report, Fragile States Monitoring Survey*, OECD, Paris, available at [www.oecd.org/fsprinciples](http://www.oecd.org/fsprinciples).

### **Aid effectiveness**

Accra Agenda for Action (2008), available at [www.accrahlif.net](http://www.accrahlif.net).

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