**Component 3**

**Country and Sector Context Information (sector management)**

**High level business requirements**

Version: v0.1 of 02/03/2015

Author: TF/DT

|  |
| --- |
| Context and summary:  Component 3 has been renamed into “Country and sector context information”; it corresponds mainly to “sector management” as business capability.  It aims to allow the management of budget support operations (must) and to provide a minimum package of information in term of country and sector intelligence (should), addressing major gaps of our existing IT tools which don’t allow managing sector budget operations and payments, nor capturing country or sector related information.  All sensitive information should benefit from the appropriate level of security access (budget support, sensitive sectors).  For budget support operations the system must be able to provide:   * the encoding process and access (local, HQ) to the necessary supporting documents for budget support payments (national or sector development strategies, reform agenda, partners involved in national or sector coordination, lead arrangements, financing decision, monitoring missions reports, risk evaluation, key exchanges with the Government, baseline and indicators value, EU Delegation report and opinion, possible comments made by several actors, budget support steering committee decisions) * the necessary interaction between multiple internal actors in EU Del and at HQ (notifications for key actions, as notifying the geo desk and local operation manager for any change in the risk assessment or in the payment calculation; collaborative work on key documents as risk assessment, sector assessment) * the necessary interaction with ABAC (access to supporting documents before visa) * an overview of budget support operations worldwide or by group or countries (ie fragile states) in real time for internal use   For country and sector intelligence outside budget support operations the system should be able to provide:   * a country at a glance fiche, updated on a collaborative mode (EU Delegation and geographical desk), and usable by all DEVCO actors for internal reporting purpose or briefings * a minimum information package on focal sectors and other key sectors in a given country impacting substantially our local work (ie governance, human rights): local policies and strategies, local reports, partners coordination, lead arrangements, analytical documents, joint monitoring missions, exchanges with Government; a specific guidance should be provided in order to avoid any inflationary risk in uploading useless and unsearchable documents. Such information should be accessible locally (concerned EU Delegations) and at HQ (geographical units and concerned thematic units) |

Glossary:

|  |  |
| --- | --- |
| CUD | Create, Update, Delete (mode of interaction with the system) |
| Dir geo | Director of the concerned geographic directorate (Dir geo is a visa) |
| Geo desk, unit, director | Resp the concerned geographical desk, unit or director |
| HoS | Head of operational section in a Delegation (could be a team leader at HQ) |
| HoC | Head of Cooperation (could be the head of operational section in Delegations with a single operational section, or the senior HoS in Delegations with two operational sections or more and no formal HoC position) |
| HoD | Head of Delegation (double “hatted” staff: EEAS and DEVCO) |
| OM | Operation Manager |
| R | Read only (mode of interaction with the system) |
| SPSP | Sector Policy Support Programme (could be a mix of sector budget support and project approach as for capacity building) |

Sector management (country and sector context information) has two main purposes:

* to allow the management of budget sector operations (must)
* to allow in other key sectors a form of "sector intelligence" including the follow up of sector dialogue and donors management, as well as a general overview – country at a glance- (should).

This component has interactions and overlaps with:

* Component 2: interaction with EU MS on sector intelligence (ie in the framework of joint programming obligations)
* Component 4.4 and 4.5: management of budget support operations and particularly managing supporting documents (deliverables) for payment
* Component 5: (results management) with regard to indicators measurement for budget support interventions
* Component 8: for sector tagging
* Non functional requirements: in term of restricted access for sensitive files

Actors involved in sector management:

1. At country/region level: operation manager
2. At country/region level: head of section, head of cooperation
3. At country/region level: finance and contract section
4. At HQ level: budget support unit (03)
5. At HQ level: geo desk and geo unit
6. At HQ level: finance and contract unit, geo director
7. At HQ level: thematic(s) unit
8. At HQ level: EEAS geo division

DEVCO Processes involved in sector management:

* Programming and joint programming (sector intelligence for focal sectors, for key sectors as for governance, for sectors part of joint programming, for sectors in which EU has the lead in the joint programming process)
* Identification and formulation (for general budget support, state building contract and sector budget support, for other programme as support of a focal sector)
* Implementation for budget support, state building contract, sector budget support and sector policy support programmes (SPSP)

Triggers/prioritisation/internal reporting needs (dashboards):

1. **At country/region level: operation manager (OM)**

*1.1 Budget support area*

Trigger 1.1.1: encode the concerned sector, upload national development strategy, relevant sector strategy, relevant reform agenda – CUD - Must

Trigger 1.1.2: encode partners involved in national/sector coordination, sector lead arrangements, EU lead arrangement if any – CUD - Should

Trigger 1.1.3: upload financial decision (if not derived from component 4.4) with structured information on indicators (results framework), conditions, tranches, analytical breakdown (ie if building capacity component) – CUD - Must

Trigger 1.1.4: upload outcomes of monitoring missions (joint monitoring with Government, external consultants, internal monitoring) including mission reports, update on indicators, minutes of dialogue meetings with the Government – CUD - Must

Trigger 1.1.5:encode risk assessment proposal, update before any payment process – CUD - Must

Trigger 1.1.6: encode and upload minimal set of data needed to initiate a payment process on an operational point of view (if no pull out from ABAC): dates, amount requested, amount proposed, supporting document (analytical report, correspondences, comments) – CUD – Must

Trigger 1.1.7: notification to Head of Sector/Head of Cooperation to validate sensitive data before they be made accessible to finance and contract and HQ (triggers 1.1.6, 1.1.5) – CUD – Must

Trigger 1.1.8: be able to track key milestones in a dashboard and to get notification of key steps in the process – R - Must

*1.2 Other key sectors (focal sectors, sectors of interest as governance, human rights…), SPSP and general overview:*

Trigger 1.2.1:encode a structured document country at a glance (template), which can be used for briefing and reporting purpose, and CUD also by the geo desk at HQ – collaborative document- keep memory of successive modification dates by whom - CUD - Should

Trigger 1.2.2: encode the concerned sector, indicates if sector policy support programme (SPSP) and in that case programmes attached to the SPSP with any common results framework, upload the relevant sector policy, sector reform agenda - CUD – Should -

Trigger 1.2.3:encode partners involved in sector coordination, lead arrangements, EU lead arrangements if any – CUD – Should

Trigger 1.2.4: upload outcomes of monitoring missions (joint monitoring with Government, external consultants, internal monitoring) including mission reports, minutes of dialogue meetings with the Government – CUD - Should

1. **At country/region level: head of section, head of cooperation (HoS, HoC), Head of Delegation (HoD)**

Trigger2.1: access to any information encoded or uploaded in the system – R – Must

Trigger 2.2: validation of sensitive information requested by OM – mandatory for triggers 1.1.5 et 1.1.6 – CUD - Must

Trigger 2.3: for HoS/HoCbe able to request HoD validation for triggers 1.1.5 et 1.1.6 at least for delegations with no upgraded HoC position – CUD – Must

Trigger 2.4: for HoD access to any information encoded, uploaded and validated in the system – R – Must

Trigger 2.4: for all, HoS, HoC, HoD

1. **At country/region level: finance and contract section**

Trigger 3.1: be able to access to any data encoded, uploaded document, comment including pending validation – R – Must

Trigger 3.2: be able to push in ABAC all necessary supporting documents when initiating the transaction – R - Should

1. **At HQ level: budget support unit (03)**

Trigger 4.1: be able to access to any data encoded and validated, uploaded documents – R – Must

Trigger 4.2: be able to comment and update the risk assessment with a notification to the geo desk and operation manager – CUD – Must

Trigger 4.3: be able to comment the disbursement file going to the Dir Geo without being discussed at Budget Support steering committee – CUD – Should

Trigger 4.4: be able to encode the date and decision of the budget support steering committee (yes/no or change of amount) as well to upload the minutes of the steering committee, and notify the geo desk, Dir Geo and operation manager – CUD Must

Trigger 4.5: be able to establish its own dashboard for unit purpose – R – Should

Trigger 4.6: be able to view in real time the portfolio of budget sector operations worldwide or by group of countries (eg fragile states) – R – Should

1. At HQ level: geo desk and geo unit

Trigger 5.1: be able to access to any data encoded, uploaded document, comment including pending validation – R – Must

Trigger 5.2: be able to comment the risk assessment with a notification to the budget support unit desk and operation manager – CUD – Should

Trigger 5.3: be able to comment the disbursement file going to the Dir Geo with or without being discussed at Budget Support steering committee – CUD – Should

1. At HQ level: finance and contract unit, geo director

Trigger 6.1: be able to access to any data encoded, uploaded document, comment including pending validation – R – Must

Trigger 6.2: be able to push in ABAC all modified supporting documents – R - Should

Trigger 6.3: (geo director) be able to view on a structured way all pieces of the disbursement file and attached comments before giving the visa in ABAC; ideally through a link located in ABAC – R - Must

1. **At HQ level: thematic(s) unit**

Trigger 7.1: be able to access any information encoded, uploaded and validated by HoS/HoC/HoD – R – Must

Trigger 7.2: be able to comment upon request of geo desk any document, report and payment process – keep memory of comments when by whom – CUD - Should

1. At HQ level, EEAS geo division

Trigger 8.1: be able to access any information encoded, uploaded and validated by HoS/HoC/HoD – R - Must

High level data model:

Sector information is provided for a given country or region only for key or sensitive sectors

* Mandatory for sectors covered by an on-going or future budget support programmes (sector budget support)
* (mandatory) In case of general budget support or State Building Contract a minimum package of information has to be provided though multisector (national development agenda, reform programme, dialogue with the Government, Donors participating, lead arrangements)
* (optional) for other key sectors: eg focal sectors, governance, human rights

External/official reporting needs:

*To be clarified in the framework of the rationalisation of reporting exercise.*

Next steps:

1. Consultation with resource persons (unit 03, selected EU Del – Morocco)
2. Explore and limit overlappings with other components
3. Provide details on the content of the country at a glance fiche (base: DDG2 template)
4. Structuring sector context information (what, who, how)