Global Partnership for Effective Development Co-operation

Monitoring Framework

INDICATOR 7

Mutual accountability among development actors is strengthened through inclusive reviews

Methodology

Draft for consultation

Summary:

Mutual assessments – when regular, results-oriented, transparent, and inclusive of all relevant development actors – can help enhance mutual accountability at country level. This in turn creates incentives for all actors to meet their commitments and improve on their performance.

The original indicator 7 assessed whether five criteria reflecting these parameters were in place, with an emphasis on traditional, government-donor arrangements. The shifting development co-operation landscape, with an increase in the number development actors and engagement modalities, calls for broadening the scope of mutual accountability, to reflect the extent to which all actors and development efforts are part of these processes.

The revised indicator updates the interpretation of the five criteria under that light. The indicator provides more granularity on the quality of these five elements, as well as on the extent of inclusiveness, transparency and scope of these mutual assessment processes.

Note: The following draft methodology, put forth by the OECD-UNDP Joint Support Team of the Global Partnership, builds on the Nairobi Outcome document, the technical advice of the Monitoring Advisory Group, the lessons learned in the 2016 monitoring round, as well as synthesis of analytical work relating to mutual accountability for effective development co-operation.

Background

The 2030 Agenda for Sustainable Development and the Addis Ababa Action Agenda recognise the Global Partnership for Effective Development Co-operation (Global Partnership or GPEDC) as a solid foundation to drive more effective development co-operation. To meet the ambitions of the 2030 Agenda, the Global Partnership must deliver evidence and data that address the needs of countries in better monitoring the effectiveness of their development efforts. In the Nairobi Outcome Document, the international development community stressed the need to "update the existing monitoring framework to reflect the challenges of the 2030 Agenda, including the pledge to leave no-one behind".

To address these challenges, the Steering Committee of the Global Partnership outlined an inclusive strategy to refine the monitoring framework, following a three-track approach:

1. Strengthening the current 10 indicators to ensure their relevance for the 2030 Agenda context;

2. Adapting the scope of monitoring to address major systemic issues critical to the 2030 Agenda, such as climate change, gender equality, conflict and fragility as well as progressively reflecting all the modalities and development co-operation actors;

3. Enhancing the impact of the monitoring process by improving the quality and inclusiveness of country-level monitoring and facilitating follow-up and action on the results.

The refinement of the Global Partnership monitoring framework is guided by the Nairobi Outcome Document, the technical advice of the Monitoring Advisory Group and the OECD-UNDP Joint Support Team, and lessons learned in the 2016 monitoring round, including feedback from participating countries. The refinement began in April 2017 and is drawing on the technical assistance of expert groups, related to specific thematic areas, paired with iterative consultations with relevant stakeholders and country-level testing.

The refined indicators will be used in the third Global Partnership monitoring round, scheduled to be launched in May 2018. Further revisions will be incorporated in subsequent monitoring exercises. Findings from the third monitoring round will feed into high-level political processes, in particular the 2019 High-Level Political Forum on Sustainable Development.

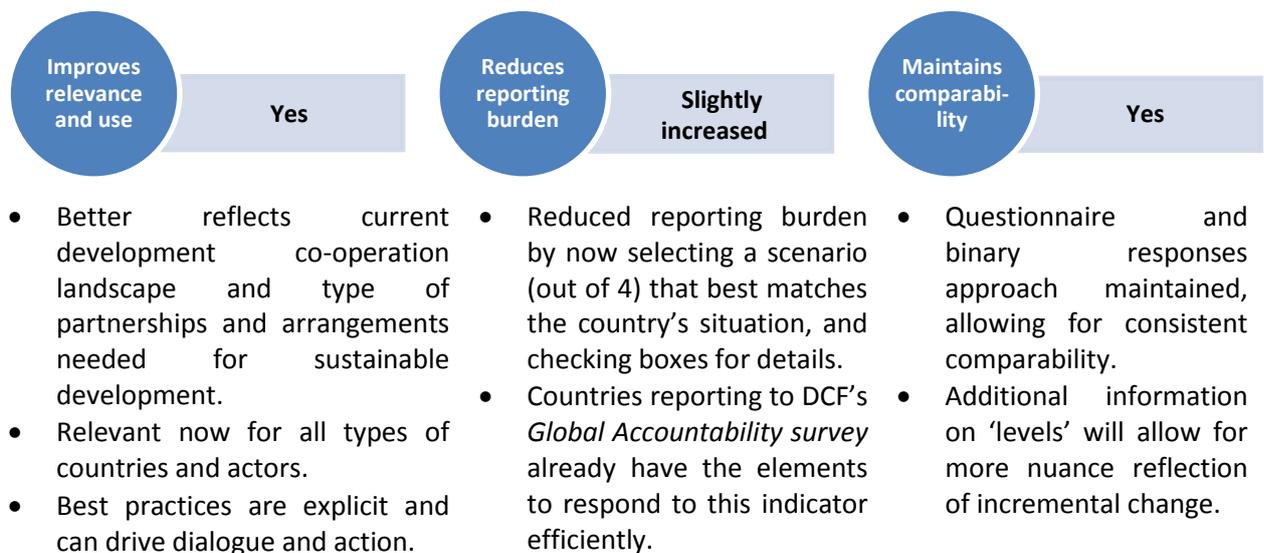# Indicator 7. Mutual accountability is strengthened through inclusive reviews

What does it measure?

Whether countries have established inclusive mutual assessment reviews, characterised by five criteria: a policy framework that defines the country's development co-operation priorities; targets for the country and its development partners; regular joint assessment against those targets; active involvement of local governments and non-state stakeholders; and public availability of the results of these reviews.

Relevance to effective development co-operation

The principle of mutual accountability recognises that development impact improves when all parties take responsibility for their contributions. As such, countries commit to establish and conduct "inclusive mutual assessment reviews," which respond to the needs of domestic institutions and citizens.

ORIGINAL METHODOLOGY	REFINED METHODOLOGY
• Assessed whether **joint assessments around development cooperation** were conducted at country level. • Countries needed to **meet 4 out of 5 above criteria** . • Short questionnaire, relying on **binary responses** (yes/no).	• **Maintains the five criteria** and binary answers. • Countries are then asked to **select the scenario that matches best their country situation**, out of four levels. This provides **sufficient granularity** on the scope of implementation of each criteria, such as the type of participants in these inclusive reviews.
Shortcomings	*Key improvements*

• Reflected **traditional provider-recipient relations,** failing to capture the more diverse reality of current development co-operation landscape (e.g. more development actors, collective accountability).
 • **Binary responses alone** did not help interpret or take action on the results.
	• Countries **able to provide more nuanced responses** by**:**
	    o Selecting one of the **pre-defined scenarios** that best match their country situation, and
	    o Easily **providing specifics**, such as coverage or inclusiveness, via checkboxes.

Improves relevance and use	**Yes**	Reduces reporting burden	**Slightly increased**	Maintains comparabi-lity	**Yes**

• Better reflects current development co-operation landscape and type of partnerships and arrangements needed for sustainable development. • Relevant now for all types of countries and actors. • Best practices are explicit and can drive dialogue and action.	• Reduced reporting burden by now selecting a scenario (out of 4) that best matches the country's situation, and checking boxes for details. • Countries reporting to DCF's *Global Accountability survey* already have the elements to respond to this indicator efficiently.	• Questionnaire and binary responses approach maintained, allowing for consistent comparability. • Additional information on 'levels' will allow for more nuance reflection of incremental change.

1. Introduction

This document presents a proposal to refine the Global Partnership indicator measuring the quality of countries' existing joint processes to ensure mutual accountability among development actors at country level [indicator 7]. The indicator is part of the current Global Partnership monitoring framework. The framework is being refined to reflect adequately the effectiveness challenges of implementing the 2030 Agenda for Sustainable Development. To guide the refinement of the different indicators, the OECD-UNDP Joint Support Team is consulting with experts and the broad range of development stakeholders.

The document is structured as follows: (a) a brief presentation of the current indicator methodology; (b) an assessment of the indicator based on expert feedback and analysis; and (c) a proposal for a revised methodology, including a refined indicator questionnaire. This draft proposal is open for general consultation. It will also be piloted in four countries during March and April 2018. Based on feedback received during the consultation and pilots, the methodology will be finalized ahead of the third monitoring round, which is planned to start in May 2018.

2. Rationale

The concept of mutual accountability in development co-operation refers to development stakeholders holding each other accountable for achievement of mutually agreed development results. This is a vital component of effective development co-operation as transparency and accountability help to ensure that all stakeholders work as efficiently as possible to maximise development impact. Annex II presents a review of recent literature and studies articulating the importance of effective mutual accountability arrangements at country level.

Recognising the importance of mutual accountability, the Paris Declaration on Aid Effectiveness (PD) committed stakeholders to increase joint accountability for implementation of development policies and strategies, achievement of development results and use of resources (PD §3 iii, §47, §50). The Accra Agenda for Action (AAA) reconfirmed this commitment, further pledging stakeholders to increase efforts to ensure that mutual assessments take place and are undertaken with stronger parliamentary scrutiny and citizen engagement (AAA §24b). The Busan Partnership agreement (BPa) goes further to encourage participation of all development co-operation actors in mutual assessment processes (BPa §18d), and pledges partners to agree on shared country-led frameworks to monitor progress, and to publish the results of these assessments (BPa §35).

Building on these successive milestones and in the wake of the adoption of the 2030 Agenda, during the Second High-Level Meeting of the Global Partnership for Effective Development Co-operation the international community adopted the Nairobi Outcome Document (NOD). This is a comprehensive response defining the type of partnerships and behaviours that can help achieve the Sustainable Development Goals (SDGs).

The Nairobi Outcome Document reiterates that the principle of accountability is relevant to all development stakeholders (NOD § 72), and these same stakeholders have made multiple, reciprocal commitments to improve transparency and accountability with each other. The shared

commitments reflect an evolution towards 'collective accountability', beyond the binary provider-recipient approach, as echoed in recent policy discussions.

In order to remain relevant and useful within the context of an evolution towards 'collective accountability', this note proposes a refined measurement framework for Indicator 7: "*Mutual accountability is strengthened through inclusive reviews*" to bring the indicator in line with recent commitments and with the paradigm shift in the evolving development co-operation landscape.

3. Current methodology

Through its monitoring framework, the Global Partnership measures progress made by countries in establishing the conditions to undertake such mutual assessments.[1]

The basis for the current methodology was conceptualised in 2005, as part of the Paris Declaration on Aid Effectiveness surveys. It included three criteria to assess whether mutual assessments were in place. These criteria were expanded to five in 2012, to reflect new commitments for greater inclusiveness and transparency of these processes.

Thus, under the current methodology, a country is considered to have mutual assessment of progress reviews in place if it meets at least four out of five criteria: 1) a development co-operation or partnership policy that defines the country's priorities and role for development co-operation; 2) country-level targets for effective development co-operation for both partner country government and development partners of development co-operation; 3) regular mutual assessment of progress against the targets; 4) active involvement of local governments and other stakeholders in such reviews; and 5) comprehensive results of such assessments are made public.

As an overarching indicator, indicator 7 encompasses five enabling elements that provide the analytical framework for assessing progress in setting accountability mechanisms around development co-operation at the country level, and enable linkages with other indicators (indicators 1a, 1b, 2, 3, 4b and 6). The figure below illustrates how the contributions of different indicators help ensure effective governance and accountability around development co-operation.

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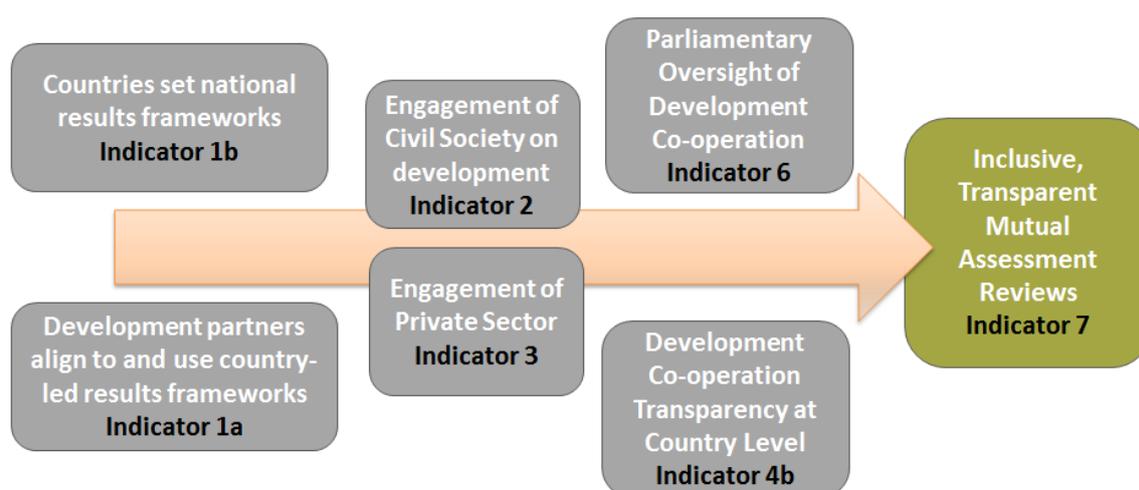
[1] This indicator takes the form of a modified version of indicator 12 of the Survey on Monitoring the Paris Declaration (OECD, 2011) to build on the lessons learned and evidence on national-level mutual accountability (including evidence generated by UNDESA for the United Nations Development Co-operation Forum). Further refinements to the elements and methodology underpinning this indicator were introduced in 2012 to capture better the extent of involvement of other stakeholders, e.g. including civil society stakeholders and parliamentarians.

4. Overall assessment

The indicator measuring whether mutual accountability mechanisms are in place for effective development co-operation commitments is highly relevant within the context of the 2030 Agenda and the Addis Ababa Action Agenda. The centrality of this indicator was also supported by the review undertaken by the Monitoring Advisory Group[2]. In particular, this advisory body acknowledged that mutual accountability is a central, overarching theme to the monitoring framework, which underpins the implicit theory of change of the Global Partnership (i.e. mutual accountability creates the right incentives for institutional and behavioural change).

However, the current indicator methodology focuses on mutual accountability structures that are mainly based on traditional concepts of development assistance (i.e. the provider-recipient relationship) and has not yet considered a 'whole-of-society' approach to development co-operation, called for in the 2030 Agenda. The evolving development co-operation landscape, with more actors and modalities in place, requires a shift in the architecture of country-level mutual accountability mechanisms to stay relevant.

The 2016 monitoring round provided useful information on the extent of mutual accountability mechanisms in place for development co-operation. The results indicate that while mutual assessments (as defined above) have become more structured, with an increasing number of elements in place, only half of the countries met all criteria. The areas with more room for improvement continue to be transparency and inclusiveness. Further, while partnerships for the SDGs will likely require whole-of-government and whole-of-society participation, including southern partners, private sector and philanthropies, the current methodology does not provide adequate information about the type of updated arrangements that could make these mutual accountability processes more relevant to their development finance and partnership needs.

Middle-income countries (MICs) face a particular struggle to fit mutual assessments within the parameters of traditional official development assistance. Their increasing reliance on different forms of development finance beyond Official Development Assistance (ODA) and the proliferation of development partners, both official and non-state actors, have increased the complexity of their development co-operation landscape. In particular, diminishing reliance on ODA, coupled with the significant increase in volume as well as types of financing instruments available for sustainable development has an important implication to country-level accountability mechanisms, where domestic resource mobilisation is the most viable source of financing for development, making up the largest source of funding for implementation of national development priorities. Private sector investment, South-South Co-operation (SSC) and remittances also play increasingly major roles in the development finance mix in many of these countries.

This means there is less relevance of an aid or partnership policy that defines a country's development co-operation priorities; and roles and responsibilities as well as associated targets for effectiveness commitments would require more granular or differentiated approach; while the specific commitments by providers of ODA remain important within the context of an evolving development finance landscape.

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[2] The Monitoring Advisory Group was established in 2015 to provide technical expertise and advice to strengthen the Global Partnership monitoring framework and ensure its relevance in the evolving post-2015 landscape. The group is composed of 12 high-level experts from developing country governments, development co-operation providers, think tanks and civil society organisations. From mid-2015 to late 2016, the Monitoring Advisory Group performed a full assessment of the indicator framework and the monitoring process.

Similar changes are also increasingly affecting low-income countries, least developed countries (LDCs) and countries in special situations –such as fragile states or small-island developing states.

In addressing these challenges, the Monitoring Advisory Group recommended to strengthen the indicator to ensure its relevance in relation to its applicability to development co-operation modalities and stakeholders beyond the traditional concept of development co-operation. In addition, the Monitoring Advisory Group recommended providing space to assess the quality of mutual assessments and reviews, and explore ways to capture the accountability framework and practices of development partners while retaining country ownership of this indicator.

Overall recommendations to revise the indicator methodology include:

- Developing a balanced measurement system which allows tracking of progress in enhancing the quality of mutual assessments over time;
- Providing a module dedicated to development partners with data sourced at the country level. This will help drawing attention to the need to use country systems and align with partner country strategies and results frameworks;
- Incorporating more space for qualitative responses, such as adding optional guiding questions;
- Drawing on the preliminary results of the 2018 Global Accountability Survey[3], if available; and
- Ensuring the questionnaire is compatible with different forms of technical co-operation, such as peer exchange, secondment, training and support to building partnerships and networks.

Taking this work forward, the review of relevant analytical research was undertaken to understand challenges identified by countries implementing country-level accountability mechanisms and which features of mutual accountability mechanisms contribute to greater effectiveness of different approaches (Annex II). Some of the areas identified by the review include:

- The existence and quality of a policy framework for development co-operation and multi-stakeholder partnerships provide a strong foundation for effective accountability mechanisms, regardless of whether such a policy framework is standalone or part of the national and/or sectoral development strategy.
- Clear country-level targets for development co-operation are established, providing strategic direction and capturing the interest for different stakeholder groups.
- Joint assessments of progress towards country-level targets are part of broader government-led multi-stakeholder accountability mechanisms.
- Broaden stakeholder involvement in assessment of progress to reflect the shift from mutual accountability to inclusive accountability.
- Results of the mutual accountability reviews are made public in a timely manner.

5. Refinement proposal

To ensure continuity and data comparability, it is proposed that indicator 7 remains focused on the five elements identified as building blocks for the existence of regular, transparent and inclusive

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[3] The Development Cooperation Forum's 5th Global Accountability Survey was launched in December 2017 and concluded in February 2018. The Global Accountability Survey has evolved in parallel with the changing landscape for development co-operation, recognising the increased number of development actors and the multidimensional interpretation of mutual accountability in this new context. The evolution of indicator 7 presented in this document also reflects alignment with the new elements collected in the DCF's survey, as to minimise the burden of participating governments – responses to this indicator can be drawn from elements in the DCF's survey for countries that have carried out that survey.

mutual assessments for enhanced accountability. Each element will be strengthened to reflect the evolving development landscape and the challenges of the 2030 Agenda.

The refined methodology proposes a broader scope in measuring country level progress towards establishing regular, transparent and inclusive mutual assessments for enhanced accountability. It draws on lessons learned from previous monitoring efforts, recommendations from the Monitoring Advisory Group, the Development Co-operation Forum (DCF) Accountability Survey, recent policy discussions and analytical research.

The following revisions are proposed to each of the five elements:

1. *A policy framework for development co-operation and multi-stakeholder partnerships*

This refined element will assess not only the existence of development co-operation or partnership policies that define the roles and responsibilities of different development stakeholders but to further reflect the quality of such policy within the institutional framework. The policy framework could be standalone or part of the country's development planning framework at national, sector and/or thematic levels. An updated element will reflect the breadth of such policies and mechanisms, including the following elements:

- Breadth of such policy guidance on the roles and responsibilities around different forms of development co-operation and application within the SDG context;
- Institutional coherence, such as parliamentary perusal of the policy for domestic accountability.

2. *Country-level targets for collective accountability*

This refined element aims to assess the existence of country-level targets but also whether these targets are translated to the different development partners present at country level (i.e. traditional development partners, southern partners, civil society, private sector, foundations, etc). Such targets may be drawn from internationally agreed commitments and/or developed jointly through national processes. The refined element further explores whether these country level targets cover different modalities of development co-operation.

3. *Joint assessment of progress towards development co-operation targets*

This refined element reflects the extent of institutionalisation of joint assessments as part of the broader country-led multi-stakeholder mechanism focusing on national development planning, monitoring and evaluation of national sustainable development strategies. Specifically, the revised element takes into consideration whether the reviews are conducted on an ad hoc basis, regularly or institutionalised as part of a multi-stakeholder assessment.

4. *Multi-stakeholder engagement in country-level accountability mechanisms*

This refined element reflects the shift from mutual to collective accountability by assessing the extent of multi-stakeholder engagement in mutual assessment process. An updated element seeks to reflect the extent to which different development partners (i.e. traditional development partners, southern partners, civil society and private sector) are involved in joint assessments for effective development co-operation.

5. *Transparent mutual assessment processes*

This refined element seeks to reflect transparency of the mutual assessment process through the extent to which results of mutual accountability reviews are publicly available; and the timeliness of information being made publicly available.

6. Methodology

Data collection and aggregation

Data is collected at the country level on a self-reporting basis. Governments will be primary respondents of the questions. Focal points of other constituent groups are encouraged to be consulted on their level of agreement to the responses as well as additional comments.

Global aggregation will be based on the percentage of countries that undertake inclusive and transparent mutual assessments of progress in implementing the effective development co-operation commitments. This proposal is in line with the baseline[4] and the global target[5] established by the current framework.

Scoring method

A country is considered to have a **mutual assessment review in place when at least four of the five elements are in place**. Each element is addressed by a question and each question contains a 4-level scale reflecting progressive degrees of quality of mutual assessments. Respondents answer by choosing the level in the scale that best matches the situation in the country for that specific question/element. The different levels take into account country context and the breadth of country level mutual accountability mechanisms, in the context of SDGs. **An element is considered in place ("yes") when the country situation is best described by Level 3 or Level 4.**

Revised questionnaire overview

Q1. To what extent is there a quality policy framework in place to guide development co-operation and partnerships?

Q2. Are there specific country-level targets for effective development co-operation for the government and for the different development partners?

Q3. To what extent have the government and its development partners carried out joint regular assessment of development co-operation targets at senior level?

Q4. To what extent have other development actors been involved in mutual assessments?

Q5. How soon are the results of such assessments typically made available to the public?

The detailed questionnaire is presented in Annex I of this document.

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[4] Since the elements have evolved from those in the Paris Survey Indicator 12, the 2010 baseline provides an estimate.
[5] The global target 'all developing countries have inclusive mutual assessment reviews in place' was based on target in the Paris Survey.

ANNEX I. METHODOLOGY FOR INDICATOR 7

1. METHODOLOGICAL APPROACH

The proposed questionnaire contains five questions corresponding to the five elements confirmed as building blocks for the existence of regular, transparent and inclusive mutual assessments for enhanced accountability:

Element 1. A policy framework for development co-operation and multi-stakeholder partnerships

Question 1 assesses whether the partner country has a development co-operation or partnership policy in place, (either standalone or as part of a country's broader development plan or strategy) that guides development co-operation and partnerships, including defining the roles and responsibilities of stakeholders in support of implementing national development goals in the context of SDGs.

Element 2. Country-level targets for collective accountability

Question 2 assesses whether there are specific and relevant country-level targets for effective development co-operation for both government and different development partners. It also explores whether these targets cover different modalities of development co-operation. The targets could be drawn from internationally agreed commitments or developed jointly through national processes.

Element 3. Joint assessment of progress towards development co-operation targets

Question 3 assesses the extent to which regular mutual assessments are conducted at the country level on progress made towards effective development co-operation. The exercise could either track progress towards country-level targets for development co-operation or be part of any follow-up and review processes to international commitments. Such assessments with senior level buy-in, help inform development planning and decision-making processes with evidence-based results.

Element 4. Multi-stakeholder engagement in country-level accountability mechanisms

Question 4 measures the extent to which different development actors engage in country-level mutual assessments for enhanced accountability of development co-operation. Consistent with element 3, the assessments could be undertaken either as an institutionalised process on country-level targets or prompted by global follow-up and review for internationally-agreed commitments or principles.

Element 5. Transparent mutual assessment processes

Question 5 assesses whether comprehensive results of the mutual assessments are made public in a timely manner.

Scoring Method: Overall Score

A country is considered to have a **mutual assessment review in place when at least four of the five elements are in place**. Each element is addressed by a question and each question contains a 4-level scale reflecting progressive degrees of quality of mutual assessments. Respondents answer by choosing the level in the scale that best matches the situation in the country for that specific question/element. The different levels take into account country context and the breadth of country level mutual accountability mechanisms, in the context of SDGs. **An element is considered in place when the country situation is best described by Level 3 or Level 4.**

2. PROPOSED QUESTIONNAIRE

2.1. Questionnaire overview

Q1. To what extent is there a quality policy framework in place to guide development co-operation and partnerships?

Q2. Are there specific country-level targets for effective development co-operation for the government and for the different development partners?

Q3. To what extent have the government and its development partners carried out joint regular assessment of development co-operation targets at senior level?

Q4. To what extent have other development actors been involved in mutual assessments?

Q5. How soon are the results of such assessments typically made available to the public?

2.2. How will it look to participants?

SURVEY TOOL: INTERACTIVE QUESTIONNAIRE

Q1. To what extent is a quality policy framework in place to guide development co-operation and partnerships?

Step 1

L1. No policy framework for development co-operation and multi-stakeholder partnerships.	**L2.** There is a **policy framework** that only covers some segments of development co-operation and multi-stakeholder partnerships.
L3. There is a **policy framework** defining some roles and responsibilities in development co-operation but could be strengthened to be more inclusive.	**L4.** There is an **inclusive policy framework** defining the roles and responsibilities of all types of development stakeholders in development co-operation and inclusive of different types of development finance.

Click to read the characteristics of practice that help you to answer the question

Step 2

Q1. To what extent is a quality policy framework in place to guide development co-operation and partnerships?

Characteristics of good practice
* There is policy guidance defining the roles and responsibilities of **official** development stakeholders (bilateral DAC, other official bilateral partners multilateral organisations, and) and few **non-governmental development stakeholder** (e.g. civil society organisations, private sector, foundations).

* The policy framework could be either a standalone policy or part of the country's development strategy for implementing national development priorities.

L1. No policy framework for development co-operation and multi-stakeholder partnerships.	**L2.** There is a **policy framework** that only covers some segments of development co-operation and multi-stakeholder partnerships.
L3. There is a **policy framework** defining some roles and responsibilities in development co-operation but could be strengthened to be more inclusive.	**L4.** There is an **inclusive policy framework** defining the roles and responsibilities of all types of development stakeholders in development co-operation and inclusive of different types of development finance.

Characteristics of good practice
* There is policy guidance on the roles and responsibilities of **official development stakeholders** (bilateral DAC, other official bilateral partners, multilateral organisations).

* The policy framework could be either a standalone policy or part of the country's development strategy for implementing national development priorities.

Q1. To what extent is a quality policy framework in place to guide development co-operation and partnerships?

Step 3

L1. No policy framework for development co-operation and multi-stakeholder partnerships.	**L2.** There is a **policy framework** that only covers some segments of development co-operation and multi-stakeholder partnerships.
L3. There is a **policy framework** defining some roles and responsibilities in development co-operation but could be strengthened to be more inclusive.	**L4.** There is an **inclusive policy framework** defining the roles and responsibilities of all types of development stakeholders in development co-operation and inclusive of different types of development finance.

Choose your answer

Go to next question!

Q2. Are there specific country-level targets for effective development co-operation for partner country government and partners engaged in different modalities of development co-operation?

Step 4

L1. No country-level targets for effective development co-operation	**L2.** There are **country-level targets but no specific targets** for individual development partners
L3. There are **specific country-level targets** for effective development co-operation.	**L4.** There are **specific country-level targets** for effective development co-operation and uptake of such targets respond to the effectiveness of all types of development co-operation or multi-stakeholder partnerships.

2.3. Detailed questionnaire (including scales)

The characteristics of practice helping to guide the responses below can be found here.

Q1. To what extent is there a quality policy framework in place to guide development co-operation and partnerships? [Yes | No]

Level 1	*Level 2*
There is **no overarching policy framework** for development co-operation and multi-stakeholder partnerships.	There is a **policy framework** but the coverage of development co-operation and multi-stakeholder partnerships is **limited**.
Level 3	*Level 4*
There is a **policy framework** defining some **roles and responsibilities** in development co-operation, but **could be more inclusive** of other development stakeholders or types of development finance.	There is an **inclusive policy framework** defining the **roles and responsibilities** of **most types of stakeholders** in development co-operation and covering **multiple types of development finance**.

Stakeholders for which there is policy guidance
(please check all that apply):
- ❑ Bilateral development partners
- ❑ Multilateral organisations & development banks
- ❑ South-South co-operation partners
- ❑ Civil society organisations and NGOs
- ❑ Private sector
- ❑ Foundations
- ❑ Trade unions
- ❑ Parliamentarians
- ❑ Local governments

Types of development finance identified by the policy
(please check all that apply):
- ❑ Grants (ODA)
- ❑ Concessional loans (ODA)
- ❑ Non concessional loans
- ❑ South-South and/or Triangular Co-operation
- ❑ Blended Finance or impact investment vehicles
- ❑ Domestic revenue and taxes
- ❑ Foreign Direct Investment
- ❑ Remittances
- ❑ Other: ………

Q2. Are there specific country-level targets for effective development co-operation for the government and for the different development partners? [Yes | No]

Level 1	*Level 2*
No country-level targets for effective development co-operation.	There are **country-level targets but no specific targets** for development partners.
Level 3	*Level 4*
There are **country-level targets.** There are **specific targets for some** development partners.	There are **country-level targets.** There are **specific targets for most** development partners.

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

Q3. To what extent have the government and its development partners carried out joint regular assessment of development co-operation targets at senior level? [Yes | No]

Level 1	*Level 2*
No mutual assessment towards the development co-operation targets.	There has been **ad hoc mutual assessment(s)** towards development co-operation targets prompted by global processes.
Level 3	*Level 4*
There has been **regular mutual assessment(s)** of progress towards the development co-operation targets.	There has been **regular mutual assessment(s)** of progress that are **embedded** in the government's regular development planning and monitoring process.

In the context of national SDG follow-up and review, do the above assessments (if any) contribute to the reviews of progress listed below? (Please check all that apply)
- ❑ Domestic country reporting on the Sustainable Development Goals
- ❑ Voluntary National Reviews submitted to the UN High-Level Political Forum
- ❑ Other ………

Q4. To what extent have other development actors been involved in mutual assessments? [Yes | No]

Level 1	Level 2
No other actors have been involved in mutual assessments conducted by the national government.	**Only national government and official development partners** but **no other actors have not been involved** in mutual assessments.
Level 3	Level 4
Some other actors have been involved in assessments conducted by the national government and official development partners.	**Most other actors** have been involved in assessments conducted by the national government and official development partners.

Actors beyond the government that are involved in joint assessments (please check all that apply):

- ❑ Official development partners
- ❑ Civil society organisations
- ❑ Private sector
- ❑ Foundations
- ❑ Trade unions

- ❑ Parliament / Legislative body
- ❑ Local governments
- ❑ Academia
- ❑ Media / Journalists
- ❑ Others: […………….]

Q5. How soon are the results of such assessments typically made available to the public? [Yes | No]

Level 1	Level 2
Results of the mutual assessments are **usually not available to the public**.	Results of the mutual assessments are **usually** made available to the public **more than a year later.**
Level 3	Level 4
Results of the mutual assessments are **usually** made available to the public **within the year.**	Results of the mutual assessments are **regularly** made available to the public **within the year**.

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

To inform refinement of the mutual accountability indicator, the OECD-UNDP Joint Support Team has undertaken desk review to identify main challenges associated with implementing country-level accountability mechanisms in the context of the *2030 Agenda* and *Addis Ababa Action Agenda* as well as key elements of strengthening effectiveness and relevance of national accountability mechanisms. This note synthesizes the findings of the desk review,[6] drawing on the following documentations/information: lessons learned from the 2016 monitoring round, technical concept note "Refining the Global Partnership Monitoring Framework for 2030", recommendations from the Monitoring Advisory Group (MAG), the DCF Accountability Survey and other analytical work on accountability and development effectiveness.

Key challenges in establishing/strengthening country-level accountability mechanisms

National accountability mechanisms need to reflect the evolving development co-operation landscape. The established mutual accountability structures were mainly based on traditional concepts of development assistance, but the 2030 Agenda calls for a paradigm shift in taking a whole-of-government and whole-of-society approach to development effectiveness. A broader notion of accountability is emerging[7]. For instance, there is a need to expand the scope of accountability mechanisms beyond the binary relationship between countries and traditional development partners.

However, although 80% of countries participating in the 2016 monitoring round of the Global Partnership have a national development co-operation or partnership policy in place, it was not clear whether the policy recognises the different forms and modalities of development co-operation that are being implemented.

Country context and typology play an essential role in determining the usefulness of the mutual accountability mechanism in responding to the needs and priorities of domestic institutions and citizens. Feedback from the 2016 monitoring round suggests that middle income countries (MICs) particularly struggle to fit the mutual accountability framework within the parameters of traditional development assistance. With diminishing reliance on Official Development Assistance (ODA), MICs are managing an increasingly complex mix of development finance flows in light of significant growth in volume, diverse types of financing instruments available for sustainable development and interest in attracting Foreign Direct investment (FDI). These factors pose important implications to accountability mechanisms within these country contexts. On the other hand, low-income and lower-middle income countries face a different set of challenges in building respective national mutual accountability processes that are relevant to their development models and partnerships.

The DCF Accountability survey indicates low income and least-developed countries (LDCs) seek development co-operation policies that recognize the importance of ODA in national budgets, thus the relevance of an aid or partnership policy that defines a country's development co-operation priorities remains. However, for MICs, a development co-operation policy entails taking a broadened approach to development co-operation that aims at creating synergies and maintaining strong collaborative relationships with stakeholders, focusing more on defining roles, responsibilities and relationships between different stakeholders in terms of their contribution to national sustainable

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[6] A complete list of referenced documents is included in the References section.
[7] UNDESA, *National Mutual Accountability and Transparency in Development Co-operation* (2016).

development goals. As such, there may not be a stand-alone aid or partnership policy that defines specific development co-operation priorities.

Emerging approaches to strengthening accountability in MICs can provide important lessons to low income and lower-middle income countries, but they need to be analysed and adapted to fit for country context and development priority. According to the DCF Survey, there is Development Co-operation Strategy capturing the diversity of modalities and sources at the country level. Such policy framework calls for all partners to engage in different sources of finance, including domestic resources such as taxation, South-South and Triangular co-operation, private investment, philanthropic finance, among others.[8]

The need for systemic change in operationalising accountability and results frameworks to achieve efficiency and effectiveness. The 2015 DCF Accountability Survey recognised the wide existence of national development co-operation policies (in 90% of the 58 participating countries), but challenges remain in the operationalisation of such policies and mechanisms. Findings from a two-year pilot study of the Global Partnership Initiative (GPI) on Results and Mutual Accountability point to the lacking institutional structures for effective coordination across sectors and vertically between national and local actors.[1] Other operational challenges include, for example, parallel systems and reporting burdens undermining government-led assessment review, when traditional development partners' corporate policies discourage use of country systems.

Similarly, according to a 2016 OECD DAC peer learning exercise conducted in Burkina Faso, Timor-Leste and Togo[9], aid or partnership policies need to be more closely integrated with national development strategies, including budgets and results frameworks to truly contribute to more effective management of development co-operation. The achievement of development results, through direct changes on the ground, demonstrates the added value of development co-operation and in turn provides a positive incentive and basis for mutual accountability and transparency. While goals and targets for national governments have been largely developed as part of the country results frameworks, there is a lack of targets for individual development partners and stakeholders in national development co-operation policies and/or partnership frameworks. In order to develop clear institutional structures that feed into meaningful accountability, development partners' **target-setting should be linked with country results frameworks to create pragmatic incentive for strategic dialogue, partnership and co-ordination between governments and development partners.**

Mutual accountability reviews need to be more inclusive and transparent. According to results of the 2016 monitoring exercise, more than two-thirds of the 81 participating countries are conducting mutual accountability reviews to track progress in development co-operation.[10] However, limited progress has been made in the areas of inclusivity and transparency, especially the involvement of local governments, parliamentarians and other stakeholders in mutual assessments as well as making results of such reviews publicly available. Results of the 2015 Development Co-operation Forum (DCF) Accountability Survey indicated local governments were less likely to be consulted in the design and implementation of development co-operation or partnership policies and received less capacity development support than national line ministries. It also pointed out that citizen's engagement in monitoring and follow-up is also an area where sufficient attention is needed. Only few surveyed countries saw the role of citizens in monitoring and follow-up, encouraging access of

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[8] UNDESA, National Mutual Accountability and Transparency in Development Co-operation (2016).
[9] OECD, 'Going beyond the rhetoric: Mutual accountability in practice. Peer learning exercise on mutual accountability.' (2017).
[10] GPEDC, Making Development Co-operation More Effective: 2016 Progress Report (2016).

relevant development co-operation information to promote their roles in accountability mechanisms[11].

Institutional capacity for results-based monitoring and evaluation. Having high quality, reliable and publicly-accessible data is contingent upon several aspects of institutional support: skilled monitoring and evaluation personnel in national coordination units; concrete country results frameworks that generate quality information on development co-operation; development co-operation information systems that are accessible by a broad range of stakeholders, including the general public; institutional oversight from national parliaments; and availability of adequate financial resources for the implementation of accountability and transparency systems.

In fragile and conflict affected states, joint reviews of progress towards development co-operation targets, as an integral part of the accountability mechanism, are oftentimes restricted to capacity constraint and prioritisation of more urgent post-conflict recovery needs. Institutional challenges cannot be addressed in the refinement of the indicator but are important factors contributing to the quality of the accountability mechanism at country level.

Lastly but not least, progress in mutual accountability and transparency in development co-operation cannot occur in isolation of wider public sector reforms. Political leadership and development partners' commitment in the development co-operation agenda are equally important in building effective mutual accountability systems and processes.

The UN process has established several principles guiding follow-up and review of progress in implementing the Sustainable Development Goals and targets, enhancing accountability for achieving the 2030 Agenda. In particular, voluntary, country-led and multi-stakeholder 'regular reviews' that 'build on existing platforms and processes, where these exist' were called for as a crucial part of the follow-up and implementation of the SDGs.[12] These characteristics can inform the ways in which to further strengthen country-level accountability mechanisms.

<u>**Elements of strengthened national accountability mechanisms**</u>

In the context of the 2030 Agenda and evolving co-operation landscape at global, regional and national level, a broader notion of accountability is emerging. The concept of a collective accountability reflects the increasingly diverse development landscape and contributions of multiple development partners to achieving the SDGs. At the same time, the importance of development co-operation stakeholders to follow through with their commitments remains, and will require a granular approach to strengthening national accountability mechanisms. This section outlines key emerging elements that should be considered in strengthening national accountability mechanisms, therefore, in refining the indicator measurement approach on accountability.

1. What elements contribute to strong policy framework for development co-operation and accountability?

Whether the policy is a standalone document or part of the national development strategy/implementation framework, the existence of a policy framework for development co-operation and multi-stakeholder partnership provides a strong foundation for effective accountability mechanisms. Such a framework defines roles, responsibilities and relationships between different stakeholders (including parliaments, local governments, private sector, civil

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[11] The UN Development Co-operation Forum (DCF), <u>National Mutual Accountability and Transparency in Development Co-operation. Study on the findings of the Fourth DCF Survey</u>. UN-DESA (2016).
[12] United Nations. <u>A/RES/70/1 - Transforming our world: the 2030 Agenda for Sustainable Development</u>. (2015).

society organisations, as well as development co-operation partners) in terms of their contribution to national sustainable development goals, recognising the different forms and modalities of development co-operation, and also clarifies the institutional arrangements for promoting stakeholder engagement and accountability.

Taking a context-based approach to formulating or updating a policy framework for development co-operation and accountability that are aligned with national development strategies, is crucial for building strong mutual accountability mechanisms. Moreover, ensuring the policy is guided by parliamentary oversight will contribute to domestic accountability and institutional coherence.

2. What factors enhance country-level target-setting for effective development co-operation?

Clear country-level targets that are relevant to national priorities provide strategic direction for all development stakeholders, including governments and development partners, in implementing the effective co-operation commitments. The 2015 DCF Accountability Survey pointed out that although partnerships between developing countries and their development partners are often unequal, good mutual accountability frameworks can provide scope for countries to negotiate a better deal and for their partners to align their activities better with country priorities. Past monitoring results point to the challenges countries are facing in ensuring the quality of mutual assessment reviews, such as difficulty in operationalising accountability and results frameworks and limited use of results to inform different stages of decision making at global, national and sectoral levels.

In strengthening the effectiveness of mutual accountability/assessment reviews, it is encouraged to set country-level targets jointly that operationalize the roles and responsibilities of development stakeholders in terms of their contribution to national and/or sector development results and differentiated application of effectiveness principles based on their roles and responsibilities. Such target setting, linked with country results framework (at sectoral and/or national level) can create pragmatic inventive for strategic dialogue, partnership and co-operation among all stakeholders.

3. How to strengthen mutual assessment of progress?

Regular mutual assessment of progress creates space for continuous dialogue between government and development partners and feeds into national planning and monitoring and evaluation mechanisms. The 2016 monitoring round only collected information on whether countries have conducted mutual assessments in the past two years. However, in order to address the systemic changes needed in operationalising accountability linked to country-results framework, joint/mutual assessment should be regularly conducted as part of the national development planning and coordination processes.

Against the backdrop of the 2030 Agenda, synergies could be explored between accountability for development co-operation and 'global accountability' under the 2030 Agenda. Mutual assessment reviews of progress in development co-operation and partnerships could effectively feed into government planning and decision-making for sustainable development.

4. What elements are needed for inclusive mutual assessment reviews?

Multi-stakeholder development co-operation dialogue provides the platform for reviewing progress and challenges in implementing the effectiveness principles and to share innovative solutions and good practices at the country level. As echoed in the effectiveness principles and recent policy discussions, multi-stakeholder partnerships, inclusive of state or non-state

development partners, through different development co-operation modalities, regardless of North-South or South-South, is a key enabler to achieving the SDGs. To this end, creating space for inclusive multi-stakeholder policy dialogue that reviews progress and challenges in effective co-operation will incentivise a wide range of development stakeholders for reciprocal and peer-learning on their contributions to implementing national sustainable development goals and the 2030 Agenda.

The existence of national multi-stakeholder dialogue and networks for strategic level planning and review is crucial to more robust national accountability mechanisms. In the 2016 monitoring round, indicator 7 broadly measured whether other stakeholders have been actively involved in assessment reviews. This provides a basis for further assessing the types of involvement, quality and institutionalisation of such mechanisms.

5. What elements contribute to a more transparent mutual assessment review?

Results of mutual accountability reviews are made publicly available in a timely manner. Having regular, timely and comprehensive data on development co-operation is a precondition for building trust and meaningful accountability. As countries build institutional mechanisms for managing and sharing information on development resources, it is important to synchronise this effort with relevant policy frameworks for partnership and development co-operation, under the accountability mechanism. Some governments are already steps ahead in developing Aid Information Management Systems (AIMS) modules that enable monitoring and reporting on the development effectiveness indicators,[13] such modules and systems could be more closely linked with the accountability review processes to make the information available timely and induce peer pressure among development partners. Furthermore, the functionality of existing management information systems (MIS) could be strengthened through the availability of comprehensive information on development co-operation, especially when they reflect the national planning, budgeting and monitoring process.

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[13] UNDP, 'Making Development Finance Management Information Systems Work for the Evolving Development Co-operation Landscape.' (forthcoming).

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