



## **Principles Monitoring Plan**

*Proposed Methodology for Monitoring the Principles for Good International Engagement in Fragile States and Situations*

This paper aims to provide a minimum common methodology for the seven countries monitoring implementation of the Principles (Afghanistan, Central African Republic, Cote d'Ivoire, Democratic Republic of Congo, Haiti, Sierra Leone, and Timor-Leste), to which each country can choose to add if and as needed.

This monitoring plan was prepared by the DRC and by the OECD DAC Secretariat, based on (i) the discussions at the preparatory meetings, (ii) comments received on the first draft, and (iii) the first consultative meeting which took place in Timor-Leste on 2-3 March 2009.

This final version is submitted to the "Group of Seven" and to international actors engaged in these countries, for their reference. It will be used for the consultative meetings in May-June 2009.

It will be revised at the end of 2009 to incorporate lessons learned.

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## BACKGROUND: THE FRAGILE STATES PRINCIPLES

**1. Fragile and conflict-affected states.** While many countries are making progress towards achieving the Millennium Development Goals, a group of countries is falling behind. This is where one out of the world's six billion people live, but where half of the world's children die before the age of five and one third of all people surviving on less than 1 \$ per day live. About 35 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 achieve turnaround.

**2. The Principles for Good International Engagement in Fragile States.** This has led to the adoption, in April 2007, of a set of DAC *Principles for Good International Engagement in Fragile States and Situations* ("the Principles") by OECD Ministers. Originally drafted in 2005, they were tested in nine fragile states over 2005-2006<sup>1</sup> and revised. 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 are a point of reference in most donor policies or position papers on fragile states<sup>2</sup> and have started to catalyze behaviour change among international actors.

**3. A whole-of-government lens.** The Principles are meant to guide international engagement in fragile states as a whole, including security, diplomacy, development cooperation, state institutions and state-society relations, peacebuilding, humanitarian action, and economic affairs. They aim to complement and inform the commitments set out in the 2005 Paris Declaration on Aid Effectiveness which notes the need to adapt and apply aid effectiveness principles to differing country situations, particularly fragile states<sup>3</sup>.

## PURPOSE

**4. A commitment by seven fragile states.** In September 2008, ministers, heads of development agencies and civil society organisations from around the world have gathered in Accra for the Third High-Level Forum on Aid Effectiveness. Their common objective was to help developing countries and marginalised people in their fight against poverty by making aid more transparent, accountable and results-oriented. The issue of improved aid effectiveness in the most challenging contexts has received particular attention, and a constituency of a dozen fragile states has emerged. They have identified two priorities: first, "*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>, and second, to launch a dialogue on peacebuilding and state building.

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<sup>1</sup> Two of these countries are part of the monitoring survey in 2009: Democratic Republic of Congo: facilitated by Belgium; and Haiti, facilitated by Canada. The pilots have illuminated country-specific issues for each of the ten Principles and will directly feed into the country-level dialogue on the Principles.

<sup>2</sup> These include: French Position Paper on Fragile States and Situations (2007), BMZ Development-oriented transformation in conditions of fragile statehood and poor government performance (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 (2007), World Bank Strengthening the World Bank's Rapid Response and Long-Term Engagement in Fragile States (2007) and Operational approaches and financing in Fragile States (2007); African Development Bank Enhanced Engagement in Fragile States (2008).

<sup>3</sup> (paras. 7; 37-39)

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

Afghanistan, CAR, DRC, Haiti, Sierra Leone and Timor-Leste have requested to take part in round one of monitoring the Principles (2009), joined in February 2009 by Cote d'Ivoire<sup>5</sup>.

**5. Objectives.** Besides responding to partner countries' request to use the Principles to monitor the performance of the international community over time, the objectives of the monitoring are to:

- Stimulate multistakeholder dialogue at country-level on the extent to which each Principle is applied and with what impact, and identify priorities for improved impact of international engagement.
- Provide evidence of progress in the collective implementation of the Principles,
- Provide incentives for international actors to implement the Principles, through a visible, partner-led and transparent process of reporting on their implementation.

**6. The outputs** from monitoring the Principles (two rounds, in 2009 and 2011) will be:

- **Country Reports** in 2009 and 2011 ( 25-35 pages each)
  - Country Reports provide a picture of areas of progress and bottlenecks in each participating country to feed into country-level planning.
  - Each Country Report will be (i) drafted on the basis of the first consultative meeting and with the support of a consultant, as needed; (ii) validated in a second consultative meeting, and (iii) published by the OECD.
  - The 2011 Country Reports will be published as part of the package presented at the Fourth High Level Forum on Aid Effectiveness in late 2011.
- **A Global Progress Report** in 2009 and 2011 (about 25 pages)
  - Global Progress Reports summarise findings from the Country Reports and provide global recommendations for consideration by the international community.
  - Global Progress Reports will be prepared by the OECD on the basis of the Country Reports.
  - The 2011 Global Progress Report will also be published as part of the package presented at the Fourth High Level Forum on Aid Effectiveness in late 2011.
- **A short report on lessons learned** at the end of 2009 and 2011 (about 2 pages):
  - Lessons learned on the process will be drawn by the OECD with the National Coordinators and international focal points.

## SCOPE AND FOCUS

**7. The Principles** are meant to guide **international engagement in fragile states as a whole**, including security, diplomacy, development cooperation, state institutions and state-society relations, peacebuilding, humanitarian action, and economic affairs: Monitoring the Principles will have to cover all these dimensions.

**8. All the Principles will be considered:** The Principles were piloted over 2005-2006 in nine fragile states and none were deemed irrelevant. On the contrary, there were in general seen as a coherent whole. However, each country discussions will focus on the Principles that are the most useful or challenging in their context.

**9. Measuring inputs and measuring impact:** The Principles are about *how* international actors should engage in fragile states and situations. At the same time, in many fragile states, there is a commonly agreed framework with common overarching goals<sup>6</sup>. As a result, in the continuum

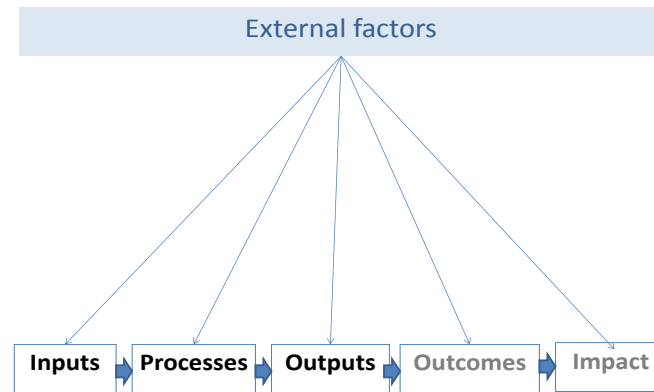
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<sup>5</sup> Letter from the Minister of Planning and Development, 19 February 2009.

<sup>6</sup> This has to be explored further but cases where there is no consensus as to the desired outcomes seem to be the exception rather than the norm in the seven countries being considered. For example, there is the Afghan National Development Strategy (2008-2013), the *Plan d'Actions Prioritaires* in DRC, the *Document stratégique National pour la Croissance et*

illustrated below (Box 1), monitoring the Principles will focus equally on (i) on processes and inputs and (ii) progress towards each country’s common overarching goals, where there is consensus around them. For each Principle, the question which will be asked will be: **“To what extent does international engagement accord with this Principle, and with what impact?”**

**Box 1. The inputs to impact continuum**



**10. Data will be primarily qualitative.**

- The consultative meetings will allow for **an open exchange of views** on implementation of each of the Principle and its impact. A qualitative and in-depth dialogue will allow discussing each context’s own specificities and dynamics and can explain how certain paths and options have been preferred.
- The discussions will be synthesised in the Country Reports. The consultative meeting will be an **opportunity to build consensus** on progress towards improved impact and remaining bottlenecks, but in a number of cases there will be diverging views and these will, too, be reflected in the Country Reports.
- Each Principle will be *illustrated* by a limited number of indicators. The Country Reports will include the indicators as an illustration, and in no way as a comprehensive measure of implementation of a given Principle<sup>7</sup>.

**11. Monitoring the Principles is a participatory process.** The modalities for participation will be defined in each country, but as a principle, all main stakeholders (government representatives, civil society, members of Parliament, international actors, regional actors, implementing partners...) would participate in (i) adapting the Principles Monitoring Plan to each country context; (ii) providing input into the Country Report and validating it, and (iii) disseminating the results of the 2009 Round.

**12. Monitoring the Principles will gauge the collective engagement** of all participating international actors.

- While the qualitative discussions can highlight good and bad practice, they are not meant to gauge the engagement of international actors individually.
- When the level of harmonization is not high, the different approaches can be analysed in turn<sup>8</sup>.

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*la Réduction de la. Pauvreté* in Haïti (2007-2011), the Poverty Reduction Strategy Paper (2009) in Sierra Leone, and the National Priorities (2008) in Timor-Leste.

<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 local priorities in different ways in different contexts”.

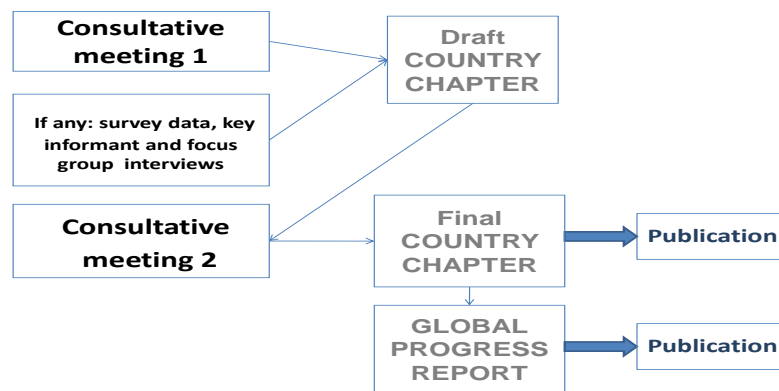
**13. Monitoring the Principles must build on existing processes** whenever possible, rather than be a separate process creating a heavy burden on constrained capacity. For example, integrated frameworks, where they exist, can provide the goals against which to gauge progress (such as the Afghan National Development Strategy or the DRC *Plan d'Actions Prioritaires*). Data for some of the illustrative indicators can be collected by existing processes, *e.g.* monitoring an existing integrated planning framework, or the Paris Declaration Monitoring Survey. These data sources will have to be identified at the outset in each country, to avoid duplications.

**IN PRACTICE**

**14.** The monitoring process was agreed at a meeting of the group of seven participating countries on 2 December: It is a **qualitative, participatory and iterative process**, consisting of a series of two consultative meetings in each country (see Chart 1).

- Consultative meetings bring together
  - national actors (government, from across ministries and possibly from subnational levels; members of Parliament and civil society organisations);
  - international actors (development, diplomacy, security and as pertinent beyond);
  - regional actors (as pertinent).
- The first consultative meeting will provide the basis for the draft Country Report. The draft Country Report will be validated at the second consultative meeting.
- There will be two rounds: one in 2009, and one in 2011 to coincide with the third round of the Paris Declaration Monitoring Survey.

**Chart 1. A qualitative, participatory and iterative process**



**15. Individual countries can decide to complement this basic process as needed**, with a light questionnaire, key informants interviews, focus group interviews, desk studies, a perception survey, or additional consultations, such as with civil society or at district-level. This has to be decided at country-level before or at the first consultative meeting.

**16.** Boxes 2 and 3 below describe the roles and responsibilities of the National Coordinator and of the International Focal Point.

**Box 2: The National Coordinator<sup>9</sup>**

<sup>8</sup> For example, in some contexts, one set of international actors may support stabilisation and focus on state capacity, while another may focus on longer-term peacebuilding; there are also contexts where different sets of international actors engage with different sets of national counterparts (*e.g.* government vs. civil society); etc.

<sup>9</sup> As of 13 February 2009, all seven countries had appointed their National Coordinator.

**A National Coordinator** appointed especially for this exercise by his/her government manages the Principles monitoring at the country level. Where appropriate, he/she is assisted by an International Focal Point.

The role of the National Coordinator is to manage the 2009 Round in a timely and transparent manner. In particular:

- Convene the consultative meetings.
- Ensure that national stakeholders (government across ministries; Parliament, civil society...) and international actors are fully informed and take part in the 2009 Round.
- Mobilise financial and human resources.
- Ensure quality control of the Country Report including the illustrative indicators.

Submit the draft Country Report to the OECD Secretariat for analysis by **30 June 2009**, at the latest. Draft Country Reports should be sent to [fsprinciples@oecd.org](mailto:fsprinciples@oecd.org).

### **Box 3: The International Focal Point<sup>10</sup>**

National Coordinators can decide to appoint an international partner (e.g. donor country or international organisation), to assist and support the National Coordinator in managing the 2009 Round.

The main role of the **International Focal Point** is to

- Assist the National Coordinator in informing international actors in-country about monitoring the Principles and ensuring their participation.
- The International Focal Point assists the National Coordinator in identifying the stakeholders participating in the consultative meetings (e.g. civil society actors; subnational levels of government; regional actors; diasporas).
- In conjunction with the OECD Secretariat, the International Focal Point will also help the National Coordinator mobilise the financial or human resources that are needed to manage the 2009 Round in a timely way, for example for the organisation of the consultative meetings, the drafting of the Country Report or its dissemination.

In many countries, the International Focal Point is typically the lead coordinator of international assistance, or one of the main providers of assistance.

**17. The milestones** described below (see Table 1) are presented to help guide National Coordinators and International Focal Points organise the Monitoring. They should be adapted to country contexts to take into account any existing processes the Monitoring can build on. In due course they should also take into account linkages with the third round of the Paris Declaration Monitoring Survey (2011) and the International Dialogue on state building and peace building objectives also agreed at Accra.

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<sup>10</sup> As of 17 April, the international focal point has been identified in Afghanistan, DRC, Haiti, Sierra Leone and Timor-Leste. Discussions are ongoing in CAR and Cote d'Ivoire.

**Table 1. Milestones 2009-2011**

<b>ROUND ONE: 2009</b>		
<b>1. PARTICIPATION</b>	Countries decide if they want to be part of the 2009 round.	Dec. 08
<b>2. MONITORING PLAN PREPARED</b>	The Principles Monitoring Plan is developed by the DRC with the OECD DAC Secretariat with inputs from the Group of Seven and international partners.	Jan. 09
<b>3. MONITORING PLAN REVISED</b>	The Monitoring Plan is revised based on comments received from the seven participating countries and international actors (at HQ and from the field).	Feb. 09
<b>4. MONITORING LAUNCH: FIRST CONSULTATIVE MEETING</b>	The National Coordinator convenes a meeting with government representatives, international actors and relevant civil society organisations for a substantive dialogue on progress and bottlenecks in implementing the Principles and the resulting impact.	Between March-June 09
<b>5. DATA FOR ILLUSTRATIVE INDICATORS GATHERED</b>	Data for the illustrative indicators are gathered by the National Coordinator, with support from the International Focal Point. The quality and accuracy of data is controlled collectively under the supervision of the National Coordinator.	Between March-June 09
<b>6. COUNTRY REPORT DRAFTED AND SUBMITTED</b>	The National Coordinator supervises the preparation of the Country Report, in most cases by a Consultant, based on the first consultative meeting and the illustrative indicators.  The National Coordinator submits the 1 <sup>st</sup> draft Country Report to the OECD Secretariat ( <a href="mailto:fsprinciples@oecd.org">fsprinciples@oecd.org</a> ) by <b>30 June 2009</b> at the latest.	May-June 09
<b>7. ITERATIONS OF COUNTRY REPORT</b>	Iterations between the National Coordinator and the main national and international stakeholders, the OECD and the Consultant, with second draft to the OECD Secretariat ( <a href="mailto:fsprinciples@oecd.org">fsprinciples@oecd.org</a> ) by <b>15 August</b> .	July-August 09
<b>8. SECOND CONSULTATIVE MEETING</b>	The National Coordinator convenes a meeting with government and international representatives to review the draft Country Report and submit changes to the OECD.  In light of comments, the OECD finalises and publishes the Country Report, a basis for encouraging reform <i>at country level</i> .	Sept. 09
<b>9. GLOBAL PROGRESS REPORT DRAFTED</b>	Based on the Country Reports, the OECD Secretariat prepares a Global Progress Report, a basis for encouraging reform <i>at the global level</i> .	Oct. 09
<b>10. LESSONS LEARNED</b>	The Group of Seven meets to take stock of Round 1.  The OECD Secretariat with the National Coordinator, international focal points and consultants prepares a short note on lessons learned on the process that will inform the 2011 round.	Nov.09

<b>ROUND TWO: 2011<sup>11</sup></b>		
<b>1. METHODOLOGY REFINED</b>	The Monitoring Plan is refined in light of the piloting exercise in 2009 and coordinated with the 3 <sup>rd</sup> round of the Paris Declaration Monitoring Survey as details are made available.	February 2010
<b>2. PARTICIPATION</b>	Countries decide if they want to be part of the 2011 round: participation, approach and practicalities	November 2010
<b>3. MONITORING LAUNCH: FIRST CONSULTATIVE MEETING</b>	The National Coordinator convenes a meeting with government representatives, international actors and relevant civil society organisations for a substantive dialogue on progress and bottlenecks in implementing the Principles and the resulting impact.	February 2011
<b>4. DATA FOR ILLUSTRATIVE INDICATORS GATHERED</b>	Data for the illustrative indicators are gathered by the National Coordinator, with support from the International Focal Point. The quality and accuracy of data is controlled collectively under the supervision of the National Coordinator.	March 2011
<b>5. COUNTRY REPORT DRAFTED AND SUBMITTED</b>	<p>The National Coordinator supervises the preparation of the Country Report, based on the first consultative meeting and the illustrative indicators. In the case where there is already a baseline available, the Country Report assesses progress made since the baseline.</p> <p>The National Coordinator submits the draft Country Report to the OECD Secretariat (<a href="mailto:fsprinciples@oecd.org">fsprinciples@oecd.org</a>) by <b>30 June 2011</b> at the latest.</p>	April-May 2011
<b>6. ITERATIONS OF COUNTRY REPORT</b>	Iterations between the National Coordinator and the main national and international stakeholders, the OECD and the Consultant, with second draft to the OECD Secretariat ( <a href="mailto:fsprinciples@oecd.org">fsprinciples@oecd.org</a> ) by <b>15 August 2011</b> .	July-August 09
<b>7. SECOND CONSULTATIVE MEETING</b>	<p>The National Coordinator convenes a meeting with government and international representatives to review the draft Country Report and submit changes to the OECD.</p> <p>In light of comments, the OECD finalises and publishes the Country Report, a basis for encouraging reform <i>at country level</i>.</p>	July 2011
<b>8. GLOBAL PROGRESS REPORT DRAFTED</b>	The OECD Secretariat prepares a Global Progress Report to inform the <u>4th High Level Forum on Aid Effectiveness (December 2011, tbc)</u> , and provides a basis for encouraging reform <i>at the global level</i> .	September 2011
<b>9. LESSONS LEARNED</b>	The Group of Seven meets at <u>4th High Level Forum on Aid Effectiveness</u> to take stock of the monitoring of the Principles. The OECD Secretariat with the National Coordinator, international focal points and consultants prepares a short note on lessons learned on the process.	December 2011

<sup>11</sup> This provisional timeline is provided for planning purposes. It will have to be adjusted based on the experience of round 1 and take into account the timeline for related processes, such as country-level processes (national dialogues, global compacts), the Paris Declaration Monitoring Survey, the international dialogue on peace building and state building, and the EU pilots on fragility.

**18. An OECD Help Desk** will provide real-time support to National Coordinators and International Focal Points throughout 2009-2011. The Help Desk will serve as a first port of call on technical and process issues related to the 2009 Round, particularly on clarifying definitions and indicators. The Help Desk will respond to requests in a timely manner. In addition, the dedicated website at [www.oecd.org/fsprinciples](http://www.oecd.org/fsprinciples) serves as repository of information and experience.

Please send your questions on monitoring the Principles to: [fsprinciples@oecd.org](mailto:fsprinciples@oecd.org) or contact:

■ **OECD Secretariat**  
**Juana de Catheu**  
**Tel. (+33-1) 45 24 15 23**

**QUESTIONS, GUIDANCE QUESTIONS AND ILLUSTRATIVE INDICATORS<sup>12</sup>**

19. Consultative meetings will **review Principles one by one**. Discussions of each Principle can:
1. Begin with an agreement on the terms used, for example using the definitions in Annex III.
  2. Continue with a moderated discussion to answer the question **“To what extent does international engagement accord with the Principle or fail to respect it, and with what impact?”** In case the discussion remains too abstract, the Chairs and moderators are encouraged to use some of the guidance questions in Annex II.
  3. End with a discussion of the illustrative indicators, and any additional country-specific indicators that were agreed (see Table 2).
  4. The identification of **priority actions** to increase adherence of 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 (*as is the case for the first consultative meeting in Timor-Leste: see final agenda in Annex I*).

**Table 2. Generic structure for the discussion of each Principle**

	ITEM	OUTCOME
1	<b>Discussion of main terms</b>	<b>Agreement</b>
2	<b>To what extent does international engagement accord with the Principle or fail to respect it, and with what impact?</b> <i>+ Use of guidance questions in Annex II as needed</i>	<b>Synthesis of responses</b> by participants in the consultative meeting (Record diverging views if any: What are the main differences in understanding?)
3	<b>Illustrative indicators</b> <i>+complementary country-specific indicators, if any</i>	<b>Data</b>
4	<b>Discussion of priority actions</b>	<b>Agreement on priority actions</b>

20. The experience in fragile states is that purely quantitative indicators are not always adapted to the specificities of fragile states, and that monitoring the Principles should primarily be guided by qualitative discussions, complemented by **illustrative indicators**:

- The Country Reports will include the indicators as *an illustration*, not as a comprehensive measure of implementation of a given Principle
- The illustrative indicators will be *common across participating countries* in order to identify trends across countries and offer global recommendations. The illustrative indicators are chosen on the basis of both meaningfulness and the ease with which data can be collected without imposing a burden at country level.
- However, *these illustrative indicators can be complemented by country-specific indicators, to be decided before or at country-level* at the first consultative meeting. In most cases (six out of the

<sup>12</sup> This set of questions, guidance questions and illustrative indicators is drawn from inputs from the seven participating countries; objectives and indicators in integrated planning frameworks such as the Afghan Compact and the DRC Plan d’Actions prioritaires; inputs from members of the OECD Development Assistance Committee (DAC) and of the DAC International Network on Conflict and Fragility; and methodologies and studies relating to aid effectiveness and whole-of-government approaches in fragile states (including the Paris Declaration Monitoring Survey and the Oxford Policy Management Paper “The Paris Declaration on Aid Effectiveness: Its Applicability in Fragile Situations”, 2008).

seven countries), the illustrative indicators will be complemented by the indicators from the Paris Declaration Monitoring Survey (see Annex V).

- Table 3 below summarises the structure of the discussion for each Principle.

**Table 3. Structure for the discussion of each Principle**

**THE BASICS**

<b>PRINCIPLE 1-TAKE THE CONTEXT AS THE STARTING POINT</b>
1. Agreement on main terms
2. To what extent does international engagement “take context as a starting point” or fail to do so? With what impact? <i>Synthesis of responses by participants in the consultative meeting (Record diverging views)</i>
3. Illustrative indicator. Data source: Consultative meeting. <i>Are most international actors’ engagement based on sound political and social analysis, taking into account the situation in terms of national capacity, state-society relations and societal divisions?</i> <input type="checkbox"/> <i>Yes overall</i> <input type="checkbox"/> <i>Not consistently</i> <input type="checkbox"/> <i>No overall</i>
4. Any additional country-specific indicator
5. Priority actions

<b>PRINCIPLE 2- DO NO HARM</b>
1. Agreement on main terms
2. To what extent is the international engagement careful to “do no harm” or fails to do so? With what impact? <i>Synthesis of responses by participants in the consultative meeting (Record diverging views)</i>
3. Illustrative indicator. Data source: Consultative meeting. <i>Does international engagement benefit one population group over another or contribute to social divisions?</i> <input type="checkbox"/> <i>In some significant cases</i> <input type="checkbox"/> <i>In marginal cases</i> <input type="checkbox"/> <i>In no case</i>
4. Any additional country-specific indicator
5. Priority actions

## **THE ROLE OF STATE-BUILDING & PEACEBUILDING**

<b>PRINCIPLE 3- FOCUS ON STATE-BUILDING AS THE CENTRAL OBJECTIVE</b>
1. Agreement on main terms
2. To what extent is international engagement “recognising state building as a central objective” or failing to do so? With what impact? <i>Synthesis of responses by participants in the consultative meeting (Record diverging views)</i>
3. Illustrative indicators  <i>a) Is the army professional, balanced across social groups and does it have civilian oversight?</i> <input type="checkbox"/> <i>Yes, overall</i> <input type="checkbox"/> <i>Not yet but there is improvement</i> <input type="checkbox"/> <i>Not yet and there is no improvement</i> Data source: Consultative meeting.  <i>b) Ratio of tax revenue to gross domestic product.</i> Data source: Annual OECD report on resource flows to fragile states.  <i>c) Percent of aid disbursed focused on governance and security (average 2002-2007).</i> Data source: Annual OECD report on resource flows to fragile states.
4. Any additional country-specific indicator
5. Priority actions

<b>PRINCIPLE 4- PRIORITISE PREVENTION</b>
1. Agreement on main terms
2. To what extent does international engagement “prioritise prevention” or fail to do so? With what impact? <i>Synthesis of responses by participants in the consultative meeting (Record diverging views)</i>
3. Illustrative indicator. Data source: Consultative meeting <i>Over the past 5 years, has the international community invested in preventing future conflict and fragility:</i> <input type="checkbox"/> <i>Sufficiently and effectively</i> <input type="checkbox"/> <i>Insufficiently or not effectively</i>
4. Any additional country-specific indicator
5. Priority actions

**PRINCIPLE 5- RECOGNISE THE LINKS BETWEEN POLITICAL, SECURITY AND DEVELOPMENT OBJECTIVES**

1. Agreement on main terms
2. To what extent does international engagement “recognize the links among political, security and development objectives” or fail to do so? With what impact? <i>Synthesis of responses by participants in the consultative meeting (Record diverging views)</i>
3. Illustrative indicator <i>Percentage of assistance that aligns to an integrated multi-sector framework.</i> Data source: For development cooperation: Ministry of Planning/Finance; for security: Ministry of Defense.
4. Any additional country-specific indicator
5. Priority actions

**PRINCIPLE 6- PROMOTE NON-DISCRIMINATION AS A BASIS FOR INCLUSIVE AND STABLE SOCIETIES**

1. Agreement on main terms
2. To what extent does international engagement “promote non-discrimination as a basis for inclusive and stable societies” or fail to do so? With what impact? <i>Synthesis of responses by participants in the consultative meeting (Record diverging views)</i>
3. Illustrative indicators. Data source: Consultative meeting. <i>All things being equal, how does international engagement impact on social divides</i> <input type="checkbox"/> <i>Positively</i> <input type="checkbox"/> <i>Neutral</i> <input type="checkbox"/> <i>Negatively]</i>
4. Any additional country-specific indicator
5. Priority actions

## **THE PRACTICALITIES**

### **PRINCIPLE 7- ALIGN WITH LOCAL PRIORITIES IN DIFFERENT WAYS IN DIFFERENT CONTEXTS**

1. Agreement on main terms

2. To what extent does international engagement “align with local priorities in different ways according to context” or fail to do so? With what impact?

*Synthesis of responses by participants in the consultative meeting (Record diverging views)*

3. Illustrative indicator

*Percent of aid flows to the government sector that is reported on partners’ national budgets.*

Data source: Aid management unit/Paris Declaration Monitoring Survey indicator 3.

4. Any additional country-specific indicator

5. Priority actions

### **PRINCIPLE 8- AGREE ON PRACTICAL COORDINATION MECHANISMS BETWEEN INTERNATIONAL ACTORS**

1. Agreement on main terms

2. To what extent is there “agreement on practical coordination mechanisms among international actors”? With what impact?

*Synthesis of responses by participants in the consultative meeting (Record diverging views)*

3. Illustrative indicators

*a. Is there an agreed division of labour?*

*Yes, for the most part of international engagement*

*No or marginally*

Data source: Consultative meeting.

*b. Percent of assistance channeled through multi-donor trust funds.*

Data source: Aid management unit or international actors managing trust funds.

4. Any additional country-specific indicator

5. Priority actions

**PRINCIPLE 9- ACT FAST... BUT STAY ENGAGED ENOUGH TO GIVE SUCCESS A CHANCE**

1. Agreement on main terms

2. To what extent do international actors “act fast... but stay engaged long enough to give success a chance”? With what impact?

*Synthesis of responses by participants in the consultative meeting (Record diverging views)*

3. Illustrative indicator

a. *Are there rapid response mechanisms?*

*Yes, and there are effective*

*No, or existing ones are not effective*

Data source: Consultative meeting.

b. *Amount of aid committed at a given time beyond a three-year timeframe.*

Data source: Aid management unit

c. *Aid fluctuations to GDP (2002-2007).*

Data source: Annual OECD report on resource flows to fragile states.

4. Any additional country-specific indicator

5. Priority actions

**PRINCIPLE 10- AVOID POCKETS OF EXCLUSION**

1. Agreement on main terms

2. To what extent does international engagement “avoid pockets of exclusion” or fail to do so? With what impact?

*Synthesis of responses by participants in the consultative meeting (Record diverging views)*

3. Illustrative indicators

a. *Aid, revenue (GNI) and CPIA.*

Data source: Annual OECD report on resource flows to fragile states

b. *Proportion of population living with less than USD 1 a day.*

Data source: TBD according to countries.

4. Any additional country-specific indicator

5. Priority actions

ANNEX I. AGENDA FOR A CONSULTATIVE MEETING:  
EXAMPLE FROM 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            *Registration*
- 9:00-9:45am            **Welcoming Remarks by H.E. Emilia Pires, Minister of Finance.**  
**Official Launch of the Survey by H. E. Dr. José Ramos-Horta, President of Timor-Leste.**
- Remarks by **H.E. Kay Rala Xanana Gusmão, Prime Minister.**
  - Brief remarks by a representative from civil society (*Dinorah Granadeiro, NGO Forum*).
  - Brief remarks by the international focal point, World Bank (*Antonio Franco*).
- 9:45-10:00am            **Purpose of this meeting and approval of the agenda**, presented by the National Coordinator (*Helder da Costa*)
- 10:00-10:15am            *Coffee break*
- 10:15-11:00am            **Presentation of the proposed approach** by the Organization for Economic Cooperation and Development (*OECD, Juana de Catheu*)
- Moderated discussion on the proposed approach and on how the process can best improve international engagement in Timor-Leste (*Florentino Sarmento*)
- 11:00-1:00pm            **Overall peace building and state building goals for Timor-Leste and main frameworks for international engagement**
- Presentation by **H.E. Emilia Pires, Minister of Finance**
  - Brief remarks by UN Representative (*Takahisa Kawakami*)
  - Moderated discussion (*Florentino Sarmento*)
  - Summary of discussion, by the moderator
- 1:00-2:00pm            *Lunch*
- 2:00-4:00pm            **Discussion on international engagement, Principle by Principle:** Areas of progress and remaining challenges
- The Basics (facilitated by *Homa Z. Fotouhi – international focal point, World Bank*)
  - State-Building and peace building (facilitated by *Juana de Catheu – OECD DAC*)
  - The Practicalities (facilitated by *Jemal Sharah – AusAID*)
- 4:00-4:15pm            *Coffee break*

- 4:15-5:30pm • Summary of discussions on each Principle, by the facilitators
- 5:30-6:00pm **Summary of the day's discussions**, by *H.E. Emilia Pires, Minister of Finance*
- 6:00-8:00pm *Cocktail Reception hosted by the World Bank in the Foyer of the Ministry of Foreign Affairs (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 **Recapitulation of Day 1 and objectives for Day 2** by *H.E. Emilia Pires, Minister of Finance*
- 9:30-11:30am **Identification of priority actions** for government and international actors across policy communities by the National Coordinator (*Helder da Costa*)
- Moderated discussion towards common priority actions (*Florentino Sarmiento*)
  - Summary of discussions by the moderator
- 11:30-11:45am *Coffee break*
- 11:45am-1:00pm **Conclusions and next steps**
- Draft Country Report and second consultative meeting
  - Closing Remarks by *H.E. Kay Rala Xanana Gusmão, Prime Minister*

END OF MEETING.

## ANNEX II. GUIDANCE QUESTIONS FOR MODERATORS

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?” 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.

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

- Is international engagement based on shared analysis (among international actors) of the political economy and how their interventions may influence the balance of power among social groups? Are they diverging views and how does it affect the impact of international engagement?
- Does the integrated planning framework (where it exists) or do most strategies identify and address the root causes of fragility?
- Is the international community’s engagement based on a multi-actor assessment of needs across sectors and with appropriate sequencing and prioritization?

### 2. GUIDANCE QUESTIONS FOR “DO NO HARM”

- Is there a process in place to collectively identify and address areas of potential policy incoherence in the engagement of the international community<sup>13</sup>?
- Does international engagement have a negative impact on particular issues (*e.g.* aggravating societal divisions or weakening the legitimacy or capacity of the state)?

### 3. GUIDANCE QUESTIONS FOR “FOCUS ON STATE-BUILDING AS THE CENTRAL OBJECTIVE”

- Is the international community providing support in a way that strengthens or undermines the state?
- Are there shared state building objectives (state capacity and/or accountability) and is there shared analysis of critical areas of state-building to be strengthened?
- Does the international community make concerted and sustained efforts to positively affect the legitimacy of the state, and to strengthen state-society relations and mechanisms to hold the state accountable? With what impact?
- Does international community have programs to strengthen the capability of the state to deliver key functions<sup>14</sup> and with what impact?

### 4. GUIDANCE QUESTION FOR “PRIORITIZE PREVENTION”

- 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; by strengthening indigenous or regional capacity to manage conflict; etc.)?

### 5. GUIDANCE QUESTIONS FOR “RECOGNIZE THE LINKS AMONG POLITICAL, SECURITY AND DEVELOPMENT OBJECTIVES”

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<sup>13</sup> For example immigration policies that cause brain drain; banking regulations that stimulate capital flight and allow money laundering; policies that benefit one population group over another and contribute to divisions

<sup>14</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.

- Are the goals of the different policy communities coherent? Are there recognised trade-offs?
- Are development partners part of the political process (if any)?
- Does the international community have a process for joint planning that integrates political, security and development dimensions and prioritisation?
- Does the international community have mechanisms to work across sectors<sup>15</sup>?

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

- 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?
- Is the international community taking into account perspectives from different parts of society across horizontal and vertical social divides?
- Do international actors’ monitoring and evaluation systems disaggregate resource flows (*e.g.* going to the capital vs. the provinces, across ethnic groups, across regions, etc.); and results (*e.g.* Millennium Development Goals) with these different groups?

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

- Does the international community broadly align its programmes with government-led national or sector strategies or an international compact where they exist? Are views from civil society systematically taken into account?
- Does the international community make use of parallel implementation units and is it at present justified?

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

- Do international actors use or promote coordination mechanisms?<sup>16</sup>
- Is there an agreed division of labour among international actors in the various sectors?

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

- Can international actors flexibly adjust modalities and levels of engagement according to changing circumstances (*e.g.* rapid response mechanism)?
- In the past, have international actors suspended or reduced their engagement in the country concerned taking a concerted approach, based on dialogue with the partner government and consideration of different modalities?
- 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?

## **10. GUIDANCE QUESTIONS FOR “AVOID POCKETS OF EXCLUSION”**

- In allocating resources globally (aid but also presence of peacekeepers, if any), do most international actors take other international actors’ engagement into account<sup>17</sup>?

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<sup>15</sup> For example missions, analyses, and planning across sectors, pooled funding, pooled staff or secondment schemes across sectors, joint information management systems)?

<sup>16</sup> For example integrated results framework, joint assessment missions, shared upstream analysis, multi-donor trust funds, joint offices, and common reporting and financial requirements)?

### ANNEX III. DEFINITIONS

These suggested definitions are provided to ensure consistency across the seven countries.

- **Alignment:** International actors align when they base their overall support on partner countries' national development strategies, institutions and procedures
- **Beneficiaries** refer to the population that receives direct benefits from a program. The "intervention population," by contrast, refers to all people living in the intervention area. They may receive direct or indirect benefits from the program.
- **Impact** is the set of beneficiary and population-level long-term results (*e.g.* improved food security; improved yields; improved nutrition) achieved by changing practices, knowledge and attitudes.
- **Inputs** are the resources (*e.g.* staff, financial resources, space) brought together to accomplish a program's objectives.
- **Parallel implementation units:** dedicated structures created outside the existing structures of national implementation agencies for day-to-day management and implementation of aid-financed projects and programmes.
- **Peace-building** is commonly defined as activities by national or international actors to prevent violent conflict and institutionalise peace. Peacebuilding aims to address the root causes and effects of conflict.
- **Processes** are the activities (*e.g.* training, delivering services) by which resources are used in pursuit of results.
- **Programme based approaches** are a way of engaging in development cooperation based on co-ordinated support for a locally owned programme of development, such as a national development strategy, a sector programme, a thematic programme or a programme of a specific organisation.
- **Outcomes** are the set of beneficiary and population-level results (practices, knowledge) expected to change from the intervention.
- **Outputs** are the products (*e.g.* number of trainees; of immunized children; of meetings held) that result from the combination of inputs and processes.
- **Security system** refers to core security actors (*e.g.* armed forces, police, gendarmerie, border guards, customs and immigration, intelligence); security management and oversight bodies (*e.g.* ministries of defense and internal affairs, financial management bodies and public complaints commissions); justice and law enforcement institutions; and non-statutory security forces (*e.g.* private security companies, guerillas and militias).
- **Spoilers** are agents who aim to derail a peace process.
- **State building** 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 state building and identifies legitimacy as central to the process as it both facilitates and enhances state building. It recognises that state building needs to take place at both the national and local levels. It gives central place to strengthening capacities to provide key state functions. The concept of state building is increasingly used to describe a desired ("positive") process of state building and therefore emphasises the importance of inclusive political processes, accountability mechanisms and responsiveness.

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<sup>17</sup> For example, consideration of whether there is a risk of aid tailing off; and of whether there are neglected geographical regions, sectors or social groups within the country.

## **ANNEX IV. LESSONS LEARNED FROM THE PARIS DECLARATION MONITORING SURVEY**

### **On Methodology**

- Ensure the indicators are worked out so that it actually measures what you are trying to measure.
- Ensure clarity of concepts and provide support (for example, definitions and guidance, sample questions) to ensure consistent application of the indicators across countries and to narrow the scope for divergent interpretation of concepts.
- Ensure there is buy-in and consensus from the main stakeholder group on the indicators (in the case of the Paris Declaration Monitoring Survey, it was the Joint Venture on Monitoring the Paris Declaration)
- Ensure balance between being responsive to local situations to that of assuring comparability across countries.

### **On Process**

- Ensure mechanisms are in place to provide quick and real-time support – for example, help desk functions, website, launch workshops, orientations with the view to clarify definitions and concepts. In order to ensure consistent and uniform answers, help desk functions should be centralized.
- Be strict on deadlines of inputs from countries.
- Leverage support from the stakeholder group at HQ to ensure sufficient participation at field level (ensure there is HQ-field communication on the matter from the donor side), and that it respects ownership by the partner countries.
- Ensure partnership with field-based organizations to provide support to the process where required. They can support in identifying national focal points, trouble shoot locally etc.
- If required, ensure process of data collection and data validation / verification. The latter should be done at the national level.
- Ensure ownership of the process by the National Coordinators – we took a hands-off approach that any issues had to be resolved by the national coordinators themselves. We did not intervene when there were disagreements about figures. The National Coordinator has the final word. The role of the secretariat was to facilitate exchange and alert National Coordinators about concerns raised by donors; however, we did not dictate answers.

### **On Production of the Country Reports**

- Templates for country Reports and standard tables (for quantitative data) should be developed early on. Work out calculations on how to derive ratios (if it is quantitative data) and derive targets (if any).
- Ensure clarity of the process of the development and clearance of the reports for the country reports and the global report.

## **ANNEX V. THE PRINCIPLES MONITORING AND OTHER PROCESSES**

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

The decision to monitor the Fragile States Principles and to participate in the international dialogue is that of the partner country alone. International actors in the field may wish to support the consultations but the processes are partner led. The monitoring process in each country is designed to strike the right balance between being participatory and not imposing on 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 EU pilots on fragility.

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

Seven confirmed countries wish to use the Fragile States Principles as a lens through which to monitor the quality of international engagement in their countries using a more qualitative and in-depth approach. Except for Timor-Leste, they are all participating in the Paris Declaration monitoring process as well. 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 and so on. Unlike the Paris monitoring, the Fragile States monitoring process will be based on qualitative data derived from multi stakeholder consultations. Beyond the seven countries, INCAF is also servicing other donor groups interested in using the Principles to improve the impact of their engagement, for example the group of donors to Somalia.

### **AT THE COUNTRY LEVEL, HOW WOULD THE TWO MONITORING PROCESSES RELATE TO EACH OTHER?**

In countries where both monitoring processes are underway, the in-country Coordinator system (established by the Working Party on Aid Effectiveness) will coordinate both processes.

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

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 will establish a common platform — the so called Cluster D on Assessing Progress —with a view to ensuring effective coordination between these, and also other related exercises (*e.g.* the ongoing evaluation of the Paris Declaration). For example, outputs from the Principles monitoring will be part of the package presented at the Fourth High Level Forum on Aid Effectiveness. The responsibility for managing both monitoring processes will, however, fall upon different networks: the Working Party on Aid Effectiveness (or its Joint Venture) for the Survey on Monitoring the Paris Declaration and INCAF for monitoring the Fragile States Principles (see DCD/DAC/EFF(2009)4/PART2).

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

The Principles were piloted in two of the seven countries, DRC and Haiti. The pilots have illuminated country-specific issues for each of the ten Principles and will directly feed into the country-level dialogue on the Principles.