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Executive Summary

The 2003 Federal Act on Development Cooperation states that Austrian development policy shall comprise all measures that aim at promoting sustainable economic and social development of developing countries. It further states that Austria’s official development cooperation has three main objectives: poverty eradication, ensuring peace and human security, and preserving the environment.

The Three-Year Programme on Austrian Development Policy 2019 – 2021 promotes a whole-of-government approach and has been designed together with all relevant ministries and the active involvement of the Austrian Federal Economic Chamber, the academic community and civil society representatives. It defines the medium-term policy for Austria’s development cooperation and covers the entire Austrian system. The document – as well as the process of its elaboration - further develops the whole-of-government approach introduced in the Three-Year Programme 2016-2018 and strengthens a joint strategic vision on Austrian development policy for all actors.

The new Three Year Programme’s content and its implementation is mainly determined by the Agenda 2030 with its goals, targets and indicators.

It is structured in two overall focus areas (gender equality and women empowerment as well as development cooperation and migration) and five thematic priorities (poverty eradication, sustainable economic development, environmental and climate protection, peace and security and equal rights for all members of society – i.e. building inclusive societies).

Austria actively participated in the negotiations preparing the Agenda 2030. The Austrian input was based on ten points which constituted the joint position of all ministries and civil society. With the establishment of an inter-ministerial working group on SDG implementation, the Austrian government created a favourable environment for co-ordination and policy coherence in general and consequently also for international cooperation. The commitment of all aid-disbursing ministries to the Three-Year Programme’s implementation will improve coherence, coordination and effectiveness in Austria’s development cooperation.

Coordination and harmonisation with further strategies, such as the Strategic Guidelines for the Cooperation with International Financial Institutions, the Strategic Focus of the Development Bank of Austria (OeEB), the Climate Finance Strategy, the Austrian Security Strategy, Strategic Guidelines for Environment and Development, the Strategic Guidelines for Peace and Security, the Austrian Foreign Trade Strategy and the Austrian Migration Strategy should help fostering the joint strategic vision and translating it into joint cooperation strategies and the implementation of respective measures.

Progress in mainstreaming cross-cutting issues (gender, environment) has been made. Funding that meets the criteria of the Organization for Economic Cooperation and Development (OECD) gender marker shall rise to 85% in line with the European Union (EU) GAP II. Since 2018 ADC1 has aimed to increase the share of funding implemented in Africa with gender marker 2 (principal objective) up to 42,5% . On environment, the target line is at 35% across all ADC-funded projects.

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1 The term “Austrian Development Cooperation (ADC)” is used to refer jointly to the Federal Ministry of Europe, Integration and Foreign Affairs (MFA) and the Austrian Development Agency (ADA).
Multilateral institutions play a key role in tackling global risks and challenges. Therefore, the UN organisations, the OECD and the EU are central partners for the implementation of Austrian development policy and development cooperation. This understanding is also one of the drivers for the long-standing cooperation of the Ministry of Finance with Multilateral Development Banks (such as the World Bank Group and regional development banks) and Funds.

**Austria is committed to implementing the EU development agenda** and contributes actively to its elaboration. Gender equality and women’s empowerment, sustainable energy supply, harnessing opportunities through innovation and digital transformation and the triple nexus humanitarian assistance, peace and development have been focus areas of EU development cooperation during the Austrian EU Presidency in 2018 and will be pursued further by Austria in the EU framework in the years ahead.

**EU coordination and cooperation in the partner countries** are of increasing importance. Austria is actively participating in EU coordination in its focus countries. Austria has supported EU Joint Programming from the very beginning. The Austrian Development Agency (ADA) very successfully cooperates with the European Commission and other donors in managing delegated cooperation.

The low share of country programmable aid in Austria’s Official Development Assistance (ODA) continues to be a significant challenge on the way to the 0,7% target. The Medium Term Budgetary Framework provides a perspective for budget planning including ODA funds. However, international ODA goals will only be reached at a later date and no updated time-bound roadmap towards meeting the 0.7% target exists as of yet. In its current government programme the Austrian Federal Government declares its clear intention to increase development funds until the 0.7% target is reached.

**The Medium Term Budgetary Framework** passed by parliament foresees annual increases of ADA’s operational budget until 2022 (i.e. from EUR 84 million in 2017 to EUR 108 million in 2022). Budgetary allocations for the Foreign Disaster Relief Fund have been increased and additional, voluntary allocations of EUR 160 million to IDA 17 and EUR 384 million to IDA 18 have been decided by the Government.

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1. Global Efforts for Sustainable Development

The overarching frame of reference for Austria’s development policy and development cooperation is the Agenda 2030 with its 17 Sustainable Development Goals (SDGs). Austria actively participated in the negotiations preparing the Agenda 2030. The Austrian input was based on ten points which constituted the joint position of all ministries and civil society.

In January 2016, the Austrian government entrusted each federal ministry with the implementation of the SDGs. It instructed the ministries to integrate the SDGs into their relevant strategies and programmes and to prepare relevant action plans and measures. Furthermore, the government encouraged the ministries to involve social partners, civil society and the scientific community as well as partners at regional and local level in the process.

This approach has lead to more ownership and stronger motivation by the ministries. It is expected that it will create also an enabling environment for innovative measures. The implementation process is flexible according to the respective context of the stakeholders and actors. Thus, the conditions to integrate SDGs into Austrian policies were improved.

1.1. Efforts to support global sustainable development

Austria attaches great importance to its engagement in multilateral institutions, which play a key role in tackling global risks and challenges. Working with and via the UN organisations, OECD and the EU is the central approach for the implementation of Austrian development policy and development cooperation. This understanding is also one of the drivers for the long-standing cooperation of the MoF with International Financial Institutions (IFIs) (such as the World Bank Group, WBG, and regional development banks) and Specialized Funds.

Priority issues in the programmatic cooperation with international institutions are poverty eradication, peace and security, sustainable energy and environmental protection including climate change, water and sanitation, private and financial sector development, urban development and connectivity.

Box 1: Austria’s support to the global sustainable energy agenda

The global energy transition requires significant improvements in energy productivity, accelerated progress on electricity access using centralized and decentralized sources, and ever-increasing share of renewable and affordable energy. Vienna has positioned itself as an international platform for energy diplomacy.

Vienna based UNIDO aims with its Renewable Energy Strategy at helping developing countries to mainstream the use of renewable energy in industrial applications, to create business development opportunities through increasing access to energy, and to increase support for innovative business models. UNIDO in partnership with sub-regional economic communities/organisations (RECs) and their Members States (MS) is establishing the Global Network of Regional Sustainable Energy Centers (GN-SEC), an innovative south-south and triangular multi-stakeholder partnership to accelerate the energy and climate
transformation in developing countries. Since 2010, UNIDO and Austrian Development Cooperation (ADC) and MoF (via Asian Development Bank) have assisted RECs in the establishment and operation of sub-regional centres to promote sustainable energy. The gradually expanding partnership comprises a sub-network of centers for the African and the Arab region (in cooperation with the EAC, SADC, ECOWAS, and the Arab League) and a sub-network for Small Island Developing States (in cooperation with SIDS DOCK, CARICOM, and the Pacific Community-SPC). Currently, the network is expanding to Central America, Central Asia and the Himalaya-Hindukush region. The network was approved by more than ninety Ministers of Energy and/or Heads of State and is being supported by ADC.

The Vienna based SEforALL hub, which is supported and co-financed by ADC, aims at ensuring universal access to modern energy services, doubling the global rate of improvement in energy efficiency and doubling the share of renewable energy in the global energy mix. This requires a radical rethink of the way to produce, distribute and consume energy. Other hubs of SEforALL are in Washington D.C. and with the International Financing Institutions such as the African or Asian Development Bank.

The Vienna based International Atomic Energy Agency IAEA supports Member States which face considerable challenges in making decisions about their technology choices and sustainable development strategies. It conducts 3E (Energy, Economics, Environment) analysis of nuclear technologies and other/optional technologies that assist Member States in their decision making process.

Vienna is also host of the International Institute for Applied System Analysis IIASA, which has investigated and developed the Global Energy Assessment GEA with support of ADC. The overall objective of the Energy Programme (ENE) is to understand the nature of alternative future energy transitions, their implications for human well-being and the environment, and how they might be shaped and directed by current and future decision makers.

The OPEC Fund for International Development (OFID) is the development finance institution established by the Member States of OPEC in 1976 to support developing countries. OFID works in cooperation with developing country partners and the international donor community to stimulate economic growth and alleviate poverty - also in the energy sector - in all disadvantaged regions of the world. OFID has been co-financing the ADC SOLTRAIN programme in Southern Africa for several years. In addition, there are also projects jointly financed by OFID and the Development Bank of Austria.

The Renewable Energy and Energy Efficiency Partnership REEEP is hosted within the UNIDO premises and supported by ADC. The organization advances markets for renewable energy and energy efficiency with a particular emphasis on the emerging markets and developing countries. Its primary focus lies on de-risking and scaling up of clean and safe energy business models.
The Vienna Energy Forum VEF: Since its foundation in 2008 by a joint initiative of ADC, IIASA and UNIDO, the VEF has assembled thinkers and practitioners from all over the world to discuss practical solutions to sustainable development challenges and pave the way for tangible partnerships on the ground. The past six fora focused on a range of topics related to the question of energy and development. The biennial meetings, bringing together usually between 800 and 1200 participants and decision-makers from around the globe, have not only provided major contributions to the design of the SEforALL goals and the SDGs, but have also fostered the development of Vienna as global energy hub.

R20 AUSTRIAN WORLD SUMMIT: On May 15th 2018, Arnold Schwarzenegger welcomed around 1,200 guests from across the world for the first time to Vienna's Hofburg. The event was packed with facts, best practice examples, expert views, trends, challenges and motivating messages combined with insights in businesses and politics regarding climate action. The R20 AUSTRIAN WORLD SUMMIT is not a one-off event but part of a global process to implement and accelerate climate action. The next summit will take place in Vienna on 28 May 2019.

The Vienna Energy Club and the Global Forum on Sustainable Energy (GFSE) complement the spectrum of organisations who are engaged to promote sustainable and affordable energy for all.

1.2. Policy coherence for sustainable development

Commitment to policy coherence for sustainable development

Policy coherence for (sustainable) development (PCSD) is a principle of Austria’s development cooperation and a legal obligation under the Federal Act on Development Cooperation (§ 1(5) of 2003), both at national and international level. By decision of the Austrian Council of Ministers on 12th January 2016, the Austrian Government has tasked all Ministries to integrate the Sustainable Development Goals (SDGs) into their relevant programmes and strategies and, where necessary, to develop new action plans and measures for coherent implementation of the Agenda 2030.

The Austrian government established an inter-ministerial working group - co-chaired by the Federal Ministry for Europe, Integration and Foreign Affairs (MFA) and the Chancellery – to coordinate monitoring and review mechanisms in relation to the Agenda 2030. The working group includes representatives of all ministries and offers a forum for inter-ministerial exchange of information. It also functions as a platform for discussion with social partners, civil society and stakeholders on regional and local level.

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3 Members of the Vienna Energy Club are Energy Community, IAEA, IIASA, International Peace Institute, OFID, OPEC, OSCE, REEEP, SEforALL, UNIDO, World Energy Council Austria.

4 The GFSE activities are carried out case by case with different international partners such as UNDP, UNIDO, UNEP, GNESD, REEEP, IIASA and ESMAP and national partners like the Austrian Development Cooperation (ADC) in the Ministry for European and International Affairs (MFA), the Austrian Development Agency (ADA) and the Austrian Economic Chambers (WKO).
In order to promote the Agenda 2030, a homepage (www.sdg.gv.at) was set up. In March 2017, a first whole-of-government presentation regarding SDG implementation was published. Outline 2016 - Contributions to the implementation of the 2030 Agenda for Sustainable Development by the Austrian Federal Ministries, is evidence of political commitment and outlines national responsibilities and policy processes for SDG implementation (Bundeskanzleramt Österreich, 2017). The relevance of policy coherence is thus systematically recognised in SDG implementation, albeit with a particular focus on the international level. Events have been organised or supported by the relevant ministries to inform and to discuss the Agenda 2030 with different target groups.

Beiträge der Bundesministerien zur Umsetzung der Agenda 2030 für nachhaltige Entwicklung durch Österreich – Darstellung 2016 (PDF, 2644 KB)

In July 2018, a report on the implementation of the Agenda 2030 in Austria was published by the Austrian Court of Audit where 18 recommendations were made to strengthen the respective structures and processes. The implementation of the recommendations has started, for instance a first whole-of-government presentation was published, Statistics Austria is assigned to elaborate the periodical indicator-progress-reports and Austria has announced the presentation of its Voluntary National Review (VNR) during the High Level Political Forum 2020.


Priority issues for policy coherence

The Three-Year Programme 2019 – 2021 promotes a whole-of-government approach and was designed together with all relevant ministries and the active involvement of the Austrian Federal Economic Chamber (WKO), the academic community and civil society. The Three-Year Programme is complemented by further strategies aiming at coherent action to raise efficiency, such as the Strategic Guidelines of the Federal Ministry of Finance (MoF) for IFIs, the Strategic Focus of the OeEB, the Climate Finance Strategy, the Austrian Security Strategy, Strategic Guidelines for Environment and Development, the Strategic Guidelines for Peace and Security, the Austrian Foreign Trade Strategy and the Austrian Migration Strategy. Where possible, the duration of the strategies mentioned above are or will be harmonised.

The Three-Year Programme clearly states that efficient cooperation with other policy fields enhances the effectiveness of development cooperation and it stresses the need for inter-ministerial strategies and their joint implementation.

The Austrian focal point for PC(S)D is located in the Directorate-General for Development Cooperation and Humanitarian Assistance at the MFA and is part of the EU Expert Group on PCD and the OECD National Focal Points Network.

Coordination mechanisms for the promotion of PC(S)D include evaluations, working groups at inter-ministerial level, regular dialogue between ministries, official agencies and Parliament, informal contacts between civil servants and representatives of Civil Society Organisations (CSOs) as well as ad-hoc meetings on issues related to PC(S)D if required and meetings of the Advisory Board for Development Policy.
On specific coherence and coordination issues inter-ministerial working groups have been set up with broad participation of CSOs and civil society, for example the working group "Environment and Development", the national Commission on Biodiversity, working group in Disaster risk reduction or the inter-ministerial working group on “Tax and Development”. These groups benefit from active participation of CSOs and Austrian think tanks. They produce policy papers or studies for political decision making processes.

Austria reports to the EU and OECD by way of regular PC(S)D reports. Besides these multilateral reports, there are no additional national PC(S)D reports within Austria.

Receiving high-level political support for PC(S)D is still a major challenge as well as a lack of institutional structures that allow for swift decision making (for instance, a dedicated governmental body responsible for PCD with the power to direct) and the necessary staff.

Based on the Government Programme 2017-2022, in December 2018 a new Austrian Foreign Trade Strategy has been elaborated. It was done by means of a broad and participatory process under the aegis of the Federal Ministry for Digital and Economic Affairs (MDEA) involving leading experts and key stakeholders. The working group on sustainability and development cooperation was led by the MFA. The MFA argued for transparency, human rights, sustainability and corporate social responsibility according to OECD Guidelines for Multinational Enterprises. The SDGs as overarching policy as well as possible synergies between foreign trade and development policy were other important elements of the debates that were included in the strategy. The implementation of the Agenda 2030 is also seen as an opportunity to strengthen the dialogue between the business and the development cooperation communities.

https://www.bmdw.gv.at/WirtschaftsstandortInnovationInternationalisierung/Internationalisierung/Aussenwirtschaftsstrategie%202018/Documents/Aussenwirtschaftsstrategie_barrierefrei_V2.pdf

Within the performance agreements 2019-2021 between the Austrian Federal Ministry of Education, Science and Research (MESR) and the Austrian public universities, the subject of sustainable development was established in research and teaching at all universities. The UniNETz network (universities and sustainable development goals), which is dedicated to fulfilling the SDGs, is a flagship project. Currently 15 universities and non-university partners participate in the network, including the Central Institute for Meteorology and Geodynamics (Zentralanstalt für Meteorologie und Geodynamik), the Geological Survey of Austria (Geologische Bundesanstalt) and the Climate Change Center Austria (CCCA). Negotiations regarding the participation of other universities are in progress. Strengthening the scientific argumentation for the implementation of the 17 SDGs through cooperation will help to adapt the respective institutions’ profiles. Among other things, an "SDG Mapping" was created identifying publications, lectures, research, and projects related to the SDGs. In addition to research and teaching, this also applies to the field of university management, amongst others, the numerous "green building“ initiatives in Austria.

On 31 March 2019, the MDEA organised an SDG Business Forum inviting international experts and practitioners to promote SDG implementation with the Austrian business sector.

Inter-ministerial Evaluation Policy: One example of an ongoing effort to strengthen policy coherence among Austrian Official Development Assistance (ODA) actors is the development of an inter-ministerial Evaluation Policy for Development Cooperation for application by MFA and ADA, as well as by the MoF, the OeEB and the Federal Ministry of Sustainability and Tourism (MST). These actors are committed to subscribe to shared evaluation standards. In addition, the joint evaluation policy is expected to contribute to improved coherence in other policy areas as well, including through promotion of joint evaluations (for example Joint Evaluation of Austria’s contribution to combatting climate change and its harmful consequences planned for 2021) and inclusion of policy coherence aspects and analyses into strategic evaluations.

The strategic two-year ADC Evaluation Plan 2019-2020 further envisages implementation of a systematic review of the Whole-of-Government Approach (WoG) and its operationalisation in 2019, which is expected to provide lessons learned, good practices and recommendations on how to further strengthen and improve the approach and its implementation.

Advisory Board on Development Policy: § 21(2) of the Development Cooperation Act foresees the creation of an Advisory Board on Development Policy. The members of the Board are selected and nominated by the Minister for Europe, Integration and Foreign Affairs. The Advisory Board is composed of experts in the fields of development policy or development cooperation. The Advisory Board convenes at least twice a year. The Federal Minister for Europe, Integration and Foreign Affairs acts as a chairperson and nominates a senior official of his/her Ministry to act as an executive deputy who shall head and coordinate the activities of the Advisory Board. The new Board has 13 Members, from a variety of stakeholders of Austrian development policy and cooperation including Parliament, civil society, research and other ministries.

https://www.entwicklung.at/en/media-centre/publications/programmes/
https://www.ris.bka.gv.at/GeltendeFassung.wxe?Abfrage=Bundesnormen&Gesetzesnummer=20001847
1.3. Global awareness

Priorities in the field of Development Communication and Education in Austria are the funding of civil society projects and programmes as well as quality development in this field. The policy basis for this is the official Three-Year Programme of Austrian Development Policy 2019-2021 and the strategy “Development Communication and Education in Austria” (2006).

ADA’s funding programme contributes to the implementation of the Sustainable Development Goals, especially to SDG 4.7 (Global Citizenship Education/ Education for Sustainable Development), but also to other SDGs according to the thematic focus of the projects.

ADC supports civil society activities in Austria in the following four areas of activity: LEARNING (education & global learning; cultural activities/intercultural dialogue), ENGAGEMENT (volunteer services), AWARENESS (information work, campaigns, advocacy, media), KNOWLEDGE (science & publications).

The aim is to create and support a lively communication within the Austrian population about issues of development cooperation and development policy and to support knowledge, skills, values and attitudes that support responsible global citizenship. Education programmes and projects seek to empower children, youths and adults to understand and analyse the increasingly complex development processes, to reflect these critically and to become aware of their own shared responsibility and ways of active social participation in a “global society”.

The funded projects focus on specific themes in coherence with the Agenda 2030 and the Austrian Three-Year-Programme. They included Global Learning/ Global Citizenship Education, gender equality, human rights, peace, global economy, fair trade, environment, sustainable consumption and production. Calls for proposals have been focusing on the Sustainable Development Goals (since 2017), the European Year for Development (2015), migration/forced migration (2017), volunteering (2018), SDG 5 gender equality (2019).

Project applications can be handed in once a year (call for proposals). The overall budget since 2014 is EUR 4.2 million per year.

The Austrian Development Agency (ADA) prefers funding for projects that are carried out in cooperation with partners beyond the development sector, especially consortium projects that encourage participation of various stakeholders (including local authorities, private sector, culture, sports) and projects that address young people.

Good practice examples in the past 5 years in the field of Global Learning/ Global Citizenship Education were the university course on “Global Citizenship Education” at the University of Klagenfurt or the C3-Library for International Development, the largest education and research library in Austria dedicated to International Development, Global Education and Women and Gender Issues which provides an open space for learning, training and information. Examples for successful awareness raising, advocacy work, campaigning and lobbying were “Make ICT fair”, “Change your shoes” and several campaigns on the SDGs.

ADA examines and monitors the projects, informs and advises about funding regulations, application and reporting procedures, and makes available expert monitoring during implementation. The services of ADA also comprise the dialogue with state and non-state
stakeholders, the coordination and promotion of cooperation, international participation, contributions to the development of strategies, promotion of evaluations, and organisation of workshops and expert meetings.

A strategic evaluation of ADA’s work in the field of funding Development Communication and Education was carried out in 2014 and the management response has been implemented.

As implementing agency of ADC, ADA leads a structured dialogue with strategic partners for Global Learning/Global Citizenship Education in the formal and non-formal education system in Austria (Austrian Strategy Group Global Learning): MESR, Austrian commission for UNESCO, Austrian National Youth Council, Centre of competence for Open Youth Work in Austria, representatives of school practice and the teacher training sector, representatives of CSOs and academia. ADA’s stakeholder dialogue includes also the Austrian regions on how to support and implement programmes on the ground as well as sharing knowledge and good practice with international partners and other donors in the Global Education Network Europe (GENE).


https://www.entwicklung.at/en/themes/education/

https://www.centrum3.at/bibliothek/home/?L=1

https://www.entwicklung.at/fileadmin/user_upload/Dokumente/EPOL/Global_Education_in_Austria.pdf
2. Policy Vision and Framework

2.1. Framework

Vision

The 2003 Federal Act on Development Cooperation and the Three-Year Programme 2019-2021 provide the legal and strategic profile for Austria’s ODA programme with poverty eradication at the centre.

The Act states that Austrian development policy shall comprise all measures that aim at promoting sustainable economic and social development of developing countries. It further states that the Federal Government is responsible for Austria’s official development cooperation, which has three main objectives: combating poverty, ensuring peace and human security, and preserving the environment. This policy also includes four main issues of concern that need to be taken into consideration. They are

i) the aims and visions of the people and governments of the respective partner country with regard to their own way of development;
ii) the integration of all measures into the existing social and cultural environment of the partner country;
iii) gender equality and the empowerment of women and girls; and
iv) the needs of children and of people with disabilities.

Strategic Framework

Figure 1 Strategic Framework of ADC
Based on the Act, the elaboration of a Three-Year Programme is coordinated and drawn up by the MFA. This strategic document provides the basis for longer-term planning and covers all ODA contributions by the Federal Government. It also covers the geographical and thematic priorities, the instruments used and an ODA prognosis. The Three-Year Programme further lays down the guidelines for Austria’s participation in the development cooperation of the European Union, other international organisations like the UN, and the International Finance Institutions.

In addition to the MFA and the MoF, other relevant official and private stakeholders are also involved in the process of elaborating the Three-Year Programme including the liaison office of Austria’s regional governments (“Länder”). The Three-Year Programme has to be submitted to the Council of Ministers for their approval before it is communicated to the members of the Austrian Parliament.

With participation of the MFA, annual meetings are organised between government representatives of the regional governments, cities and municipalities for information exchange and for aligning development actions at different levels of government.

Scope

The current Three-Year Programme, covering the period 2019-2021 reflects the Agenda 2030 and is structured in **two overall focus areas and five thematic priorities:**

**Gender equality and women empowerment:** Gender equality is essential for economic, social and sustainable development. Since the adoption of the EU Gender Action Plan II in 2015, the issue has come to constitute a major pillar of European external policy. The ADC Gender Policy (December 2017) sets out the cornerstones for its implementation in Austrian international cooperation. ADC promotes gender equality and women’s empowerment both as a development objective in its own right, and implemented as a cross-cutting issue by means of gender mainstreaming and policy dialogue - through all programmes and projects. Overall – ADC is close to the gender targets as per GAP II; this means that in 2017 72,28% of all ADC programmes and projects were gender-relevant – having a principal gender focus (6,82%) or having the gender dimension as a significant integral part (65,46%).


**Development cooperation and migration:** The Federal Government places a strong focus on the issue of migration, with a stronger commitment to assistance in the partner countries. Development cooperation aims at affording people prospects and opportunities for the future by improving their political, economic and social conditions. This way, it makes a contribution to facilitating orderly, safe, regulated and responsible migration and mobility (SDG Target 10.7) while also assisting refugees and host communities in partner countries. Aligning humanitarian assistance for refugees and displaced persons with long-term development cooperation helps to pave the way for the rapid and sustainable stabilisation of the situation.


The five priority areas are:

Poverty eradication – meeting basic needs: the Three-Year Programme puts a strong focus on the nexus water, food security and sustainable energy; as well as on education, health, social protection and employment for all.

Box 2: Austrian Development Cooperation (ADC)\textsuperscript{5} and its profile in promoting sustainable energy

The ADC Energy Policy has been re-formulated in 2018 to align it according to the new global development environment such as the SDGs or the “Paris Declaration 2015”. ADC's comprehensive energy approach calls for continuous coordination and coherence with other national and international actors and strives for long-term effects regarding the access to affordable, reliable and modern energy services - including energy efficiency and with a special emphasis on the expansion of renewable energies. ADC implements its energy interventions both through specific sector programmes and projects, and - applying the nexus approach - as a cross-cutting component in combination with other sectors (for example, water, food security). In geographic terms, ADC promotes regional cooperation and integration in the energy sector. Important partners are the private sector, the CSOs or R & D institutions (especially in energy technologies such as biomass, solar thermal & PV, hydropower, innovative building technologies & passive house standard, energy efficiency).

Sustainable economic development: More involvement of the private sector as partner, enhanced urban sustainability and urban development, strengthening taxation systems and using digital transformation are measures in the frame of this priority area.

Environmental and climate protection: Responsible use of natural resources, mitigating climate change and its impact, enhancing protection of eco-systems are the main elements of the third priority area.

Box 3: Strategic Guideline „Environment and Development“

The strategic guideline 'Environment and Development', adopted by the Council of Ministers on 8 Sept. 2009, was evaluated in 2015 (evaluation completed in March 2016). The results and recommendations of the evaluation offer important inputs for the currently running re-formulation (revision) of the guidelines. A working group (BMNT, ADA & MFA) accompanies the revision. The revised document will be submitted for information to the Council of Ministers.

The aim of the strategic guideline "Environment and Development" is to understand and promote environmental mainstreaming, i.e. environmental protection as an integrated and prerequisite component, consistently and systematically in all areas of Austrian development cooperation.

The guideline is conceived to be a tool for all Austrian stakeholders in environmental protection, natural resources and measures against climate change in the partner countries. It describes

\textsuperscript{5} The term “Austrian Development Cooperation (ADC)” is used to refer jointly to the Federal Ministry of Europe, Integration and Foreign Affairs (MFA) and the Austrian Development Agency (ADA).
principles and fields of action, as well as interfaces between environmental protection, development, gender equality and poverty reduction. It also identifies implementation strategies and starting points for coherent action.

An intact and healthy environment is one of the most important prerequisites for sustainable development and resilience. Natural disasters, loss of biodiversity and climate change can only be managed in global cooperation and responsibility.


Peace and security are closely linked with sustainable development. Austria aims at a whole-of-government approach and coherent, complementary and coordinated action taken by all Austrian stakeholders (3C Approach) plays a particularly important role.

Equal rights for all members of society – building inclusive societies: In all its programmes and projects, Austrian Development Cooperation pays special attention to implementing human rights. Primarily, ADC wants to reach people that are severely affected by poverty and inequality, including women, children, older people, persons with disabilities, minorities and disadvantaged social groups.

2.2. Principles and guidance

Since Austrian accession to the EU in 1995, the EU context has become the overall policy context for ADC engagement, for example with the New European Consensus on Development or Joint Programming. International development policy principles of development effectiveness and Financing for Development as well as the SDGs and their focus on leaving no-one behind are the overall policy framework.

The Busan Principles guide processes and structure for policy and strategic frameworks and for programming and implementation, for instance the Three-Year Programme of Austrian Development Policy, the guidance for the development of cooperation strategies (“Ten Steps towards a Cooperation Strategy”), and the ADA Business Strategy. Since 2005, the implementation of aid effectiveness commitments has been part of the ADA business strategies and their implementation have gained importance.

Within its programmable aid, Austria endeavours to set a clear priority to target the poorest segments of societies in order to leave no-one behind. In this regard, the strategy of the OeEB foresees an increase of the share of projects implemented in LDCs to 25% by 2023.

Austria also committed itself to increase its assistance directed to projects with Gender Marker 2 through projects funded by ADA.

6 Fragile situations require a coordinated, complementary and coherent approach by all actors in the field. The 3C Approach is about concerted action by government agencies in diplomacy, development cooperation policy, the armed forces, financial and economic policy, police and judiciary and non-governmental organisations engaged in development cooperation, humanitarian assistance, the protection and promotion of human rights and promoting peace, particularly civil peace services. This entails specific qualities, procedures, operating principles and intervention points at different levels,
The OeEB has a clear commitment to cross-cutting issues. All financing and equity projects are subject to an environmental and social risk assessment according to IFC Performance Standards. OeEB recognizes the importance of human rights related issues explicitly in the strategy 2019-2023. Gender equality and women’s empowerment are important topics in the strategy and a specific gender-lens in business processes will be systematically incorporated.


2.3. Basis for decision-making

2.3.1. Country, regional and global engagements and global public goods

Efficient cooperation between and across policy fields enhances the effectiveness of development cooperation. Austria’s whole-of-government approach calls for inter-ministerial strategies and their joint implementation. The following strategies of the Federal Government and other actors of relevance to development cooperation cater for the priorities of the Three-Year Programme on Austrian development policy with the aim of taking coherent and coordinated action to raise efficiency, just as the Three-Year Programme in turn takes their objectives into account. These strategies are:

- Climate Finance Strategy
- Austrian Security Strategy
- Strategic Guidelines of the MoF for IFIs
- Strategic Focus of the OeEB
- Austrian Foreign Trade Strategy
- Austrian Migration Strategy

Where possible, their duration will also be harmonised to improve coordination.

Box 4: Climate Financing

Under the auspices of the then 'Ministry of the Environment', now Ministry of Sustainability and Tourism (MST), the ministries drafted the strategic guideline "Austria's Strategy for International Climate Financing for the years 2013-2020", which was presented to the Council of Ministers in June 2013. Against the backdrop of the global climate agreement 2015 (Paris Agreement) and the experience gained in implementing the strategy in Austria in recent years, the strategic guideline was revised 2017.

The central objective of the strategy is to clarify the Austrian contribution to long-term climate financing (mobilizing jointly USD 100 billion a year by 2020) as well as contributions from private sector and alternative sources. It is intended to provide a framework for Austria to fulfil future international climate finance obligations in the most effective, efficient, transparent and coherent manner possible.

Following the strategy’s mandate, the Working Group on International Climate Finance (AGIK) was established under the chairmanship of the BMNT, which includes representatives of other
participating ministries, federal states, social partners and civil society. The aim of the AGIK is to optimize national coordination with regard to climate financing and to reflect developments at European and international level.

In agreement with the MFA and the MoF, guidelines for projects were developed. In particular, these guidelines contain provisions on environmental, economic, social and developmental criteria. The validity of the guidelines is initially limited to the period 2014 to 2020. After an evaluation of the completed projects in 2020, the guidelines will be redefined.

According to the strategy, a report on Austria's international climate finance must be submitted annually. Measures eligible for support should focus on:

- Climate change emission reduction,
- Adaptation to the consequences of climate change and / or
- REDD + (reduction of tropical deforestation)

The three aforementioned measures might be accompanied by measures of capacity development.

https://www.bmf.gv.at/wirtschaftspolitik/int-finanzinstitutionen/Strategischer_LeitfadenIFI_EN_.pdf?67ry3z
https://www.bmdw.gv.at/WirtschaftsstandortInnovationInternationalisierung/Internationalisierung/Aussenwirtschaftsstrategie%202018/Documents/Außenwirtschaftsstrategie_barrierefrei_V2.pdf
https://www.bmnt.gv.at/umwelt/klimaschutz/internationales/int_klimafinanzierung/strategie_berichte.html

Generally, a clear distinction is made between the allocation of bilateral aid (the main programmable part by MFA and ADA) and multilateral aid (mainly MoF and MFA). This distinction is laid down in the Federal Ministries Act that attributes concrete portfolios to each of the Federal Ministries. There are no provisions in place for a joint development cooperation budget handled by the Government or a specific ministry, but a number of ministries have separate budget lines for their discretionary (mainly bilateral) and/or obligatory (mainly multilateral) contributions.

The Three-Year Programme for Development Policy is considered the medium-term policy framework, including thematic focus areas in focus countries/regions. In order to establish a clear rationale for decision with regard to the beginning or phasing-out of Austrian engagements in a focus country, a set of criteria was developed. These criteria and their analyses form the background for a political decision.

The allocation of the bilateral (and discretionary) aid budget reflects the Three-Year Programme on which the annual work programme of ADA is based. The allocation of multilateral funds (IFIs,
2.3.2. Inclusive development partnerships

The MFA is in charge of the inter-ministerial coordination of development policy according to the Three-Year Programme.

**Actors in Austrian development policy**

- The whole Federal Government, particularly the MFA
- Parliament
- Federal states, cities and municipalities
- Austrian Development Agency (ADA)
- Development Bank of Austria (OeEB)
- Austrian civil-society organisations (CSOs)
- Private sector/Austrian businesses
- Social partners and chambers
- Scientific and educational institutions
- Citizen volunteers
- EU and UN development cooperation
- International Financial Institutions (IFIs)

2.3.3. Multilateral cooperation

Austria is committed to strengthening efficient and effective multilateralism. As a host state to the UN and other international organisations, Austria attaches importance to a robust international development-policy engagement. The Agenda 2030, the Paris Agreement, the Global Strategy for the European Union’s Foreign and Security Policy and the New European Consensus on Development are guiding directives for Austrian development policy.

**Development cooperation in the European Union**

Austria is committed to implementing the EU development agenda and contributes actively to its elaboration. As a member state of the European Union, which provides more than half of total ODA worldwide, Austria is part of this important donor group. Austria advocates raising efficiency through simpler administrative procedures in EU development cooperation and takes part in the EU's Joint Programming. Gender equality and women’s empowerment, sustainable energy supply and harnessing opportunities through innovation and digital transformation were a focus of EU development cooperation during the Austrian EU Presidency in 2018 and will be pursued further by Austria in the EU framework in the years ahead. Working in and with the EU has become a matter of fact for everybody working in ADC.

In terms of finance, Austria’s contributions to EU Development Cooperation are two to three times higher than the budget provided via ADA. Over the past years, Austrian contributions to
the EU varied between 20% and 27% of total Austrian ODA, whereas ADA implemented between 5.5% and 8.4% of total ODA.

EU coordination and cooperation in the partner countries are of increasing importance. According to the Code of Conduct on Division of Labour, coordination has to start in the planning phase in partner countries. Austria is actively participating in EU coordination in its focus countries and has supported EU Joint Programming from the very beginning.

Austria is actively participating in the formulation of EU development cooperation through working groups and committees as well as informal coordination groups.

**Council Working Groups:** Austria participated and participates in areas of strategic importance, like elaborating the European Consensus on Development or the EU’s external action funding instruments (for example the new Neighbourhood, Development and International Cooperation Instrument), the Agenda for Change or the operationalization of strategies. Furthermore, Austria is participating when it comes to the priorities of ADC like renewable energy, gender equality, environment/climate change or water and sanitation.

**Committees (comitology):** Austria participates in the discussions and decisions to implement the legal and political guidelines of EU development cooperation. For each external financing instrument there is a committee deciding on country strategies, indicative programmes and annual action plans.

**Coordination in the partner countries:** Although informal, coordination in the partner countries is becoming more and more important, Austria is actively participating in EU coordination and in sector coordination groups in its focus countries.

**Expert Meetings:** The European Commission (EC) is organising expert meetings in order to have an informal exchange before presenting formal proposals. Austria is participating in meetings to the extent possible for a small administration.

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**Box 5: Austrian Presidency of the Council of the European Union**

In the second half of 2018, Austria took over the Presidency of the Council of the European Union and chaired six **Council Working Groups** in the field of development cooperation and humanitarian assistance. Austria’s general approach was to serve as facilitator (honest broker), building as much as possible on the existing, rather challenging files like the new External Financing Instruments and with a strong focus on gender equality or sustainable energy.

During the Austrian presidency, intensifying the relations and cooperation between Africa and Europe became a key issue. Based on the conclusions of the European Council of June 2018, President Juncker proposed the “Africa-Europe Alliance for Sustainable Investment and Jobs”, which calls for a large-scale increase in private investments to achieve sustainable economic growth. As presidency, Austria contributed to this alliance by organising a High Level Forum Africa-Europe in Vienna on 18 December 2018, promoting African–European cooperation in the

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7 Council Working Groups: CODEV (Development Cooperation), ACP (Africa/Caribbean/Pacific), NDICI (Neighbourhood, Development and International Cooperation Instrument), COHAFA (Humanitarian Aid and Food Aid), Agenda 2030 (Sustainable Development Goals) and International Environment Issues – Desertification.
areas of digital transformation and innovation. More than 50 official delegations and 1000 companies and start-ups attended the event.

Regarding gender equality, the Austrian Presidency gave particular attention to the fight against all forms of violence against women, especially female genital mutilation (FGM). The results of these joint efforts are reflected in the Council Conclusions on the Implementation of the EU Gender Action Plan II. As suggested by Austria, the Nobel Peace Laureates Nadia Murad and Dr. Denis Mukwege were invited to discuss the topic of violence against women at the margins of the Foreign Affairs Council – Development in November 2018.

During the Austrian Presidency, the Council adopted conclusions on education in emergencies and protracted crises, on food security and on a revised EU results framework for international cooperation.

The negotiations on the new EU external financing instruments for the Multiannual Financial Framework (MFF 2021-2027) turned out to be one of the most intensive files. The EC proposed a major change by merging most of the existing financing instruments into the new Neighbourhood, Development and International Cooperation Instrument (NDICI). Furthermore, negotiations on a follow-up agreement to the Cotonou Agreement, which will expire in 2020, also started during the Austrian presidency.

The Informal Meeting of the EU Directors-General for Development Cooperation and for Humanitarian Assistance took place in Vienna and provided the opportunity for an exchange of views with the participants of the High Level Conference on Sustainable Energy and Development organised jointly by the MFA and UNIDO.

The informal meetings of the Council Working Groups CODEV and COHAFA were also held in Vienna and focused on pertinent topics, like women as multipliers for fighting poverty, China as a rising development actor, the role of digital transformation or the nexus between humanitarian assistance and development cooperation.

**United Nations Development System**

The UN Development System (UNDS) is largely concerned with contributing to reaching the SDGs up to 2030 and beyond. Austria is actively engaged in the corresponding reform process. Envisaged are more efficient coordination in the field, placing more emphasis on addressing national priorities, greater accountability and a more sustainable financial basis.

Austria is particularly involved in the UNDS, its organisations, funds and programmes, either through core contributions or through specific projects. The decision of whether or not to engage with a certain organisation, fund or programme is guided by the geographic and thematic priorities of the Three-Year Programme and also influenced by Austria’s interest as host country of a number of UN organisations. So far, Austria cooperates with UNIDO, UNDP, UNICEF, United Nations Population Fund (UNFPA) and UNCDF to fulfil the above mentioned priorities and interests.

The UNDS plays a central role in implementing the 2030 Agenda. That is why the UNDS improves the efficiency of UN activities in individual developing countries (local UN resident coordinator system). Austria supports the UNDS’ endeavours in this direction and agreed to the 1 % levy on earmarked projects. Austria contributed to the improvement of the UNDS with a voluntary financial assistance in 2019.
International Financial Institutions (IFIs)

Austria values the IFIs as efficient and effective channels for multilateral ODA, providing both financial and technical assistance to developing and transition countries. The important role of IFIs has increased further due to the global financial and economic crisis, migration trends, and the mounting challenges related to climate change. Austria therefore supports and is a longstanding partner of the World Bank Group, the Regional Development Banks (such as EBRD, AfDB, AsDB, AIIB and IDB) and specialised multilateral funds (such as the Global Environment Facility (GEF), the Global Facility for Disaster Reduction and Recovery (GFDRR) and IFAD). Austria seeks continuity and a longer-term engagement with IFIs and therefore kept budgetary commitments stable over the past years. This is also reflected in Austria’s recent commitments to the capital increases of IBRD and IFC, as well as the replenishments of IFAD and GEF in 2018.

The strategic foundation of Austria’s cooperation with IFIs has been, at the highest level, guided by the Three-Year Programme which establishes the overall goals of Austrian ODA. In addition, the MoF has formulated, in close cooperation with its stakeholders, a policy document that specifies strategic positions and priority areas for the programmatic cooperation with IFIs. These “Strategic Guidelines of the Federal Ministry of Finance for International Financial Institutions” were first developed in 2005, updated in 2009 and 2015, and are currently undergoing a further review process. The current update is expected to be finalised in summer of 2019.

For Austria’s voluntary bilateral contributions to IFI programmes and projects (“multi-bi”) the Strategic Guidelines define four priority areas in the draft update that are in line with the Three-Year Programme, reap synergies with other ADC actors and interventions, and enhance the effectiveness and visibility of Austrian support. These priorities are: (1) Sustainable Energy and Climate Change, (2) Water and Sanitation, (3) Financial and Private Sector Development, and (4) Urban Development and Connectivity. In line with these focus areas the MoF has built up a small portfolio of co-funded technical assistance projects with IFIs. A large part of them are housed at and implemented by the regional centre of the World Bank Group in Vienna.

The World Bank established its Vienna office with Austrian support. The Country Director for Southeast Europe leads the management of the World Bank’s lending programme and analytical work in Albania, Bosnia and Herzegovina, Kosovo, North Macedonia, Montenegro, and Serbia to support their economic development and preparation for eventual European Union membership. Almost 40 ongoing investment projects, with a total value of $1.7 billion in World Bank loans, help address development needs in areas such as transport, energy, environment, health, education, and social protection. Economic analysis and policy advice, based on the World Bank’s global reach and experience, also constitute an integral part of the Group's engagement in the countries of Southeast Europe.

Box 6: Multilateral activities on sustainable energy

Sustainable energy and climate protection, as a particularly critical public good, constitute one of the four priority areas of the cooperation of the MoF with IFIs. International Financial Institutions (IFIs) play an essential role in the structuring, regulation and financing of such global public goods. Within this priority area, the MoF advocates increasing the financing volumes for renewable energy sources, improving energy efficiency and increasing energy security through a broad mix
of technologies in the energy portfolio of a country or region. The critical examination of social, economic and environmental impacts of different energy sources and the renunciation of nuclear energy and greenfield projects that rely on fossil fuels are also part of the priority.

The MoF financially supports several IFI programmes that foster sustainable energy. For example, the World Bank Group (WBG) Energy Sector Management Assistance Program (ESMAP), the EBRD Sustainable Energy Financing Facilities (SEFF), the EBRD Delivering Resource Efficiency Investments in the Western Balkans and Turkey (DRIVE) Program, the EBRD Renewable District Energy Program for the Western Balkans, the IFC Clean Energy Infrastructure Programme for Southeast and Eastern Europe, the AsDB Technical Assistance on Increasing Modern Energy Services in Urban Areas, the IDB Sustainable Energy and Climate Change Multidonor Fund (SECCI), the IDB Sustainable Emerging Cities Multidonor Trust Fund (ESCI), among others.

To provide a concrete example, ESMAP is a partnership between the WBG and twenty donors. The partnership works to accelerate the energy transition required to achieve SDG 7 to ensure access to affordable, reliable, sustainable and modern energy for all. It provides analytical and advisory services that are fully integrated within the WBG’s country policy dialogue and lending programmes in the energy sector. Austria has been a partner of ESMAP since 2009.

As a second example, Austria also supports the EBRD Sustainable Energy Financing Facilities (SEFF). Through SEFF, the Bank extends credit lines to local financial institutions that seek to develop sustainable energy financing as a permanent area of business and on-lend the funds which they have received from the EBRD to their clients. These clients include small and medium-sized businesses and renewable energy project developers, among others. Finance for sustainable energy projects is provided for two key areas: energy efficiency and small-scale renewable energy. Austria has been supporting SEFF since 2010.

In recent years, Austria has enhanced its focus on performance monitoring and results in its cooperation with IFIs. Thus, the MoF has consistently advocated the use of results frameworks (RF) and corporate scorecards at the institutional level, and demanded project-specific RFs in multi-bi programmes co-funded by Austria. In addition, Austria monitors performance closely through the MoF representatives on IFI Boards and various external assessments of IFI performance. Moreover, the MoF has set itself clear targets for further enhancing the effectiveness of the IFIs in its own institutional results framework (”Wirkungsziele”). This performance monitoring informs funding allocation decisions.

Austria maintains an almost permanent presence in the Executive Directors’ offices in the World Bank and to a lesser extent at the regional development banks. Austria thus actively takes part in the discussion of policy issues, through various positions in Executive Directors’ offices, exchanges within constituencies and direct contacts between the institutions and the MoF. Since the last OECD DAC Peer Review Austria held the positions of Advisor/Alternate Director/Director in the World Bank, Advisor/Senior Advisor at the AfDB, the IADB, the EBRD, the AsDB and at the AIIB. All positions have been filled with experienced development experts.

https://www.bmf.gv.at/wirtschaftspolitik/int-finanzinstitutionen/Strategischer_Leitfaden_IFI_EN_.pdf?67ry3z
3. Financing for Development

Austria is conscious that ODA alone will not create sufficient resources to achieve the SDGs in 2030. It follows the principles and recommendations of the Addis Ababa Agenda for Action. It is clear that significant additional domestic public resources, supplemented by international assistance, has to be complemented by a sustainably growing private sector, improved tax systems, improved tax policy, more efficient tax collection, broadening the tax base and continuing efforts to integrate the informal sector into the formal economy in line with country circumstances.

3.1. Overall ODA volume

ODA provided by all ministries, provinces and municipalities totalled EUR 1.110 million in 2017, amounting to 0.30% of gross national income (GNI).

![Figure 2 Deployment of Austrian ODA 2004-2017 in EUR](image)

In 2017, the number of refugees and thus the in-donor refugee costs have fallen significantly. This caused a substantial decrease in bilateral ODA in 2017.

![Figure 3 Deployment of Austrian ODA 2004-2017, Percentage of GNI](image)
Figure 4 Financial sources of Austrian ODA 2017: Disbursements in %

Figure 5 Main components of Austrian ODA 2017

ODA targets
Austria continues to support common efforts and targets set by the EU to increase ODA and has an overall commitment to the 0.7 % target.
ODA trends and plans to meet targets

<table>
<thead>
<tr>
<th></th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
<th>2016</th>
<th>2017</th>
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<tr>
<td>ODA, total</td>
<td>882.37</td>
<td>930.46</td>
<td>1,193.15</td>
<td>1,477.37</td>
<td>1,110.00</td>
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<td>of which: bilateral ODA</td>
<td>409.20</td>
<td>479.81</td>
<td>705.42</td>
<td>890.25</td>
<td>532.63</td>
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<tr>
<td>of which: multilateral ODA</td>
<td>473.17</td>
<td>450.65</td>
<td>487.72</td>
<td>587.12</td>
<td>577.38</td>
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</tbody>
</table>

Table 1 Development of Austrian ODA 2013-2017

The low share of country programmable aid in Austria’s ODA continues to be a significant challenge on the way to the 0.7% target. The Medium Term Budgetary Framework provides a perspective for budget planning including ODA funds. However, international ODA goals will only be reached at a later date and no updated time-bound roadmap towards meeting the 0.7% target exists as of yet. In its current government programme, the Austrian Federal Government declares its clear intention to increase development funds until the 0.7% target is reached.

Furthermore, ADC not only succeeded in avoiding further budget cuts, but budgetary allocations for ADA and the Foreign Disaster Relief Fund have been increased.

ODA reporting

Austria reports its ODA in accordance with the reporting system of OECD DAC, reporting annually to the CRS database.

Austria is not a signatory of the International Aid Transparency Initiative (IATI) and has no plans to join the initiative. Austria will however continue to contribute to improved transparency in the field of development cooperation:

In order to better monitor ODA-predictability at an international level, Austria supports the strengthening of the OECD/DAC statistical reporting system. To ensure comparability, reliability and maintenance of statistical data, Austria is in favour of using OECD/DAC standards for all ODA-related databases at a global level as well as in partner countries. Austria therefore welcomes and participates in the DAC Surveys on Aid Allocations and Indicative Forward Spending Plans.

Austria also has been taking part in the reporting exercises under the Global Partnership for Effective Development Cooperation (GPEDC) since 2014.

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Figure 6 Deployment of Austrian ODA 2004-2017, bilateral vs multilateral

![Bar chart showing deployment of Austrian ODA 2004-2017, bilateral vs multilateral](image)

Figure 7 Austrian ODA 2015-2017, Country and non-country allocable aid

![Table showing net disbursements in € million and in %](image)

3.2. Bilateral ODA allocations

The Three-Year Programme defines focus countries, including those where ADC engagement will phase out (Bhutan) or be reviewed (Mozambique). Only a certain amount of Austrian ODA is programmable aid and therefore follows geographic and thematic priorities set by bilateral country strategies. ADC has a clear focus on a selected number of thematic priorities and a limited number of focus countries.
Within the bilateral country strategies, three fundamental policies are reflected: 1) results management, 2) EU Joint Programming (JP) and a 3) whole-of-government approach.

Austria is fully committed to EU JP as a means of increasing effectiveness of aid and reducing transaction costs in the long term as well as enhancing leverage and visibility of EU efforts.

ADC generally undertakes long-term commitments in partner countries. Its engagement in focus countries takes account of ownership and partnership, local demand, the activities of the international community and its own aims, strengths and capabilities.

The bilateral programme of ADC is implemented by ADA. The budget for this is set out in the Austrian Federal Finance Act and supplemented by finance from the European Recovery Programme (ERP).

ADA is also increasingly implementing funds from other ministries and from the European EC (delegated cooperation). ADA perceives delegated cooperation as a concrete administrative frame to enhance division of labour, joint implementation, complementarity and synergy among European development agents. Since ADA’s accreditation with the EC in 2008, the share of delegated cooperation in the operational budget has grown steadily, from 10% in 2004-2008 to 25% average in the years 2015-2018. As of 31 March 2019, the contract volume (i.e. funds received from the EC) of running projects amounts to EUR 89.48 million.

In addition, ADA successfully applied for accreditation with the Green Climate Fund (GCF).

**Soft Loans**

To support developing and emerging countries, Oesterreichische Kontrollbank (OeKB), the Austrian Export Credit Agency, provides concessional loans, so-called soft loans, backed by the MoF. These loans are earmarked for sustainable projects that are implemented by Austrian companies and that benefit the general public in less developed countries. Recipient countries and domestic entrepreneurs profit equally from this special type of financing.

Only commercially non-viable projects that improve the standard of living of the general public in developing countries are promoted. The focus is on infrastructure projects in important sectors.
like health, water, disaster control and education. In this context, commercially non-viable means that little to no revenue is expected for the foreign operators, for example projects of public and social infrastructure.

Soft loans are characterised by low interest rates and long repayment terms with grace periods. The legal principles for the Austrian export financing scheme are stipulated in two acts:

- Export Guarantee Act (Ausfuhrförderungsgesetz)
- Export Financing Guarantees Act (Ausfuhrfinanzierungsförderungsgesetz)

Debt relief

Austria has participated in the Paris Club’s core agenda to find coordinated and sustainable solutions to the payment difficulties experienced by debtor countries since its foundation.

Austria’s Paris Club team consists of representatives from the MoF as head supported by technical experts from the OeKB and representatives from the MFA as observers.

Austria has participated so far in more than 250 multilateral agreements with debtor countries providing debt treatments in the form of rescheduling, which is debt relief by postponement or, in the case of concessional rescheduling (under the HIPC10-Initiative and the Multilateral Debt Reduction Initiative, MDRI), through reduction in debt service obligations during a defined period (flow treatment) or as of a set date (stock treatment). Debt relief under HIPC/MDRI is granted in conformity with World Bank and IMF programmes to support economic and social development and to restore debt sustainability of the debtor country. Debt relief is reported as ODA according to the relevant provisions of the DAC.

Technical assistance including imputed student costs

Imputed student costs make up an important part of Austrian bilateral ODA. These encompass relevant indirect costs for partner country students at Austrian universities. Overall costs have increased slightly in recent years.

In-Donor refugee costs

Due to the refugee influx in 2015 and 2016, in-donor refugee costs have made up a significant part of Austrian ODA in recent years. While the definition of in-donor refugee costs initially was unclear, recent clarifications to the reporting directives by OECD/DAC were highly welcomed by Austria and implemented for the reporting on 2018 flows. Refugee-related costs are one of the main drivers of the variation of Austrian ODA within recent years.

Humanitarian assistance including the Foreign Disaster Relief Fund

Austria’s main financing instrument is the Foreign Disaster Relief Fund (FDRF), which was established in 2005 by federal law. Since 2010, the Fund had been replenished with an annual budget allocation of EUR 5 million, and was quadrupled in 2016 (EUR 10 million, 2017: EUR 20 million, a further augmentation). In order to release funds, a decision by the Council of Ministers is needed. In addition, the MST contributes to the international Food Assistance Convention.

10 39 Heavily Indebted Poor Countries.
Moreover, Austria is making significant contributions to financing instruments in support of countries and local communities hosting large numbers of refugees (IDA 17; EU Facility for Refugees in Turkey; EU Regional Trust Fund in response to the Syrian crisis (MADAD Fund), UNDP Stabilization Fund for Iraq, EU Trust Fund (EUTF) for Africa) and partner country programme-budget if necessary.

Other significant services/contributions come from the Ministry of Defense (MoD) and the Ministry of the Interior (MoI).

Local/Regional Development Financing

Decentral administrative entities – regions and municipalities – are an important partner in Austrian bilateral ODA. They contribute ODA in various forms, for example by financing projects in partner countries, in the course of town twinning projects or by providing assistance to refugees in Austria. Their contribution thus has changed in recent years due to refugee influx in 2015 and 2016.

Figure 9 Austrian ODA allocation by sector
Besides bilateral cooperation administered by ADA, other ministries make substantial contributions to total bilateral ODA.

In December 2018, the MESR launched the “Austrian-African Cooperation Initiative in Higher Education and Research” to further develop the cooperation of Austrian higher education and research institutions with partners in African countries.

New bilateral agreements on “Scientific and Technological Cooperation” were (Egypt, December 2018) or will soon be signed (Ethiopia, spring 2019). In the frame of these agreements, jointly funded calls for bilateral research projects will be carried out from 2019 on (Budget allocated: max. EUR 90.000 per country/per year).

In 2019, a newly restructured funding programme in the area of development research will be launched. With an increased budget the BMBWF will support solution-oriented small research projects with partners in non-European countries of the OECD DAC categories „Least Developed Countries“, „Other Low Income Countries“, „Lower Middle Income Countries and Territories“ (except India), contributing to the SDGs adopted by the United Nations in 2015.

As a third pillar the BMBWF will develop and launch an Austrian-African Research Network in 2019 to support the establishment of long-term partnerships and sustainable cooperation between Austrian and African academic institutions. (Budget allocated: max. EUR 250.000 per year)

The annual ODA report provides general overviews and detailed breakdowns of this part of funding.
3.3. Multilateral ODA allocations

<table>
<thead>
<tr>
<th>Organisation Type</th>
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<td>UNHCR</td>
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<td>17.81</td>
<td>18.83</td>
<td>36.60</td>
<td>22.64</td>
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<td>of which:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>FMI voluntary contributions</td>
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<td>4.84</td>
<td>4.88</td>
<td>4.61</td>
<td>4.63</td>
</tr>
<tr>
<td>FMI obligatory contributions</td>
<td>8.51</td>
<td>7.10</td>
<td>7.54</td>
<td>9.61</td>
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<td>190.79</td>
<td>215.41</td>
<td>233.04</td>
<td>242.88</td>
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<tr>
<td>of which:</td>
<td></td>
<td></td>
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<tr>
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<td>241.20</td>
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<td>297.86</td>
</tr>
<tr>
<td>of which:</td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>budget</td>
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<td>215.73</td>
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<td>EDI</td>
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<td>81.94</td>
<td>83.39</td>
<td>95.14</td>
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<tr>
<td>Other organisations</td>
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<td>6.49</td>
<td>12.27</td>
<td>18.35</td>
<td>12.00</td>
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<tr>
<td>Total</td>
<td>473.17</td>
<td>456.65</td>
<td>487.73</td>
<td>587.12</td>
<td>597.38</td>
</tr>
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</table>

In % of total ODA:

<table>
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<tr>
<th>Year</th>
<th>Total ODA (€ mln.)</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
<th>2016</th>
<th>2017</th>
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<tr>
<td>2015</td>
<td>882.37</td>
<td>54</td>
<td>48</td>
<td>41</td>
<td>40</td>
<td>52</td>
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</tbody>
</table>

Figure 10 Multilateral Austrian ODA allocation

3.4. Financing for sustainable development

Mobilizing resources: Private Sector Engagement / Working with private sector

The “Business Partnership Programme” (BPP) is ADC’s key instrument for private sector engagement (PSE) - a co-financing scheme for long-term engagement of companies in developing countries – serving both the commercial interest of the companies involved and likewise the interests of the target countries and beneficiaries there.

In the meantime, the partnership programme with the private sector has been further developed and refined and additional options are available now. In 2015, the „Strategic Partnership“ (SP) instrument has been introduced. Strategic partnerships aim at bringing about improvements on a systemic level in developing countries/emerging economies. They definitely exceed the direct confines of an individual enterprise and support socio-economic development in several countries at the same time through close cooperation between ADA, European business partners and local actors. SPs normally derive from previous collaborations with ADA.

Key features of a SP are:
- the significant integration of key actors working on the meso- und macro level, thus creating a structuring and sustainable impact;
- the potential for broad impact, particularly for poor and deprived parts of the population in the target region;
- pursuing a multi stakeholder approach (local and foreign companies, interest groups, chambers of commerce/labour, CSOs and public administration);
- A high degree of innovation – new ways in solving developmental problems by generating new products, processes or new institutions;
- The potential for replication and best practice example; promotion of learning effects by an active knowledge management.

SPs assume new proportions – both in terms of required financial resources and working hours; therefore there are only few in the present portfolio.

**Box 7: SP in practice: “Danube Soja – Sustainable and inclusive value chains in the Danube region”**

The overall objective of the project is to build sustainable, inclusive and well-functioning value chains (local, regional and international) for non-GM soya and organic soya in Bosnia-Herzegovina, Moldova, Serbia and Ukraine until 2021. Activities include trainings for producers to share knowledge and best practices in soya cultivation and processing, capacity development of extension services, promotion of organic cultivation, market development and trade facilitation, and improvements of the business environment to favour soya production, processing, trade and use. Other core activities are the promotion of European standards in agricultural production and the introduction of the “Donau Soja” quality system and labelling scheme.

In 2015, ADA invited to a so-called “Social Entrepreneurship Challenge“ - looking for new ideas to enhance the cooperation with “Social Entrepreneurs“. As a result, a broad variety of problem solving business ideas were presented – from designer fashion produced under fair conditions to sustainable energy supply or computer games on financial literacy for young persons.

In order to raise the awareness and stimulate the dialogue on business, SDG and development IN Austria, the instrument for “Initiatives in Austria“ has been set up. In this context, one particular initiative is the creation of an „Import Information Hub Austria“. The hub combines Austrian traders’ interest in high quality, well-priced import products with developmental objectives of strengthening the competitiveness of the local private sector and improving its integration in international supply chains. The project will operate in close cooperation with existing import programmes in other European countries.

In addition, ADA cooperates with private sector partners in target countries to improve the respective business ecosystem (access to finance, access to know-how, access to markets).

Over the years, ADA has also increased the variety of partner organisations. Whereas at the beginning the focus was very much on small scale companies, over the years medium sized and global acting businesses, associations and foundations became partners, too. Recently, ADA has paid increased attention to innovation and development. In this context, also cooperation with universities and agencies of science promotion has been intensified. Recently, an initiative on “Blockchain for Development“ has been launched. Blockchain-based applications have the potential to address institutional weaknesses because they can restrict deception, corruption and
uncertainties as well as empower people directly and mitigate power asymmetries. In the specific context of the SDGs, this means that blockchain technology can be an enabler of new forms of business collaborations, be it between businesses and other sectors or between “the North and the South”. The aim of the project is to inform and empower entrepreneurs, development agencies, CSOs, business networks and researchers/experts to understand and use blockchain technology for the implementation of the SDGs as well as showcase on a practical level how blockchain can contribute to the SDGs through the preparation of two pilot projects.

Since the beginning of BPP, more than 200 projects have been realized and more than 5.600 new jobs were created.

Achieving the SDGs requires innovation. “Business as usual” will not be sufficient. Besides more holistic approaches, innovative solutions for increasingly complex challenges will be fundamental. ADC and ADA are working on innovation for development on the following levels:

1. Creating new and using existing space for experiments and innovative settings, while applying professional methods, techniques and approaches to achieve fast and concrete results.
2. Promoting innovation in development: Funding projects that promote either specific innovations or local innovation systems. For that reason, ADA is investing in tools to better assess and promote innovation.
3. “Learn and teach”: Creating awareness with stakeholders and staff that innovation is critical for SDG achievement; colleagues acquire knowledge of how innovation management works; sharing experiences enhances the ability to implement innovations.

OeEB - approach to financing sustainable development

The OeEB has increased its portfolio regarding financing the private sector from EUR 802 million in 2014 to EUR 1.19 billion in 2018. In 2018, it has signed 17 investment finance projects of EUR 257.41 million, three equity projects of EUR 18 million and nine Technical Assistance Projects of EUR 0.5 million. As renewable energy and energy efficiency are priority sectors, OeEB is the biggest contributor to international climate finance in Austria. In 2017, it has provided EUR 75.6 million of its portfolio for projects protecting the climate.

Mobilizing additional development finance

On the occasion of the High Level Forum Africa-Europe in Vienna (December 2018), the MoF has taken the initiative to set up a new investment fund of EUR 10 million for smaller investments of Austrian SMEs in Africa. OeEB will manage the fund. The aim is to enable sustainable projects in African countries and thereby contribute to employment and stabilization in these countries.

Particularly for smaller projects with high unit costs or projects with high risk, the Austrian business sector has repeatedly indicated a funding gap. At the same time, the new investment fund also closes a gap between the Business Partnerships of the ADA and larger financing and investment projects of OeEB. The Austrian MoF is currently elaborating in detail the new instrument in cooperation with experts from OeEB.
Tracking and reporting beyond ODA flows:

Austria has been engaged in EU discussions on blending mechanisms, like the Western Balkans Investment Framework (WBIF) right from the beginning. This is done both by contributing financially to these funds and at the policy level by participating in the EU Platform for Blending in External Cooperation.
4. Structure and Systems

4.1. Authority, mandate and coordination

Authority and leadership

The responsibility for development cooperation is shared between different stakeholders, with the MFA being in charge of the overall strategy and coordination. Within the MFA, Directorate-General VII - Development Cooperation and Humanitarian Assistance is in charge of development policy and humanitarian assistance.

Section VII is divided into five Directorates:
- Directorate VII.1 – Development cooperation / European Union and United Nations
- Directorate VII.2 – Thematic issues and development financing
- Directorate VII.3 – Humanitarian assistance
- Directorate VII.4 – Cooperation strategy, public relations, evaluation
- Directorate VII.5 - Planning and programming of development cooperation

Coordination

Actors in Austrian development policy include the federal government, provinces, cities and municipalities, ADA, OeEB, Austrian CSOs, the private sector, social partners and chambers, scientific and educational institutions and volunteers.

As a member of the UN and the EU, Austria co-shapes international development cooperation. It also supports the development-policy work of the IFIs.

With regard to measures by the federal government, the Federal Act on Development Cooperation states that the Minister of Foreign Affairs shall ensure the coordination of international development policy. Thus, the MFA is responsible for drawing up the Three-Year Programme on Austrian Development policy in consultation with all Austrian stakeholders.

While the thematic and geographical priorities are defined by the whole government, they are then implemented by the respective competent ministries within their own purview.

In addition to the Three-Year Programme, (advisory) boards of various Austrian development institutions play an important role in ensuring internal coherence.

- ADA’s Supervisory Board chaired by the MFA includes representatives from the MFA, the MoF, MST, MDEA, Ministry of Labour, Social Affairs, Health and Consumer Protection.
- The “Business and Development Board”, which discusses OeEB projects includes, among others, representatives from ADA, MFA and MoF.
- The Export Financing Committee which is responsible for soft loans includes representatives from ADA and MFA and
- the advisory committee for ADA’s business partnership projects includes representatives from OeEB, WKÖ and MFA.

These boards discuss concrete project proposals as well as policy issues.
When executing development cooperation, the Federal Government shall primarily use the administration and project implementation capacities of the developing countries and thus strengthen the structures of civil society and public structures in these countries as stated in the Federal Act on Development Cooperation.

As the operational unit of ADC, ADA manages the programmable bilateral development cooperation budget and is responsible for the implementation of ADC strategies and programmes. MFA has the leading role in formulating policy and strategic guidance for ADA.

Implementation in partner countries is managed by the Austrian Coordination Offices for Development Cooperation, which are part of Austrian Embassies. They ensure dialogue with actors in partner countries, that activities meet local needs and monitor the efficient use of resources. Measures are coordinated with all development partners.

The WKÖ, with its international department ADVANTAGE AUSTRIA, is running about 100 offices in over 70 countries and provides a broad range of information and business development services for both Austrian companies and their international business partners.

The network of ADVANTAGE AUSTRIA offices and the Austrian Coordination Offices for Development Cooperation cooperate closely in the ADC focus countries. In some countries, colocation models are in use.

ADVANTAGE AUSTRIA and ADA jointly undertake to mobilize the private sector in finding and implementing innovative and sustainable solutions.

The MoF pursues Austrian interests in development and foreign trade policy at the level of multilateral finance and development institutions and is also responsible for the operations of the OeEB. Contributions to the capital of IFIs, their soft windows and their funds are financed out of the MoF budget. Contributions to EU development cooperation under the European Development Fund (EDF) or other EU instruments are also borne by the MoF budget, whereas the MFA represents Austria in the EDF Committee. Soft loans and internationally agreed debt relief measures under the Paris Club or HIPC are negotiated by the MoF.

4.2. Systems for aid delivery

As there are several government institutions involved in the implementation of Austrian development cooperation, the systems of delivery or parts of them vary according to the respective institutional contexts. The Three-Year Programme as the main strategic document has – involving all relevant stakeholders - a clear and transparent process and procedure of formulation and follow-up. It offers a set of strategic objectives, which are deducted from the Agenda 2030 and reflected in the cooperation strategies.

The allocation of resources to Austrian ODA actors is part of the general budgeting process, which provides predictability via its medium term four-year budgetary framework.

The present Three-Year Programme 2019 - 2021 includes a financial forecast covering the period 2017 to 2022. This scenario is based on the medium term budgetary framework and provides detailed figures on the allocation of resources by type of aid. In 2017 and 2018, Austria could not meet the proposed budgetary levels.
The allocation of resources for the thematic and geographic priorities of Austrian ODA is based on the Three-Year Programme, as well as on the IFI strategy and the strategy of the OeEB.

At the same time and in line with the provisions of the Development Cooperation Act, the Federal Minister for Foreign Affairs has to ensure the coordination of international development policy both in Austria and with regard to the European Union. By involving all government actors in the process of drawing up the Three-Year Programme, in addition to a variety of different formats put in place to ensure policy coherence for development, the MFA tries to meet this mandate.

Semi-annual inter-ministerial coordination meetings, clustered according to geographic regions, have been instituted to steer and monitor the implementation of existing cooperation strategies, to review the progress of the elaboration of new cooperation strategies and to discuss the state of SDG alignment on the basis of constantly adapted and further developed results frameworks.

With regard to monitoring and reporting, result-orientation is paramount and will be further developed.

Procurement, contracting and agreement-making are applying the respective European regulations and legal frameworks.

4.3. Capabilities throughout the system

4.3.1. Staffing levels, composition and location

The number of staff in the Directorate-General for Development Cooperation and Humanitarian Assistance in the MFA has not changed significantly. ADA has 93 experts at headquarters and in field offices 12 international and 45 local staff members. For projects, 8 international experts and 44 local staff members are employed.

Other important stakeholders such as the MoF and OeEB were able to employ an increasing number of experts. The OeEB saw the most impressive increase, with just 13 staff members in 2009 as compared to 32 in 2013 and 60 in 2018.

Figures detailing staffing levels can be found in annex 2 of the Memorandum.

Field offices of ADC are staffed by a mix of professionals from headquarters and locally-recruited personnel. Professionals from headquarters usually rotate every four years. Longer assignments, particularly in key positions, and experts who can draw on their broad experience and comprehensive knowledge, are key for the institutional memory. Staff exchange and rotation between different organisations is rare.

Other structures for project implementation are the WKÖ with its international department ADVANTAGE AUSTRIA and KulturKontakt Austria (KKA) which is a European competence and resource centre for the core areas of cultural education with schools in Austria, international educational cooperation, and the Artists in Residence programme for artists from other countries.

The non-profit organisation develops and implements its programmes on behalf of and supported by the MESR and the Austrian Federal Chancellery. KKA maintains a network of project offices with locations in Eastern and South-Eastern Europe for the planning and implementation of systemic education programmes.
4.3.2. Staff development

At the MFA, as an integral part of the initial two years training period, newly recruited diplomats in the Austrian foreign service receive a thorough introduction to the Austrian development cooperation policy. In addition to this, the training period for young diplomats also includes a one-day seminar on international economic policy and the work of IFIs.

In the Austrian public service, basic training for all public servants is organised by the Federal Academy for Public Management (Bundesverwaltungskademie). The curriculum of this Academy includes a seminar on international cooperation with partner countries. In November 2015, a pilot-seminar on »Policy Coherence for Development« (PCD) as a “whole-of-government” (WoG) challenge took place in the Academy with the participation of officials from a significant number of entities. Based on the positive experience and feedback, it is foreseen to continue with a next seminar. In addition, the MoF disposes of its own Federal Finance Academy (Bundesfinanzakademie) for training on taxation and general finance issues.

ADA offers trainings, peer learning and knowledge exchange activities to staff both at headquarters and in the field. The activities are designed to help develop the necessary skills and expertise for specific tasks and activities, and to provide staff with support and continued on-the-job training in order to keep up to date with new developments and challenges.

The training week for all sector advisors and programme officers of ADA’s country offices that are carried out every second year form a key element of the staff development efforts. The last of these training weeks took place in 2018. It contained thematic workshops and seminars on the newly rolled-out Environmental, Gender and Social Impact Management System, risk analysis and management, and SDG indicators, but also provided an opportunity for exchange on political and social developments in the ADC partner countries.

Depending on the scope and topic, training and knowledge exchange are opened to staff from the MFA, other ministries as well as project partners. In the past, this was, for example, the case for trainings that had a bearing on enhancing the knowledge on the human rights based approach, social standards and safeguards in programme and project design and implementation.

To promote the sharing of knowledge and of resources, Austria seeks the cooperation with knowledge and research institutions as well as other donors. Among the cooperating partners are the Austrian Foundation for Development Research, the Vienna Institute for International Dialogue and Cooperation, the European Centre for Development Policy Management or the International Institute for Applied Systems Analysis. Over the last few years, the topics discussed ranged from PCSD, domestic resource mobilisation, taxes and development, the migration challenge, the humanitarian assistance and development cooperation nexus, nutrition and food security, or global water resource development against the backdrop of climate change.

A few other recent examples are noteworthy. Through the Learn4Dev Network, a series of webinars on Political Economy in Practice were organised in 2017 and 2018. The focus was laid on the fields of decentralisation, water, peace and security, and economic development. In collaboration with GIZ and SDC, ADA hosted a two-day seminar on migration and development for ADA staff and staff of MFA, MoF and development cooperation CSOs. ADA partners with GIZ and SDC in the field of dual vocational education and training approaches and systems.
partnership includes the Lichtenstein Development Service. A joint learning journey was organised on gender and migration with experts from UNWOMEN, the EU, the OECD, and UNHCR to discuss migration relevant gender aspects and develop recommendations on how to address them\(^\text{11}\). Joint regional workshops for knowledge exchange and learning took place in Ouagadougou and Tirana for Western and Northern Africa and the South-Eastern European and Southern Caucasus regions, respectively, that benefitted both the organising donor agencies and staff of developing country institutions.

**Staff at the MoF** dealing with international financial issues are mostly social scientists, economists and lawyers and most of them have international experience and/or are trained development economists. All new staff members have to pass a 1-2 year basic training at the Ministry including final exams on economic and financial policy, taxation, budgetary issues and, among others, IFIs. The training programme includes a six-weeks-training in other departments of the Ministry or in other institutions closely related to the tasks of the desk officers.

**OeEB** provides capacity development for all staff members. There are both internal and external trainings on development related issues. The internal training consist of an extensive on-boarding programme with development policy related slots. In addition, external consultants are offering “Development Theories for Practitioners” for all new staff members on an annual basis. Staff members are also using the training opportunities of other Development Finance Institutions (DFI) and the trainings offered by the European Development Finance Institutions (EDFI) network. OeEB has piloted a staff exchange programme with the Dutch DFI.

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\(^{11}\) [https://www.entwicklung.at/fileadmin/user_upload/Dokumente/Gender/L4D_Report_on_JLJ_on_Gender__Migration.pdf](https://www.entwicklung.at/fileadmin/user_upload/Dokumente/Gender/L4D_Report_on_JLJ_on_Gender__Migration.pdf)
5. Delivery Modalities and Partnerships

5.1. Modalities and instruments

Generally, a clear distinction can be made between the allocation of bilateral aid (MFA and ADA) and multilateral aid (mainly MoF). This distinction is laid down in the Federal Ministries Act that attributes concrete portfolios to each of the Federal Ministries. There are no provisions in place for a joint development cooperation budget handled by the Government or a specific ministry, but a number of ministries have separate budget lines for their discretionary (mainly bilateral) and/or obligatory (mainly multilateral) contributions. The modalities of aid and instruments are closely linked to the different mandates of the various actors and stakeholders of development cooperation.

In the case of MFA and ADA, the allocation of the bilateral (and discretionary) aid budget reflects the Three-Year Programme on which the annual work programme of ADA is based. The allocation of multilateral funds (IFIs, EU, UN) depends in most cases on (legally binding) agreements with these organisations and in the case of IFIs is managed by the MoF.

A smaller programme of voluntary contributions to the UN is run by the MFA but has recently suffered from major cuts.

Delegated cooperation is a strategic modality for ADA. In this modality, either the EC provides funding for a project implemented by ADA or the other way around. Besides bolstering division of labour and donor coordination, it constitutes an important Austrian contribution to the implementation of joint European Development Cooperation and increases the leverage and impact of ADC funds. ADA is perceived by the EU as an experienced and trusted partner: It has so far implemented (incl. ongoing projects) EUR 165 million provided by the EC and ADA has, since 2014, transferred EUR 9.05 million to be implemented by the EC. ADA currently carries out a total of eleven EU co-financed projects in Burkina Faso, Uganda, Ethiopia, Albania, Kosovo, Serbia, Armenia, Georgia and Moldova.

Budgeting process / predictability and flexibility

At partner country level, budget forecasts are part of the respective strategies. The annual programming and aid allocation process and annual commitments echo the needs, procedures and absorption capacity of the respective partner country. This approach provides for flexibility in the choice of modalities, the level of annual disbursements and reallocations where necessary. The MoF provides multiannual financing to several IFI programmes and projects via its multi-bi cooperation, and provides support to the OeEB for equity investments. Long-term investment loans are extended by OeEB on its own account, covered by project-specific guarantees by the MoF.

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12 The Three-Year Programme includes a forecast scenario covering ODA contributions from all Austrian actors. This is a requirement defined in the Development Cooperation Act. The forecast compiles ODA funds from different ministerial budgets, but is not an instrument to decide on the allocation of Austria’s ODA to different instruments and modalities.
Programming process

Programming at country level is guided by multi-annual country strategies accessible at the ADC website.\(^{13}\)

The choice of priorities, sectors and particular modalities is made in dialogue and consultation with partner governments and development partners in order to align them with partner countries’ own strategies. Considerations include ensuring the most appropriate response to local context and a mix of modalities to reduce fragmentation and manage diversity.

Quality assurance for ADC programmes and projects includes technical backstopping by sector experts as well as screening and mainstreaming of several topics such as poverty reduction, gender, environment, good governance and human rights and conflict prevention. A dedicated management system is furthermore in place to identify environmental, gender and social risks and safeguards in line with international standards.

<table>
<thead>
<tr>
<th>Focus countries</th>
<th>Multi-annual country strategies</th>
</tr>
</thead>
<tbody>
<tr>
<td>Albania</td>
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</tr>
<tr>
<td>Kosovo</td>
<td>2013 – 2020 (to be extended for 1 year)</td>
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<td>Armenia</td>
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<td>Georgia</td>
<td>2012 -2020</td>
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<td>Uganda</td>
<td>2019-2025 (under finalization)</td>
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<tr>
<td>Mozambique</td>
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<td>Burkina Faso</td>
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<td>Bhutan</td>
<td>2019-2023</td>
</tr>
<tr>
<td>Palestine</td>
<td>EU Joint Strategy 2017-2020</td>
</tr>
</tbody>
</table>

Table 2 Country Strategy Timeline

Box 8: Austria and Bhutan in the energy sector

Austria’s cooperation with Bhutan’s energy sector dates back to 1986 when the Royal Government of Bhutan approached Austria for assistance in the electrification of Eastern Bhutan. Starting from there and considering the needs as well as Bhutan’s and Austria’s potential regarding electrification, the energy sector and especially rural electrification was identified as one of the focal sectors of ADC in Bhutan.

This strategic orientation led to the successful installation and full operation of four hydropower plants: Rangjung was inaugurated 1996, Basochhu Upper Stage, commissioned in 2001; and Basochhu Lower Stage inaugurated in 2005, generating annually about 307 GWh. The

\(^{13}\) http://www.entwicklung.at/publikationen/strategische-dokumente
fourth plant, Dagachhu, started operation in 2015, adding another 126 MW or 500 GWh into the Bhutanese grid. All of these plants are not constructed as dam storage but as run-of-river power plants, thus avoiding many of the typical environmental problems found in hydropower construction. The National Environmental Commission and a modern environmental law supervise the compliance with international environmental standards.

The Dagachhu project is the first hydropower project managed by a Bhutanese team, and the team worked with an Austrian consultant. The facility is a joint venture between DPGC, Tata Power Co. Ltd. (India) and the National Pension & Provident Fund of Bhutan (NPPF). DGPC holds 59% of equity in the project, Tata Power Co. Ltd. holds 26% and NPPF has the remaining 15%. The investment was financed in the frame of the Clean Development Mechanism (Kyoto protocol). Total investment costs of approx. EUR 152 million were covered by: Bhutan (36%), private Indian investment (10%), loans (AsDB, Raiffeisen Austria and OeKB) and 2% ADC (technical assistance).

In the area of **hydropower safety and environmental e-flow**, senior experienced technical experts from Austria guide and assist the Bhutanese counterparts to develop safety monitoring guidelines and guidelines on determination of minimum environmental e-flow respectively.

The **rural electrification programme** provides electricity connections in environmentally sensitive and high altitude remote rural areas.

The **energy efficiency (construction) and renewable energy (solar heater) programme** strives for savings and diversification of energy sources in Bhutan.

### Alignment and use of country systems

Austria is committed to apply the principles of the “Global Partnership for Effective Development Cooperation” (Busan Global Partnership), to align with partner country strategies and programmes and to strengthen and use partner country systems for implementing development cooperation projects.

These commitments are reflected in the modalities applied in bilateral cooperation, and in the possible combination/mix of modalities selected for a respective focus country on the basis of an exhaustive dialogue with government and other national and international stakeholders and partners. The strength of this system relies in its flexibility and the possibility to identify quick, accurate and precise answers to existing and new challenges.

ADC country strategies are aligned with partner countries’ programming cycles where feasible. In case of absence of a local basis, ADC will align as far as possible with the policy and programming cycle of the EU. In case of assistance to government - be it in the form of sector support or specific projects or programmes - use of country systems is the standard mode. Country-level Public Financial Management (PFM) systems are used where and whenever appropriate.

Support provided is based on results frameworks as well as on the monitoring and review mechanisms of the partner country. ADA refrains from requesting additional indicators or separate data collection, thus reducing fragmentation of monitoring processes and parallel reporting requirements (as far as own accountability requirements allow).
Analysis of risks and opportunities informs planning and programming

ADA applies various instruments to assess risks, including corruption. Where national execution or budget support are used, they are subject to a comprehensive risk assessment exercise, done in coordination with development partners whenever possible. ADA also actively participates in joint review and monitoring mechanisms of such programmes. In the case of project funding, implementing partners have to undertake a general risk assessment in the course of the grant application procedure. Anti-corruption clauses are included in all agreements. Within the agency, several mechanisms are in place aimed at preventing fiduciary risks. These include segregation of duties, more-eyes-principle, declarations of impartiality and evaluation committees for the provision of funds, code of conduct, examining the financial and factual correctness of programmes and projects, and internal and external audit.

As a follow-up to ADA’s Annual Conference 2017, which was dedicated to the topic of ‘Risk Management’, ADA has worked intensively on streamlining and strengthening its internal processes and tools for risk identification, risk-rating and risk management in projects and programmes. A handbook on the topic has been developed as well as associated tools: a risk register template, a catalogue of standard risks to assist programme managers in identifying relevant risks, and a new partner assessment tool. Several training events for staff have taken place and more are planned. The new tools are being piloted in 2019. In this year’s Annual Conference, the prevention of sexual exploitation and abuse will be taken up as topic to be jointly discussed and followed up among staff in legal, programme and risk-management units.

ADC supports the joint application of analytical tools (for example Public Expenditure and Financial Accountability - PEFA) to ascertain the capacity of partner country systems to apply transparent and verifiable criteria. ADA supports joint training for donors, partners and civil-society actors in public finance management, as well as capacity-building of domestic accountability institutions such as parliaments and national audit institutions for instance via the international association of Supreme Audit Institutions, INTOSAI.

Untying and Conditionality

Austria’s bilateral ODA is untied with the exception of parts that cannot be untied like administrative costs, secondments, refugee costs or imputed student costs. The subsidy for soft loans under the OECD Arrangement for Tied Aid presents only a minor part of Austria’s ODA.

5.2. Partnerships (including triangular cooperation)

5.2.1. Division of labour and joint approaches

Division of labour has become an important concept underpinning our development assistance. In line with the EU Code of Conduct on Division of Labour in Development Policy, ADC actively supports these efforts at all levels and restricts interventions to two (in exceptional cases three) sectors in a given partner country.

Austria participates in coordination mechanisms of the donor community with the governments of partner countries and has taken over a lead function in a number of countries where relevant sector coordination mechanisms have been established (Uganda and Albania: Water and
Sanitation, Burkina Faso: Private Sector and Handicraft Development, Kosovo: Higher Education). Transfer agreements (delegated cooperation from ADA to the EC) have been concluded for Palestine, whereas Delegation Agreements (ADA is mandated by the EC) have been signed for projects in South-East Europe, Western and Eastern Africa and the Black Sea Region, both of which are reducing transaction costs for partner governments. As of 31 March 2019, ADA implemented eleven EU Delegation Agreements in Kosovo, Serbia, Moldova, Armenia, Georgia and the Horn of Africa.

Like most donors, Austria takes part in the expert fora of the UN, the EU and the OECD/DAC on a regular basis.

5.2.2. Accountability and transparency

ADC participates in mutual accountability mechanisms at the level of partner countries where such mechanisms between donors and partners are in place.

The results matrices of the Country Strategy Papers are drawn from partner countries’ result frameworks and constitute the benchmarks for monitoring ADC’s country programmes.

At a global level, ADC reports to a number of international initiatives designed to enhance accountability, for instance the OECD/DAC Forward Spending and Aid Allocation Survey. Austria also contributed to the Monitoring Reports of the Global Partnership for Effective Development Cooperation.

The MoF greatly values CSOs and their engagement with IFIs. It also sustains a regular direct exchange on specific topics and/or institutions with CSOs. The aim of this engagement is to create more transparency and accountability of the work of IFIs and to encourage IFIs to work more directly with CSOs to increase their development impact.

5.2.3. Partnerships

Working in partnership with a broad range of actors, including government entities, parliaments, supreme audit bodies, CSOs, the private sector, universities and research institutions is central to Austria’s approach to development cooperation.

For ADC/ADA this includes active engagement in donor coordination at a country-level, division of labour, Joint Programming or co-funding (for example with the EC, SDC and Czech Development Agency in Moldova). At an international level, it means coordination, knowledge exchange and learning in networks like the Practitioners Network for European Development Cooperation, EU expert groups, Cap4Dev, or the OECD DAC thematic networks. Civil society actors are important partners for the achievement of ADC’s objectives, both at the level of partner countries and at home.

ADA’s Business Partnership Programme (BPP), established in 2005, has matured and is considered to be an important and effective instrument for mobilising the private sector for development cooperation purposes. ADA is increasingly looking to develop long-term strategic partnerships, based on Memoranda of Understanding, with other donors (for example with the Czech Development Agency, or long-term cooperation currently under discussion with OFID, Israel’s Development Cooperation Agency MASHAV) and with significant private sector
companies. It is envisaged that this will enable both sides to leverage synergies and implement larger envelopes together.

**Box 9: Partnership ADVANCE AUSTRIA and ADC**

The Austrian private sector has the capability to provide significant contributions for the implementation of the SDGs. ADVANCE AUSTRIA strives for using this potential and has developed respective instruments in cooperation with other stakeholders.

Regular coordination meetings with different partner groups are organized; including the UN Global Compact Network in Austria, respACT (Austrian Business Council for Sustainable Development), Global Responsibility (umbrella organization of Austrian development CSOs), R20 Network, Brainbows and financing partners such as ADC, OeEB, ADA and MoF.

ADVANCE AUSTRIA organizes a large number of events every year to facilitate business contacts. Other services provided by ADVANCE AUSTRIA offices range from presentations to Austrian companies interested in importers, distributors or agents, to providing in-depth information on Austria as a business location and assistance in entering the Austrian market. Incoming missions to Austria and business delegation from Austria are another aspect of the close cooperation between ADVANCE AUSTRIA and ADC.

The WKÖ is also a key player in the field of dual vocational education and training and aims to share its experience and knowledge in development projects. For this purpose, WKÖ and ADA cooperate in setting up vocational education and training projects.

ADA and ADVANCE AUSTRIA run a joint trainee programme where young Professionals learn to contribute to business and development areas and tasks.

5.2.4. Civil Society Organisations (CSOs)

CSOs continue to play an important role for ADC. They are both independent actors financing and implementing their own programmes, but also partners of ADA in implementing projects and programmes. Around 40 % of ADA’s annual operational budget is implemented by CSOs, either by way of co-financed projects or by way of contracting CSOs. With regard to the dialogue established between civil society and partner countries administration, CSOs have an essential role to play. They do this by consistently reminding the government of its official commitments concerning development cooperation but also within the framework of global learning and advocacy for international solidarity in the broad public.

ADC’s CSO policy is based on two main documents: the “NGO Cooperation Policy” document (May 2007) which mentions strengthening civil society in partner countries as one of the key objectives, and the Strategy “Development Communication and Education” (July 2009, revised August 2011). These policy documents serve as guidelines for the strategic design and implementation of cooperation with Austrian CSOs. They provide for regular consultations between CSOs and decision-makers, including the spokespersons for development cooperation of the political parties and the MFA. This dialogue usually takes place twice a year and the agenda is prepared jointly by ADC and CSOs.
In the framework of cooperation with Austrian CSOs, ADA provides various funding opportunities for co-financed projects, drawing on the broad range of Austrian organisations with their diverse capacities and activities. Clear guidelines for each funding modality are available. The co-financed projects and programmes are based on the CSOs’ own initiative, their expertise and sector priorities. Maintaining a mix of modalities is considered important.

- **ADA co-funding up to EUR 250,000**, project duration 2 - 3 years. In 2017, the maximum funding amount was raised from EUR 150,000 to 250,000 in order to enhance results and impact. Cooperation and coordination with relevant local and/or international organisations and capacity development of local partners are to be included in project activities.

- **Strategic cooperation** exists with 10 CSOs: five framework programmes (duration 3-4 years) and five Strategic Partnerships (SP) (duration 5 years). Framework and Strategic Partners can count on continuation of the partnership after completion of the programme on the basis of programme evaluations by external evaluators. For SPs, ADA succeeded in increasing flexibility of budgets and offers the option of an inception phase in order to increase quality of implementation. One of the SPs exists with an Austrian CSO which provides **Austrian and European experts for long-term missions** in developing countries for supporting the achievement of national development goals. The thematic focus of the missions lies in institutional and organisational capacity development.

- Another important element of cooperation with Austrian CSOs is the **co-financing of projects supported by the EC**. These projects show a very positive leverage of EC funding resources. Funding has been extended from originally one to now several EC budget lines. For specific EC budget lines, a so-called “automatic funding mechanism” has been introduced.

- **Austria strengthens CSO development effectiveness and enabling environment** by funding the Austrian CSO platform “Global Responsibility” through a three-year programme and international projects, together with other donors. Key aspects are capacity development, training, knowledge transfer of CSOs in Austria and in developing countries.

- A joint evaluation was implemented by SIDA, DANIDA and ADA on **“CSOs in policy dialogue”**. Some recommendations were taken up by ADA, for example a consortia programme focusing on advocacy and policy dialogue which is being developed in partnership with the Austrian Platform of CSOs and Framework Programme Partners. This “pilot” programme has been successfully carried out in East Africa (funding amount: EUR 300,000 for a duration of 2 years). A follow-up programme is currently being implemented in order to consolidate results.

MoF also supports CSOs in developing countries through active involvement in the boards of institutions, where support for the improvement of IFIs’ CSO strategies and engagement is frequently expressed. The aim is to encourage IFIs to work more directly with CSOs in contexts where this can lead to a higher development impact.
6. Results Management, Evaluation and Learning

6.1. Management for development results

6.1.1. Policies, strategies, plans, monitoring and reporting

The Austrian Federal Government introduced result-based management principles for the entire Austrian public finance structure. In a ministry-wide pilot for the budget year 2013, the MFA has defined results and indicators concerning development cooperation. The ministry is obliged to regularly monitor and report against the indicators.

ADC country strategies are by standard procedure aligned with partner countries’ strategies and/or development plans as well as programming cycles where they are in place. ADC takes part in EU Joint Programming in focus countries and supports these exercises actively.

Country strategies include a results framework with outcomes/output indicators drawn from partner countries’ national or sector plans wherever they exist. Country strategies also describe monitoring and review mechanisms and the respective time frames, and ADC coordination offices are obliged to report against the results frameworks once a year.

In cases where the partner country has monitoring and performance review mechanisms in place at national or sector level, ADC participates via the coordination office. This is the case in most African focus countries and to a lesser extent in the other focus countries. The joint findings of these exercises are helpful for management to decide on further funding, specific support or remedial measures.

Bearing in mind that in most partner countries the database and/or monitoring and evaluation capacities are still weak, ADC is providing additional support to enhance local capacities where there is need and where Austria has a comparative advantage, like, for example for Results Based Management in the water sector or for Management for Development Results (MfDR) training for senior and middle management, or for elaborating a monitoring framework for the justice, law and order sector in Uganda.

6.1.2. Projects and programmes

ADA is committed to management for results at the level of projects and programmes. The logical framework approach is standard. Project documents have to cover a clearly stated objective as well as expected results with indicators. Activities and budgets need to be linked to results. Steering measures, evaluation and review mechanisms have to be incorporated into the project design. Almost all project documents comply with this standard. Formats and project cycle management tools are regularly reviewed to improve the results-orientation, but also the usability by partners and in-house.

To support monitoring of results at project level, specific features have been included in the development of ADA’s new IT aid management system. This includes features relating to SDG-based indicators, the number of beneficiaries, an assessment of implementation and the monitoring of recommendations on environmental, gender and social standards.
The MoF puts an emphasis on results measurement in all its funding operations. In recent years, the MoF has enhanced its focus on performance monitoring and results in its cooperation with IFIs. It has consistently advocated for the use of results frameworks (RFs) and corporate scorecards at the institutional level. In addition, the MoF closely monitors the performance of institutions through the representatives on IFI Boards and in Vienna. The MoF is also involved in the continuous improvement of the RFs. Moreover, IFI programmes and projects are required to have RFs. Results reports, selective impact evaluations and comprehensive external programme reviews inform funding decisions for IFI programmes and projects.

Since January 2019, OeEB has implemented the Development Effectiveness Rating Tool (DERa) developed by KfW DEG. In comparison to the previous tool used it deepens the measurement of the development dimension of OeEB projects. It allows to measure development effects such as decent jobs, local income, market and sector development, environment stewardship and community benefits. All projects are assessed and monitored along these indicators and the effects are reported in the annual Development Report.

6.1.3. Capacity for Results Based Management

Capacity development is essential for incorporating systematic results-orientation into development cooperation and progress towards Results Based Management. Trainings in the use of the logical frameworks approach as well as project cycle management – specifically focusing on results - are regularly held for ADA staff, but also offered to project partners.

As Austria attaches supreme importance to the ownership by partner countries, capacity development for Results Based Management is also directed to that level. Besides supporting the Expert Group MdFR of Train4dev (now Learn4dev) at an overall level, ADA engaged with Train4dev in the development of a training course in Results Based Management for the water sector.

6.2. Evaluation system

Evaluation policy and evaluation function

Austria is in the process of finalising its first inter-ministerial Evaluation Policy for Development Cooperation building on OECD/DAC and DeGEval principles, norms and standards and bringing together key documents that have guided the ADC evaluation work so far. The Policy is being developed for application by the MFA and ADA, as well as by other Austrian ODA actors, notably the MoF, the MST and the OeEB. As such, it establishes a common framework to govern the evaluation function and practice within the larger aid system beyond ADC. This directly responds to an observation of the 2015 OECD/DAC Peer Review and further represents an effort to strengthen policy coherence for development.

In late 2017, a separate evaluation unit has been established within the MFA’s Department for Development Cooperation: Strategy, Public Relations and Evaluation. Relevant expertise has

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15 The ADC encompasses the MFA and ADA. These two actors together account for approx. 18% of total ODA in 2017.
16 Which notes that: “An evaluation policy for the whole aid system would go a long way towards strengthening the evaluation culture of Austria’s development co-operation” (OECD, 2015: 68).
been sourced via staff secondment from the ADA since mid-2018 to help set-up, position and professionalize the evaluation function within the Ministry. This reflects the importance and commitment attached to evaluation within the MFA and ADC at large.

Altogether, four full-time staff are dedicated to evaluation within ADC: 1½ in MFA and 2½ in ADA. A division of labour between the MFA and ADA Evaluation Units has been established and regular meetings institutionalised. The MFA provides strategic guidance and sets overall evaluation priorities through development of a 2-year ADC evaluation plan17 in close collaboration with ADA. It can further manage selected evaluations that are of particular strategic importance, such as the institutional evaluation of the ADA18. ADA implements the ADC evaluation plan and manages three to four strategic evaluations of country programmes, strategies, instruments, sectors, and/or themes per year. It also supports and quality assures project and programme evaluations managed and/or conducted by ADA or its partners. Jointly the MFA and ADA Evaluation Units coordinate the development of management responses to strategic ADC evaluations and monitor the implementation and use of evaluation findings in an effort to promote institutional learning. They further represent the ADC in international evaluation fora and networks.19

Independence of evaluations

Independence is the key guiding principle and cornerstone of the evaluation function in ADC, as articulated in its Evaluation Policy. The shared responsibility for evaluation between MFA and ADA assures the independence of evaluations for it effectively establishes a checks-and-balances system, with both the MFA and ADA evaluation units jointly accounting for the development of a strategic evaluation plan and its implementation.

Structurally, the MFA’s Evaluation Unit reports to the Director of the Department for Cooperation Strategy, Public Relations and Evaluation with a direct reporting line to the Director-General for Development Cooperation. ADA’s Evaluation Unit is an independent unit under ADA’s Managing Director. In terms of implementation, all strategic ADC evaluations and all project/programme evaluations managed by ADA are conducted by external consultants who are contracted via competitive bidding process.

In accordance with its Evaluation Policy and the ADA Public Disclosure Policy, all strategic ADC evaluation reports as well as selected project and programme evaluation reports are made publically available via ADA’s website.20 Moreover, all strategic evaluation reports are submitted to the DAC Network on Development Evaluation (EvalNet).

In 2018 the status of implementation of recommendations emerging from strategic ADC evaluations along with an analysis of highlights and bottlenecks to implementation were presented for the first time to the ADA Supervisory Board21. The report will be updated on an annual basis. A direct feedback loop from the MFA and ADA Evaluation Units to an independent oversight body has thereby been established in an effort to increase commitment to follow-up on recommendations and promote institutional learning and use of evaluation findings at all

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17 The current ADC Evaluation Plan 2019-2020 (in German language only) is accessible at: https://www.entwicklung.at/fileadmin/user_upload/Dokumente/Evaluierung/Evaluierungsplan_OEZA_2019-20.pdf
18 Currently being implemented, expected to be available by mid-2019
19 Such as the DAC Network on Development Evaluation, DACH Evaluation Group, Heads of EU Evaluation Services for External/Development Cooperation, DeGEval, etc.
20 At: https://www.entwicklung.at/en/ada/evaluation/evaluation-reports/
21 Which comprises of representatives from MFA, FMF, FMDE, FMST, FMLSAHCP, Liaison Office of Provinces and ADA Staff Association.
levels. While not representing a formal change in reporting lines and structures, it nevertheless partly addresses the recommendations of the 2015 OECD/DAC Peer Review\(^2\).

**Planning and budgeting for the evaluation of development assistance activities**

Two-year evaluation plans for strategic ADC evaluations are developed jointly by the MFA and ADA Evaluation Units, following a consultative process involving all directorates and units within the MFA Directorate-General for Development Cooperation and ADA. Strategic ADC evaluation plans are approved by the management of both institutions, and made publically available via the ADA website. They are also shared within the OECD/DAC EvalNet.

The current ADC evaluation plan sets out the strategic evaluation priorities for the period 2019-2020 along with a forecast of potential topics beyond 2020. It was developed following a criteria-based selection process taking into account: the relevance of the proposed topic in terms of time, scope and political/strategic interest; evaluation coverage and history; risk management; methodological learning potential; evaluability/efficiency; potential for cooperation; and type of evaluation. One-page formats have been developed to set out the purpose, relevance and scope of each proposed evaluation. The 2019-2020 evaluation plan also provides an indicative budget estimate for each evaluation, using three categories: up to EUR 50,000; between EUR 50,000 and EUR 99,999; and EUR 100,000 and above. Detailed budget plans are developed and evaluation budgets made available on an annual basis.

**Evaluation partnerships and strengthening capacity**

The ADC – represented by the MFA and ADA Evaluation Units – is an active member of the DAC EvalNet as well as of the Group of the Heads of EU Member States’ Evaluation Services for External Cooperation and the European Commission and the Regional Evaluation Network “DACH”, which encompasses all German speaking DAC evaluation units plus Belgium, the Netherlands and Luxembourg. ADC is also a member of the German Speaking Evaluation Society (DeGEval) and the European Evaluation Society (EES), and is actively engaged on the Vienna Evaluation Network (VEN).

Efforts to strengthen evaluation capacities within the MFA and ADA include pro-active staff involvement on reference groups to strategic ADC evaluations. This engagement provides targeted learning opportunities and contributes towards establishing a sound understanding of evaluation and what it takes to uphold key principles such as independence and quality throughout the evaluation cycle – from planning to implementation and use. Peer learning opportunities from other DAC members and experts within the larger evaluation community are actively promoted and capitalised on, both in the context of strategic evaluations and in other areas. One example is the engagement of two peer reviewers from Switzerland (SDC) and Germany (BMZ) in the development of the Evaluation Policy. ADC also implements a peer review system for its strategic evaluations, which assures the methodological and thematic quality of evaluations and strengthens capacities of the evaluation staff.

ADA’s Evaluation Unit provides advice to project and programme managers on evaluations and systematically supports the evaluation process of selected projects and programmes. A recently conducted meta-evaluation provides the basis for identifying and addressing capacity

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\(^2\) Which recommends that “Setting up an evaluation committee under an independent oversight body would contribute to increasing commitment at all levels to follow up on recommendations from evaluations” (OECD, 2015:19)
development needs more systematically. In recent years, there have been only a few staff trainings on evaluation, especially at the level of the coordination offices.

In an effort to further the quality of project and programme evaluations and to build relevant capacity of project and programme managers, ADA started a pilot in 2019 in which evaluation managers continuously support project managers starting with the planning of a project/programme and throughout the entire project/programme cycle.

In the IFIs, the MoF provides strong political support to the evaluation department of each institution and constitutes a critical factor for the implementation of feedback from evaluations to operations.

In 2018, OeEB has introduced an evaluation desk that is systematically implementing evaluation. An evaluation strategy has been approved by the managing board. OeEB has established systematic partnerships with many European Development Finance Institutions. This led to a joint OeEB/KfW/DEG evaluation of “Financial cooperation: enabling private sector investments in Renewable Energies” which is currently on going.

6.3. Institutional learning

Learning from and using results information and evaluation findings

A structured management response (MR) process for strategic evaluations has been put into place in ADC. Evaluation recommendations are discussed within relevant organisational units and presented to senior management both in MFA and ADA. MR matrices are internally available and updated at least once a year. In addition, the status of implementation of recommendations emerging from strategic ADC evaluations along with an analysis of highlights and bottlenecks to implementation are presented to the ADA Supervisory Board on an annual basis. This represents an effort to increase commitment and follow-up on recommendations and to promote institutional learning and use of evaluation findings at all levels.

Learning is an explicit purpose of most strategic evaluations and ADA’s Business Strategy supports the use of evaluation for facilitating “systematic learning from experience both for quality assurance and programming and for implementation” 23. ADA’s Evaluation Unit is currently preparing a conceptual framework for learning from evaluations and has so far developed a learning matrix, which identifies the different learning formats throughout the evaluation process with the intention to further increase the use of evaluations. “Learning from evaluations” has also been the main topic of two ADA contributions to external events – notably the Annual Meeting of the DeGEval and the VEN in 2018.

Communicating results and risks

ADC Information and Communication is based on a clear strategy (“Handbuch Kommunikation”, Handbook for Communication, 2012; updated version – work in progress), taking its orientation from the Three-Year Programme. It aims to create broad awareness about and agreement on the importance of ADC in Austrian society by communicating results and effects of development interventions where available, create awareness about and understanding for global

23 ADA Business Strategy 2014
development issues, and inform transparently on achievements and challenges of ongoing work and in international development cooperation.

Target groups are stakeholders ranging from political decision makers to CSOs, the private sector and the wider public. Channels of communication include the webpage of the ADC (www.entwicklung.at), social media, publications, public awareness campaigns, targeted public seminars and panel discussions, media work and the like.

Aside from the ADC communication handbook, no general strategy has been formulated to date for communicating risks and risk mitigation.

Website content has grown substantially since the last review, and is continually updated. A design re-launch was undertaken in 2016 to increase user friendliness and ensure more transparency and a better presentation of facts. Social media channels (facebook, twitter and youtube) were launched in the fall of 2013 and are used to attract new target groups and increase interaction with users and cross-linkages with development partners and the broader public.

Communication priorities and overall strategy are discussed and approved in the annual steering group meeting.

A searchable project database on ADA’s website contains information on every project funded by ADA. In addition, ADA has adopted a Directive on ‘Public Disclosure of Project Information’ in 2018 which foresees that for all new projects approved by ADA’s Supervisory Board (projects above EUR 2 million, resp. EUR 3 million in case of programmes) monitoring and progress information as well as evaluation findings be published on the website. The Directive also foresees that Environmental, Gender and Social Impact Assessments (EGSIAs) for projects with moderate (and high) environmental, gender or social risks be published on the website 30 days (in case of high risk: 120 days) ahead of the project’s approval. Risk management plans resulting from the EGSIAs are also to be published on the website.

https://www.entwicklung.at/fileadmin/user_upload/Dokumente/Publikationen/Strategien/Strategie_EPOL_Aug2011_DE.pdf

7. Fragility, Crises and Humanitarian Assistance

Section A Crisis and Fragility

7.1. Strategic Framework

Contribution to global efforts

In the face of more frequent and protracted humanitarian crises, the connections between sustainable development, humanitarian action and peace and security become more relevant. Poverty, conflict, fragility and forced displacement are deeply interlinked and must be addressed in a coherent and comprehensive way.

In this context, the EU Member States agreed to operationalise the humanitarian-development nexus in May 2017. In particular, they stressed the need to coordinate humanitarian and development actions so as to address the root causes of vulnerability, fragility and conflict while simultaneously meeting humanitarian needs and strengthening resilience. Of the EU initiative launched in six pilot countries, Austria is part of the initiative in Uganda.

Austria strongly welcomes the recent adoption of the OECD recommendation on the triple “Humanitarian-Development-Peace Nexus” and will use the guidance of its “eleven principles“ to further focus on strengthening coordination, programming and financing to build more complementarity between humanitarian, development and peace actions.

Strategic framework

In the Three-Year Programme, human security, human rights and rule of law are a priority, including the engagement in fragile situations. The Strategic Guideline “Security and Development in Austrian Development Policy” sets out the priorities for a whole-of-government approach in fragile situations. All new country strategies take into account the Fragile States Principles and the Peace and Statebuilding Goals (PSGs).

Civil society was included in preparing the Vienna 3C Appeal (coordinated, complementary and coherent approach in fragile situations). An annual “3C Retreat” at Peace Castle Schlaining with all stakeholders and relevant ministries as well as an implementation matrix and the foundation of the Austrian Peacebuilding Platform all contribute to the implementation by way of a comprehensive approach as anchored in the Guideline.

The approach adopted by Austria to engage in fragile states is aligned with the OECD DAC Fragile States Principles and the New Deal for good engagement in fragile states, which Austria has endorsed. ADC established a working group on fragility that meets regularly and discusses progress in the international debate and ways how to best integrate the Principles of the New Deal/ PSGs both into the programming process and at a whole-of-government level. Regular staff information on the latest developments of the New Deal is provided and workshops on conflict sensitivity are organized.

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24 Participants are from ADA, MFA and Austrian Think Tanks.
Together with the integration of a gender perspective into its engagement in fragile states, Austria also concentrates on the strengthening of the role of women in peace processes, gender equality and the implementation of UNSC Res 1325 and follow up resolutions by, for instance, supporting the Gender, Peace and Security Programme (GPSP) approved by the Peace and Security Department (PSD) of the African Union (AU) Commission.

Austria works in several countries listed in the OECD DAC list of fragile states (2018): Mozambique, Burkina Faso, Ethiopia, Uganda, West Bank and Gaza Strip.

In Burkina Faso, Austria supports two programme-based approaches of national sector policies together with other development partners. Government-led coordination, combined with donor coordination, is an important component, which can be seen, for example, in Uganda in two sectors, justice, law and order and water and sanitation. The five PSGs of the New Deal are relevant areas of cooperation in all fragile countries Austria is working in.

Austria recognizes the challenge of fragile situations at regional level and supports the implementation of programmes of regional organizations like AU, ECOWAS and IGAD/CEWARN through joint finance agreements (pool funding) with like-minded donors like Sweden and Denmark and the EC.

Cooperation with CSOs through programmes supporting the implementation of regional or governmental conflict prevention and peace building strategies with the aim of strengthening the relation state-society has a high priority, too (for example ENDA DIAPOL, Senegal: Strengthening local capacities in the field of conflict prevention and peace building in the border areas of Southern Senegambia; West Africa Network for Peacebuilding (WANEP): Strengthening the ECOWAS Conflict Prevention Framework through national architectures for early warning and early response in West Africa). Where direct cooperation with governments is not feasible or difficult, Austria works with the UN (UNRWA) or CSOs.

The MoF contributes to several IFI programmes, including to some that support disaster-prone developing countries in better managing disaster risks. The MoF contributes also to IFI funds (for example IDA, ADF) that have among others a special focus on fragile and conflict-affected situations. Moreover, the MoF supports multi-donor programmes in the fields of water and sanitation, energy and climate change, urban, and private sector development and contributes actively to better donor coordination through harmonization of funding channels and endorsement of programme strategies by donors involved.

Austria has been a member of the World Bank’s GFDRR since 2012. GFDRR activities are at the intersection of humanitarian assistance and resilient sustainable development, with a focus on the latter. GFDRR has since received financial contributions from the MoF with the aim to increase resilience in the ECA region and to enhance the resilience of cities in the most vulnerable countries worldwide.

During the regular replenishments of the IFI Funds such as IDA and ADF, all donors engage in an effective coordination process. More specialised funds, such as the GFDRR, also serve as a forum for donor coordination.
Financial resources

The total volume of humanitarian assistance, including food aid, amounted to EUR 22.5 million in 2018, 2017: EUR 51.8 million, 2016: EUR 27.2 million, 2015: EUR 19.6 million. Un-earmarked core contributions are made to UNHCR, UNRWA, OCHA, and ICRC. On average, Austria’s humanitarian assistance constitutes 5% of total ODA, but the percentage was lower in 2015 and 2016 due to increased in-donor refugee costs.

Austria’s main humanitarian financing instrument is the FDRF which was established in 2005 by a Federal Law. Since 2010 the Fund had been replenished with an annual budget allocation of EUR 5 million, which was doubled in 2016 (EUR 10 million) and again for 2017 (EUR 20 million) and 2018 (EUR 20 million). In its Work Programme 2017-2022, the Austrian Federal Government foresees a further augmentation. In order to release funds, a decision by the Council of Ministers is needed. In addition, the MST contributes to the international Food Assistance Convention and the contribution is managed by ADA.

Moreover, Austria is making significant contributions to financing instruments in support of countries and local communities hosting large numbers of refugees (IDA 17; EU Facility for Refugees in Turkey; EU Regional Trust Fund in Response to the Syrian Crisis / MADAD Fund, UNDP Stabilization Fund for Iraq).

These new financing instruments strive both to better address longer-term needs of refugees (water, sanitation and hygiene, WASH) and to support hosting communities -enhancing the development impact of humanitarian assistance programmes.

Financial assistance thus comes mainly from the FDRF, but also from other sources to ADC’s humanitarian implementing partners.

The main implementing partners for funds from the FDRF are the humanitarian organisations of the UN System, the International Red Cross Movement and Austrian CSOs. Most of the funds are channelled via ADA. In order to be eligible for humanitarian funding, Austrian CSOs need to undergo an accreditation process with ADA and then can participate in “calls for proposals”. The funds for food aid are provided to the UN System or the International Red Cross Movement.


7.2. Effective programme design and instruments

Instruments for protracted crises and recovery

On the occasion of the World Humanitarian Summit 2016 Austria committed itself „to advocate within the Boards of the International Financial Institutions, and particularly the World Bank, to ensure that the forthcoming Multilateral Development Bank replenishments deliver a relevant, coherent and cost effective set of instruments to respond to the challenge of disasters and crises, especially to support hosts in coping with large refugee caseloads, including in Middle Income Countries. Austria also will provide additional voluntary contributions of EUR 160 million to IDA 17 in order to support financing investments that address the causes of displacement and alleviate the impact of displacement on countries of origin, transit, and destination. Austria
disbursed the first instalments committed under IDA 17 in 2017 (EUR 27,590,000) and in 2018 (EUR 21,030,000).

Managing forced displacement

A sizable portion of FDRF contributions addresses refugee crises, both countries of origin and host communities (Lebanon, Jordan, Syria, Yemen, Iraq, Ethiopia, Uganda, South Sudan and Afghanistan).


Austria participates in the GP20 steering group to implement the multi-stakeholder Plan of Action 2018-2020 for Advancing Prevention, Protection and Solutions for Internally Displaced Persons (IDPs) 2018-2020. The Plan of Action which was launched on 17 April 2018 centres around four priority issues identified at a 2017 IDP stakeholder meeting convened by the Special Rapporteur on the Human Rights of IDPs: participation of IDPs; national laws and policies addressing internal displacement; data and analysis on internal displacement; and addressing protracted displacement and facilitating durable solutions.

Austria is also a main sponsor of the biannual HRC resolution on IDPs inter alia on the mandate of the Special Rapporteur. The resolutions are always adopted by consensus and count on broad support from a supra-regional group of contributors, including numerous EU MS.

In 2016, AT supported the Special Rapporteur’s mandate with EUR 200,000 for OHCHR’s activities in Iraq.

Addressing the gender aspects of conflict

At the World Humanitarian Summit 2016, Austria stated that promoting gender equality and women’s rights is a core priority of Austria’s foreign policy, the focus areas being Women, Peace and Security, violence against women and political empowerment. Austria continues to actively support the full implementation of UNSC Res 1325 (2000) and subsequent UNSC resolutions on the Women, Peace and Security Agenda. Together with partners from civil society, Austria regularly organizes side events in New York to give them a voice on the important work on the localization of Resolution 1325 in different regions. Austria participates actively in the work of the Group of Friends on Women, Peace and Security. During its 2017 Organization for Security and Co-operation in Europe (OSCE) Chairmanship, Austria organized various events such as conferences or side-events and provided financial support to projects on enhancing the implementation of UNSC Res 1325 in the OSCE region. Furthermore, Austria supports the increase of the percentage of women in leadership functions of the OSCE Secretariat, its institutions and OSCE field missions. Austria is committed to ensure that all events organized by Austria are gender-balanced. In the field of development cooperation, Austria contributed to UNFPA Jordan and to the Women Peace and Humanitarian Fund for activities in Iraq.
7.3. Effective delivery and partnerships

Coherence between peace, development cooperation and humanitarian assistance in crisis contexts

Coherence between peace and security, development cooperation and humanitarian assistance in crisis contexts can be identified on the strategic (policy) level as well as on the operational level.

On the strategic level, the Three-Year Programme foresees that the nexus of humanitarian assistance with development cooperation and peace consolidation will be reappraised, with prime importance attached to strengthening resilience against foreseeable crises and emphasising disaster risk reduction, stabilisation, peacekeeping, conflict prevention and resilience.

The “Strategic Guideline for Security and Development”, approved by the Council of Ministers in 2011, is promoting a whole-of-government approach and provides the framework for an integrated policy development and action in the peace and security-development nexus. In 2017, an independent review of the Strategic Guideline assessed the relevance, effectiveness, efficiency, and results achieved, in order to contribute to the improvement of the existing cooperation.

On the operational level, a regular coordination process is assured, among others, by the annual 3C-conference (coordinated, complementary, coherent), bringing together all the relevant stakeholders in the peace and security-development-humanitarian assistance nexus. These regular coordination processes allow the development of common projects strengthening conflict prevention, crisis management, peace consolidation and state building in partner countries.

Section B Humanitarian Assistance

7.4. Humanitarian assistance strategic framework

The Three-Year Programme 2019-2021 is the central policy document of Austria’s humanitarian assistance and defines its strategic framework. Its overall goal is to help save lives, reduce human suffering and provide protection of, and basic supplies for, those suffering in a humanitarian crisis as well as to help create the conditions for sustainable development/long-term capacity-building. Austria’s humanitarian assistance is based on the principles of independence, neutrality, non-discrimination and impartiality, and relies on the outcomes of the first World Humanitarian Summit of the United Nations in Istanbul in May 2016.

Of its almost 30 commitments, Austria puts a special focus on international humanitarian law, human rights law and its reinforced implementation, the protection of civilians in armed conflict and the prevention of civilian harm resulting from the use of wide-area explosive weapons in populated areas, as well as civil-military cooperation/the training of armed forces and the safety of journalists.

Austria also commits to empower women and girls as change agents and leaders, including by increasing support for local women’s groups to participate meaningfully in humanitarian action, but also to fighting sexual and gender-based violence.
While not yet formally partner of the Call to Action on Protection from Gender-based Violence in Emergencies, Austria already orientates its humanitarian assistance along these criteria.

In keeping with the principle of subsidiarity, international humanitarian assistance should reinforce, and not replace, the organization of help by the local civil society and the state or other relevant actors. Austria commits to strengthening the capacity of front-line responders, including local CSOs, for example through humanitarian cash programmes.

Particular attention is paid to vulnerable groups and their special needs in crisis settings, including women, children and youth, elderly people, handicapped people or members of minorities.

The Strategic Guideline on International Humanitarian Aid of the ADC, published in 2007, will be up for review in 2021. This document outlines a multi-dimensional approach with regard to humanitarian assistance, including disaster risk reduction, early recovery as well as rehabilitation, defines the basic principles and gives a broad strategic orientation.

The Austrian Security Strategy, which was adopted by the Austrian Parliament in 2013, contains as one of the strategic political objectives “reinforcing and extending national and international humanitarian aid and disaster relief policies”.

7.5. Effective humanitarian programming

Criteria for who, what and where to fund

Austria’s humanitarian assistance focuses on severe humanitarian crises. Resources are provided on the basis of needs analyses in coordination with the efforts of the international community. The identification/analyses of the crisis situations draws on a broad spectrum of sources of the UN (Consolidated Appeals Process and needs assessment reports; Global Food Security Update; OCHA crisis situation reports); ICRC (Emergency Appeals, Updates); EU (ECHO crisis reports; EU Global Vulnerability and Needs Assessment); reports by Austrian Embassies and Coordination Offices of ADC.

Since 2015, the focus of bilateral humanitarian assistance, including food aid, has been the humanitarian crises resulting from the conflict in Syria, East Africa and Sahel.

Approach towards localising the response and affected communities participation

Involvement of beneficiaries in all phases of a humanitarian response is key for ADC. ADA requests the partners to apply this participatory approach in all their programmes and projects and monitors participation of beneficiaries through reports, evaluations and field visits. On the level of its CSO implementing partners, involvement of beneficiaries is one of the prerequisites for ADA allocating funding in any call for proposals.

On the occasion of the World Humanitarian Summit 2016 Austria committed itself “to strengthen the capacity of front line responders, including local civil society organizations” and “to empower national and local humanitarian action by increasing the share of financing accessible to local and national humanitarian actors and supporting the enhancement of their national delivery systems, capacities and preparedness planning.”
7.6. Effective delivery, partnerships and instruments of humanitarian assistance

Rapid response tools and mechanisms

Austria’s central rapid crisis response mechanism is the Foreign Disaster Relief Fund (FDRF). FDRF funding is mainly used for sudden onset disasters, including natural disasters, as well as deteriorations in protracted crisis situations. The law on the FDRF is needs-based and does not foresee any predictability or flexibility of humanitarian funding. In order to release funds, a decision by the Council of Ministers is needed.

The MFA Directorate for Humanitarian Assistance and Food Aid is responsible for international humanitarian assistance, which includes the general administration of the FDRF as the main instrument of Austrian humanitarian assistance. Other important actors are the MoI (cross-border cooperation and international disaster relief missions in both ODA and non-ODA eligible countries, on a bilateral basis or in the framework of the European Union Civil Protection Mechanism (UCPM), the NATO Partnership for Peace (PfP) and the United Nations (OCHA, UNDAC), the MST (international food aid), the MoD (participation in disaster relief missions through the Austrian Forces Disaster Relief Unit/AFDRU as well as UNDAC and EUCP-teams upon request by the MoI), the MoF (member of the GFDRR), and the ADA. In terms of humanitarian assistance, ADA operationalizes the vast majority of the grants provided by the FDRF and in principle also those provided by other funding sources (largely ministries), and channels funds to the ADC’s humanitarian implementing partners.

Response to protracted crisis

A sizable part of FDRF funding goes to humanitarian crises resulting from the conflict in Syria (and neighbouring countries) and in Yemen, East Africa, the Sahel region and Ukraine. Records show that FDRF funding has regularly been allocated to focus countries for Austrian development aid, such as Ethiopia, Uganda, Burkina Faso and most recently Mozambique. Given the increase in protracted humanitarian crises, Austria aims at linking its humanitarian assistance more closely with development assistance (“nexus”).

Partnerships with the humanitarian community

Regular coordination meetings with institutional actors and humanitarian CSOs are an important tool to coordinate all Austrian actors in the field of humanitarian assistance. The Humanitarian Coordination Platform founded in 2011 meets twice a year and is co-presided by the Head of Unit for Humanitarian Assistance and Food Aid in the MFA and the managing director of the CSO Global Responsibility. The platform includes representatives of humanitarian CSOs, ADA as well as Federal Ministries (MFA, of the Interior, of Defense, of Sustainability and Tourism, the Federal Chancellery) active in the field.

The platform contributes to an improved and regular coordination between the state actors und the humanitarian CSOs, including potential ad-hoc coordination in the event of large humanitarian crises, and helps advocate the concerns of humanitarian assistance vis-à-vis all relevant decision-makers, in particular Members of Parliament and the media.

Moreover, the platform is mandated to lead an in-depth debate of current issues of humanitarian assistance, such as the principle of „good humanitarian donorship", forgotten crises, the link
between humanitarian assistance and reconstruction, and disaster prevention, as well as deliberations how to assure an efficient organization of humanitarian assistance in Austria.

In particular, the platform was used for elaborating the humanitarian chapter of the Three-Year Programme 2019 to 2021.

Given the very limited presence of the ADC in countries/regions which are confronted with severe humanitarian crises, Austria relies heavily on its implementing partners - humanitarian organisations of the UN, the Red Cross family and CSOs - to deliver humanitarian assistance. With its CSO implementing partners, ADA strives to ensure that their programmes/projects are embedded well into the overall humanitarian response in any given context and makes this one of the prerequisite for allocating funding in any call for proposals.

In addition, Austria is a member of various donor support groups, including of UN OCHA and of the ICRC, and co-operates closely with the EC’s DG ECHO.

**Approach to civil-military co-ordination**

In case of sudden onset crises and disasters, there is an increased need for coordination of the use of military, law enforcement and civil defence assets, which, in Austria, is ensured by the "National Crisis and Disaster Protection Management“ (SKKM). This strategy was approved by the Council of Ministers in 2009 and lays the foundation for an efficient and effective disaster relief in Austria and abroad, by describing common strategic objectives, instruments and measures. The SKKM ensures the cooperation of all federal agencies with disaster control authorities as well as relief and rescue organisations. The coordination process between the relevant stakeholders is taking place on a regular basis. When required, for example in case of a (humanitarian) crisis, as it was the case for Syria 2012 and Iraq 2016, ad hoc coordination is taking place to assure a prompt whole-of-government response. International humanitarian law and law in armed conflicts being an inherent part of the education and training of the armed and security forces, an awareness of humanitarian principles is being ensured.

### 7.7. Organisation fit for purpose

**Humanitarian staff and systems**

See general overview on staffing. In addition to the responsibilities for international humanitarian assistance and the FDRF, MFA Directorate for Humanitarian Assistance and Food Aid is in charge of a number of other issues, including migration and development.

ADA employs a programme manager for humanitarian assistance (and other tasks).

**Co-ordination across Government**

The lead entity for international humanitarian assistance is the MFA. There are regular meetings between representatives of the Ministries of Sustainability and Tourism, the Interior, Defense and the MFA as well as ADA. The specific allocation of food aid by the MST is decided in consultation with the MFA as well as ADA.
7.8. Communication

Communicating results

Austria’s humanitarian assistance is provided in coordination with the international aid community. Website content is continually updated and shows the breakdown of volume, geographic allocation, target groups and thematic focus of the Austrian humanitarian assistance in order to ensure a user friendly and comprehensible presentation of facts for a broader public. Furthermore, results are published in the publication of the Austrian Development Agency.
### Annex I: Follow-up to the previous peer review recommendations

<table>
<thead>
<tr>
<th>DAC recommendation</th>
<th>Austria’s progress against DAC’s recommendations</th>
<th>Action planned/implemented</th>
</tr>
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<tbody>
<tr>
<td>Rec.1.1. Austria should develop a clear approach to addressing policy incoherence, prioritizing selected topics and mechanisms and including means of monitoring and reporting across government, while drawing on the expertise and analytical capacity existing in the country.</td>
<td>Partly implemented (recommendation not precise enough)</td>
<td>With regard to SDG implementation, an inter-ministerial working group chaired by the Federal Chancellery and the Ministry of Europe, Integration and Foreign affairs (MFA) – with particular involvement of the other Ministries – has been established to coordinate the reporting on the SDG implementation in Austria and to serve as a platform of exchange of information. Austria’s Three-Year Programme contains a clear commitment to PCSD. Austria continues to put a specific emphasis on the areas of environment and security. The inter-ministerial strategic guidelines for two areas (the “common strategic guideline on environment and development” and the “common strategic guideline on security and development”) have been evaluated in 2016 and 2017. The respective recommendations (final report March 2016 for environment and March 2017 for security) will be integrated in the revised versions of the guidelines that are in preparation. Additionally, the ADC’s strategic evaluations plan foresees an evaluation (systematic review) of results regarding the implementation of a WOG-approach (Whole-of-Government), which will take place in 2020 and aims at identifying ways on how to enhance coordination, complementarity and policy coherence. Currently, a new common evaluation policy is developed jointly by ADC, Ministry of Finance (MoF), Ministry of Sustainability and Tourism (MST) and the Development Bank of Austria</td>
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</table>
(OeEB) in order to increase a common understanding of evaluation issues. It also sets and harmonizes a joint standard for evaluations of these institutions.

Institutionalised inter-ministerial working groups have been set up with the participation of the business sector, research, CSOs and civil society. In particular, the working group “Environment and Development” and the inter-ministerial working group “Security and Development”. Other working groups deal with “Disaster Risk Reduction” and “Biodiversity”. The thematic inter-ministerial working groups foster PCD in economic, social and environmental areas.

Another area of improved co-ordination is the ‘Platform for Humanitarian Aid’.

In 2016 AT initiated a working group on ‘Tax and Development’ in order to complement the Austrian efforts on policy coherence. This group benefits from active participation of CSOs and AT Think Tanks.

The Austrian External Trade Strategy of 2018 was elaborated jointly by the Federal Ministry of Digital and Economic Affairs (MDEA), the MFA and the Federal Economic Chamber (WKÖ). It was formulated in a wide participatory process including stakeholders and intends to foster policy coherence. The strategy puts the Agenda 2030 in the centre of one of its chapters of action. It recognizes the global efforts on sustainable development and the SDGs as an opportunity for the partner countries, for the business sector in general and Austria as business location as well.

| Rec.1.2. | To ensure development effectiveness, Austria needs to set out clear developmental objectives and expected results of using ODA as a catalyst to leverage private investment. | Partly implemented | OeEB is the main bilateral instrument to leverage private sector resources (for example via its loan and equity instruments). The OeEB Strategy explicitly refers to “leveraging” as a strategic goal. Results are captured in the bank’s results framework. OeEB is reporting mobilization of private capital in line with OECD and World Bank methods. |
In ADA’s principal instrument for cooperation with the private sector, the Business Partnership Programme (BPP), there are three defined standard indicators to measure developmental effects:

- “Local enterprises/institutions directly benefitting from the business partnership”
- “Persons who derive a direct benefit from the business partnership” and
- “Additional local jobs created by the inputs of the project in the partner country”.

With regard to the private sector, ADA applies the approach of inclusive market system development (M4P). This approach helps to

- structure catalytic interventions to overcome the main failures and constraints in markets that are important to the poor,
- influence the development of market systems so that they offer increased opportunity and benefits to the poor,
- leverage the “enterprise” contribution to development and ensure sustained impact.

For the dissemination of this approach, ADA has developed manuals and quality criteria and organizes workshops with its partners. Furthermore, some of the most recent draft strategies give reference to this approach.

The link between ADA’s private sector engagement—including leveraging—and poverty reduction has been discussed—among others—in a separate working group during consultations for the Three-Year Programme 2016-2018. The criteria for cooperation with the private sector identified in the EU’s council conclusions of 2014 are also reflected in the Three-Year Programme 2019-2021 and provide the basis for ATs engagement with the private sector.

Since the beginning of BPP more than 200 projects have been realized. More than 5,600 new jobs created;
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| Rec.2.1 | Austria should bring all aid-spending ministries in line with, and make them accountable for, achieving the objectives of the Three-Year Programme. | Partly implemented | The main strategic document for Austrian Development Policy and ADC is the Three-Year Programme. Ownership and commitment to joint strategic objectives are strengthened by involving all relevant stakeholders, in particular all aid-spending entities, in a participatory process to formulate the Three Year Programme. Major strategy documents, most notably the Strategy for International Financial Institutions and the strategy of the Development Bank of Austria are aligned with the strategic outlines of the Three-Year Programme. Semi-annual inter-ministerial coordination meetings, clustered according to geographic regions, have been instituted to steer and monitor the implementation of existing cooperation strategies, to review the progress of the elaboration of new cooperation strategies and to discuss the state of SDG alignment on the basis of constantly adapted and further developed results frameworks. With regard to monitoring and reporting, result-orientation is paramount and will be further developed. Strategic documents and guidelines are elaborated with the broad participation of all aid-spending ministries and entities. |
| Rec.2.2 | Having a clear rationale for allocating resources geographically, by channel and by instrument, would increase the predictability of Austrian aid. | Partly implemented | The allocation of resources to Austrian ODA actors is part of the general budgeting process, which provides predictability via its medium term four-year budgetary framework. The present Three-Year Programme 2019 - 2021 includes a financial forecast covering the period 2017 to 2022. This scenario is based on the medium term budgetary framework and provides detailed figures on the allocation of resources by type of aid. In 2017 and 2018 Austria did not meet the proposed budgetary levels. The allocation of resources for the thematic and geographic priorities of Austrian ODA is based on the Three-Year Programme, as well as on the IFI strategy and the strategy of the Development Bank of Austria. |
| Rec.2.3 | Austria is encouraged to clarify its priorities for mainstreaming cross- | Partly implemented | Progress on priority setting has mainly been made through the following steps: |

| | | | |
cutting themes, and to ensure that it has the tools and resources to follow through on these priorities.

The recommendation has been discussed in a separate working group on “Cross Cutting Issues” during consultations for the Three-Year Programme 2016-2018. Two cross-cutting issues are defined: ‘Environment & Climate Protection’ and ‘Gender’. The respective chapter in the Three-Year Programme identifies priorities by way of listing action points. Both issues continue to be central topics in the new Three Year Programme 2019-2021.

In addition, for both topics quantitative targets have been set. The funding that meets the criteria of the OECD gender marker shall rise to 85% in line with the EU GAP II and the environment marker to 35%. Since 2018 ADC aims to increase the share of funding implemented in Africa with gender marker 2 (principal objective) up to 42.5%.

In 2015 AT embarked on a process to revise its Gender Strategy and the final Gender policy has been endorsed beginning of 2017 and ensures ADC’s implementation of the EU Gender Action Plan II.

In early 2016 a ‘strategic evaluation’ concerning ‘development and environment’ and the strategic guidelines was concluded. The Strategic Guideline on Environment and Development in Austrian Development Policy is currently being revised.

The guidelines for the elaboration of cooperation strategies foresee as a first step a screening of cross-cutting issues and principles (gender, environment, HRBA, poverty, fragility, etc.) by the thematic departments and experts within MFA and ADA.

### Rec.3.1

Austria should deliver on its commitment to develop a realistic time-bound roadmap to increase ODA in order to make progress towards meeting the 0.7% ODA/GNI target.

Partly implemented

Budgetary allocations for ADA and the Foreign Disaster Relief Fund have been increased.

- The Medium Term Budgetary Framework passed by parliament foresees annual increases for ADA’s operational budget until 2022 (i.e. from EUR 84 million in 2017 to EUR 108 million in 2022).
- An additional, voluntary allocation of EUR 160 million over 9 years to IDA 17, earmarked for programmes in connection to the refugee crisis.
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| Rec.3.2. | Austria should include debt relief in its ODA forecasts only after this is agreed by the Paris Club. | Not implemented (public management reasons) | Following the DAC recommendation, the MoF embarked on a more cautious approach concerning the inclusion of debt relief in financial forecast. However, from 2018 to 2020, debt reduction for Sudan has been included as the MoF came at the time of budgeting to the conclusion, that the completion of Paris Club negotiations with Sudan is very probable. The inclusion of debt reduction only after an agreement in the Paris Club would make it practically impossible to include probable debt reduction in a multi-year forecast like the 3 year forecast in the relevant budgetary documents especially as bilateral agreements are implemented within a few months following a Paris Club decision. |
| Rec.3.3. | Austria should reverse the decline in the share of its ODA allocated to the LDCs, in keeping with its commitment to poverty reduction. | Partly implemented | The Three-Year Program 2019 to 2021 includes an explicit commitment to focus on LDCs while maintaining ATs engagement in the Eastern Neighborhood. The strategy of the Development Bank of Austria (OeEB) foresaw an increase of the share of projects implemented in LDCs to 20% until 2017. ATs strong engagement in IDA replenishments remains a cornerstone of support to LDCs. The strong local presence and the specific expertise of IDA in these countries ensures that ATs resources are put to good use. The majority of ATs country programmable aid is channeled via ADA. The share of ADAs operational budget allocated to LDCs is 52.99% (2017) and well above the share of total ODA allocated to LDC (i.e. 6.5% in 2017). Responding to the needs regarding the situation of refugees, asylum seekers and irregular migrants AT started to increase gradually the budget for bilateral cooperation and the annual allocation for humanitarian assistance. |
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<table>
<thead>
<tr>
<th>Rec.4.1</th>
<th>The increase in cost for refugees, caused a decrease of the share of ODA allocated to LDCs in 2017.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Austria should ensure that, when involved in the same focus countries, the federal ministries, ADA and the Austrian Development Bank agree on a set of common development objectives, elaborate joint country strategies, and report on a single set of country results.</td>
<td>Implemented</td>
</tr>
</tbody>
</table>

ADC's strategic evaluations plan 2019-2020 foresees an evaluation (systematic review) of results regarding the implementation of a WOG-approach, which will take place in 2020 and aims at identifying ways to enhance policy coherence. For 2021 a joint evaluation of various ministries is planned to assess the impact of climate finance. |

<table>
<thead>
<tr>
<th>Rec.4.2</th>
<th>Austria needs to develop a staff development strategy to ensure that it has the competence and expertise to engage in and deliver quality aid in its priority partner countries.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Partly implemented</td>
<td>Since its establishment as an Aid Agency owned 100% by the AT Government in 2004, ADA managed to build up a solid stock of experts. As a company under private law ADA would be in principle in a position to employ experts in a flexible way. The same is true for OeEB, the Development Bank of Austria, which grew to a center of expertise on private sector and climate financing. Staff in MFA’s Directorate General for Development Cooperation contribute their professional knowledge of international affairs, foreign policy and foreign trade, and one fifth of them are DC experts, Development cooperation is thus made an integral part of</td>
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Austria’s foreign policy. It is the combination of these fields of expertise that enables ADC to deliver quality aid in its priority partner countries.

| Rec.5.1. | Austria is encouraged to introduce a more comprehensive and systematic approach to risk management in its development cooperation programme, including at partner country level. | Partly implemented | ADA has revised its institutional processes for assessing, managing, monitoring and reporting risks at programme and project level. This has involved the development of a new Handbook and tools, incorporating OECD DAC guidance in this field, as well as training in this regard. OeEB continues to work on the basis of a thorough risk assessment with a special risk manager assigned to that task. It also assesses the social and environmental risks according to international standards and recognizes the importance of human rights related issues explicitly in the strategy 2019-2023. Risk management is closely connected to joint strategic monitoring by all ODA stakeholders. Each new cooperation strategy includes a monitoring concept. All the stakeholders are invited to regular consultations (including risk assessment) based on semi-annual and annual reports from cooperation offices. |
| Rec.5.2. | Austria should reverse the decline in the share of its aid that is untied, bearing in mind the Accra and Busan commitments. | Partly implemented | The increase of ADAs operational budget, which is untied to a high extent should reverse the trend and result in a declining share of tied aid at least at the level of programmable aid. The comparatively high share of tied aid does not result from a policy decision to tie aid, but from aid components which cannot be untied by their nature (for example imputed student costs or administrative costs). |
| Rec.5.3. | Austria should engage more strategically with civil society in the countries where it works, based on clear guidelines. | Implemented | Outreach to CSOs in the partner countries will be strengthened both in the process of elaborating and implementing elements of country strategies (CS). In spring 2016 ADA introduced a new funding instrument “Strategic Partnerships with Austrian Civil Society Organizations (CSOs)” (guideline valid as of 1st April 2016), which allows to increase the effectivity and results for the partner organizations and civil society in the partner countries. |
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<table>
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<tr>
<th></th>
<th></th>
<th>Since then, ADA has established Strategic Partnerships with five Austrian CSOs (ongoing). Long-term financial commitment (5 years) enables a strategic program approach, better planning and assessment, monitoring and evaluation, balancing flexibility and sustainability. The mandatory appraisal of environmental, gender and social standards carried out by ADA increases the quality of programmes. Based on these good experiences, the maximum duration of Framework Programmes (FP) was also prolonged from 3 to 4 years (2 FP already signed for 4 years duration). ADA engages in a structured dialogue with the SP and FP partner organisations to foster strategic planning and monitoring as well as know-how transfer. ADCs Coordination Offices have a regular dialogue with CSOs of partner countries. Input from this dialogue contributes to policy formulation and to the programming cycle. In parallel, AT CSOs are closely associated with the semi-annual inter-ministerial coordination meetings and therefore with the steering and monitoring of existing CS and the elaboration of new ones.</th>
</tr>
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<tbody>
<tr>
<td>Rec.5.4.</td>
<td>Austria should consistently apply a fragility lens to programming in fragile states.</td>
<td>Implemented</td>
</tr>
</tbody>
</table>
ADA conducted in 2018 a comprehensive online training course on conflict sensitivity and fragility to ADA staff in the framework of voluntary professional development. It is foreseen to replicate the course in 2019.

**Rec.6.1.** Austria is encouraged to develop a consistent and coherent approach to development results as well as a system to inform programming decisions and serve accountability needs.

| Partly Implemented | The new results based management cycle is aligned with the SDG goals, targets and indicators and includes a semi-annual performance rating system during implementation and after completion. Since 2015, ADA has taken measures to enhance consistency of planning/reporting/evaluation methods and tools on the one hand, and overarching results frameworks (cooperation strategies, SDGs) on the other. Concrete measures were:

- A link between expected results and SDGs or SDG targets is established in cooperation strategies with individual countries and between these strategic results and SDGs on the one hand and programmes’ and projects’ results on the other hand. This is reflected in both annual planning and reporting by Coordination Offices.

- Coordination Offices undertake, on an annual basis (updated if needed semi-annually), a short self-assessment (incl. rating) on the performance of programmes with regard to the cooperation strategies’ expected results. These assessments form the basis for reflections on effectiveness and feed into steering / annual programme planning for the following year. In addition, they report semi-annually on outputs for each project.

- All evaluations of programmes and projects have to summarize on a cover page key findings concerning the performance of a program/project as regards results achievement.

- ADA developed and applies a result-focused monitoring and progress tracking system, which is supported by an electronic Grant Management Tool. The system uses SDG-based standard indicators. |
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| Rec.6.2 | Setting up an evaluation committee under an independent oversight body would contribute to increasing commitment at all levels to follow up on recommendations from evaluations | Not implemented | The Evaluation Unit uses a matrix with the management response to follow up systematically on the implementation of recommendations. Also the publication of all strategic evaluations creates a certain pressure with regard to the implementation of recommendations. Some actors of Austria (MFA, ADA, OeEB) have aligned for a joint strategy on evaluation policy. |
| Rec.6.3 | Having a more strategic approach to communicating about development results and risks, and increasing transparency on how ADC is working, would contribute to promoting a culture that is more open to public information. | Partly implemented | ADC Information and Communication is based on a clear strategy (Handbuch Kommunikation, Handbook for Communication, 2012; updated version – work in progress), taking its orientation from the Three-Year Programme. It aims to create broad awareness about and agreement on the importance of ADC in Austrian society by communicating results and effects of development interventions where available, create awareness about and understanding for global development issues, and inform transparently on achievements and challenges of ongoing work and in international development cooperation. Target groups are stakeholders ranging from decision makers to civil society organizations, the economy and the broader public. Channels of communication include the webpage of the Austrian Development Cooperation (www.entwicklung.at), social media, publications, public awareness campaigns, targeted public seminars and panel discussions, media work and the like. Website content has grown substantially since the last review, and is continually updated; a design re-launch was undertaken in 2016 to increase user friendliness and ensure more transparency and a better presentation of facts; social media channels (facebook, twitter and youtube) were launched in the fall of 2013 and are used to attract new target groups and |
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| Rec.7.1. | Austria should reflect on its humanitarian achievements, and develop a strategic focus and allocation criteria for its humanitarian programme, in order to increase predictability, facilitate performance monitoring, and to raise its profile on the international stage. | Partly implemented |

The significant increase in humanitarian funding has raised Austria’s profile on the international stage, for example through Austrian membership of the ICRC Donor Support Group and the UN OCHA Donor Support Group, as well as engagement in crisis response and resilience efforts in the Middle East incl. via major contributions to UNDP Iraq and the EU Regional Trust Fund in response to the Syrian crisis (MADAD Fund).

The 3YP 2016-18 included for the first time a substantive chapter on humanitarian assistance. So does the present 3YP 2019-21, which also sets out a variety of criteria, guided by humanitarian principles, international law and the results of the Istanbul World Humanitarian Summit 2016.

|  | increase interaction with users and cross-linkages with development partners and the broader public. Communication priorities and overall strategy are discussed and approved in the annual ADC steering group meeting. A searchable project database on ADA’s website contains information on every project funded by ADA. In addition, ADA adopted in 2018 a Directive on ‘Public Disclosure of Project Information’ which foresees that for all new projects approved by ADA’s Supervisory Board (projects above EUR 2 million, resp. EUR 3 million in case of programmes) monitoring and progress information as well as evaluation findings to be published on the website. The Directive also foresees that Environmental, Gender and Social Impact Assessments (EGSIAs) for projects with moderate (and high) environmental, gender or social risks be published on the website 30 days (in case of high risk: 120 days) ahead of the project’s approval. Risk management plans resulting from the EGSIAs are also to be published on the website. OeEB publishes an annual development report. From January 2019 onward OeEB measures its results and development effects with the Development Effectiveness Rating (DERa) Tool developed by KfW DEG. |
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In terms of strategic focus, Austria is making significant contributions to financing instruments in support of countries and local communities hosting large numbers of refugees (IDA 17; EU-Facility for Refugees in Turkey; MADAD Fund, UNDP Stabilization Fund for Iraq). These new financing instruments strive to both better address longer-term needs of refugees in the socio-economic, educational, health area and support hosting communities. Strengthened nexus between development cooperation and humanitarian responses. Regular coordination meetings with institutional actors and humanitarian CSOs are an important tool to coordinate all AT actors in the field of humanitarian assistance. For instance, the Humanitarian Coordination Platform was used to co-ordinate the elaboration of the chapter on international humanitarian assistance of the 3YP.

**Rec.7.2.** Commitments to scale up the humanitarian budget should be kept, so that Austria can match its strategic ambitions with adequate resources. | Implemented | From 2016 onwards the budget for ATs Foreign Disaster Relief Fund has been increased significantly (from EUR 5 to 20 million/year). This increase was a commitment of the Austrian Government enshrined in the “Austrian Government Work-Programme 2013-2018”. The current Government Programme 2017-2022 envisions a further increase in the coming years.
General Information on Austrian Anti-Corruption Policy and Law:

On 31 January 2018 the Austrian government adopted the National Anti-Corruption Strategy based on the national Anti-Corruption Law and on recommendations and stipulations of international instruments such as the UN Convention against Corruption and international standards in the fight against and prevention of corruption. The Strategy contributes to identifying targets of corruption prevention, setting priorities and implementing efficient measures. Its target is promoting and long-term safeguarding of integrity and transparency in administration, politics and the economy.


In 2010, the Federal Bureau of Anti-Corruption was established. It has nationwide jurisdiction in the prevention of and the fight against corruption, in the close cooperation with the Public Prosecutor’s Office for White-Collar Crime and Corruption (in German Wirtschafts- und Korruptionsstaatsanwaltschaft, acronym WKStA) and in the security police and criminal police cooperation with foreign and international anti-corruption institutions.

The International Anti-Corruption Academy (IACA), the Austrian Ministry of the Interior (MoI), Federal Bureau of Anti-Corruption (BAK) and the Security Academy (SIAK) as part of the MoI are closely working together (MoU from 2011) with a view towards achieving common purposes and synergies by developing anti-corruption, integrity and ethics programmes and projects and by promoting integrity policies and mandates.

Preventing and combating corruption is a major goal of the Austrian Development Cooperation and ADA, the operational arm of ADC. Combating corruption is essential for sustainable development, as also emphasised in the 2030 Agenda of the United Nations. Based on international guidelines, such as the Paris Declaration on Aid Effectiveness, the final document of the High-Level Forum in Busan, the UN Convention against Corruption (UNCAC) and the OECD DAC Principles for Donor Action in Anti-Corruption, Austria is committed to preventing and combating both internal and external corruption.

As far as cooperation with and financing of Multilateral Development Banks (MDBs) is concerned, Austria attaches utmost importance on politically supporting and strengthening their elaborate framework for Integrity, Anti-Corruption and Compliance. In order to spur sustainable economic development and social progress in developing countries, MDBs apply a multipronged approach to combating corruption, fraud and other sanctionable practices, use proactive measures
including risk assessments and sensitization programs to deter these practices and prevent their occurrence in internal corporate procurement and operations financed by them.

Their many various units, be it Integrity and Anti-Corruption Vice Presidencies or Departments, Audit Departments and Committees, Ethics and Anti-Corruption Committees (both at staff and at Board level), Sanctions Committees, Ombudsman-organisations and Inspection Panels etc. have extensive mandates to carry out independent investigations into allegations of corruption, fraud and other sanctionable practices in MDB-financed operations and develop preventive measures to proactively reduce the potential for corruption, fraud, misconduct and other sanctionable practices within MDB-financed operations. Their operational responsibilities further include risk assessments and employment of surveillance measures towards investigations.


Based on the Anti-Corruption Law, the Austrian public administration and institutions have elaborated their anti-corruption rules and regulations; two of them – the Austrian Development Agency/ADA and the Development Bank of Austria/OeEB which are dealing with bilateral development cooperation - are shown below in more detail according to the categories of the 2016 OECD Council Recommendation (for Development Co-operation Actors on Managing the Risk of Corruption).

1. Code of Conduct (or equivalent):

ADA: All ADA staff is subject to the ADA Code of Conduct as well as the ADA Directive on Personal Benefits and Conflicts of Interest. The Code of Conduct is available at the following link:


OeEB: The Development Bank of Austria (OeEB) is part of the Oesterreichische Kontrollbank AG (OeKB) Group. OeKB is the Austrian Export Credit Agency. The Code of Conduct is publicly available under the following link:


2. Ethics or anti-corruption assistance/advisory services:

ADA: In the event of justified suspicion of violations of ADA’s Code of Conduct or contracts, ADA staff can approach either their supervisor or authorized ADA integrity agents (members of the executive unit law who act independently in this function) or the external Ombudsperson (independent external agent, i.e. a lawyer/law firm).

OeEB: Within OeEB, designated members of the legal department are available to provide advice on anti-corruption matters to OeEB employees.
3. Training and awareness raising on anti-corruption:
ADA: New ADA employees receive an introduction into the principles of the ADA Code of Conduct and the ADA Directive on Personal Benefits and Conflicts of Interest. From time to time, staff training is conducted by the authorized integrity agents or contracted experts. For example, a session on anti-corruption is planned for the ADA annual conference held in summer 2019.

Identification of risks in the context of programme design, management and monitoring forms part of the risk management system at the project and programme level and the trainings conducted on this issue.

OeEB: OeEB provides for mandatory external training on anti-corruption for all staff members.

4. High level of auditing and internal investigation
ADA: ADA has outsourced the internal audit function to a private audit firm, which performs a minimum of four audits per year.

As wholly state-owned entity, ADA is subject to audits conducted by the Austrian Court of Audit. ADA’s financial statements are audited annually by an independent external auditor.

Grant recipients are generally required to commission and submit to ADA annual audit reports by certified external auditors. Further, ADA reserves the right to perform on-the-spot checks of bookkeeping records.

When implementing projects with EU-funding, ADA is subject to on-the-spot checks by EU institutions and bodies, such as the European Commission, OLAF and the EU Court of Auditors.

OeEB: OeEB has a banking licence. Therefore it is regulated through the Austrian Banking Act which foresees internal audit services which is carried out by a specialized audit department of its mother company OeKB. The recommendations of the internal audit are regularly monitored and implementation takes place in a timely manner.

OeEB uses also government guarantees and funds. Therefore the use of these funds and guarantees can also be audited by the Austrian Court of Audit.

5. Active and systematic assessment and management of corruption risks
ADA: An assessment of the corruption risks is part of the risk assessment for all project funding decisions. Additionally, in the case where strategic partnership programmes with CSOs and private sector entities are supported, the evaluation of procedures of the partner organizations concerning accountability and transparency is a standard item of the environmental, gender and social standards due diligence assessment.

ADA’s risk prevention system is based on three pillars: Internal Control System, Risk Management Process, Internal Audit. The Risk Management Process aims to identify, assess and manage existing and potential risks that could impair the achievement of ADA’s objectives. For this purpose, ADA uses a risk matrix as well as a risk management and control plan.

ADA conducts risk assessments of new projects as an integrated approach from the design phases throughout project development and implementation. ADA is currently developing a new risk management system for projects and programmes with official roll-out planned for summer 2019, based on a risk catalogue, risk register and partner due diligence screening. Before official roll-out...
of the new system, trainings of ADA staff based in headquarters and country offices will be conducted. A staff guidance manual will provide practical guidance. A formal re-evaluation of the risk assessment is required at least annually.

OeEB: All projects are undergoing a detailed risk due diligence review, which includes a rigorous check of project partners regarding anti-money laundering and combatting the financing of terrorism.

6. Measures to prevent and detect corruption enshrined in ODA contracts

ADA: To prevent corrupt practices, but also detect if these did indeed occur, a series of administrative practices and institutional arrangements are in place:

- Systematic Partner due diligence,
- Strict reporting and accounting rules,
- Field presence enabling it to monitor closely,
- The internal audit function, responsible for testing the effectiveness of the internal control system (ICS) as well as for the analysis, control and assessment of the effectiveness of risk management.

OeEB: Under OeEB’s contracts, OeEB is entitled to terminate/rescind the contract in case that, inter alia, corruption, money-laundering or terrorist financing occur in a project.

7. Reporting/whistle-blowing mechanism

ADA: ADA has in place a complaints and grievance mechanism (‘whistleblowing system’) to receive and process complaints in connection with violations of its Code of Conduct including reports of alleged cases of corruption. The whistleblowing hotline allows ADA staff as well as other stakeholders to make confidential reports. The function of ombudsperson is performed by an independent external agent, i.e. a law firm.

ADA staff are required to inform their superiors and/or the integrity agents of ADA (integritaet@ada.gv.at) and/or the external ombudsperson without delay – where applicable – if any suspected violation of ADA’s Code of Conduct has occurred. ADA General Terms and Conditions oblige partners to report suspicions of corrupt behavior in the context of the project/programme.

OeEB: OeEB has a whistle-blowing mechanism in place.

8. Sanctioning regime

ADA: If a complaint reaches the Ombudsperson and the information is sufficiently substantiated, he/she may carry out an investigation. If necessary, ADA management or the Ombudsperson can induce a criminal investigation.

In the event of a material breach of contract, the following measures are foreseen: Cancellation or suspension of contracts and reclaiming of disbursed funds; contractual penalties to some extent. Further, monitoring provisions are set forth in ADA contracts.

OeEB: See also TOP 6. Such clauses specifically provide that funds received by the contract partner shall be repaid plus interest upon OeEB’s request.
9. Joint responses to corruption

ADA: In jointly financed projects, ADA cooperates with other co-donors in determining a proper response in case of allegations of corruption. As pillar-assessed implementing entity for EU funds, ADA also cooperates with EU institutions and bodies regarding possible reclaims of improperly used grant money. ADA is further involved in the Practitioners’ Network, a network of Member States’ development agencies that are implementing EU funds.

OeEB: In OeEB’s view, this recommendation reflects a statement of sound principles on which OeEB is ready to proceed in corruption cases.

10. Take into consideration the risks posed by the environment of operation

ADA: As part of the project risk management procedure, contextual risks are taken into account from project design throughout project implementation. Wherever such risks are found to be high, a risk management measure has to be defined. ADA also has a process in place to assess and address potential negative impact of the intervention itself in a systematic manner starting at project design.

OeEB: In the due diligence for its projects, OeEB specifically takes into account the corruption risk posed in the country of operation in its overall risk assessment. A higher corruption risk may lead to a higher risk categorization of the entire project for purposes of OeEB’s anti-money laundering and terrorist financing process.
Annex III: Organisation Charts

Federal Ministry of Foreign Affairs (MFA)
Federal Ministry of Foreign Affairs – Directorate-General for Development

Section VII - Directorate-General for Development Cooperation

Department VII.1 Development Cooperation within the Framework of the European Union and the United Nations

Department VII.2 Thematic Issues and Development Financing

Department VII.3 Humanitarian Assistance

Department VII.4 Development Cooperation Strategy, Public Relations, Evaluation

Department VII.5 Planning and Programming of Bilateral and Regional Development Cooperation
DAC-Peer Review AT

Austrian Development Agency (ADA)

ADA Head Office

Executive Unit
Public Relations & Development Communication and Education in Austria

Executive Unit
Law

Executive Unit
Risk, Third Party Funding & Knowledge Management

Executive Unit
Evaluation & Statistics

Managing Directorate

Department
Programmes & Projects International

Unit
Countries & Regions

Unit
Themes & Quality

Unit
Civil Society International

Unit
Private Sector & Development

Department
Finance & Administration

Unit
Reporting & Financial Accounting

Unit
Budget, Finance, Accounting

Unit
Human Resources & Organisational Management

Unit
IT & Facility Management

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### Annex IV: Staffing levels, composition and location

<table>
<thead>
<tr>
<th>Institution</th>
<th>Type of staff</th>
<th>Location</th>
<th>Task</th>
<th>No of employee resources</th>
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</thead>
<tbody>
<tr>
<td>Ministry of Europe, Integration and Foreign Affairs (MFA)</td>
<td>Experts and diplomats</td>
<td>Headquarter</td>
<td>ADC</td>
<td>24</td>
</tr>
<tr>
<td></td>
<td>Trainees</td>
<td></td>
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<tr>
<td></td>
<td>Support</td>
<td></td>
<td></td>
<td>9</td>
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<tr>
<td>Austrian Development Agency (ADA)</td>
<td>Experts</td>
<td>Headquarters</td>
<td></td>
<td>93</td>
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<tr>
<td></td>
<td>Field Offices (international staff)</td>
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<td>Project staff (international staff)</td>
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<td>Project staff (local staff)</td>
<td></td>
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<tr>
<td></td>
<td>Support</td>
<td>Field Offices (local staff)</td>
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<td>45</td>
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<td>Trainees</td>
<td>HQ</td>
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<td>Organization</td>
<td>Field Offices</td>
<td>HQ</td>
<td>IFI</td>
<td>Debt Relief</td>
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<tr>
<td>Development Bank of Austria (OeEB)</td>
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<td>Ministry of the Interior (MoI)</td>
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<td>Role</td>
<td>HQ/Office</td>
<td>Description</td>
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<td>Ministry of Defense (MoD)</td>
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<td>Ministry of Sustainability and Tourism (MST)</td>
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<td>Ministry for Digital and Economic Affairs (MDEA)</td>
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<td>Austrian Economic Chamber (WKÖ)</td>
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<td>Ministry of Labour, Social Affairs, Health and Consumer Protection</td>
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<td>HQ</td>
<td>Implementation of projects in the field of development cooperation</td>
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<td>Support</td>
<td>Field Office</td>
<td>Implementation of projects in the field of development cooperation</td>
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<td>Federal Chancellery</td>
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<tr>
<td>Regional Governments</td>
<td>Experts</td>
<td>HQ</td>
<td></td>
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<tr>
<td></td>
<td>Support</td>
<td>HQ</td>
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Annex V: Glossary and Abbreviations

ADC Austrian Development Cooperation
ADA Austrian Development Agency
AIIB Asian Infrastructure Investment Bank
AsDB Asian Development Bank
AFDB African Development Bank
AusFG Austrian Export Promotion Law
AFDRU Austrian Forces Disaster Relief Unit
AU African Union
BMZ Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung/German Federal Ministry for Economic Cooperation and Development
CARICOM Caribbean Community
CSO Civil Society Organisation
CEWARN Conflict Early Warning and Response Mechanism
COHAFA Working Party on Humanitarian Aid and Food Aid
DAC OECD Development Assistance Committee
DANIDA Danish International Development Agency
DeGEval Society for Evaluation (Gesellschaft für Evaluation)
EAC East African Community
EBRD European Bank for Reconstruction and Development
EC European Commission
ECA Europe and Central Asia
ECHO European Commission - Humanitarian Aid & Civil Protection
ECOWAS Economic Community of West African States
EDF European Development Fund
EDFI European Development Finance Institutions
EES European Evaluation Society
ENDA Employment Non-Discrimination Act
ENE Energy Programme of IIASA
ESMAP Energy Sector Management Assistance Program
ERP European Recovery Program
EU European Union
EUTF for Africa EU Emergency Trust Fund for stability and addressing root causes of irregular migration and displaced persons in Africa
EvalNet DAC Network on Development Evaluation
FDRF Foreign Disaster Relief Fund
GCF Green Climate Fund
GFA Global Energy Assessment
GEF Global Environment Facility
GENE Global Education Network Europe
GFDRR Global Facility for Disaster Reduction and Recovery
GFSE Global Forum on Sustainable Energy
GNI Gross national income
GN-SEC Global Network of Regional Sustainable Energy Centers
<table>
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<tr>
<th>Acronym</th>
<th>Full Form</th>
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<tr>
<td>GPSP</td>
<td>Gender, Peace and Security Programme</td>
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<tr>
<td>HIPC</td>
<td>Heavily Indebted Poor Countries</td>
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<tr>
<td>IAEA</td>
<td>International Atomic Energy Agency</td>
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<tr>
<td>IATI</td>
<td>International Aid Transparency Initiative</td>
</tr>
<tr>
<td>IBRD</td>
<td>International Bank for Reconstruction and Development</td>
</tr>
<tr>
<td>ICRC</td>
<td>International Committee of the Red Cross</td>
</tr>
<tr>
<td>IDA</td>
<td>International Development Association</td>
</tr>
<tr>
<td>IDB</td>
<td>Inter-American Development Bank</td>
</tr>
<tr>
<td>IDP</td>
<td>Internally Displaced Person</td>
</tr>
<tr>
<td>IFAD</td>
<td>International Fund for Agricultural Development</td>
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<tr>
<td>IFC</td>
<td>International Finance Corporation</td>
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<td>IFI(s)</td>
<td>International Financial Institution(s)</td>
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<tr>
<td>IGAD</td>
<td>Intergovernmental Authority on Development</td>
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<tr>
<td>IIASA</td>
<td>International Institute for Applied System Analysis</td>
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<tr>
<td>IMF</td>
<td>International Monetary Fund</td>
</tr>
<tr>
<td>INTOSAI</td>
<td>International Organisation of Supreme Audit Institutions</td>
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<tr>
<td>JP</td>
<td>Joint Programming</td>
</tr>
<tr>
<td>JPO</td>
<td>Junior Professional Officer</td>
</tr>
<tr>
<td>KFW</td>
<td>Kreditanstalt für Wiederaufbau/Credit Institute for Reconstruction</td>
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<tr>
<td>KKA</td>
<td>KulturKontakt Austria</td>
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<td>LDC</td>
<td>Least developed country</td>
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<td>MADAD Fund</td>
<td>EU Regional Trust Fund In response to the Syrian crisis</td>
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<td>MDEA</td>
<td>Federal Ministry for Digital and Economic Affairs</td>
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<td>MESR</td>
<td>Federal Ministry of Education, Science and Research</td>
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<td>MFA</td>
<td>Federal Ministry for Europe, Integration and International Affairs</td>
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<td>MIGA</td>
<td>Multilateral Investment Guarantee Agency</td>
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<td>MoD</td>
<td>Federal Ministry of Defense</td>
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<td>Federal Ministry of Finance</td>
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<td>MoI</td>
<td>Federal Ministry of the Interior</td>
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<td>MS</td>
<td>Member State</td>
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<td>MST</td>
<td>Federal Ministry of Sustainability and Tourism</td>
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<tr>
<td>MfDR</td>
<td>Managing for Development Results</td>
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<td>MR</td>
<td>management response</td>
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<td>ODA</td>
<td>Official Development Assistance</td>
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<td>OECD</td>
<td>Organization for Economic Cooperation and Development</td>
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<td>OeEB</td>
<td>Development Bank of Austria</td>
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<td>OeKB</td>
<td>Österreichische Kontrollbank/Export Credit Agency</td>
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<td>OCHA</td>
<td>United Nations Office for the Coordination of Humanitarian Affairs</td>
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<td>OSCE</td>
<td>Organization for Security and Co-operation in Europe</td>
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<tr>
<td>OFID</td>
<td>OPEC Fund for International Development</td>
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<tr>
<td>ORF</td>
<td>Austrian Radio and Television</td>
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<tr>
<td>PC(S)D</td>
<td>Policy Coherence for (Sustainable) Development</td>
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<tr>
<td>PEFA</td>
<td>Public Expenditure and Financial Accountability</td>
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<td>PFM</td>
<td>Public Financial Management</td>
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<td>PSE</td>
<td>Private Sector Engagement</td>
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<tr>
<td>Acronym</td>
<td>Definition</td>
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<tr>
<td>PSGs</td>
<td>Peace and Statebuilding Goals</td>
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<tr>
<td>REC</td>
<td>Regional Economic Community</td>
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<tr>
<td>REEEP</td>
<td>Renewable Energy and Energy Efficiency Partnership</td>
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<tr>
<td>RF</td>
<td>Results Framework</td>
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<tr>
<td>SADC</td>
<td>Southern African Development Community</td>
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<tr>
<td>SDC</td>
<td>Swiss Agency for Development and Cooperation</td>
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<tr>
<td>SDG</td>
<td>Sustainable Development Goal</td>
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<td>SEforALL</td>
<td>Sustainable Energy for all</td>
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<td>SEFF</td>
<td>Sustainable Energy Financing Facilities</td>
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<td>SIDS DOCK</td>
<td>Small Island Developing State &quot;DOCKing Station&quot;</td>
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<tr>
<td>SIDA</td>
<td>Swedish International Development Cooperation Agency</td>
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<td>SKKM</td>
<td>National Crisis and Disaster Protection Management</td>
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<td>SP</td>
<td>Strategic Partnership</td>
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<td>SPC</td>
<td>Secretariat of the Pacific Community</td>
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<td>UN</td>
<td>United Nations</td>
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<td>UNDAC</td>
<td>United Nations Disaster Assessment and Coordination</td>
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<td>UNDP</td>
<td>United Nations Development Programme</td>
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<td>UNDS</td>
<td>United Nations Development System</td>
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<td>UNFPA</td>
<td>United Nations Population Fund</td>
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<td>UNHCR</td>
<td>United Nations High Commissioner for Refugees</td>
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<td>UNICEF</td>
<td>United Nations International Children’s Emergency Fund</td>
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<tr>
<td>UNIDO</td>
<td>United Nations Industrial Development Organization</td>
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<tr>
<td>UNRWA</td>
<td>United Nations Relief and Works Agency for Palestine Refugees in the Near East</td>
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<td>VEF</td>
<td>Vienna Energy Forum</td>
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<td>VEN</td>
<td>Vienna Evaluation Network</td>
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<td>WANEP</td>
<td>West Africa Network for Peacebuilding</td>
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<td>WBG</td>
<td>World Bank Group</td>
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<td>WBIF</td>
<td>Western Balkans Investment Framework</td>
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<td>WFP</td>
<td>UN World Food Programme</td>
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<tr>
<td>WKÖ</td>
<td>Wirtschaftskammer Österreich/Austrian Federal Economic Chamber</td>
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<tr>
<td>WoG</td>
<td>Whole-of-Government Approach</td>
</tr>
<tr>
<td>3C</td>
<td>coordinated, complementary, coherent</td>
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<tr>
<td>3YP</td>
<td>Three-Year Programme</td>
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<td>Unterzeichner</td>
<td>Bundesministerium für Europa, Integration und Äußeres</td>
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**Hinweis**
Dieses Dokument wurde amtssigniert.

**Prüfinformation**