

**DEVELOPMENT CO-OPERATION DIRECTORATE
DEVELOPMENT ASSISTANCE COMMITTEE**

DAC PEER REVIEW REFERENCE GUIDE

On the basis of conducting and writing the peer reviews of Australia, France and Sweden, the Secretariat has made a few amendments to the reference guide adopted by the DAC on 12 July 2012 (DCD/DAC(2012)23/FINAL). These changes do not affect the substance, but aim to streamline the reference guide, reducing redundancies and clarifying the indicators.

This document replaces the former reference guide and will apply to peer reviews conducted in 2014.

Contacts:

Karen Jorgensen - Tel: 33 (0)1 45 24 94 61 - Email: karen.jorgensen@oecd.org

Chantal Verger - Tel. 33 (0)1 45 24 15 11 - Email: chantal.verger@oecd.org

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DAC PEER REVIEW REFERENCE GUIDE 2013-2014

1. Background

1. The Development Assistance Committee (DAC) of the OECD conducts reviews of the development co-operation efforts of each Committee member every 4-5 years. The Development Co-operation Directorate (DCD) provides analytical support, and develops and maintains, in close consultation with the Committee, the methodology and analytical framework within which the peer reviews are undertaken.

2. The objectives of DAC peer reviews are to improve the quality and effectiveness of development co-operation policies and systems, and to promote good development partnerships for better impact on poverty reduction and sustainable development in developing countries. DAC peer reviews therefore promote individual and collective behaviour change of DAC members to ensure their development co-operation policy framework and systems are fit for purpose. This is achieved through:

- I. holding DAC members accountable for the commitments they have made, and reviewing their performance against key dimensions of development co-operation and other domestic policies with an impact on developing countries; and
- II. learning and sharing good practice.

3. DAC peer reviews assess the performance of a given member, not just that of its development co-operation agency, and examine both policy and implementation. They take an integrated, system-wide perspective on the development co-operation and humanitarian assistance activities of the member under review.

2. Purpose of the DAC peer review reference guide

4. The reference guide provides a solid, explicit and transparent analytical framework for reviewing performance of DAC members. In setting components and indicators, it refers to internationally agreed benchmarks¹, DAC good practice papers and guidelines, criteria for the admission of new DAC members and nationally selected reference points, wherever possible. It takes into account the changing development landscape, including new international commitments (e.g. Busan) and emerging issues (e.g. aid as catalyst, resilience).

5. While the reference guide provides benchmarks and conditions that define a good and effective development co-operation actor, there is no “one size fits all” model. Therefore, each peer review will be situated in its own context – which will be presented at the beginning of the peer review report, and the reference guide will apply in a flexible manner. Recommendations will be adjusted to each specific situation with the view to support efforts made by the reviewed member to build quality development co-operation and humanitarian assistance policies and systems.

1. Some of which apply to EU members only.

6. The two objectives of accountability and learning continue to apply equally to peer reviews. The reference guide provides a baseline for identifying good practices to enable the sharing of lessons among DAC members. The framework should allow tagging specific aspects in the report (e.g. fragile states) so that these can be pulled out into separate notes for targeted audiences. This responds to the need to tailor communication to specific audiences for greater impact.

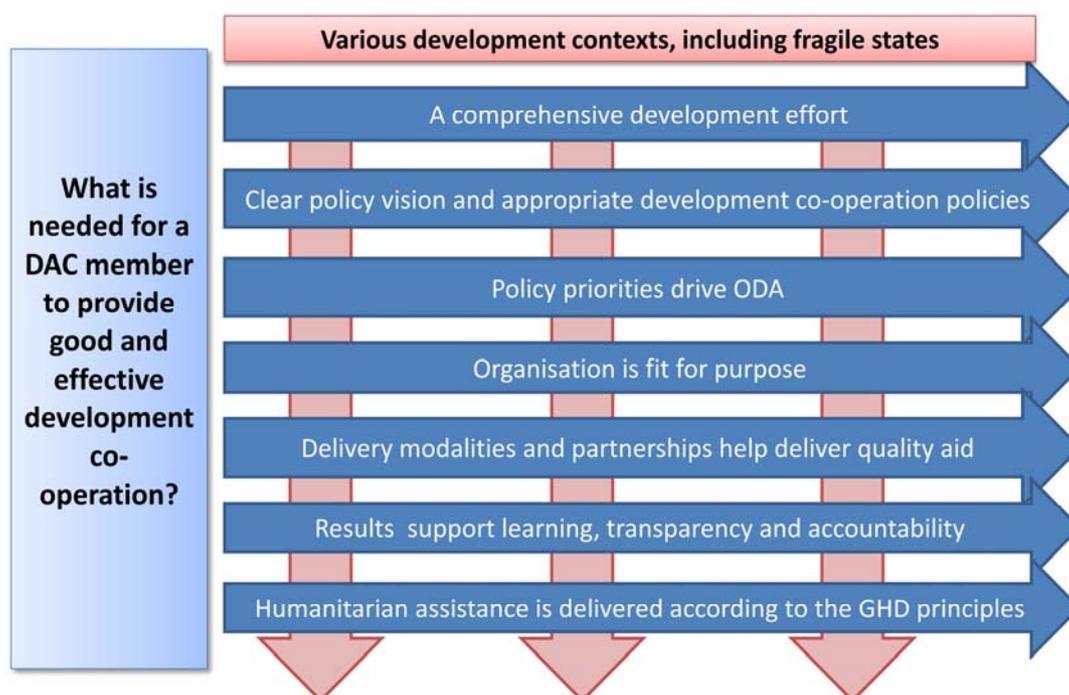
7. The reference guide should be read in conjunction with the *Information Note on the DAC Peer Review Process* [DCD(2012)4] which describes the review process and the roles and responsibilities of participants.

8. The purpose of the reference guide is, therefore:

- I. to serve as a reference for the preparation of the memorandum preceding a review (see the Guidance on DAC country memorandum” [DCD(2012)4/ANN])
- II. to prepare both the examining team and the reviewed member for discussions at headquarters and in the field; and
- III. to facilitate the identification of lessons after individual reviews, and thematic or issue synthesis following a series of reviews.

3. Content and structure of the reference guide

9. The reference guide is organised according to seven key dimensions essential for delivering effective development co-operation and humanitarian assistance in various development contexts.



10. The reference guide reflects the changing development landscape and emerging topics, as expressed in the Busan partnership for effective development, the OECD development strategy and the

DAC PWB 2013-14. It also takes into account consequences of the global financial crisis on development work, for example an increased demand for accountability. These aspects are translated into a strengthened focus on:

- comprehensive development efforts, looking across government at the members' efforts to promote development beyond their ODA programme, i.e. the way they engage in the global development landscape; their efforts to ensure that their policies are development friendly; and their approach regarding development finance, including engaging the private sector;
- capabilities and risks management to meet the challenges of delivering the policy framework and providing quality development co-operation;
- delivery modalities and partnerships; and
- results, value for money and accountability.

11. Meanwhile the content of the development co-operation policy framework and the extent to which it is delivered remains the starting point to review DAC members' development co-operation policies and systems. Humanitarian assistance is kept separate.

12. For each dimension, a series of components of analysis is proposed with corresponding indicators. Each chapter considers both sets of issues from the perspective of headquarters and the field. The peer review process consults a wide variety of stakeholders. Questions to partner countries will continue to be part of the process (in particular for dimensions related to development co-operation delivery, partnerships, results, and development finance). The examining team should bear in mind that all information gathered should be cross referenced across these stakeholders to strengthen the evidence base of the review.

13. For practical reasons, the DAC member being reviewed is referred to as the "member". The lead development co-operation institution is referred to as the "agency" whatever its status (e.g. ministry, semi-autonomous agency).

DAC peer review reference guide

Components of analysis	
Dimension	Components of analysis
<p>1. Towards a comprehensive development effort The member has a broad, strategic approach to development and financing for development additional to ODA. This is reflected in overall policies, coordination within its government system; and operations.</p>	<p>1.1. Global development issues 1.2. Policy coherence for development 1.3. Engaging in partner countries: coordinated government approach at country level 1.4. Other development finance</p>
<p>2. Policy vision and strategic orientations Clear political directives, policies and strategies shape the member's development co-operation and are in line with international commitments and guidance.</p>	<p>2.1. Policies, strategies and commitments 2.2. Policies, strategies and decision-making 2.3. Prioritisation of poverty, LDCs and fragile states 2.4. Mainstreaming cross-cutting issues</p>
<p>3. ODA allocations The member's state of intent and international commitments drive aid volume and allocations.</p>	<p>3.1. Overall ODA volume 3.2. ODA geographic and sector allocations 3.3. ODA channels</p>
<p>4. Organisation fit for delivering the development co-operation programme effectively The member's approach to how it organises and manages its development co-operation is fit for purpose with appropriate capabilities.</p>	<p>4.1. Institutional system 4.2. Innovation and behaviour change 4.3. Human resources</p>
<p>5. Delivery modalities and partnerships help deliver quality aid The member's approach to how it delivers its programme lead to quality assistance in partner countries, maximising the impact of its support, as defined in Paris, Accra and Busan.</p>	<p>5.1. Budgeting and programming processes 5.2. Partnerships (including triangular co-operation) 5.3. Fragile states</p>
<p>6. Results, transparency and accountability The member plans and manages for results, learning, transparency and accountability.</p>	<p>6.1. Results-based management system 6.2. Evaluation system 6.3. Institutional learning 6.4. Communication, accountability and development awareness</p>
<p>7. Humanitarian assistance The member contributes to minimising the impact of shocks and crises, saves lives, alleviates suffering and maintains human dignity in crisis and disaster settings.</p>	<p>7.1. Strategic Framework 7.2. Effective programme design 7.3. Effective delivery, partnerships and instruments 7.4. Organisation fit for purpose 7.5. Results, learning and accountability</p>

1. Towards a comprehensive development effort

Purpose: This chapter looks at DAC members' efforts to promote development beyond their aid programme, i.e. the way they engage in the global development landscape; their efforts to ensure that their domestic and international policies support – or at least do not undermine – partner countries' development efforts; their effort to promote a coordinated government approach at partner country level; and their strategy, financial instruments and coordination for financing for development in addition to official development assistance (ODA), including engaging the private sector.

The member has a broad, strategic approach to development and financing for development beyond aid. This is reflected in overall policies, coordination within its government system; and operations.

Components of analysis	Indicators
1.1. Global development issues	
Relation to the global development landscape	The member has a strategic approach to contributing to addressing global public risks and processes that affect development. It includes global public risks in the context analysis of its country strategies, and contributes to the implementation of related development-relevant global public policies.
1.2. Policy coherence for development <i>Domestic policies support or do not harm developing countries</i>	
1.2.1. Political commitment and policy statements	
Public commitments	The member's government makes public commitments to development friendly and coherent policies, endorsed at the highest political level, with clear links made to poverty reduction and internationally agreed development goals. For European Union members, clear reference to the EU framework on policy coherence for development is made.
Priority issues	The member identifies priority issues of coherence or incoherence and has a time-bound plan for addressing these issues.
Raising awareness and building support	The member educates and engages the public, working with civil society, research organisations and partner countries, to raise awareness of government commitments supporting policy coherence for development.
1.2.2. Policy coordination mechanisms	
Inter-ministerial co-ordination	Mechanisms for inter-ministerial co-ordination and policy arbitration, involving all relevant ministries, address domestic policies harmful or supportive towards developing countries. A lead institution is identified with a clear mandate.
Capacity and awareness of government departments	There is awareness of and capacity to analyse issues related to domestic policy impact on developing countries among relevant ministries of the member's government.

Components of analysis	Indicators
1.2.3. Systems for monitoring, analysis and reporting	
Monitoring the impacts at the field level	The member makes use of field-level resources and international partnerships to monitor the impacts of policy coherence and incoherence for development. The member tries to develop measurable indicators to track progress.
Analysis of policy coherence for development issues	The member carries out analysis of policy coherence for development issues, drawing also on the expertise of domestic or international civil society and research institutes. The member has a system of screening domestic policies or positions in international forums that could impact developing countries.
Reporting on policy coherence for development	The member reports regularly to its parliament and wider public on progress to make policies development friendly.
1.2.4. Illustrations of policy coherence for development in specific areas	
Analysis on specific issues	The member has analysed the benefits of coherence in the priority issues.
Action on specific issues	There is observable policy change or enforcement of supportive policies towards developing countries on the specific issues identified by the member.
1.3. Engaging in partner countries: coordinated government approach at partner country level <i>Strategic framework, institutional structures and mechanisms facilitate coherent action</i>	
Whole-of-government strategy and objectives	The member has formulated a whole-of-government strategy and objectives which go beyond development cooperation where relevant, exploiting synergies across its own policy communities and reviewing impact on the ground.
Coordination of policies	The member has a co-ordination mechanism and clear processes to manage trade-offs between competing priorities. Diplomacy and development (and whenever relevant defence and other policy areas) perspectives are successfully integrated by the member to produce whole-of-government analysis, strategies or joint objectives for specific regions of countries.
1.4. Financing for development <i>The member engages in development finance in addition to ODA</i>	
ODA as a catalyst	The member states in its overall strategy the need for development finance additional to ODA and promotes the role of aid as a catalyst to bring private investment to support development efforts in partner countries (e.g. help improve the enabling environment or support public-private partnerships). The member's ODA and non-ODA development related actors coordinate to maximise private investment for sustainable development.
Development official finance instruments and flows	The member has official financial instruments to leverage private investments for developing countries, such as guarantees, export credits, equities and other subsidies, and innovative measures. The trend and composition of official development flows (ODA, other official flows) reflect the member's approach to development finance.
Tracking and reporting non-ODA flows	The member tracks the totality of its resource flows for development, including investment, commercial loans and aid by private bodies, and makes this information available to all key stakeholders.

Key references

- Recommendation of the Council on good institutional practices in promoting policy coherence for development (2010).
- OECD Ministerial Declaration on Policy Coherence for Development (2008).
- Busan Partnership for Effective Development Co-operation (2011).
- Promoting Private Investment for Development: The Role of ODA (2006).
- Trade for Growth and Poverty Reduction: How Aid for Trade Can Help (2011).
- Joint Statement on expanding and enhancing public private co-operation for broad based, inclusive and sustainable growth, 2011.
- Monterrey Consensus on Financing for Development (2002).
- OECD Recommendation of the Council for further combating bribery of foreign public officials in international business transactions, 29 November 2009, amended on 18 February 2010.
- The FATF Recommendations – International standards on combating money laundering and the financing of terrorism and proliferation, FATF-OCDE (2012).
- References to findings from peer reviews of the member by other OECD policy communities such as trade, agriculture, anti-corruption, anti-bribery, anti-money laundering, environment, tax, migration, investment, that impact developing countries, and to established OECD standards, as relevant.

2. Policy vision and strategic orientations

Purpose: This chapter looks at the political directives, policies and strategies that shape the members' development co-operation, including the legal basis, political commitment and current vision. To appreciate changes in the system, it is important for the peer reviewer to know what steps have been taken to implement the DAC recommendations from the previous peer review.

Clear political directives, policies and strategies shape the member's development co-operation and are in line with international commitments and guidance.

Components of analysis	Indicators
2.1. Policies, strategies and commitments <i>Clear policy vision and solid strategies guide the programme</i>	
Overall framework	The member has a clear, top-level statement of the purpose of development co-operation that has wide ownership.
Strategic orientations	Member's policies and strategies are prioritised with a clear focus on where development cooperation is needed most. They are in line with DAC guidelines and spell out the member's commitment to poverty reduction, the MDGs, aid effectiveness and other international promises.
2.2. Decision-making <i>The rationale for allocating aid and other resources is clear and evidence-based</i>	
Approach to allocating resources	Member's policies and strategies provide a sufficient rationale and basis for allocating aid to multilateral and bilateral channels, among recipient countries and sectors and deciding upon the instruments to be used.
Approach to multilateral ODA	The member has a multilateral development policy/strategy that is evidence-based and provides rationale for allocating to different organisations.
Approach to bilateral ODA	Member's bilateral strategy builds on transparent evidence-base and has a clear sector and geographic focus aimed at reducing poverty and accelerating progress towards the MDGs in an optimal number of partner countries.
2.3. Policy focus <i>Fighting poverty, especially in LDCs and fragile states, is prioritised</i>	
Focus on poverty reduction	There is specific policy guidance on poverty reduction in line with the MDGs and DAC guidance.
Selected focused areas	Poverty, fragility and/or conflict are formally or informally incorporated in the selection criteria for partner countries.
Relationship between development and humanitarian programmes	The member's strategic orientations, practices and timeframes support holistic responses between development and humanitarian programmes, including in transition situations and in reducing risk and building resilience.
Fragile states and situations	The member has cross-government policy for engagement in fragile states and situations, respecting the Fragile States principles, the New Deal and OECD-DAC guidance, anchored in relevant legislation and accompanied by a realistic implementation plan.
Cross-cutting issues	There is specific policy guidance on integrating cross-cutting issues, such as capacity development, gender equality and women's empowerment and environment and climate change, into the programme in accordance with Busan commitments.

Key references

- Millennium Development Goals and Millennium Declaration (2000) and the Outcome Document of the 2010 MDG HLP.
- Busan Partnership for Effective Development Co-operation (2011).
- Poverty Reduction, DAC Guidelines (2001.)
- Promoting Pro-Poor Growth: Policy Guidance for Donors, DAC Guidelines and Reference Series (2006).
- OECD/DAC Principles for good international engagement in fragile states and situations (2007).
- A New Deal for Engagement in Fragile States (2011).
- Supporting Statebuilding in Situations of Conflict and Fragility: Policy Guidance (2011).
- DAC guidelines for gender equality and women's empowerment in development co-operation (1999).
- DAC Guidelines on Integrating the Rio Conventions into Development Co-operation (2002.)
- Integrating Climate Change Adaptation into Development Co-operation: Policy Guidance (2009).

3. Aid allocations

Purpose: This chapter looks at the official development assistance (ODA) figures, including the overall level and components of aid, the approach to bilateral and multilateral aid channels, and geographic and sector allocations of bilateral aid. Governments set targets and undertake international commitments for the level of their aid. While national targets sometimes differ from international ones, it is important to examine whether, and how, the DAC member is meeting its stated goal. This chapter will therefore: i) use data to track members' performance against national and international commitments; ii) review significant changes in aid levels as well as plans for meeting, or staying on, the set target; iii) assess how closely allocations reflect stated policy; and iv) look at how bilateral and multilateral budgeting processes and policies promote an effective global aid architecture.

The member's international and national commitments drive aid volume and allocations.

Components of analysis	Indicators
3.1. Overall ODA volume	<i>The member makes every effort to meet ODA domestic and international targets</i>
ODA targets	The member has a clear statement of the ODA levels that it wants to achieve (total ODA, ODA/GNI, ODA to specific regions, country income groups, sectors or objectives). The statement is in line with the international commitments it has endorsed.
ODA trends and plans to meet targets	The actual volume of ODA reflects the statement of intent. Member has a clearly defined plan and timeline to meet its targets, and regularly evaluates its overall performance.
ODA reporting and forward looking information	The member complies with all DAC Recommendations on aid, and its statistical reports are in conformity with ODA rules. The member regularly provides available three- to five-year indicative forward expenditure to its partner countries on a rolling basis, as committed in Busan (§24a). The member has plans to implement the standard for electronic publication of timely, comprehensive and forward-looking information by December 2015, and a process to ensure that implementation proceeds on track in accordance with the deadline (§23c).
3.2. Bilateral ODA allocations	<i>Aid is allocated according to the statement of intent and international commitments</i>
Geographic allocations	The member's policy commitments and strategic priorities are reflected in geographic allocations at a global level. The member promotes, internally and internationally, effective division of labour, based on an assessment of its comparative advantages and considerations regarding countries that receive insufficient assistance and measures required to curb fragmentation of aid.
Sector allocations	Sector and thematic priorities (including cross cutting issues) are reflected into sector allocations at partner country level. These take into account partner countries' priorities, other partners' involvement, and the need for sector concentration based on actors' comparative advantages.
3.3. Multilateral ODA channel	<i>The member uses the multilateral aid channel effectively</i>
Multilateral channel	The member uses multilateral aid in accordance with its strategy for this channel. Performance assessments of multilateral organisations and potential synergies between multilateral and bilateral assistance are factored into the decision making process.

Components of analysis	Indicators
International aid architecture	The member participates in joint efforts to make the multilateral system as well as individual multilateral agencies more effective.

Key references

- DAC Recommendation on Terms and Conditions of Aid (1978).
- DAC Recommendation on Good Pledging Practice (2011).
- Monterrey Consensus on Financing for Development (2002).
- United Nations target of 0.7% of ODA/GNI (re-affirmed in Monterrey in 2002 and Doha in 2008) and/or other commitments (*e.g.* the European Council Presidency Conclusions on ODA levels [16-17 June 2005]).
- Busan Partnership for Effective Development Co-operation (2011).
- 2011 Revision to the 1995 Aide Memoire on the Accession of new DAC members and full participants (DCD/DAC(2011)36/FINAL, annex 1).

4. Organisation fit for purpose

Purpose: This chapter looks at the institutional structures and management processes that support the effective implementation of development co-operation policies. While the DAC has not issued guidance in this area of examination, the Aide-Memoire on the Admission of new DAC members requires DAC members to put in place sound organisational management principles, including appropriate institutional frameworks with sufficient ability and operational capacity; and Managing Aid (2009) captures recognized and validated good practice. The chapter also assesses more broadly whether the member's aid administration and organisation are appropriate to meet the goals and objectives set for the programme; whether appropriate capacities are retained; and efforts to ensure the system is set up to deliver aid effectively.

The member's approach to how it organises and manages its development co-operation is fit for purpose

Components of analysis	Indicators
4.1. Institutional system operation	<i>The institutional structure is conducive to consistent, quality development co-operation</i>
Leadership and management	The member is committed to setting a system able to deliver on the policy priorities and commitments made, including in Busan. The management provides a clear vision on how the business model helps to achieve this.
Internal coordination	The development cooperation system is well co-ordinated and led with clear, complementary mandates, and a whole-of-government approach where needed.
Structure and systems	The structure and systems of the organisations involved supports the member to implement its policies and commitments in an efficient way. This includes reviewing the delegation of financial and programming authority as agreed in Busan. In fragile and transition environments, the member ensures the flexibility needed to adjust programmes and instruments in light of the evolving context and compact negotiations.
4.2. Innovation and behaviour change	<i>The system supports innovation</i>
Organisational change	The member is able to reform to improve its organisational structure and systems and anticipate needs. It manages organisational change effectively to minimise the risks associated with the change process – including through monitoring progress, communicating the impact of change, and staying open to making adjustments.
Programme innovation	The leadership and internal system (rules and procedures) encourage innovation in the programming and approach to development co-operation, such as investing in new modalities for delivering aid and involving new types of partners.
4.3. Human resources	<i>The member manages its human resources effectively to respond to field imperatives</i>
Staffing levels, composition and location	The member ensures that its system as a whole has appropriate staff levels and capacity, with the necessary skills in the right places – especially for fragile and conflict-affected situations - to deliver on objectives at headquarters and in the field. Based on a medium term vision, it sets annual plans for recruitment and staff development. The member provides incentives for skilled staff to remain in post for reasonable lengths of time.
Staff development	The member invests in staff and skills in support of its development co-operation objectives with appropriate incentives and training opportunities, including for locally recruited staff.

Key references

- 2011 Revision to the 1995 Aide Memoire on the Accession of new DAC members and full participants (DCD/DAC(2011)36/FINAL, annex 1).
- Better Aid: Managing Aid – Practices of DAC Member countries (2009).
- Busan Partnership for Effective Development Co-operation (2011).
- Managing Risks in Fragile and Transitional Contexts: The Price of Success? (2010).

5. Delivery modalities and partnerships for quality aid

Purpose: This chapter looks at efforts made by members to fulfil the commitments set out in the 2011 Busan outcome documents. It looks at how the budgeting and programming processes support quality aid as defined in Busan, and how members engage in coordination arrangements and promote strategic partnerships to develop synergies and enhance mutual accountability. This chapter also examines how the *Principles for Good International Engagement in Fragile States and Situations* are applied by donors that engage in countries with problems of weak governance and conflict, and during situations of fragility.

The member's approach to how it delivers its programme leads to quality assistance in partner countries, maximising the impact of its support, as defined in Busan.

Components of analysis	Indicators
5.1. Budgeting and programming processes <i>These processes support quality aid as defined in Busan</i>	
Budgeting process / predictability and flexibility	The budgeting process allows for multi-year predictability, while keeping some flexibility to reallocate aid when needed.
Programming process / context-based and supporting alignment to national strategies	The programming processes support alignment and are streamlined, efficient and coherent. The member tailors its support to country contexts. Its strategies are aligned to national strategies, and evidence-based to respond effectively to partner country needs. They incorporate cross-cutting issues, such as gender equality and environment.
Alignment and use of country systems	The member uses partner country systems as the default approach for co-operation in support of activities managed by the public sector, with a mix of aid instruments adjusted to match partner countries' needs and capacity.
Analysis of risks and opportunities informs planning and programming	The member assesses contextual, programmatic and institutional risks in relation to opportunities. Analysis of risks such as corruption and fiduciary risks feeds into planning and programming to inform the programme delivery design and control mechanisms; there is increased joint analysis of contextual risks and efforts to manage - rather than avoid - risks; there is a policy supporting joint corruption assessments, improved coordination among donors, and joint and graduated responses to corruption.
Untying	The member accelerates its efforts to untie aid as agreed in Busan.
Conditionality	Conditionalities are agreed with the partner country, based on its national development strategy, and transparent (publically available) with an emphasis on harmonised and results based conditionality (Accra).
5.2. Partnerships <i>The member makes appropriate use of coordination arrangements, promotes strategic partnerships to develop synergies, and enhances mutual accountability</i>	
Division of labour and joint approaches	The member makes maximal use of country-led co-ordination arrangements, including division of labour, as well as programme-based approaches, joint programming and delegated co-operation (Busan).
Accountability	Member engages actively in mutual accountability mechanisms at the country (regional and global) level(s).
Partnerships	The member engages in partnerships with a wide range of government

Components of analysis	Indicators
	and non government actors (e.g. UN, triangular co-operation, CSOs, foundations, private sector) to generate synergies and increase impact.
Civil Society Organisations (CSOs)	The member has a clear CSO policy, which includes strengthening southern civil society as a key objective. It engages with CSOs both at strategic and delivery levels, and partners with CSOs to promote development education. Criteria for funding are clear and transparent. Various funding mechanisms are available to suit the different types of NGOs. Transaction costs are minimised, and monitoring focuses on results, balancing financial accountability and learning.
5.3. Fragile states <i>Delivery modalities and partnerships help deliver quality</i>	
Country strategies address conflict and fragility and focus on essential peacebuilding and statebuilding priorities	Member's country strategy focuses on peacebuilding and statebuilding objectives and the reduction of crisis, disaster and conflict risks. The strategy is focused on a limited number of priorities, and identifies and analyses trade-offs and dilemmas, weighs short vs. long-term effects and is realistic about what can be achieved in a given timeframe.
Coordination with government and other donors	The member strengthens, funds and engages with government led coordination mechanisms, including compacts, in fragile states. Member coordinates actively with other development partners and supports programme based approaches and multi-donor trust funds to increase coherence.
Programme delivery modalities in fragile contexts	The member has a strategy for the gradual implementation of the aid effectiveness principles in each fragile state; but uses simplified procurement and financial management procedures to support delivery in the initial stages of the transition, while ensuring that the way aid is delivered does not undermine statebuilding processes.

Key references

- Busan Partnership for Effective Development Co-operation (2011).
- Principles for Good International Engagement in Fragile States & Situations (2007).
- A New Deal for Engagement in Fragile States (2011).
- OECD Guidance on Statebuilding (2011) and on International Support to Post-conflict Transitions (2011).
- DAC Recommendation on Untying ODA to the Least Developed Countries and Heavily Indebted Poor Countries (2001, amended 2006 and 2008).
- International Good Practice Principles for Country-Led Division of Labour and Complementarity (2009).
- DAC Policy and Principles on Anti-Corruption (2007).
- DAC Guiding Principles for Aid Effectiveness, Gender Equality and Women's Empowerment (2008).

6. Results, transparency and accountability: managing for, evaluating, learning, and communicating results

Purpose: This chapter looks at DAC members' efforts to manage for development results, while strengthening national capacities and drawing on partner countries' own data and systems wherever possible. It also looks at how members use evaluations' results and lessons for knowledge sharing and management purposes; and disseminate development results for communication, accountability, and public awareness in support of development co-operation.

The member plans and manages for results, learning, transparency and accountability

Components of analysis	Indicators
6.1. Policies, strategies, plans, monitoring and reporting <i>A results-based management system is in place to assess performance on the basis of development priorities, objectives and systems of partner countries.</i>	
Development co-operation policies, strategies, plans, budget and programmes	The member states the objectives of its development co-operation policies and programmes in terms that can be measured and makes explicit reference to the achievement of development results with a clearly articulated chain of expected results from activities to impacts. Its planning, budgeting and monitoring processes are results-oriented, and include both outcome and output indicators of performance.
Approach to results measurement	The member's measurement of development results draws both on evaluations and on partner countries' own data and systems, and minimise the introduction of additional indicators, separate data collection, fragmented monitoring processes and parallel reporting requirements.
Monitoring individual programme results in fragile contexts	The member maintains a clear understanding of contexts of conflict and fragility in which it is operating, monitors the conflict sensitivity and results of activities and country strategies, and adapts as required to ensure a "do-no-harm" approach. Where compacts or joint approaches are used, managing for, monitoring and reporting on results should support collective accountability.
6.2. Evaluation system <i>The evaluation system is in line with the DAC evaluation principles</i>	
Evaluation policy and evaluation unit	An evaluation policy is in place. There is an appropriately staffed evaluation unit with clearly defined role and responsibilities.
Independence of evaluations	The evaluation process is impartial and independent from the process concerned with policy-making and the delivery of development assistance.
Planning and budgeting for the evaluation of development assistance activities	An overall plan and a dedicated budget for the evaluation of development assistance activities is in place. In elaborating such a plan, the various activities to be evaluated are organised into appropriate categories, and priorities are set for the evaluation of these and an appropriate timetable and budget are drawn up.
Evaluation partnerships and strengthening capacity	The member completes evaluations in partnership with aid recipients and other development partners and promotes capacity development and partner country led efforts in this area.

6.3. Institutional learning		<i>Evaluations and appropriate knowledge management systems are used as management tools</i>
Evaluation feedback mechanisms	The member has adequately resourced evaluation feedback mechanisms in place and these involve all parties concerned, such as evaluation committees, seminars and workshops, management response and tracking system to follow up and implement evaluation findings and recommendations, reporting procedures, and informal means such as networking.	
Dissemination of evaluation results and lessons	There is systematic dissemination of evaluation results and lessons, including distribution of the evaluation report itself; abstracts/summaries providing a synopsis of findings and lessons; knowledge sharing activities and broader dissemination of learning about what works.	
Knowledge management	The member has a knowledge management system and uses it as a forward looking management tool, building on results and evidence for learning and analysis.	
6.4. Communication, accountability, and development awareness		<i>The member communicates development results transparently and honestly</i>
Transparency and accountability	The member is transparent and credible to stakeholders about how it is working and what it is achieving - including implementing transparency commitments as agreed in Busan. Domestic stakeholders are involved in ensuring domestic accountability of the development cooperation programme.	
Communicating results and risks	The member invests in and plans for communicating the results of its development co-operation to major stakeholders (including taxpayers, lawmakers, partners and beneficiaries), using partner country's results frameworks where possible. Development results are used as a basis for the member's communication to the greater public with equal balance between success and failure. The member has a strategy to communicate publicly on risk and mitigation strategies.	
Raising development awareness	The member works with civil society, the education sector and research organisations with the view to raise development awareness in the public.	

Key references

- Busan Partnership for Effective Development Co-operation (2011).
- Evaluating development co-operation – Summary of key norms and standards (2010).
- OECD Guidance on International Support to Post-conflict Transitions (2011).
- OECD Guidance on evaluating support to peacebuilding and statebuilding (forthcoming, 2012).
- Principles for Results Reporting by Donors, Global Partnership on MfDR, 2012 (*once approved*).

7. Humanitarian assistance

Purpose: This chapter looks at efforts made by members to fulfil the Principles and Good Practice of Humanitarian Donorship (GHD), initially endorsed by 17 donors in Stockholm in June 2003, and now endorsed by all members of the DAC. The objectives of humanitarian action, as set out in the GHD principles are to save lives, alleviate suffering and maintain human dignity during and in the aftermath of man-made crises and natural disasters, as well as to prevent and strengthen preparedness for the occurrence of such situations. In 2004, the DAC decided to engage actively in pursuing Good Humanitarian Donorship, and began to include the GHD dimension in peer reviews later that year.

The member contributes to minimising the impact of shocks and crises; and saves lives, alleviates suffering and maintains human dignity in crisis and disaster settings

Components of analysis	Indicators
7.1. Strategic Framework <i>Clear political directives and strategies for resilience, response and recovery</i>	
Humanitarian policy and/or strategic framework	The member has cross-government policy for humanitarian assistance, respecting the GHD principles, anchored in relevant legislation and accompanied by a realistic implementation plan. Wide consultation of all key stakeholders. <i>(GHD 1,2,3.)</i>
Approach towards recovery and transition	Member's strategic orientations, practices and timeframes support holistic responses between development and humanitarian programmes in protracted crises and transition situations. Member coordinates engagement and funding with other actors through compacts, where applicable. <i>(GHD 9, ND, TF.)</i>
Approach towards disaster risk reduction and resilience	The member works to actively reduce disaster risks, anticipating disasters, reducing risk exposure, strengthening the resilience of vulnerable communities, and strengthens national and international response capacity and leadership. <i>(GHD 5, 8 and Hyogo Framework.)</i>
Overall humanitarian budget and trends	The member provides sufficient financial resources to match its strategic objectives in humanitarian assistance programming. <i>(GHD 6, 11.)</i>
7.2. Effective programme design <i>Programmes target the highest risk to life and livelihood</i>	
Criteria for who, what and where to fund	The member bases its humanitarian funding on an objective determination of the severity of each crisis, and/or focuses on crises where it can clearly add value, addresses the highest risk to life and livelihood first, and takes into account the capacity of potential partners to deliver results. Decision making processes and criteria are transparent, and match the priorities set out in country strategies. <i>(GHD 6,11,12.)</i>
Role of early warning	The member has a clear link between early warning and early response. <i>(GHD 17,18.)</i>
Approach towards participation of beneficiaries	The member actively promotes beneficiary participation throughout the programme cycle, including allocating sufficient resources to allow for participatory approaches and providing programmatic flexibility to adapt to feedback. <i>(GHD 7.)</i>
7.3. Effective delivery, partnerships and instruments <i>Delivery modalities and partnerships help deliver quality assistance</i>	
Tools available for protracted crises and recovery	The member has the appropriate mix of instruments, including development funding, to save lives, support community recovery and resilience building, and residual humanitarian needs in recovery contexts. <i>(GHD 9.)</i>

Rapid response tools and mechanisms	The member has appropriate mechanisms for rapid and appropriate crisis response, including early deployment of recovery funding. (GHD 5,17,18.)
Partnerships with the humanitarian community	The member streamlines procedures, aligns funding streams, improves predictability and flexibility of humanitarian funding, and works to reduce the administrative burden on partners, including NGO partners. (GHD 10,12,13,14.)
Co-ordination with other donors	The member coordinates actively with other donors. (GHD 10.)
7.4. Organisation fit for purpose <i>Systems, structures, processes and people work together effectively and efficiently</i>	
Co-ordination across government	The member has a functioning whole of government mechanism to ensure coherence between humanitarian (including civil protection), development and security policy and operations, with a clear lead entity. (All.)
Approach to civil-military co-ordination	The member has a cross-government civil-military policy that outlines clear criteria for enforcing the 'last resort' principle. Member works to increase awareness of humanitarian and fragile states principles amongst key military personnel. (GHD 1,2,17,19,20.)
Humanitarian staff	The member has sufficient skilled staff in headquarters and in the field to cope with workload expectations throughout the programme cycle, provides incentives for skilled staff to remain in post for reasonable lengths of time, and provides staff with training on how to work effectively in fragile and conflict-affected situations. (All.)
7.5. Results, learning and accountability <i>Results are measured and communicated, and lessons learnt</i>	
Monitoring own performance	The member has verifiable indicators to monitor and report on their own objectives and strategies, and regularly evaluates own overall performance. (All.)
Monitoring the impact of programmes	The member monitors the impact of programmes, themes and country strategies (joint monitoring where appropriate) disseminates lessons and adapts programmes as required. (GHD 15,16,22.)
Communicating results	The member communicates objectives and results to major stakeholders (including taxpayers, lawmakers, partners and beneficiaries). (GHD 21,23.)

Key references

- Principles and Good Practice of Humanitarian Donorship - GHD (2003).
- Hyogo Framework for Action 2005-2015.
- OECD/DAC Principles for Good International Engagement in Fragile States & Situations (2007).
- A New Deal for Engagement in Fragile States - ND (2011).
- OECD Guidance on International Support to Post-conflict Transitions - TF (2011).
- Guidelines on the Use of Foreign Military and Civil Defence Assets in Disaster Relief – Oslo Guidelines (2007).
- Guidelines on the use of Military and Civil Defence Assets to Support United Nations Humanitarian Activities in Complex Emergencies (2006).