



DDLG Programme Monitoring

Final Report for the Swiss Agency for Development and Cooperation (SDC) on the
Assessment of its List of Reference Indicators in the Field of Democratization,
Decentralization and Local Governance (DDLG)

Written in the Context of the Capstone Course
“Demokratisierung, Dezentralisierung und lokale Gouvernanz (DDLG):
Programm-Monitoring für die DEZA”

Authors: Viktoriya Andreeva (viktoriya.andreeva@uzh.ch)
 Annick Doriot (annick.doriot@uzh.ch)
 Julia Rickenbacher (julia.rickenbacher@uzh.ch)
 Svenja Strahm (svenja.strahm@uzh.ch)

Supervising Tutors: Prof. Dr. Daniel Kübler
 MA Palmo Brunner

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Abbreviations

-	ARI	Aggregated Reference Indicator
-	CO	Country Office
-	CPI	Corruption Perceptions Index
-	CS	Cooperation Strategy
-	CSO	Civil Society Organizations
-	CUI	Commonly Used Indicators
-	DDLG	Democratization Decentralization and Local Governance
-	DFID	(British) Department for International Development
-	FDFA	Federal Department of Foreign Affairs
-	GDP	Gross Domestic Product
-	GoG	Government of Georgia
-	HQ	Headquarter
-	HSD	Human Security Division
-	IAEG-SDGs	Inter-Agency and Expert Group on Sustainable Development Goals
-	JPLG	UNDP Joint Programme on Local Governance
-	OGC	Oslo Governance Centre
-	OGP	Open Governance Partnership
-	PEFA	Public Expenditure and Financial Accountability
-	SDC	Swiss Agency for Development and Cooperation
-	SDG	Sustainable Development Goals
-	SECO	State Secretariat for Economic Affairs
-	SIDA	Swedish International Development Cooperation Agency
-	SMART	Specific, Measurable, Attainable, Relevant and Time-Bound
-	SNDP	Somalia National Development Plan
-	SQC	Synthesized Quality Criteria
-	ToC	Theory of Change
-	UN	United Nations
-	UNDP	United Nations Development Programme

Executive Summary

The Swiss Agency for Development and Cooperation commissioned political science students from the University of Zurich with the assessment of its list of reference indicators, which is used for monitoring in the field of Democratization Decentralization and Local Governance (DDLG). Our methodical approach consisted of analysing SDC's internal documents, interviewing headquarter and country office staff, as well as comparing indicators from other donors and international organizations. This report aims at giving answers to following research questions:

- Which quality criteria have to be met by a DDLG-indicator system?
- How does the SDC's indicator system perform regarding those quality criteria?
- Is there room for improvement concerning the SDC's indicator system?

To answer the first question, we establish in the second chapter the common practice regarding monitoring in general and in the field of DDLG in particular. Concerning monitoring in general, a theory of change (ToC) is essential and serves as a basis for deducing, which desired progress exactly should be monitored. In addition to the ToC, we derived six theoretical principles for indicator selection and the development of indicator systems. Firstly, the indicators should be differentiated into output, outcome, and impact categories. Additionally, indicators and targets should be aligned in the same categories. Thirdly, indicators should comply with the SMART criteria (specific, measurable, attainable, relevant and time-bound). Moreover, baseline data should serve as a reference point for progress. Fifthly, quantitative and qualitative indicators should be combined in order to capture the whole picture. Lastly, disaggregated indicators should be included to avoid loss of information. Regarding monitoring in the field of DDLG in particular, major donors are still working on their own frameworks since there is no internationally established framework for indicators and indicator systems yet. They face similar challenges, such as misalignments between targets and indicators, as well as problems with data production, collection, and monitoring (methodologies, resources, and capacity). Apart from the British Department for International Development (DFID), most donors do not categorize indicators as output, outcome or impact indicators. In addition, some donors do not develop their own indicators or indicator systems for program monitoring but rather give their partner organizations the opportunity to develop a monitoring framework (e.g. SIDA).

In the third chapter, we assess the SDC's reference indicator list based on ToC, a set of synthesized quality criteria and a set of previously established Commonly Used Indicators (CUI), in order to answer the second research question. Based on those three assessments, we suggest changes and additions to the SDC indicators. For all topics, we separate the indicators into output, outcome and impact indicators. Furthermore, we add one ARI for Media and Human Rights, as this is one topic of the CUI, which is barely covered by the SDC indicators. Adding this indicator also establishes a new ARI for democratization, as suggested in the assessment concerning the ToC. The comparison of the indicator list to the ToC had shown that in the ARIs, the subtopic democratization was underrepresented compared to the subtopics decentralization and local governance.

To answer the third and last research question, we assess the application of the SDC's reference indicators in two case studies (Somalia and Georgia) in the fourth chapter. Considering DDLG programme monitoring in Georgia and Somalia we found that both countries are to some extent confronted with similar challenges, such as data availability and difficulties during the logframe development process. Still, monitoring in the field of DDLG in Georgia and Somalia bears more differences than similarities. This variation can be attributed to country-specific contexts. On the one side, Georgia is a forerunner in the field of SDG programme monitoring. On the other side, Somalia is characterized by a rather difficult context, where violence and the international set-up complicate the monitoring process. In addition, whereas the SDC in Somalia is only one of many donors working together in joint projects, the SDC in Georgia takes a leading position in certain projects, which enhances the SDCs negotiation power and, consequently, the opportunity to use SDC indicators for programme monitoring. Based on the case studies, we suggest adjustments for the SDC's list of reference indicators concerning its formulation and application.

Formulation

- Formulate ARIs and indicator lists based on country groups representing a **similar context and focal point**.
- The indicator list should better balance the **share of outcome and output indicators**.
- **Conceptualization**: Formulate the indicators in a simpler, clearer, and more specific way, as well as describe guidelines in more details, and develop process indicators.
- Coordinate the ARIs with **internationally established SDG-indicators** and **contribute to the development** of those indicators.

Application

- Improve **communication** between the Headquarter and the Country Offices concerning the use of the ARIs.
- Establish an **exchange between Country Offices** with similar focus points/country contexts.
- If the use of SDC's indicators in multilateral projects is desired, drive a **harder bargain** with partners in multilateral/bilateral projects. Otherwise, the SDC's indicators, especially the ARIs, should be adapted to internationally used SDG indicators.

1. Introduction

1.1 Purpose of this Report

This document is written in the context of a capstone course at the University of Zurich. By order of the Swiss Agency for Development and Cooperation (SDC), a group of master students in political science at the University of Zurich, under the tutelage of professor Daniel Kübler and MA Palmo Brunner, investigate the following research questions:

- Which quality criteria does a DDLG-indicator system have to satisfy?
- How does the SDC's indicator system perform with regard to those quality criteria?
- Could the SDC's indicator system be improved in some way?

Answering those questions is of importance for the SDC as its indicator system is not only used for internal planning and steering of projects, but also serves as a tool to ensure political accountability regarding Switzerland's contributions in the field of DDLG.

This report is the final report and aims at summarizing the three previous deliverables about the indicator system of the SDC in the subject area of DDLG. It is structured in four chapters. First, we present the common practice in the field of DDLG, which is a result of comparing indicators from donors and multilateral donors, as well as deduced quality criteria for indicator systems. In the second chapter, we assess the performance of the SDC's reference indicator list with regard to the theories of change, the quality criteria and the commonly used indicators. The third chapter illustrates how DDLG-monitoring is conducted in two case studies, namely Georgia and Somalia. This evaluation is based on interviews with staff from the SDC's headquarter and country offices. Finally, we present our recommendations in the conclusion, which are based on the conceptual and practical assessments of the previous chapters.

1.2 Background

On the global level, the High-Level Panel meeting at the United Nations Headquarters in September 2015 pledged common action across a broad and universal policy agenda: the **Agenda 2030**. The world leaders decided on 17 new global **Sustainable Development Goals** (SDGs) with 169 associated targets.¹ According to the resolution adopted by the United Nations General Assembly on 25th September 2015, the SDGs and the targets are integrated and indivisible, global and universally applicable. They take into account different national realities, capacities, and levels of development, as well as national policies and priorities. Targets are defined as aspirational and global, with each government setting its own national targets guided by the global level of ambition, while also considering national circumstances.

The field of DDLG is closely related to the SDGs since good governance and effective institutions are central for sustainable growth and poverty reduction.² The targets for Good Governance, Peace and State building are reflected in **SDG 16**: “To promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels”. The field of DDLG essentially helps implement this goal and related targets, namely to develop effective, accountable and transparent institutions at all levels and to ensure responsive, inclusive, participatory and representative decision-making at all levels, to substantially reduce corruption, to promote the rule of law and to ensure equal access to justice for all. In regard to **SDG 17**, “to strengthen means of implementation”, DDLG is important concerning the improvement of domestic resource mobilization at subnational levels (Target 17.1: capacity for tax and other revenue collection).³

For Switzerland, the **dispatch 2017-2020** defines the strategic direction of international cooperation for the period 2017-2020,⁴ in which Switzerland respects and promotes international effectiveness standards and structures its work in a result-oriented manner.⁵ The dispatch includes five framework credits for each of the five policy instruments used by Switzerland to implement its international cooperation strategy (CS). Each framework credit⁶ contains impact objectives that enable the achieved results to be evaluated and their contribution to the general strategic objectives.⁷ With its commitment, the SDC⁸ contributes to the field of DDLG and to the implementation of SDG 16, which aims to promote responsible and inclusive institutions, to improved political participation and active citizen participation, as well as to contribute to better accountability, transparency, and efficiency in local governance.⁹

¹ UN General Assembly, 2015.

² SDC, 2016b: 13.

³ SDC, 2016b: 13.

⁴ BBI, 2016: 2334.

⁵ BBI, 2016: 2340.

⁶ The five framework credits are intended for humanitarian aid, technical cooperation and financial aid for developing countries, economic and trade policy measures for development cooperation, transition cooperation in the countries of Eastern Europe and - for the first time - measures for the promotion of peace and human security. (BBI, 2016: 2334).

⁷ BBI, 2016: 2340.

⁸ Together with SECO.

⁹ BBI, 2016: 2578.

The **necessity of evaluation, monitoring, and an indicator system** is also emphasized with regard to the effectiveness measurement of Switzerland's contribution to the overcoming global challenges. The aim of the effectiveness assessment is, on the one hand, to ensure that the resources are used effectively and efficiently. On the other hand, effectiveness assessment serves as a management tool to review assumptions made about a context, to question impact hypotheses and to revise risk analyses in order to realign strategies, projects, and measures if necessary.

According to the SDC's guidelines on the use of '**Aggregated Reference Indicators**' (ARIs),¹⁰ there are three types of indicators used in the result frameworks; 'Aggregated Reference Indicators (ARI)', 'Thematic Reference Indicators' and 'Specific Country and Thematic Indicators'. The ARIs are a complement to the other two indicator types, which are solely outcome oriented. Indicators preceding the ARIs were chosen based on a given country context and had the advantage of being context-sensitive and were therefore adequate for monitoring specific accomplishments. This flexibility came at the cost of a simplified communication within the SDC, as well as with external partners. Increasing the comparability of context-independent achievements and simplifying the communication of results to the parliament and the public are the main reasons for introducing the ARIs. According to the SDC guidelines 'Aggregated Reference Indicators' "[...] should be collected with little additional effort and be relatively easily quantifiable."¹¹

¹⁰ SDC, 2016a.

¹¹ SDC, 2016a: 1.

2. Common Practice

In this chapter, we discuss the common practice regarding monitoring in general and in the field of DDLG in particular. We first present the theoretical quality criteria regarding the selection of indicators. Then, through comparing different donors and international organizations that are active in the field of DDLG, we establish the common practice and compile a list of commonly used indicators (CUI).

2.1 Theory of Change

For a proper monitoring process, well-formulated impacts, outcomes, outputs, activities, and indicators are crucial. Output, outcome, and impact are interdependent and have to form a logical sequence.^{12,13} According to United Nations Development Programme (UNDP), output is required for outcome, which in turn is necessary for impact.¹⁴ The **UNDP result chain** (figure 1) differentiates between short-term effects (outcomes) and actual or intended changes in the long-term human development as measured by people's well being (impacts).¹⁵ Similarly, the SDC employs the concept of impact hypotheses or theories of change (ToC), which “are narratives describing the whole chain of influences (from outputs to impacts) of a project or programme up to its intended contribution to improve the lives of people in poverty”¹⁶.

Figure 1: UNDP's Result Chain



Source: Own illustration based on UNDP (2009).

The lowest category in the results chain is labeled as *inputs*. A conceptual input should include goals, measures, organizational structures, as well as resources (e.g. time, money, equipment, and technology). The inputs define the goals, which are later to be evaluated. The *activities* represent particular actions needed in order to obtain the defined output. Usually, a combined number of actions are used to ensure that the output is produced. The activities consist of coordination, technical assistance, and training tasks organized and executed by project personnel. *Outputs* are short-term development results and must be achieved using the resources provided and adhering to the specified time frame. However, the outputs have to be defined in the way that they make a significant contribution to the achievement of the outcomes. Typically, more than one output is needed to obtain an outcome. Those *outcomes*, in turn, describe the intended changes in development conditions resulting from the intervention of different stakeholders on a global, regional, country or community level within a period of time. They usually relate to changes in institutional performance or behaviour among individuals or groups.

¹² UNDP, 2009.

¹³ Rieder, 2003.

¹⁴ UNDP, 2009.

¹⁵ Still, there are some contradictions between different approaches and theories that deal with the sequences of the result chain. See Rieder (2003: 6-7).

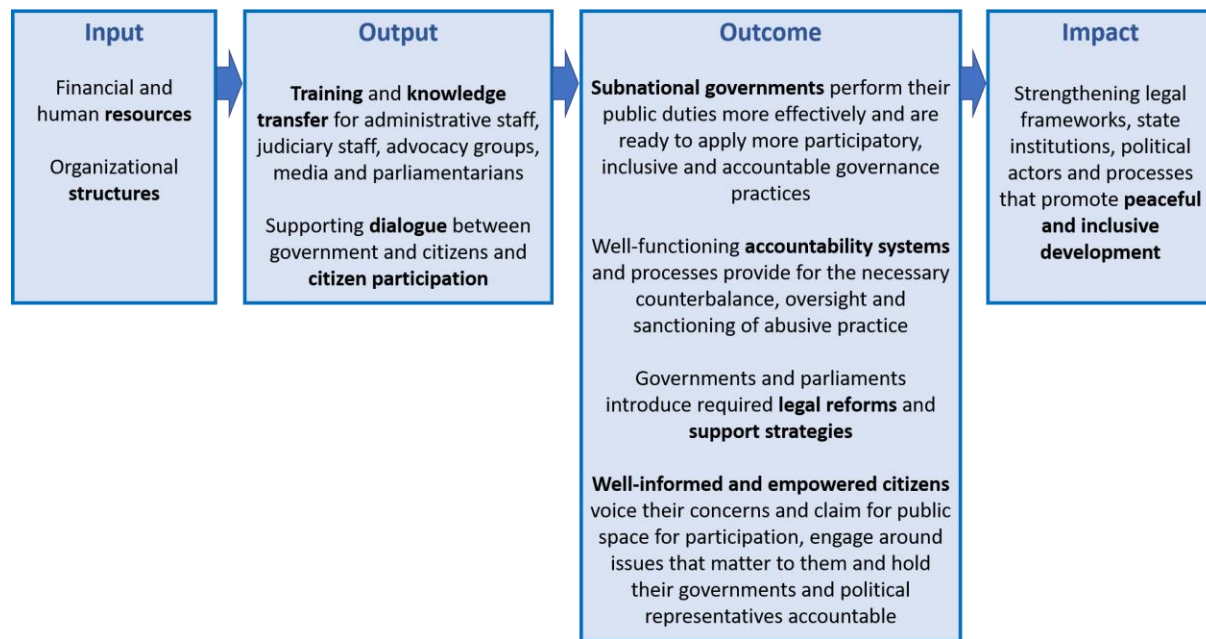
¹⁶ SDC, 2014: 1.

They can be defined within *different levels of ambition* regarding the time frame: immediate, intermediate and longer-term outcomes, or short-, medium- and long-term outcomes.

Finally, *impacts* are actual or intended changes in human development as measured by people’s well-being and generally capture changes in people’s lives. They represent the underlying goals of any development work and explain why the work is important and what it contributes to. Furthermore, impacts should communicate substantial and direct changes over the long run.¹⁷

Based on the SDC Policy Paper on Democratization, Decentralization and Local Governance¹⁸, we derived four ToC: one for the overall programme DDLG as well as one for each of the three subparts (democratization, decentralization and local governance). The policy paper lists the goals, expected results, and measures for the overall programme DDLG and each subpart. We structured this information into different theories of change (figure 2 to figure 5).

Figure 2: Theory of Change DDLG



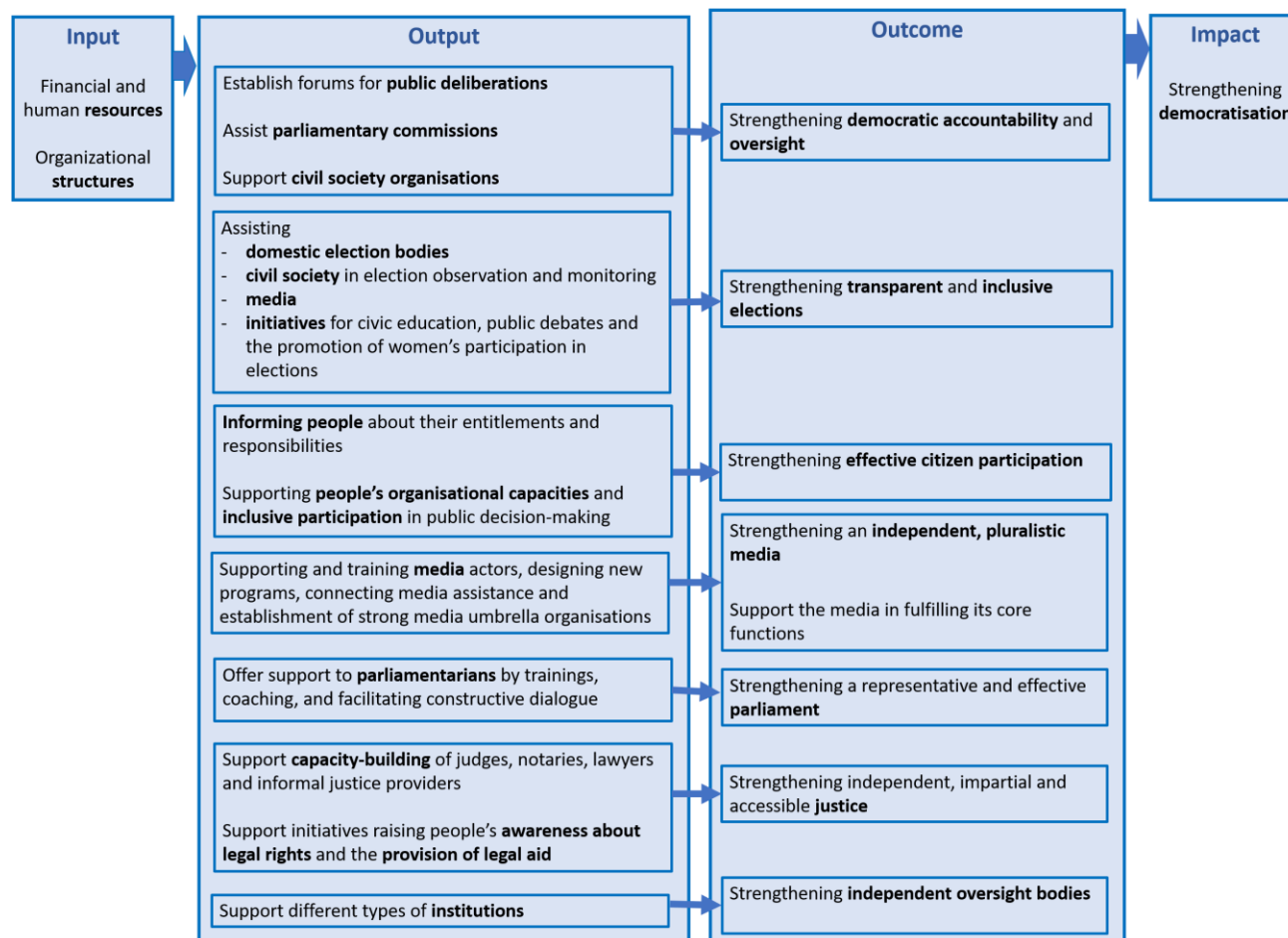
Source: Own illustration based on SDC Policy. Democratization, Decentralization and Local Governance.¹⁹

¹⁷ UNDP, 2009: 55-60.

¹⁸ SDC, 2016b.

¹⁹ SDC, 2016b: 17.

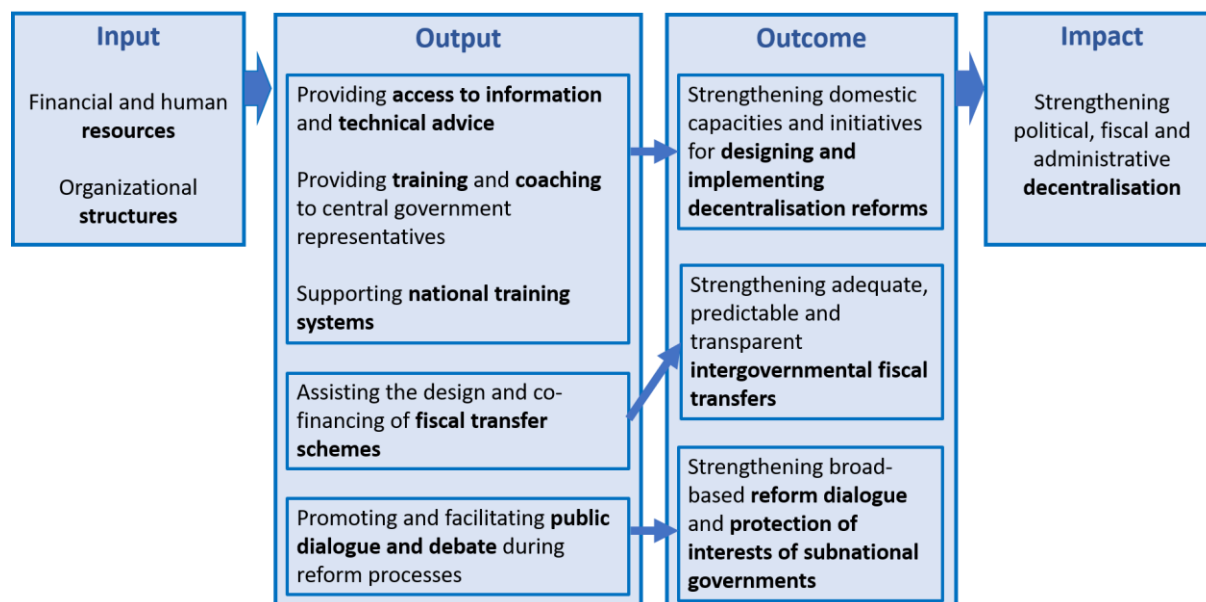
Figure 3: Theory of Change Democratization



Source: Own illustration based on SDC Policy. Democratization, Decentralization and Local Governance.²⁰

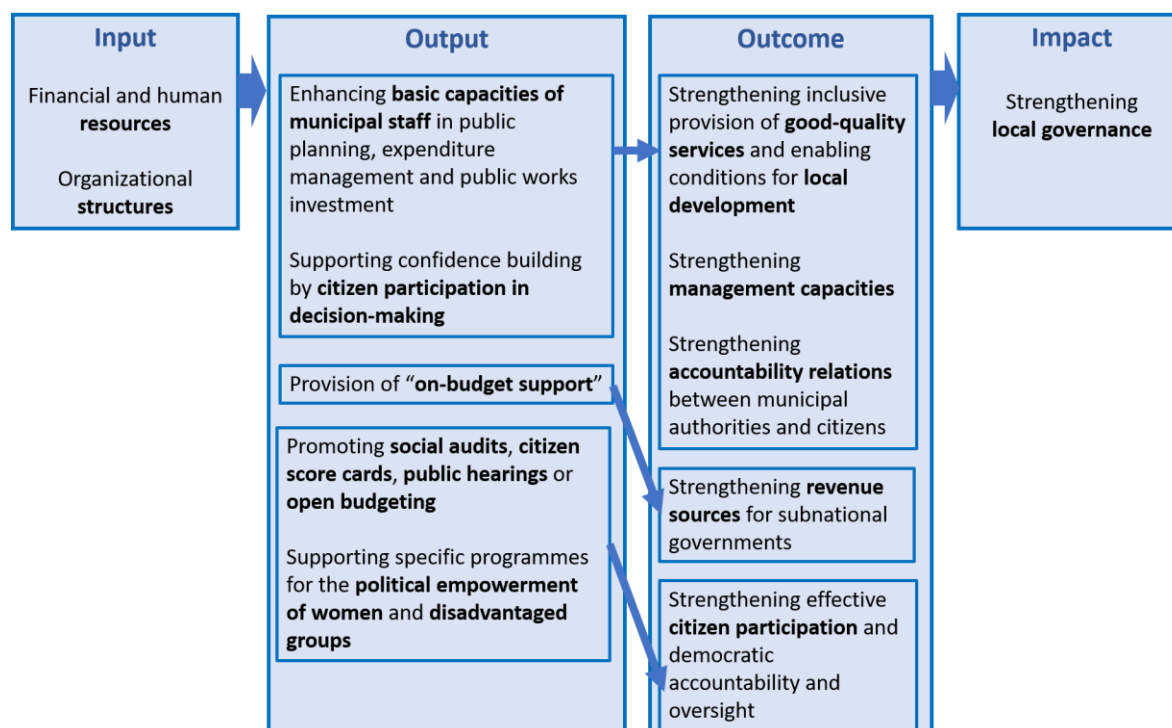
²⁰ SDC, 2016b: 18-21.

Figure 4: Theory of Change Decentralization



Source: Own illustration based on SDC Policy. Democratization, Decentralization and Local Governance.²¹

Figure 5: Theory of Change Local Governance



Source: Own illustration based on SDC Policy. Democratization, Decentralization and Local Governance.²²

²¹ SDC, 2016b: 21-23.

2.2 Quality Criteria

The theory of change is not the only thing one needs to consider when selecting indicators. In table 1, we present common **quality criteria** for indicator selection to ensure proper monitoring. This table will become important in chapter 3, when we compare the SDC's internal quality criteria to the common quality criteria listed in table 1 in order to establish a set of synthesized quality criteria (SQC). As the comparison shows that the SDC's internal quality criteria and the quality criteria presented in table 1 are identical, we treat the quality criteria and the SQC as synonyms.

Table 1: Important Quality Criteria for Indicator Selection

Criteria	Specification
Differentiation	Sorting indicators in the following categories: output, outcome and impact
Alignment of the indicator with its target	Goal and indicator need to be in the same category (output, outcome and impact)
SMART	Specific, Measurable, Attainable, Relevant and Time-Bound goals
Baseline data	Works as a reference point for progress
Combining quantitative and qualitative indicators	Improves the chances of capturing the overall picture
Disaggregated indicators	In order to avoid a loss of information

Source: Own representation based on UNDP (2009).

2.3 Commonly Used Indicators

Donors and multilateral organizations have developed various indicator systems for the monitoring of programs in the realm of SDGs. The SDC asks us to compare the following multilateral organizations in order to determine the common practice: **Inter-Agency and Expert Group on SDG (IAEG-SDG)**, **Oslo Governance Centre (OGC)**, **World Bank**, **United Nations Development Programme (UNDP)**, as well as **Open Governance Partnership (OGP)**. Donors such as the **British Department of International Development (DFID)** and the **Swedish International Development Cooperation (SIDA)** are also taken into account.

After comparing all above mentioned institutions, we can assert that the DFID's indicator system is probably the most thought-out and detailed one, because among other things it distinguishes between outcome, output and impact indicators. The IAEG-SDG and OGC also have exhaustive indicator systems, which are both not divided into outcome and output indicators, but instead, refer specifically to the SDG goals 16 and 17.²³ The UNDP and the

²² SDC, 2016b: 23-25.

²³ A more specific overview of the indicators that exist in the different topics and their respective subtopic is shown on table 6 in the annex. The indicators are appointed to the different subtopics and to the different types of indicators (outcome, output, not defined). Only the indicators developed by DFID are appointed to either outcome or output

World Bank Group do not have comprehensive indicator systems, but present single indicators for individual SDG goals.

Table 2 (page 12 et seqq.) offers an **overview of commonly used indicators** based on the DFID's indicator system because it is well elaborated and structured, and thus offers a good baseline structure. The table is structured in such a way that it can easily be derived which donor developed which indicator for which specific topic. The vertical lines present the ten different topics developed in the DFID list. In table 2 we use the sign “#” for numbers, whereas “%” denotes percentages.

Before presenting table 2, we describe the different DDLG topics more in detail and appoint the relevant SDGs. This shows that the commonly used indicators are to a certain extent linked and adapted to the SDGs.

For the DDLG topic **Security and Justice**, a sizeable number of commonly used indicators developed by DFID, OGC, IAEG-SDG's have been found for the subtopics *Oversight & Accountability* (Civil Society Organizations), *Crime & Public Safety/Police* (Violence, Discrimination, Response System), *Justice* (Legal Assistance, Trust), *Correction/Detention* (Unsentenced detainees, Capacity utilization). Two indicators concerning the topic Security and Justice have been developed with respect to the following SDGs:

- Promote the rule of law at the national and international levels and ensure equal access to justice for all (16.3.)
- Promote and enforce non-discriminatory laws and policies for sustainable development (16.b)

The subtopic *size of military* is not included in the table of the Commonly Used Indicators (CUI), as only DFID developed indicators regarding military.

The DDLG topic **Civil Service Reform** has not been divided into subtopics. However, the CUI found for this topic address more specifically the subjects Expenditures, as well as Fairness/Satisfaction. Even though OGC and DFID who developed these commonly used indicators did not explicitly attribute them to a specific SDG, we decided that the following SDG best explains the overall goal of the topic Civil Service Reform:

- Develop effective, accountable and transparent institutions at all levels (16.6)

DFID developed an extensive indicator system regarding Effectiveness of Recruitment / Promotion Systems, Ratio Sector Budget Allocation, and Effectiveness of Payroll Controls. However, no other donor developed any indicators concerning this topic.

indicators. All other donors and multilateral organizations did not define their developed indicators more precisely. This table will be important for the assessment in chapter 3.3.

For the DDLG topic **Election**, commonly used indicators developed by DFID, OGC and UNDP have been found in the subtopics *Free and Fair Elections* (Electoral Fraud, Electoral staff) and *Participation* (Voter Turnout). No commonly used indicators have been found for the subtopics *Security and Justice* and *Equity*, and additionally, the donors have attributed no SDG to the topic Election.

For the DDLG topic **Parliamentary Support**, commonly used indicators for the subtopics *Representation* (Expenditure, Fairness/Satisfaction) and *Access* (Proportions of positions (sex, disability, age, ethnicity), Participation in political processes, CSO's) have been developed by DFID, OGC, IAEG-SDG's. The corresponding SDG is the following:

- Ensure responsive, inclusive, participatory and representative decision-making at all levels (16.7)

The DDLG topic **Tax and Revenue** represents only one subtopic namely *Level of Uniformity of Tax Collection* (PEFA Indicator 15, Transparency, Tax revenue) where commonly used indicators have been found, developed by DFID, OGC, IAEG-SDG's. DFID developed a considerable number of indicators regarding this topic, which were not taken into account in this synthesized table, as they are not commonly used indicators. The following SDG corresponds to the DDLG topic Tax and Revenue:

- Strengthen domestic resource mobilization, including through international support to developing countries, to improve domestic capacity for tax and other revenue collection (17.1)

For the DDLG topic **Corruption**, commonly used indicator addressing the subjects Reports & Investigation, Briberies, Businesses have been developed by DFID, OGC, IAEG-SDG's and UNDP. The following SDG relate to the topic Corruption:

- By 2030, significantly reduce illicit financial and arms flows, strengthen the recovery and return of stolen assets and combat all forms of organized crime (16.4)
- Substantially reduce corruption and bribery in all their forms (16.5)

The DDLG topic **Human Rights** presents a certain number of commonly used indicators regarding the following subjects: Birth Certificates, Education, Human Rights Professionals, and Citizens. These indicators are developed by DFID and UNDP with the aim of better monitoring programs relating to the following SDG's:

- By 2030, provide legal identity for all, including birth registration (16.9)
- Ensure public access to information and protect fundamental freedoms, in accordance with national legislation and international agreements (16.10)

The DDLG topic **Media** cannot be divided into subtopics but there are commonly used indicators developed by DFID and OGC addressing the following subject: Legal Framework and Censorship. The corresponding SDG is the following:

- Ensure public access to information and protect fundamental freedoms, in accordance with national legislation and international agreements (16.10)

In summary, commonly used indicators have been found in eight out of ten DDLG topics presented by the DFID indicator system. Political Party Support and Empowerment & Accountability are topics where no donors, with the exception of DFID, developed respective indicators. Although the different donors did not necessarily have identical indicators, they at least shared some thematic focal points (DFID topics); this implies some consensus and could be the foundation for an internationally established framework.

Table 2: Synthesized Table of Commonly Used DDLG-Indicators

DDLG Topics	Subtopics	Commonly Used Indicators	Donors
Security & Justice	Oversight & Accountability	<ul style="list-style-type: none"> - # CSOs²⁴ consulted on policy development - # of registered CSOs per 100,000 inhabitants - # of days required to legally establish an operational civil society organization - # of days required to legally establish an operational civil society organization - Number and proportion (by sector of activity) of associations closed, dissolved or suspended 	<ul style="list-style-type: none"> - OGC - DFID
	Crime & Public Safety/Police	<ul style="list-style-type: none"> - # Violent crimes recorded by the police per 100'000 people - Proportion of victims of violence in the previous 12 months who reported their victimization to competent authorities or other officially recognized conflict resolution mechanisms 	<ul style="list-style-type: none"> - OGC - DFID - IAEG-SDGs
		<ul style="list-style-type: none"> - Proportion of population reporting having personally felt discriminated against or harassed in the previous 12 months on the basis of a ground of discrimination prohibited under international human rights law - Proportion of the population who believe that state institutions are treating people of all groups fairly, equitably and without discrimination 	
<ul style="list-style-type: none"> - Proportion of those who have experienced a dispute in the past 12 months who have accessed a formal, informal, alternative or traditional dispute resolution mechanism and who feel it was just - % Citizens satisfied with police response / complaints system 			
Justice	<ul style="list-style-type: none"> - Proportion of requests for legal assistance and free interpreters being met (criminal and civil proceedings) annually, by sex of requestor - % Citizens satisfied with cost/quality of legal services provided - Existence of a comprehensive legal aid system (in line with UN Principles and Guidelines on access to legal aid in the criminal justice system) - # Cases where free legal advice has been provided 	<ul style="list-style-type: none"> - OGC - DFID 	

²⁴ CSO: Civil Society Organizations.

		<ul style="list-style-type: none"> - Unmet need for legal aid among the population in the poorest quintile in national consumption in the past 12 months, by sex and by age group - Proportion of justice sector budget allocated for provision of free legal aid service does not have legal or other representation in court - % of criminal cases in which the defendant/people does not have legal or other representation in court 	
		<ul style="list-style-type: none"> - % of people who trust the [police/courts] - % of people who report crime to authorities - % Citizens using primary justice system in last year reporting satisfaction with process 	
	Correction/ Detention	<ul style="list-style-type: none"> - Proportion of all detainees who are not yet sentenced - Unsented detainees as a proportion of overall prison population 	<ul style="list-style-type: none"> - OGC - IAEG-SDGs
		<ul style="list-style-type: none"> - Number of Prisoners per prison officer - Ratio # prisoners: # beds 	<ul style="list-style-type: none"> - DFID
Civil Service Reform	No Subtopics	<ul style="list-style-type: none"> - Primary government expenditures as a proportion of original approved budget, by sector (or by budget codes or similar) - Actual primary expenditures per sector and revenues as a percentage of the original approved budget of the government 	<ul style="list-style-type: none"> - OGC - DFID
		<ul style="list-style-type: none"> - Fairness in decisions of governance officials - Proportion of population satisfied with their last experience of public services 	
Elections	Free and Fair Elections	<ul style="list-style-type: none"> - Proportion of people who believe last national election was free and fair, by sex - % External observation reports stating conclusions - % of citizens surveyed that believe that the electoral management process is free and fair. - % Voter / political party satisfaction with conduct of the election (disaggregated) 	<ul style="list-style-type: none"> - DFID - OGC - UNDP
		<ul style="list-style-type: none"> - Percentage of electoral management office staff and volunteers trained in techniques to reduce voter fraud - % Electoral body staff trained to fulfil their specific role and responsibilities (disaggregated) - # and % national election observers trained (disaggregated) - % of electoral centres using multiple forms of voter identification measure - # of centres that are headed by trained professional staff 	

	Participation	<ul style="list-style-type: none"> - % Voter turnout (disaggregated) - % Voting age registered to vote (disaggregation) - Annual percentage increase in number of women registered to vote. - Annual percentage increase in number of indigenous people registered to vote - Ratio of voter registration centres per population in rural areas. 	<ul style="list-style-type: none"> - DFID - UNDP
Parliamentary Support	Representation	<ul style="list-style-type: none"> - % Seats in Parliament held by women - Proportion of positions (by sex, disability, age and ethnicity) in public institutions (national and local legislatures, public services and judiciary) - Percentage of women heads of government departments 	<ul style="list-style-type: none"> - DFID - OGC
	Access	<ul style="list-style-type: none"> - To % lobby groups / CSOs/ media/ political parties stating they have accessed voting records / debate information / parliamentary information, including assets in the past 12 months - Proportion of non-governmental organizations, trade unions or other associations consulted about government decisions, strategies and policies in their sector - Participation in political processes and civic engagement at local level 	<ul style="list-style-type: none"> - DFID - OGC - IAEG-SDGs
Tax & Revenue	Level of Uniformity of Tax Collection	<ul style="list-style-type: none"> - PEFA Indicator 15 	<ul style="list-style-type: none"> - DFID - UNDP - IAEG-SDGs
		<ul style="list-style-type: none"> - Proportion of domestic budget funded by domestic tax - Tax revenue (current LCU) - Tax revenue (% of GDP) - % Increase in tax collection, by sector or local government (Tax collection rate) - % Increase in number of registered taxpayers (Taxpayer identification and registration) 	
		<ul style="list-style-type: none"> - Rating of transparency of procedures for tax collection (Tax compliance and liabilities) 	
Corruption	No Subtopics	<ul style="list-style-type: none"> - % Reported cases investigated by anti corruption body (domestic or international) - % Investigated cases that lead to prosecution (domestic or international) - # of investigations and convictions against suspicious financial activity relating to organized crime, money laundering, bribery and corruption, and financing of terrorism - % Targeted civil service staff that feel safe reporting a corruption case 	<ul style="list-style-type: none"> - DFID - IAEG-SDGs - OGC - UNDP

		<ul style="list-style-type: none"> - Bribery incidence (% of firms expecting at least one bribe payment request) - Percentage of population who paid a bribe to a public official, or were asked for a bribe by these public officials, during the last 12 months - Proportion of persons who had at least one contact with a public official and who paid a bribe to a public official, or were asked for a bribe by those public officials, during the previous 12 months 	
		<ul style="list-style-type: none"> - Proportion of businesses that had at least one contact with a public official and that paid a bribe to a public official, or were asked for a bribe by those public officials during the previous 12 months - Percentage of businesses that paid a bribe to a public official, or were asked for a bribe by these public officials, during the last 12 months 	
Human Rights	No Subtopics	<ul style="list-style-type: none"> - Proportion of children under 5 years of age whose births have been registered with a civil authority, by age - Completeness of birth registration, female/male (%) - Completeness of birth registration, rural/urban(%) 	<ul style="list-style-type: none"> - DFID - UNDP
		<ul style="list-style-type: none"> - Literacy rate of youth and adults, urban and rural literacy rate - % Citizens who are aware government has legal obligation to provide basic education and other essential services for all (disaggregated) 	
		<ul style="list-style-type: none"> - # of verified cases of killing, kidnapping, enforced disappearance, arbitrary detention and torture of journalists, associated media personnel, trade unionists and human rights advocates in the previous 12 months - # CSOs (per 100,000 persons) involved in promotion / protection of rights to X 	
		<ul style="list-style-type: none"> - % Citizens who are aware government has legal obligation to protect them from violence and abuse (disaggregated) - % of population who believes they can express political opinion without fear 	
Media	No Subtopics	<ul style="list-style-type: none"> - Quality media law / regulator - % Media owners satisfied with regulatory framework - # of websites blocked and of data users provided by Internet service providers on requests from governments 	<ul style="list-style-type: none"> - DFID - OGC

Source: Own representation based on IAEG-SDGs (2018), DFID (2012), OGC (2018), UNDP (2009).

2.4 Lessons Learnt

Indicators and indicator systems are indispensable for measuring progress and achievements, clarifying consistency between activities, outputs, outcomes, and impacts, as well as informing decision makers about on-going programs or project management.

The overview of quality criteria for indicators and indicator systems measuring the effects of actions in the field of DDLG provides some important insights. From a theoretical point of view, the following six principles for indicators and indicator systems can be derived. Firstly, the indicators should be **differentiated** into the categories of output, outcome, and impact. Secondly, the indicators and the targets should be **aligned** in the same categories. Thirdly, indicators should comply with the **SMART** criteria: They should be specific, measurable, attainable, relevant, and time-bound. Fourthly, **baseline data** should be used as a reference point for progress. Fifthly, **quantitative and qualitative indicators** should be combined in an indicator system. Last but not least, **disaggregated indicators** should be included.

Since there is **no agreement on an international framework** for the indicators and the indicator systems of the donors, their development is still in process. Considering the indicator systems of some major donors, we conclude that they face similar challenges with regard to the selection and development of DDLG indicators and indicator systems. **Common difficulties** among others are the misalignment between certain targets and their indicators, the lack of effective methodologies to produce parts of the data, the very limited resources and capacity for data production, collection, and monitoring. Besides the indicators of DFID, the indicators of the most donors investigated in the present document are not categorized as output, outcome, or impact indicators. Nevertheless, it should be emphasized that not all donors use indicators and indicator systems for program monitoring. Rather, they give their partner organizations the opportunity to develop their own monitoring framework (e.g. SIDA).

3. SDC's Reference Indicator List

In this chapter 3, we evaluate the SDC's reference indicators based on a comparison to the theories of change (ToC), a set of synthesized quality criteria for indicator selection and the Commonly Used Indicators (CUI) introduced in chapter 2. Based on this three-tiered assessment, we conclude the strengths and weaknesses of the SDC's reference indicator list and formulate suggestions for improvement.

3.1 Conformity with SDC's Theory of Change

In chapter 2.1, we presented ToC for the three DDLG subparts democratization, decentralization and local governance. In this chapter, we compare the SDC's indicators to those ToC and identify congruencies and differences between them (see Annex, Table 7).

The assessment shows strengths as well as challenges. Regarding the **strengths**, the indicator list appropriately reflects the individual ToC, as **all outputs and outcomes are covered** by at least one SDC indicator, and all except two indicators²⁵ clearly connect to at least one theory of change. The **overall distribution** of indicators is reasonably balanced, as all three sub-programmes are adequately represented: eight indicators cover democratization, decentralization is covered by seven indicators, and local governance by ten indicators. There are two main **challenges**, however: First, the indicators not always relate to the same **category**, as some measure output, while others measure outcome. The reasoning why a specific indicator measures output or outcome is not clear. Second, **democratization** is somewhat **underrepresented in the ARIs**.

In conclusion, we suggest separating all indicators into **output-indicators** and **outcome-indicators**. Ideally, specific indicators would then cover both each output and each connected outcome of the theories of change. In addition, process indicators could be developed in order to link outputs with outcomes. Regarding the underrepresentation of democratization in the ARIs, we suggest **adding one more ARI** relating to the ToC for democratization.

3.2 Conformity with Synthesized Quality Criteria

Comparing the quality criteria for indicator selection from chapter 2.2 to the SDC's own internal quality criteria, we first established a **set of synthesized quality criteria (SQC)**. A table illustrating this comparison can be found in the Annex (Table 8). The comparison shows that the SDC's internal quality criteria fully conform to the quality criteria from chapter 2.2 (table 1), although some cases only indirectly or implicitly. The SDC does not only meet the minimal standard but also exceeds it with some quality criteria.²⁶ However, since those exceeding criteria are very programme specific, we will exclude them from now on in order to increase the comparability of achievements across countries and programmes. Consequently, the synthesized quality criteria are identical to the selected quality criteria.

Following the establishment of the SQC, we compare them to the SDC's reference indicators and present some strengths and some challenges. Referring the SDC's reference indicators to the synthesized quality criteria, we conclude that most indicators fulfil the „SMART-criteria“ and the criterion „combination of quantitative and qualitative indicators“. However, most of the indicators of the SDC's reference indicators list are unclear about the **differentiation** between output, outcome, and impact, as well as the **alignment** of the indicator with its target/goal, which are the two synthesized quality criteria. Moreover, none of the indicators

²⁵ Global Governance – SDG monitoring and Natural Resource Governance.

²⁶ Those criteria are: 1) Impact hypothesis, 2) Several indicators to monitor multiple phases of a programme, 3) Population indicators (outreach), 4) Organizational indicators (quantitative and efficiency changes), 5) Up front defined target values for each indicator.

fulfil the synthesized quality criterion of baseline data. However, as demanded in the SDC Guidelines for Credit and Entry Proposals²⁷, the **baseline and target** values are defined specifically for a country respectively, a programme and are therefore not included in the indicators. In addition, only a few indicators meet the criterion of **disaggregated data**. We recommend developing the reference indicators that do not meet this criterion of disaggregated data into new ARIs. Reversely, some ARIs fulfil the disaggregation criterion, which they are not supposed to. Overall, the internal quality criteria are clearly stated and sufficient, but there seem to be some problems concerning their implementation.

In conclusion, the present list of reference indicators of SDC's faces **three main challenges**. Firstly, it delivers not enough details about the **operationalization** of the reference indicators. Therefore, the measures taken could be described in detail and sheer number or a dummy variable could be introduced. Moreover, an explanation about how to measure satisfaction is required because satisfaction is used for more than one reference indicator but its measurement is not explicitly clarified and exemplified. Secondly, the **proposed data sources** in the SDC's reference indicators list are not weighted with regard to their importance. Diverse data sources such as surveys, reports, and indices are presented. However, it should be outlined if several data sources should be used and how to weigh them against each other. Thirdly, if the SDC recommends a data-set, it should also indicate the **relevant variables** to be considered. The **ARIs** should be checked for any disaggregation (e.g. women or vulnerable groups) because it interferes with their function (comparison across programmes and countries).

3.3 Conformity with Commonly Used Indicators

The commonly used indicators (CUIs) are indicators used by two or more donors or multilateral organization in order to evaluate the progress in the field of DDLG (see chapter 2.3). This section compares the CUIs and the SDC's reference indicators. A comparison of single indicators is difficult because the SDC's reference indicators and the CUIs are at different aggregated levels. Hence, we compare the indicator systems on a topic-based level and not on single indicators.²⁸

The comparison shows a congruency between the indicators developed by the SDC and the CUIs with regard to the majority of the CUIs' topics. Out of eight identified topics covered by the CUIs, the SDC's reference indicators address the following six topics: **Security and Justice, Civil Service Reform, Elections, Parliament Support, Tax / Revenue, Corruption**. The two topics **Human Rights** and **Media** are barely, or not at all figuring in the SDC's list of reference indicators, which suggests **room for improvement** of the SDC's indicator list. Regarding Media, the CUIs measure the quality of media law and the regulatory framework on requests from the government. Concerning Human Rights, the identified CUIs refer to literacy rate, birth registration, provision of basic education, freedom of opinion, as well as number of offences such as kidnapping, killing, arbitrary detention, etc. Human Rights and Media are two topics that are extensively represented in the CUIs and should, therefore, be included in the SDC's list of reference indicators.

For that reason, we propose to include indicators that refer to the topics Human Rights and Media in the SDC's reference indicators in the field of DDLG in order to be able to extensively measure progress in democratization. Furthermore, we suggest relating these two topics and formulating an indicator that specifically measures progress in freedom of speech

²⁷ SDC, 2018a and 2018b.

²⁸ The following eight topics can be found in the CUIs: Security and Justice, Civil Service Reform, Elections, Parliament Support, Tax / Revenue, Corruption, Human Rights and Media.

on an individual level as well as for media work. This indicator should respond to the SDG 16.10: “Ensure public access to information and protect fundamental freedoms, in accordance with national legislation and international agreements”. Although the topics of Human Rights and Media belong to the responsibilities of the SDC’s Conflict and Human Rights Division²⁹, they are also closely related to the field of DDLG and extensively represented in the CUIs. Those two topics should, therefore, be included in the SDC’s list of reference indicators for DDLG.

3.4 Suggested Improvements on the SDC’s Indicator List

Based on the three assessments, we suggest changes and additions to the SDC indicators. Table 3 shows first the SDC indicators, then a summary of the assessments regarding each the ToC, the SQC, and the CUI and lastly our suggestions for improvements. Our specific suggestions are written in italic. If the suggestion is based on an indicator from another organization or institution, we mention it in the footnotes. For all topics, we separated the indicators into output, outcome, and impact indicators. Furthermore, we **added one ARI** (Table 4) **for Media and Human rights**, as this is one topic of the CUIs, which is barely covered by the SDC indicators. Adding this indicator also establishes a new ARI for democratization, as suggested in the assessment concerning the theories of change.

²⁹ Based on consultation with Ms. Andrea Iff.

Table 3: Results of Overall Assessment and Suggested Changes to the Indicator List

SDC Indicators	Theory of Change Assessment	Quality Criteria Assessment	Commonly Used Indicators Assessment	Suggested Indicators ³⁰	SDGs
<p>Change of practice local governments yy local authorities informed zz citizens transparently, involving them in decision making processes and considering their interests in local development and budget plans. Among the local authorities, xyz take specific measures for balanced participation and consideration of interests of women and vulnerable groups. (ARI)</p>	Decentralization Local Governance	No differentiation between output, outcome and impact Unclear alignment of indicator with its target/goal unclear No baseline data Should be aggregated because it is an aggregated reference indicator (ARI)	Tax & Revenue / Civil Service Reforms	<p><u>Output</u></p> <ul style="list-style-type: none"> - Number of supported public dialogues during reform process. - Number of promoted social audits, citizen score cards, public hearing or open budgeting. - Number of supported specific programmes for women and disadvantaged groups. <p><u>Outcome</u></p> <ul style="list-style-type: none"> - Among the local authorities, xyz take specific measures for balanced participation. - yy local authorities informed zz citizens transparently. - yy local authorities involving them in decision making processes and considering their interests in local development and budget plans. <p><u>Impact</u></p> <ul style="list-style-type: none"> - World Bank: The local governance performance index - Index for decentralization 	16.6 16.7 16.10 16.b
<p>Representation by parliament (national and subnational levels) Satisfaction of the population, including women and disadvantaged groups, that their interests are represented by parliament.</p>	Democratization	No differentiation between output, outcome and impact Unclear alignment of indicator with its target/goal Could be more specific No baseline data Unclear combination of quantitative and qualitative indicators	Parliamentary support Subtopic: Representation	<p><u>Output</u></p> <ul style="list-style-type: none"> - Number of supported parliamentarians. - Number of facilitated dialogues. <p><u>Outcome</u></p> <ul style="list-style-type: none"> - Percentage of seats in parliament held by women or disadvantaged groups.³¹ - Satisfaction of the population, including women and disadvantaged groups, that their interests are represented by parliament. <p><u>Impact</u></p> <ul style="list-style-type: none"> - EIU Democracy Index - Freedom House Index: Political Rights 	16.7 16.b

³⁰ Based on our three assessments (Theory of Change, Quality Criteria and Commonly Used Indicators).

³¹ DFID, 2012.

<p>Effectiveness of civil society initiatives Number of well-founded, concerted requests or proposals by supported civil society organizations, citizens' initiatives or media to state authorities to contribute to public policy (e.g. laws, ordinances, strategies, plans, development projects, investments). This includes the number of proposals including the interests of women and disadvantaged population groups, and the number of initiatives, which result in concrete measures being taken by state authorities.</p>	<p>Democratization Local Governance</p>	<p>Unclear alignment of indicator with its target/goal</p> <p>No baseline data</p> <p>No combination of quantitative and qualitative indicators</p> <p>No disaggregated data</p>	<p>Security & Justice Subtopic: Oversight & Accountability</p>	<p><u>Output</u> <i>Number of supported civil society organizations, citizens' initiatives or media.</i></p> <p><u>Outcome</u></p> <ul style="list-style-type: none"> - Number of well-founded, concerted requests or proposals by supported civil society organizations, citizens' initiatives or media to state authorities to contribute to public policy (e.g. laws, ordinances, strategies, plans, development projects, investments). - Number of proposals including the interests of women and disadvantaged population groups. - Number of initiatives, which result in concrete measures being taken by state authorities. <p><u>Impact</u> <i>CIVICUS: Civil Society Index</i></p>	<p>16.7 16.10 16.b</p>
<p>Democratic electoral processes Number and nature of contributions by supported actors (e.g. electoral commissions, civil society organizations and initiatives, media, security forces, political parties, local authorities, etc.) to the running of transparent, inclusive, non-violent elections and information on the population's confidence in elections and their participation (broken down by gender, disadvantaged population groups, age).</p>	<p>Democratization</p>	<p>No alignment of indicator with its target/goal</p> <p>No baseline data</p>	<p>Elections Subtopics: Free & Fair elections, Participation</p>	<p><u>Output</u> <i>Number of supported actors (e.g. electoral commissions, civil society organizations and initiatives, media, security forces, political parties, local authorities, etc.).</i></p> <p><u>Outcome</u></p> <ul style="list-style-type: none"> - Number of contributions by supported actors (e.g. electoral commissions, civil society organizations and initiatives, media, security forces, political parties, local authorities, etc.) to the running of transparent, inclusive, non-violent elections and information on the population's confidence in elections and their participation (broken down by gender, disadvantaged population groups, age). - Nature of contributions by supported actors (e.g. electoral commissions, civil society organizations and initiatives, media, security forces, political parties, local authorities, etc.) to the running of transparent, inclusive, non-violent elections and information on the population's confidence in elections and their participation (broken down by gender, disadvantaged population groups, age). - <i>Percentage of external observation reports confirming free and fair elections.</i>³² 	<p>16.6 16.7 16.10 16.a</p>

³² DFID, 2012.

				<u>Impact</u> <ul style="list-style-type: none"> - <i>EIU Democracy Index</i> - <i>Freedom House Index</i> - <i>Polity Index: PARREG and PARCOMP</i> - <i>Freedom House Index: Political Rights</i> 	
Access to Justice Measures taken by public and civil society actors which have improved public access to judicial procedures or alternative legal conciliation procedures and the share of the population, including women and disadvantaged groups making use of these opportunities.	Democratization	Unclear differentiation between output, outcome and impact No alignment of indicator with its target/goal Could be more specific No baseline data	Security & Justice Subtopic: Justice	<u>Output</u> <i>Number of supported initiatives raising people's awareness about legal rights and the provision of legal aid.</i> <u>Outcome</u> <ul style="list-style-type: none"> - <i>Number and nature of measures taken by public and civil society actors which have improved public access to judicial procedures or alternative legal conciliation procedures.</i> - <i>Share of the population, including women and disadvantaged groups making use of these opportunities.</i> <u>Impact</u> <ul style="list-style-type: none"> - <i>WJP Rule of Law Index</i> - <i>V-Dem Indicators on Justice</i> - <i>EIU Democracy Index</i> - <i>Freedom House Index</i> - <i>Freedom House Index: Civil Liberties</i> 	16.3 16.6
Effective and independent judicial authorities Institutional capacities of assisted judicial authorities and quality of their procedures measured against international minimum standards. Satisfaction of the population with their efficiency, independence and quality; (disaggregated by gender, disadvantaged population groups).	Democratization	Unclear alignment of indicator with its target/goal Could be more specific No baseline data	Security & Justice Subtopic: Justice, Crime & Public Safety / Police	<u>Output</u> <i>Number of supported capacity-building projects of judges, notaries, lawyers and informal justice providers.</i> <u>Outcome</u> <ul style="list-style-type: none"> - <i>Change in institutional capacities of assisted judicial authorities and quality of their procedures measured against international minimum standards.</i> - <i>Satisfaction of the population with their efficiency, independence and quality; (disaggregated by gender, disadvantaged population groups).</i> - <i>Satisfaction of population with costs of provided legal services.³³</i> - <i>Average time to solve civil disputes.³⁴</i> <u>Impact</u> <ul style="list-style-type: none"> - <i>WJP Rule of Law Index</i> 	16.3 16.6

³³ DFID, 2012.

³⁴ IAEG-SDGs, 2018.

				<ul style="list-style-type: none"> - <i>V-Dem Indicators on Justice</i> - <i>EIU Democracy Index</i> - <i>Freedom House Index</i> 	
<p>Improved budget resources local governments yy supported local authorities which have benefitted from increased budget resources: yy1 due to formula and rule based fiscal transfer schemes, yy2 due to local tax income and private investments. (ARI)</p>	<p>Decentralization Local Governance</p>	<p>No differentiation between output, outcome and impact</p> <p>No baseline data</p> <p>No combination of quantitative and qualitative indicators</p>	<p>Tax & Revenue and Civil Service Reform</p>	<p><u>Output</u></p> <ul style="list-style-type: none"> - <i>Number of provided on-budget supports.</i> - <i>Number of trainings provided to municipal staff in public planning, expenditure management and public works investment.</i> - <i>Number of assisted fiscal transfer schemes.</i> <p><u>Outcome</u></p> <ul style="list-style-type: none"> - yy supported local authorities which have benefitted from increased budget resources <i>due to formula and rule based fiscal transfer schemes.</i> - yy supported local authorities which have benefitted from increased budget resources <i>due to local tax income and private investments.</i> <p><u>Impact</u></p> <ul style="list-style-type: none"> - <i>EIU Democracy Index</i> - <i>WJP Rule of Law Index</i> - <i>V-Dem Indicators on Justice</i> - <i>World Bank: The Local Governance Performance Index</i> - <i>World Bank: Fiscal Decentralization Indicators</i> 	<p>16.6 17.1</p>
<p>Solid public financial management Number of governmental authorities at sub-national level with public administration (public revenue and expenditure management) practices in accordance with internationally recognized minimum standards.</p>	<p>Decentralization Local Governance</p>	<p>No differentiation between output, outcome and impact</p> <p>Unclear alignment of indicator with its target/goal</p> <p>No baseline data</p> <p>No disaggregated data</p>	<p>Cannot clearly be assigned to a topic</p>	<p><u>Output</u></p> <ul style="list-style-type: none"> - <i>Number of provided on-budget supports.</i> - <i>Number of trainings provided to municipal staff in public planning, expenditure management and public works investment.</i> - <i>Number of assisted fiscal transfer schemes.</i> <p><u>Outcome</u></p> <p>Number of governmental authorities at sub-national level with public administration (public revenue and expenditure management) practices in accordance with internationally recognized minimum standards.</p> <p><u>Impact</u></p> <ul style="list-style-type: none"> - <i>EIU Democracy Index</i> - <i>World Bank: The Local Governance Performance Index</i> - <i>World Bank: Fiscal Decentralization Indicators</i> 	<p>16.6 16.a</p>

<p>Provision of high-quality public services Proportion of the population satisfied with the public services provided by supported state authorities (e.g. access, quality, affordability, price-performance ratio), disaggregated by gender and disadvantaged groups.</p>	<p>Decentralization Local Governance</p>	<p>No differentiation between output, outcome and impact No alignment of indicator with its target/goal No baseline data No combination of quantitative and qualitative indicators</p>	<p>Civil Society Reform</p>	<p><u>Output</u> <i>Number of trainings to municipal staff in providing public services.</i></p> <p><u>Outcome</u></p> <ul style="list-style-type: none"> - Proportion of the population satisfied with <i>their last experience of public services</i> provided by supported state authorities (e.g. access, quality, affordability, price-performance ratio).³⁵ - <i>Access: Percentage of individuals using the internet for getting information from and for interacting with general government institutions.</i>³⁶ <p><u>Impact</u></p> <ul style="list-style-type: none"> - <i>EIU Democracy Index</i> - <i>World Bank: The Local Governance Performance Index</i> 	<p>16.6 (16.b) 16.9</p>
<p>Accountability Number of investigations, reports and debates (at different levels of government) by supported public supervisory bodies (e.g. parliaments, media, citizens' initiatives, NGOs, auditors, independent institutions), on performance assessment and control of government authorities. The number of corrective measures or sanctions following complaints.</p>	<p>Democratization Local Governance</p>	<p>No differentiation between output, outcome and impact Unclear alignment of indicator with its target/goal No baseline data No combination of quantitative and qualitative indicators No disaggregated data</p>	<p>Security & Justice Subtopic: Oversight & Accountability</p>	<p><u>Output</u></p> <ul style="list-style-type: none"> - <i>Number of established forums for public deliberations.</i> - <i>Number of assisted parliamentary commissions/civil society organizations/media.</i> - <i>Number and nature of measures taken to support citizen participation.</i> <p><u>Outcome</u></p> <ul style="list-style-type: none"> - Number of investigations, reports and debates by supported public supervisory bodies on performance assessment and control of government authorities. - Number of corrective measures or sanctions following complaints. - <i>Number of promoted public hearings/open budgeting/ social audits/citizens score cards.</i> <p><u>Impact</u></p> <ul style="list-style-type: none"> - <i>EIU Democracy Index</i> - <i>World Bank: The Local Governance Performance Index</i> 	<p>16.6</p>
<p>Combating Corruption Number of targeted measures to combat corruption by supported state or civil society actors (at different levels of government), and feedback from the population/civil</p>	<p>Democratization Local Governance</p>	<p>Could be more specific No baseline data</p>	<p>Corruption</p>	<p><u>Output</u></p> <ul style="list-style-type: none"> - <i>Number of promoted public hearings/open budgeting/ social audits/citizens score cards.</i> - <i>Number of supported state or civil society actors.</i> <p><u>Outcome</u></p>	<p>16.5 16.6</p>

³⁵ IAEG-SDGs, 2018.

³⁶ IAEG-SDGs, 2018.

society on the number of resolved corruption-related problems and corruption cases (broken down by men and women and disadvantaged population groups).				<ul style="list-style-type: none"> - Number of targeted measures to combat corruption by supported state or civil society actors (at different levels of government). - <i>Proportion of population who had at least one contact with public official and were asked to pay a bribe.</i>³⁷ - <i>Percentage of population thinking that the government is committed to tackling corruption in public sector.</i>³⁸ - Number of resolved corruption-related problems and corruption cases (broken down by men and women and disadvantaged population groups). <p><u>Impact</u></p> <ul style="list-style-type: none"> - <i>EIU Democracy Index</i> - <i>Freedom House Index</i> - <i>World Bank: The Local Governance Performance Index</i> - <i>Corruption Perception(s) Index (CPI) from Transparency International</i> 	
<p>Participatory reforms</p> <p>Number of Swiss-supported legal bases, policies and reform programs for decentralization and enhanced local governance; proportion developed through broad-based consultations with relevant stakeholders.</p>	Decentralization Local Governance	<p>No differentiation between output, outcome and impact</p> <p>No baseline data</p> <p>No combination of quantitative and qualitative indicators</p> <p>No disaggregated data</p>	Decentralization is a SDC specific topic, not figuring in CUIs, but CUIs enhance activity on local level	<p><u>Output</u></p> <ul style="list-style-type: none"> - Number of supported legal bases, policies and reform programs for decentralization and enhanced local governance. - <i>Number and nature of measures taken to support citizen participation.</i> <p><u>Outcome</u></p> <p><i>Change of participation levels in local governance.</i></p> <p><u>Impact</u></p> <ul style="list-style-type: none"> - <i>EIU Democracy Index</i> - <i>World Bank: The Local Governance Performance Index</i> - <i>Freedom House Index: Political Rights</i> 	16.7
<p>Efficiency in interactions between government authorities (vertical and horizontal)</p> <p>Contributions to established processes for improved coordination and cooperation between government authorities & and responsible</p>	Decentralization Local Governance	<p>No differentiation between output, outcome and impact</p> <p>Could be more specific</p> <p>No baseline data</p> <p>Unclear combination</p>	Decentralization is a SDC specific topic, not figuring in CUIs, but CUIs enhance activity on local level	<p><u>Output</u></p> <ul style="list-style-type: none"> - <i>Number and nature of contributions to established processes for improved coordination and cooperation between government authorities & and responsible public sector actors at different levels.</i> - <i>Providing training and coaching to central government representatives.</i> <p><u>Outcome</u></p> <p><i>Satisfaction of government personnel with efficiency of interactions between</i></p>	16.6

³⁷ IAEG-SDGs, 2018.

³⁸ DFID, 2012.

<p>public sector actors at different levels (e.g. rules defining responsibilities, support measures by central government, mutual coordination and consultation mechanisms, evidence of concerted action, etc.).</p>		<p>of quantitative and qualitative indicators</p> <p>No disaggregated data</p>		<p>authorities.</p> <p><u>Impact</u></p> <ul style="list-style-type: none"> - <i>EIU Democracy Index</i> - <i>World Bank: The Local Governance Performance Index</i> 	
<p>Natural Resource Governance Contribution to good natural resource governance on the basis of the Natural Resource Charter.</p>	<p>Cannot clearly be assigned to democratization, decentralization or local governance</p>	<p>No differentiation between output, outcome and impact</p> <p>Could be more specific</p> <p>No baseline data</p> <p>Unclear combination of quantitative and qualitative indicators</p> <p>No disaggregated data</p>	<p>Cannot clearly be assigned to a topic</p>	<p><u>Output</u> <i>Number of trainings provided to municipal staff concerning the management of natural resources.</i></p> <p><u>Outcome</u> <i>Number and nature of measures taken by local governments to improve natural resource management.</i></p> <p><u>Impact</u> <i>Resource Government Index</i></p>	<p>17.1</p>
<p>Global governance – SDG monitoring Evidence of support to national monitoring systems that measure the implementation of the SDGs in relation to Goal 16, 17.1 and the transversal integration of governance principles.</p>	<p>Concerns democratization, decentralization and local governance but is not explicitly mentioned in the theories of change</p>	<p>No differentiation between output, outcome and impact</p> <p>Unclear alignment of indicator with its target/goal</p> <p>Could be more specific</p> <p>No baseline data</p> <p>Unclear combination of quantitative and qualitative indicators</p> <p>No disaggregated data</p>	<p>Cannot clearly be assigned to a topic</p>	<p><u>Output</u> <i>Number of trainings provided to government personnel in establishing and maintaining national monitoring systems.</i></p> <p><u>Outcome</u> <i>Number and nature of national monitoring systems for the implementation of SDGs.</i></p> <p><u>Impact</u> N.A.</p>	<p>(16.8)</p>

<p>Policy coherence for development: Illicit financial flows – capacities yy governmental institutions and civil society organizations with strengthened capacities in preventing corruption, money laundering and tax evasion thanks to Swiss support. (ARI)</p>	<p>Democratization Decentralization</p>	<p>Unclear differentiation between output, outcome and impact</p> <p>No alignment of indicator with its target/goal</p> <p>No baseline data</p> <p>No combination of quantitative and qualitative indicators</p>	<p>Corruption</p>	<p><u>Output</u> <i>Number of supported governmental institutions and civil society organizations which aim at preventing illicit financial flows.</i></p> <p><u>Outcome</u></p> <ul style="list-style-type: none"> - yy governmental institutions and civil society organizations with strengthened capacities in preventing corruption, money laundering and tax evasion. - <i>Number and nature of measures taken by governmental institutions and civil society to prevent illicit financial flows.</i> - <i>Value of illicit production and trafficking of natural resources as a total and percentage of GDP.</i> <p><u>Impact</u></p> <ul style="list-style-type: none"> - Global Financial Integrity - <i>World Bank: The Local Governance Performance Index</i> 	<p>16.4</p>
<p>Policy coherence for development: Illicit financial flows – accountability yy supported processes for increased accountability in the field of illicit financial flows. (ARI)</p>	<p>Local Governance</p>	<p>No differentiation between output, outcome and impact</p> <p>No alignment of indicator with its target/goal</p> <p>No baseline data</p> <p>No combination of quantitative and qualitative indicators</p>	<p>Corruption</p>	<p><u>Output</u> yy supported processes for increased accountability in the field of illicit financial flows.</p> <p><u>Outcome</u></p> <ul style="list-style-type: none"> - <i>Number of investigations, reports and debates by supported public supervisory bodies on illicit financial flows.</i> - <i>Number of corrective measures or sanctions for illicit financial flows.</i> - <i>Number of promoted public hearings/open budgeting/ social audits/citizens score cards.</i> <p><u>Impact</u></p> <ul style="list-style-type: none"> - Global Financial Integrity - <i>World Bank: The Local Governance Performance Index</i> 	<p>16.4</p>

Source: Own table based on SDC (2016a) and the conceptual assessments.

Table 4: Newly proposed ARI

Freedom of Press and Speech	Democratization		Media and Human Rights	<p><u>Output</u></p> <ul style="list-style-type: none"> - <i>Number of trainings provided to media actors to support them in designing new programs and in establishing media umbrella organizations.</i> - <i>xx supported governmental processes for guaranteeing freedom of expression and access to information in law and practice.</i> <p><u>Outcome</u></p> <ul style="list-style-type: none"> - <i>Proportion of people who perceive freedom of speech is granted in their country.</i> - <i>Numbers of websites blocked and of data users provided by internet service providers on requests from governments.³⁹</i> - <i>World Press Freedom Index</i> <p><u>Impact</u></p> <ul style="list-style-type: none"> - <i>Democratization index</i> - <i>EIU Democracy Index</i> - <i>Freedom House Index</i> 	16.10
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Source: Own table based on SDC (2016a) and the conceptual assessments.

³⁹ OGC, 2018.

4. DDLG-Monitoring in Georgia and Somalia

After assessing the SDC's indicators on a theoretical basis, we turn to their application in this section. This practical assessment is based on two case studies, namely Somalia and Georgia.⁴⁰ We first assess monitoring in Georgia and Somalia, respectively. Then, we compare Georgia and Somalia in terms of commonalities and differences. Finally, we establish possible explanations for our findings.

4.1 Assessment of Monitoring in Georgia

4.1.1 Context

Georgia is one of the three countries⁴¹ included in the **Swiss Cooperation Strategy for the South Caucasus**, which is based on the parameters set out in the Dispatch on Switzerland's International Cooperation 2017–2020. The Swiss Cooperation Strategy (CS) has been developed with respect to each respective national government's policies and their development priorities. Jointly developed by the Swiss Agency for Development and Cooperation (SDC), the State Secretariat for Economic Affairs (SECO) and the Human Security Division (HSD) of the Federal Department of Foreign Affairs (FDFA), the new strategy focuses on streamlining interventions and strongly promotes a regional approach for the benefit of the entire South Caucasus region.⁴²

Given the political context and constraints across the three countries, Georgia is considered as a connection point for this regional approach.⁴³ Since 2003, Georgia has steadily pursued a pro-Western, open market orientation. Despite impressive GDP growth since 2003, rural poverty and disparities between rural and urban areas are still widespread. In this respect, **promoting decentralization** is seen by the Government of Georgia (GoG) as a means to **improve coherent and inclusive development** across the country.⁴⁴ The SDC supports the efforts of the GoG in the field of DDLG by promoting the strengthening of local and regional governance systems.⁴⁵ As a result, more meaningful development of rural regions of Georgia is expected. This development should contribute to the transition from the inherited highly centralized Soviet administration to a decentralized system and to a decrease of the significant economic divide between the urban and rural population.⁴⁶

⁴⁰ The assessment was made based on four semi-structured interviews with the SDC's headquarter (HQ) and its country offices (CO) in Georgia and Somalia. Two interview partners from the SDC's HQ were interviewed personally in Bern. Another two interview partners from the COs in Georgia and Somalia were interviewed by telephone. All interviews were transcribed. In addition, we evaluated country-specific reports.

⁴¹ The other two countries are Armenia and Azerbaijan (SDC, 2017: p.7).

⁴² SDC, 2017: 7; 17-18.

⁴³ SDC, 2017: 20.

⁴⁴ SDC, 2013: 1-3.

⁴⁵ SDC, 2013: 1-3.

⁴⁶ SDC, 2013: 1-3.

4.1.2 Existing Monitoring-Plans

Firstly, we analyse the monitoring conducted by SDC and its partners in Georgia. Since Georgia is a forerunner in the field of SDG programme monitoring, as a next step, we emphasize the efforts put by the GoG into programme monitoring.

Monitoring by the SDC and its Partners

The Country Office (CO) usually conducts the programme monitoring in Georgia. The monitoring includes the assessment of the **compliance between the project implementation and the approved logframe**. The implementing partners are predominantly responsible for reporting their activities. Those implementing partners are mainly UN agencies (e.g. UNDP). The CO considers the UN agencies, which according to their mandate are supposed to advocate for policy changes, as preferable partners because they have the competitive advantages of knowledge, access to the government, experienced staff, and the SDC's trust. Currently, only **selected ARIs** are being utilized by the SDC for monitoring progress in Georgia in the field of DDLG.⁴⁷ In the Swiss CS for the South Caucasus, the ARIs GO1 (Governance - Citizen participation), GO2 (Governance - Budget resources), and GO4 (Governance - Illicit financial flows: accountability) are included for Georgia.^{48:49} In the Annual Report South Caucasus 2017, only GO1 and GO2 are reported on for Georgia. Considering the other thematic reference indicators besides the ARIs, they are not used at all in practice. The utilization of ARIs is required in the SDC guidelines on the "Use of Aggregated Reference Indicators" if a strategy covers the respective thematic area and if it is relevant. The utilization of the other thematic reference indicators, however, is voluntary.⁵⁰ This results in a lack of reporting on the reference indicators.

Monitoring by GoG

Georgia itself has declared all 17 SDGs as priorities for the country and monitors its progress in this regard. Several examples prove **Georgia's forerunning position**. First, after the SDGs had been approved in 2015, Georgia was one of the first countries that submitted its national SDG review in 2016. Second, Georgia has nationalized all 17 SDGs, inducing 95 targets and 215 nationally differentiated indicators. Third, Georgia has established a SDG council reporting to the Prime Minister. Under this council, four working groups (social inclusion, economic development, sustainable energy and environmental protection, democratic governance) meet at least twice a year in order to discuss those SDGs that might be cross-cutting. However, the lack of human resources is a challenge because the policy-planning unit in the Prime Minister's office is not only in charge of the SDGs but has other responsibilities as well. Fourth, SDG focal points (approximately 80 well-trained persons) exist in all the ministries and in the National Statistics Office.

⁴⁷ In addition, gender reference indicators for monitoring the strategic goal 7 on gender equality (Dispatch 2017-2020) are being utilized. For further information see:

https://www.shareweb.ch/site/Gender/Documents/Gender%20Policies/Gender%20in%20the%20Message/Gender%20Reference%20Indicators_Nov2017_E.pdf.

⁴⁸ SDC, 2016a: 10.

⁴⁹ SDC, 2017: 29 – 33.

⁵⁰ SDC, 2016a: 2.

4.1.3 Challenges Regarding the Application of SDC-Indicators

Although Georgia has a forerunning position in the field of programme monitoring, particular challenges considering the application of SDC-Indicators occur. In the following subsection, we refer to these challenges on headquarter as well as on country office level.

Headquarter Level

One of the main challenges regarding the application of the indicator list in Georgia is that in this case the **SDC's strategy is not country-specific**, but is included in the Swiss CS for the South Caucasus together with Armenia and Azerbaijan. As a result, the ARIs have to be summarized for those three countries in the reporting. This is further complicated because the respective country desks do not use all of the ARIs, but only selected ones. Hence, key indicators are pragmatically selected for each country. In the case of Georgia, project-specific indicators are often more advanced and accurate than the indicators of the CS because the latter was developed earlier than the projects. Also, whenever baselines are not available or not trustworthy, time is needed to obtain and verify them. Logframes⁵¹ allow investing time in this, while the CS is more rigid.

In addition, instead of using the complete ARI, often only selected subparts of it, as listed in the Indicator Sheets⁵², are used. As the ARIs themselves combine several sub-indicators, the country desks choose the appropriate sub-indicators to report on. This is problematic for the aggregation conducted by the HQ staff, because each country desk chooses a different **combination of sub-indicators**, and their operationalization may diverge. For instance, while some country desks report actual numbers, others report percentages. This then complicates aggregation and lessens the ARI's information content. Here, communication about the goals and reasons for the utilization of ARIs and the Headquarters' (HQ) needs could be improved.

Another problem, according to the HQ concerns the **utility of the indicators**. The informative value of an indicator alone is limited, so the indicator and its context have to be explained in the written part of the Annual Report. The indicators alone are just numbers and need to be complemented by a narrative. However, discrepancies between the indicators and the written parts of the reports currently exist. Sometimes, different information is reported in the text, which does not fully reflect the indicator statement. This limits the coherence of the reporting.

Country Office Level

The list of indicators used in Georgia differs from the SDC's reference indicator list. Still, the CO in Georgia uses logframe instructions produced by SDC HQ, consults the SDC guidelines on the use of aggregated reference indicators (ARIs), as well as UN partners. The ARIs are part of the Federal Dispatch 2017-2020. This time span coincides with the Swiss CS South Caucasus 2017–2020. The ARIs are mostly used regarding impacts and outcomes and not outputs because more emphasis is put on outcome monitoring. Nevertheless, the outcome category often differs from the output category, especially in terms of the logframe development. During the **logframe development process**, it is challenging to assign ARIs or SDGs because of the lack of baselines.

⁵¹ According to the HQ, specific projects are required to include a logframe or a theory of change in order to get approved by the HQ and to receive funding. For example, the project Fostering Regional and Local Development in Georgia includes such a logical framework, where impacts, outcomes and outputs are established, including relating indicators and data sources.

⁵² SDC, 2016a.

Moreover, the logframe development is a **joint effort with the implementation partners**, which requires compromises. The decision which measurable and feasible indicators should be included in a project is the result of an agreement between the CO in Georgia and its partners. In terms of obtaining baselines, the capacities of the government of Georgia should be considered. In cases when data is not available, the CO coordinates with other partners and tries to invest in capacity building so that data can be available in the future.

The **lack of baseline data** is attributable to the fact that the national statistic offices in many post-soviet states do not have enough funding and human resources to obtain baseline data, especially on the municipal level. Nevertheless, for purposes of programme monitoring, baseline data is needed so that progress can be traced. Therefore, the CO tries to commission different studies or surveys to overcome the problem of lacking data. The CO also works with the national statistics office to equip them with knowledge so that they could overcome this gap in the future.

Another challenge concerns the **formulation of logframes and tools** (with outputs, outcomes, and impacts) between the CO in Georgia and its implementation partners. In such cases, a compromise is required, which can be challenging. In addition, according to the CO, in order to improve monitoring, civil society organizations, academia, and the private sector could be involved in monitoring the Government's projects. Nevertheless, that could lead to a further challenge because the Georgian government might not have the capacities required by this.

4.2 Assessment of Monitoring in Somalia

4.2.1 Context

In 2013 the Horn of Africa became one of Switzerland's priority regions. The SDC, the Directorate of Political Affairs and the State Secretariat for Migration⁵¹ combine their instruments for the implementation of the CS 2018-2021. Switzerland is engaged in **four priority sectors**: governance, peace, and state building; food security; health; protection and migration. Given the shared challenges across borders and the transboundary character of population movements, instability and climate change, Switzerland continues to apply a **regional approach** covering Somalia, Ethiopia and Kenya.⁵² In the case of Somalia, the country is still in the process of state building and the on-going violent conflicts in several parts of the country represent one of the main challenges for the implementation of the SDC's CS.

In the first priority sector of **governance**, the SDC focus lies on the establishment of core functions at federal level, member state level and local level through the continued engagement with the following three **joint programmes**: World Bank Fund for Effective and Accountable Government, Economic Growth and infrastructure; UN Joint Programme for Local Governance and Service Delivery (JPLG); UN Joint Programme Support to Emerging Federal State. Consequently, Switzerland's portfolio is mainly composed of contributions as about 95% of the funds go to the UN and the World Bank Multi Partner mentioned above.

4.2.2 Existing Monitoring-Plans

In a first step, we are analyzing how monitoring is conducted by the SDC in Somalia, taking into account the different roles of the HQ and the CO. Since the SDC in Somalia participates in joint programmes, the monitoring system of the multilateral programmes is assessed in a second step. Lastly, the monitoring by the Somali government is also considered.

Monitoring by SDC

In Somalia the SDC is only a donor and not a direct implementer. Therefore, **data collection** is conducted by SDC's partners, whereas the analysis and deductive reasoning is performed by partners and steering committees (in the case of SDC contributions). Generally, in the development work, progress, including the change in attitudes and (working) processes require a lot of time. This is the reason why there is **special monitoring** in the field of DDLG (e.g. mid-term reviews), which aims at giving the projects enough time in order for changes to occur and the whole picture to be captured.

The **SDC HQ** itself applies soft monitoring, which means that people in charge of a project need to go to Somalia at least twice a year, where they try to get some feedback of the civil society. This is a more qualitative approach, which is only possible in certain areas in Somalia (e.g. Puntland or Somaliland), where a more or less safe access is possible. The **SDC CO** in Somalia makes field visits, where the employees talk to government counterpart (Somali government, as well as ministries and their staff). The goal of this approach is to increase the level of ownership and create more interactions because the inclusion of partners in developmental efforts and their monitoring is considered as very important.

Monitoring by Partners

The **international set-up** of developmental efforts in Somalia has a significant influence on SDC's project monitoring. Development policy and its efficiency require the junction of programmes and aid architecture because it enables donors to take up a more coherent stance towards the Somali government. In joint programmes, such as the JPLG, SDC requests progress reports on an annual basis, which are then compared to the implementation/work plan and the corresponding logframe.

SDC's partners use a lot of different monitoring mechanisms, such as mid-term reviews, third party monitoring, capacity assessment, and desk reviews. Monitoring is considered as a continuous process and requires the combination of different tools, in order to validate results, processes, and information in general. For **third party monitoring**, external and specialized consultants are hired to monitor projects. The advantage of this tool is the opportunity to gain information in hard to access areas (especially in the conflictual south of Somalia), where neutral parties (instead of implementing partners) are more welcomed and the population, therefore, more willing to speak to them. **Networks and staff** reaching out to various stakeholders permit a different angle on the progress through communication with the population and add another layer of validation. Based on a combination of these tools, the CO drafts the Annual Report.

Monitoring by Somalia

Somalia has its own development plan, the *Somali National Development Plan (SNDP)*, which currently encompasses the years 2017-2019. The relevant focus points of the SNDP for DDLG are inclusive politics, strengthening the executive power, as well as rule of law and access to justice. The document has been criticized as being too ambitious, too broad and lacking indicators and the corresponding baselines. The SDC currently works with the government on a new SNDP, which should fix those weaknesses. Helping the partners to grow and encouraging them to learn from their own mistakes is regarded much more important than donors being only supervisors. According to the CO, investing in learning and building partnerships minimizes risks and increases the support from all parties.

4.2.3 Challenges Regarding the Application of SDC-Indicators

Since the SDC in Somalia focuses on **multilateral projects** and has almost no DDLG-projects on its own, the SDC' reference indicator list for the field of DDLG is used in a limited way by the CO. However, there are general national as well as project-based indicators figuring in the Annual Reports and some of those indicators reflect in a way the indicator list. According to the CO, the only ARI that is being used is the "Improved Budget" ARI, but its application depends on the programme. Further reasons that impair the application of the indicator list are outlined below, considering the differences between HQ and CO.

Headquarter Level

While applying the indicator list, three challenges can be identified on the HQ level. First and foremost, the **communication** between HQ and COs needs to be improved, because the HQ has to merge different data, provided by COs, in order to create the ARIs, which is a very cumbersome and time-consuming process. If all involved parties are clear about the necessary indicators, the creation of the Annual Reports and the ARIs, the whole procedure would be more efficient and less tedious. Furthermore, the CO for Somalia does not work with the SDC indicator list for the field of DDLG, because the list is unknown to the staff and most of the indicators are not applicable due to the Somali context and the nature of projects. For example, illicit financial flows are not considered at all a relevant subject at the moment.

Furthermore, an additional improvement for the SDC's indicator list, according to the HQ, could be the development of process indicators.

A second point is the SDC's **limited autonomy** in Somalia. Since the SDC mostly contributes to multi-donor-projects, the extent the SDC has a say in the development of a theory of change and indicator selection depends on its role and weight within the project governance. It has been mentioned that if the SDC would drive a harder bargain in joint programmes, they could co-determine the theories of change and used indicators even more.

Defining and adjusting a **theory of change** (ToC) is important for the learning process within the agency, but also presents a third challenge to the application of the indicator list. ToCs are fostered and demanded by the HQ but are, at the same time, quite a new tool. Therefore, they still need more time to be implemented on all levels (HQ, Networks, and COs). Since the SDC in Somalia is involved in contributions (instead of mandates), where the donor group defines the ToC collectively, its influence on the definition of the ToC is limited. However, according to the CO, theories of change are developed for each project and thus differ from project to project. For now, there is no overall governance theory of change developed by the CO, nevertheless, by the end of the year and with the review of the governance portfolio, the establishment of an overall theory of change could be envisaged. This challenge is closely related to the challenges of communication and limited autonomy, which are mentioned above.

Country Office Level

A first challenge for the application of the indicator list on the CO level is the increasing amount of **administrative workload**. Currently, 6-7 months per year are required to create reports, which comes at the cost of on-site monitoring, as well as investment in partnership and learning. This could perhaps be reduced if more synergies are created between HQ and CO, as well as between COs with same focal points (e.g. governance). As a consequence, there would be more time for field visits, and direct interaction with beneficiaries and partners, which in turn would increase the monitoring quality. Maybe the new automatic reporting system, which is currently being established, will facilitate the whole process of reporting to the HQ.

Dependency on the implementation partners for data is the second operational challenge. Partners in joint programmes do not only specify the indicators, but they also conduct the **data collection**. Since the CO and HQ of the SDC do not gather any additional data in Somalia, they strongly depend on their partners.

The third challenge is the **dynamic adaption** of indicators and ToCs to project relevant circumstances throughout the project duration. One needs to keep in mind that indicators are merely measuring instruments, but not the ultimate goal. Rigid result chains, ToCs, and indicators build a weak foundation for a project and render monitoring (nearly) impossible if important project circumstances change unexpectedly.

A fourth challenge is that the indicator list is very general and not necessarily context/programme/portfolio based. Better compliance would require a lot of **contextualization of the indicators** because this is crucial in order to capture the overall picture. If indicators are not put into context, one might miss success stories respectively change along the way. Another drawback of general indicators is the non-applicability of most indicators due to the context and current programmes in Somalia.

4.3 Comparison of Georgia and Somalia

After analysing and assessing the DDLG-programme monitoring in Georgia and Somalia, both countries are compared in this respect. The commonalities between Georgia and Somalia are discussed on both HQ and CO level. Since the differences between both countries can be attributed to the diverse Georgian and Somali contexts, the differences are taken into account predominantly on the CO level. Moreover, some explanations for these differences as well as implications for SDC's list for reference indicators are presented in the next subsections.

4.3.1 Commonalities

Headquarter Level

In both Georgia and Somalia, compromises have to be made regarding the utilization of indicators. Firstly, in joint programmes or projects, the **inclusion of SDC indicators** is subject to negotiations. The donors and implementing partners need to agree on the formulation of a logframe, which covers the specific theory of change and the relevant outputs, outcomes, and impacts, as well as indicators to measure those. Secondly, indicators need to be selected considering **data availability**. Feasible indicators should be based on baseline data to allow for measuring progress.

Furthermore, indicators need to be adapted to the **country specific context**. For instance, in Somalia, the ARI "Illicit Financial Flows" is not relevant because the country is still in the phase of state building. Regarding Georgia, the SDC indicators could be aligned to those developed by the Georgian government as it nationalized all SDGs, including targets and indicators. Finally, **communication between the HQ and the COs** needs to be improved. If the HQ clearly states its needs regarding the utilization of indicators, this could improve efficiency and satisfaction of both the HQ and the COs.

Country Office Level

The COs in both countries develop **online reporting of monitoring**. In Somalia, the CO is working on the establishment of a new automatic reporting system. The Georgian government is currently building a website for monitoring, where all ministries can upload their own monitoring data and inquire on other ministries' transmitted monitoring material. Moreover, in both countries there is an inconsistency between the **outcome indicators** (especially the ARIs) provided by the SDC indicator list and the fieldwork of the COs because the latter usually measures outputs. In multilateral (especially in Somalia) or bilateral projects (e.g. with Austria in Georgia) the partners provide the monitoring data and it is not guaranteed that they can be aggregated or transformed into outcome-indicators requested by SDC's indicator list.

Additionally, both COs are mostly or completely **dependent on their implementation partners** concerning the data gathering process and provision of data sources. Whether the CO can use the provided monitoring data is determined by the congruence between SDC's reference indicator list and the indicators used in the multilateral/bilateral projects. If there is no or little congruence, the COs are forced to somehow transform the supplied data so that they fit the CS and/or the SDC's indicator list, which is quite cumbersome. Last but not least in Somalia and Georgia both COs conduct their **own monitoring** in the form of field visits in order to get direct feedback on a project's performance which helps with the steering and monitoring of the said project. The HQ also sends its people to the COs in order to talk to the staff and important stakeholders.

4.3.2 Differences

A comparison of Georgia and Somalia with regard to programme monitoring reveals certain differences between the two countries. Firstly, the CO in Georgia uses the **SDC's reference indicator list** in another country-specific compilation and expresses a particular degree of satisfaction with it. On the opposite, the CO in Somalia is not completely satisfied with the existing reference indicators and does thus not systematically use it for monitoring projects and programmes in Somalia.

Secondly, regarding the **cooperation with implementation partners**, it can be stated that COs in Georgia and Somalia apply diverse strategies in selecting their partners. On the one hand, preferable implementation partners in Georgia are UN agencies, mainly UNDP because they have competitive advantages of having access to the government and because they are fully equipped with knowledge in terms of staff and experience. Therefore, the CO in Georgia trusts the reports of the UN agencies. Nevertheless, the CO in Georgia monitors the activities of their implementation partners. On the other hand, the CO in Somalia puts more emphasis on local and as neutral perceived implementation partners. One reason is that these actors are allowed to areas (especially in the South) that are normally inaccessible to the SDC and the international community due to the on-going conflict in these regions.

Thirdly, according to the CO in Georgia, it is advisable to include more **project specific indicators** in the logframes. Still, this improvement could be hindered because of limited data. Consequently, one of the biggest Georgian context-specific challenges is the need for improved national capacities in terms of data collection. The CO in Somalia provides a number of suggestions for improvement of the current SDC's reference indicator list (e.g. contextualization and reduction of indicators). Moreover, in contrast to the CO in Georgia, the Somali CO considers only the "Improved Budget" ARI to be applicable.

Possible Explanations

The main explanation for variation regarding DDLG-monitoring in Georgia and Somalia is the difference in **country-specific contexts**: On the one hand, Georgia has a forerunning position in SDG monitoring, as its government nationalized all SDGs, including targets and related indicators. On the other hand, Somalia is characterized by a rather difficult context, where violence and the international set-up complicate the monitoring process. While the SDC in Somalia is only one of many donors working together in joint projects, in Georgia, the SDC is able to take the leading position in certain projects. This enhances the SDCs negotiation power and therefore, the opportunity to include SDC indicators.

4.3.3 Findings

Based on the comparison between DDLG programme monitoring in Georgia and Somalia presented above, we conclude that **SDC's list of reference indicators** is only used to a limited extent. In Georgia, some selected ARIs are used for the monitoring of projects whereas, in Somalia, the list is generally not taken into account due to the lack of own Somali DDLG-projects. Another reason why the CO is reluctant to use the list is the absence of the contextualization of the indicators. However, according to the COs, some national and project-based indicators used in the annual reports might be considered similar to the ones figuring in the SDC's list.

5. Conclusion

The aim of this paper was to assess the SDC reference indicator list used for the SDC monitoring of projects and programs in the field of Democratization, Decentralization and Local Governance. The assessment was centered around the following three research questions:

- Which quality criteria does a DDLG-indicator system have to satisfy?
- How does the SDC's indicator system perform with regard to those quality criteria?
- Could the SDC's indicator system be improved in some way?

In order to answer these research questions, we divided this paper in three main parts. Chapter 2 discussed the common practice regarding the use of indicators in the field of DDLG and presented the quality criteria, as well the commonly used indicators. In chapter 3 we conceptually analyzed the SDC's reference indicator list in more detail, taking into account its conformity with the SDC's theories of change, with the synthesized quality criteria as well as with the commonly used indicators. We derived some **conceptual recommendations** from chapter 2 and 3 that are summarized in the following sub-chapter (5.1.). In chapter 4, we conducted case studies for the countries Georgia and Somalia and analyzed the DDLG-Monitoring in general and the challenges for the application of the SDC reference indicator list. These findings of the practical assessment are summarized as **general recommendations** in sub-chapter 5.2.

5.1 Conceptual Assessment and Recommendations

We evaluated the SDC's reference indicators based on a comparison with the ToCs, the SQCs, as well as the CUIs. We drew conclusions for each issue individually and thus derived recommendations for the indicator list.

Theory of Change

The comparison between the ToCs for the overall programme DDLG as well as the three subparts democratization, decentralization and local governance revealed some strengths as well as some challenges. The indicator list appropriately reflects the individual ToCs, as all outputs and outcomes are covered by at least one SDC indicator, and all except two indicators clearly connect to at least one theory of change. However, there are two main challenges. First, the indicators not always relate to the same category, as some measure output, while others measure outcome. Thus, we propose **separating the indicators** into output-indicators and outcome-indicators, and process indicators could be developed in order to link outputs with outcomes. Second, democratization is somewhat underrepresented in the ARIs. Therefore, we suggest **adding one more ARI** relating to the theory of change for democratization.

Synthesized Quality Criteria

The SDC's internal quality criteria fully conform to the set of SQC, although some only indirectly or implicitly. The SDC does not only meet the minimal standard but also exceeds it with some quality criteria. However, we concluded that the list of reference indicators of SDC's faces three main challenges. Firstly, it delivers not enough **details about the operationalization** of the reference indicators. Secondly, the **proposed data sources** in the SDC's reference indicators list are not weighted with regard to their importance. Thirdly, if the SDC recommends a dataset, it should also indicate the **relevant variables** that should be considered. The **ARIs** should be checked for any disaggregation (e.g. women or vulnerable groups) because it interferes with their function (comparison across programmes and countries).

Commonly Used Indicators

When comparing the SDC's reference indicators to the CUIs, we discovered a congruency considering the majority of the CUIs' topics. Out of eight identified topics covered by the CUIs, the SDC's reference indicators address the following six topics: Security and Justice, Civil Service Reform, Elections, Parliament Support, Tax/Revenue, Corruption. The two topics Human Rights and Media are barely, or not at all figuring in the SDC's list of reference indicators. We therefore propose to **include indicators referring to the topics Human Rights and Media** in the SDC's reference indicators, in order to be able to extensively measure progress in democratization.

Conceptual Recommendations

In summary, we suggest categorizing all indicators into output, outcome and impact indicators. In addition, we recommend adding one ARI for Media and Human rights, as this is CUI topic is barely covered by the SDC indicators. Adding this indicator also establishes a new ARI for democratization, as suggested in the assessment concerning the ToCs.

5.2 Practical Assessment and Recommendations

The recommendations so far are the results of the theoretical assessments. In the next step, we conducted interviews to analyze the monitoring praxis in Georgia and Somalia and to assess more specifically to what extent the people working for the SDC in these countries (HQ and CO) make use of the SDC's list of reference indicators.

Practical assessment

The results showed that the **context** in the respective partner countries is an essential explanation for the differences in monitoring processes. In Somalia, for example, monitoring projects and programmes are impeded due to the on-going conflict, which creates a difficulty of accessing certain areas where project implementation is planned. Furthermore, for an efficient cooperation with the partner countries, the SDC orientates its strategy on the country's own development plan. The government of Somalia still needs to improve its own monitoring plan, whereas the government of Georgia is seen as a forerunner in the field of SDG programme monitoring and thus facilitate the SDC's monitoring.

In both countries the SDC participates in **joint programmes**, which has a crucial implication on the monitoring process: the logframe, the theory of change and the inclusion of SDC indicators are becoming subjects to negotiations with other donors and implementing partners. However, individual ToCs can still be developed for each project, as it is done by the COs for Somalia and Georgia. Additionally, in joint programmes, the SDC depends on the implementing partners concerning the gathering and **provision of data** used (amongst other things) for the conduction of the Annual Report. When participating in joint programmes, the COs only to a small extent conduct their own monitoring consisting of field visits of partners, target groups, and other stakeholders.

The **SDC's list of reference indicators** is only used to a limited extent. In Georgia, some selected ARIs are used for the monitoring of projects. In Somalia, the list is generally not taken into account due to the lack of SDC owned DDLG-projects. Another reason why the CO is reluctant to use the list is the absence of the contextualization of the indicators. In chapter 3, we assessed the quality criteria of the SDC reference indicator list based on the theory. The practical analysis in chapter 4 showed that the ARIs are mostly useable with regard to measuring impacts and outcomes and not on **outputs**, which marks a clear

disadvantage of these indicators. Additionally, **the lack of guidelines and/or data concerning baselines** also complicates the monitoring of projects and programmes.

Considering the **ARIs**, their compilation seems to be very complicated because the HQ gets different information/data from the various COs and has to aggregate all the data to one ARI. One of the major problems is that clear guidelines for measuring indicators are absent. This leads to differences in operationalization (absolute numbers vs. relative numbers), which in turn hinders an effective and correct compilation of the ARIs. The proposition made in chapter 3 to add one ARI for Media and Human rights, could be valuable to compare progress made in the respective field but would also create more work for the HQ and COs. As a matter of fact, the CO for Somalia even mentioned that the reference indicators could be limited in number.

Recommendations for the list of reference indicators

Based on the information we gathered from the practical analysis of the SDC's monitoring process, we suggest the following adjustments for the SDC's list of reference indicators concerning its formulation and application:

Formulation

- The formulation of ARIs and indicator lists based on country groups, which represent a **similar context and focal point**. We find that there are too many indicators on this list that are not applicable in the respective country, which results in non-compliance by COs.
- The indicator list should better balance the **share of outcome and output indicators** due to the fact that the operational level focuses on measuring outputs rather than outcomes.
- Regarding the **conceptualization**, a simpler, clearer, and more specific formulation of the indicators could help to decrease administrative workload perceived by the COs and therefore save time for fieldwork. In addition, guidelines for establishing baselines should be defined, and process indicators could be developed.
- The ARIs should be coordinated with the **internationally established SDG-indicators**, which could increase the applicability across different country-contexts, as well as the COs' compliance. Additionally, the SDC should actively **contribute to the development of international SDG-indicators**, maybe also aligning them with the SDC's indicators.

Application

- A **better communication** between the HQ and the COs concerning the use of the ARIs by actors working in the HQ. A better understanding by the CO of the use and the aim of these ARIs could lead to a uniform delivery of data and thereby facilitate the compilation of the ARIs and enable a more accurate cross-country comparison.
- Establish an **exchange between COs** with similar focus points/country contexts.
- If the use of SDC's indicators in multilateral projects is desired, the SDC should drive a **harder bargain** with its partners in multilateral/bilateral projects. Otherwise, the SDC indicators, especially the ARIs, should be adapted to internationally used SDG indicators.

It can generally be concluded that the SDC's list of reference indicators is utilized both by the HQ level and the CO level. However, its use is limited. On the one hand, the **generality** of the indicators seems to be feasible in order **to compare the progress** in the field of DDLG cross-nationally. But on the other hand, **its applicability is limited to certain countries with specific contexts**. Georgia seems to present this context, whereas the conflict-ridden country Somalia would probably need an indicator list that fits its special situation.

In summary, this paper identified some strengths and challenges regarding the SDC's list of reference indicators in the field of DDLG. Based on our analysis, we were able to make several recommendations on the conceptual as well as on the practical level. By implementing these recommendations, the SDC could increase the practical application of the reference indicator list and the comparability of projects and programmes in the field of DDLG.

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7. Annex

7.1 SDC's List of Reference Indicators in the Field of DDLG

Table 5: List of Reference Indicators

Indicators	Data Sources	SDGs
<p>Change of practice local governments</p> <p>yy local authorities informed zz citizens transparently, involving them in decision making processes and considering their interests in local development and budget plans. Among the local authorities, xyz take specific measures for balanced participation and consideration of interests of women and vulnerable groups. (ARI)</p>	Annual reports, surveys	16.6 16.7 16.10 16.b
<p>Representation by parliament (national and subnational levels)</p> <p>Satisfaction of the population, including women and disadvantaged groups, that their interests are represented by parliament.</p>	Annual reports, surveys	16.7 16.b
<p>Effectiveness of civil society initiatives</p> <p>Number of well-founded, concerted requests or proposals by supported civil society organizations, citizens' initiatives or media to state authorities to contribute to public policy (e.g. laws, ordinances, strategies, plans, development projects, investments). This includes the number of proposals including the interests of women and disadvantaged population groups, and the number of initiatives, which result in concrete measures being taken by state authorities.</p>	Annual reports, surveys World Bank Worldwide Governance Indicators and Governance Surveys, Freedom House, Democracy Index, CIVICUS annual state of civil society reports and country reports	16.7 16.10 16.b
<p>Democratic electoral processes</p> <p>Number and nature of contributions by supported actors (e.g. electoral commissions, civil society organizations and initiatives, media, security forces, political parties, local authorities, etc.) to the running of transparent, inclusive, non-violent elections and information on the population's confidence in elections and their participation (broken down by gender, disadvantaged population groups, age).</p>	Annual reports, surveys Freedom House, Democracy Index, Bertelsmann Transformation Index, World Bank Worldwide Governance Indicators and Governance Surveys	16.6 16.7 16.10 16.a
<p>Access to Justice</p> <p>Measures taken by public and civil society actors which have improved public access to judicial procedures or alternative legal conciliation procedures and the share of the population, including women and disadvantaged groups making use of these opportunities.</p>	Annual reports, surveys WJP Rule of Law Index, Bertelsmann Transformation Index	16.3 16.6
<p>Effective and independent judicial authorities</p> <p>Institutional capacities of assisted judicial authorities and quality of their procedures measured against international minimum standards. Satisfaction of the population with their efficiency, independence and quality; (disaggregated by gender, disadvantaged population groups).</p>	Annual reports, surveys WJP Rule of Law Index, Bertelsmann Transformation Index	16.3 16.6
<p>Improved budget resources local governments</p> <p>yy supported local authorities which have benefitted from increased budget resources: yy1 due to formula and rule based fiscal transfer schemes, yy2 due to local tax income and private investments. (ARI)</p>	Annual reports, surveys	16.6 17.1
<p>Solid public financial management</p> <p>Number of governmental authorities at sub-national level with public administration (public revenue and expenditure management) practices in accordance with internationally recognized minimum standards.</p>	Annual reports, surveys PEFA reports	16.6 16.a
<p>Provision of high-quality public services</p> <p>Proportion of the population satisfied with the public services provided by supported state authorities (e.g. access, quality, affordability, price-performance ratio), disaggregated by gender and disadvantaged groups.</p>	Annual reports, surveys World Bank Worldwide Governance Indicators and Governance Surveys	16.6 (16.b) 16.9
<p>Accountability</p> <p>Number of investigations, reports and debates (at different levels of government) by</p>	Annual reports, surveys World Bank Worldwide Governance	16.6

supported public supervisory bodies (e.g. parliaments, media, citizens' initiatives, NGOs, auditors, independent institutions), on performance assessment and control of government authorities. The number of corrective measures or sanctions following complaints.	Indicators and Governance Surveys	
Combating corruption Number of targeted measures to combat corruption by supported state or civil society actors (at different levels of government), and feedback from the population/civil society on the number of resolved corruption-related problems and corruption cases (broken down by men and women and disadvantaged population groups).	Annual reports, surveys Global Integrity Index, Corruption Perception Index	16.5 16.6
Participatory reforms Number of Swiss-supported legal bases, policies and reform programs for decentralization and enhanced local governance; proportion developed through broad-based consultations with relevant stakeholders.	Annual reports, surveys	16.7
Efficiency in interactions between government authorities (vertical and horizontal) Contributions to established processes for improved coordination and cooperation between government authorities & and responsible public sector actors at different levels (e.g. rules defining responsibilities, support measures by central government, mutual coordination and consultation mechanisms, evidence of concerted action, etc.).	Annual reports, surveys	16.6
Natural Resource Governance Contribution to good natural resource governance on the basis of the Natural Resource Charter.	Annual reports, surveys Resource Governance Index	17.1
Global governance – SDG monitoring Evidence of support to national monitoring systems that measure the implementation of the SDGs in relation to Goal 16, 17.1 and the transversal integration of governance principles.	Annual reports	16.8
Policy coherence for development Illicit financial flows – capacities: yy governmental institutions and civil society organizations with strengthened capacities in preventing corruption, money laundering and tax evasion thanks to Swiss support. (ARI)		16.4
Policy coherence for development Illicit financial flows – accountability: yy supported processes for increased accountability in the field of illicit financial flows. (ARI)		16.4

Source: SDC, 2016a.

7.2 Overview of Commonly Used Indicators

Table 6: Commonly Used Indicators

DDLG Topics	Type of Indicators (only for DFID)	DFID Indicators	IAEG-SDG's Indicators for SDGs (mentioned in SDC's list of reference indicators)	Oslo Governance Center (Virtual Network)	World Bank Group's indicators for SDG's	UNDP Sample Indicators	Scores and Data Bases (IAEG, Oslo Governance Center)
<p>Transnational goals</p> <p>Broaden and strengthen the participation of developing countries in the institutions of global governance (16.8)</p> <p>Ensure public access to information and protect fundamental freedoms, in accordance with national legislation and international agreements (16.10)</p> <p>Strengthen relevant national institutions, including national legislation and international agreements (16.10)</p> <p>Strengthen relevant national institutions, including through international cooperation, for building capacity at all levels, in particular in developing countries, to prevent violence and combat terrorism and crime (16.a)</p> <p>Strengthen domestic resource mobilization, including through international support to developing countries, to prevent violence and combat terrorism and crime (16 a.)</p> <p>Strengthen domestic resource mobilization, including through international support to developing countries, to improve domestic capacity for tax and other revenue collection (16.a)</p>							

<p>Transnational goals</p> <p>Broaden and strengthen the participation of developing countries in the institutions of global governance (16.8)</p> <p>Ensure public access to information and protect fundamental freedoms, in accordance with national legislation and international agreements (16.10)</p> <p>Strengthen relevant national institutions, including through international cooperation, for building capacity at all levels, in particular in developing countries, to prevent violence and combat terrorism and crime (16.a)</p> <p>Strengthen domestic resource mobilization, including through international support to developing countries, to improve domestic capacity for tax and other revenue collection (16.a)</p>				<ul style="list-style-type: none"> • Proportion of members and voting rights of developing countries in international organizations • Number of countries that adopt and implement constitutional, statutory and/or policy guarantees for public access to information • Total government revenue as a proportion of GDP, by source • Indicator on international cooperation in preventing violence and combating terrorism and crime [to be developed - This indicator will track international cooperation for building capacities at all levels, in particular in developing countries, for preventing violence and combating terrorism and crime] 			<p>Annual report by Bank for International Settlements (BIS), International Accounting Standards Board (IASB), International Financial Reporting Standards (IFRS), International Monetary Fund (IMF), World Intellectual Property Organization (WIPO), World Trade Organization (WTO) [other organizations to be added] on relationship between international rules and the SDGs and the implementation of relevant SDG targets</p> <p>Indexes of Freedom (Freedom in the World Survey, Freedom House, V-Dem Fundamental Freedom Index)</p>
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Security & Justice

Promote the rule of law at the national and international levels and ensure equal access to justice for all (16.3.)

Promote and enforce non-discriminatory laws and policies for sustainable development (16.b.)

<p>Security & Justice Promote the rule of law at the national and international levels and ensure equal access to justice for all (16.3.)</p> <p>Promote and enforce non-discriminatory laws and policies for sustainable development (16.b.)</p>	Outcome	<p>Oversight & Accountability: Rating of progress against a joint national security policy / strategy / plan</p>		Percentage of population who express confidence in the impartiality of the security forces, police and judicial mechanisms (both formal and informal) in treating people fairly regardless of their race, color, sex, language, religion, political or other opinion, national or social origin, property, birth or other status (16.a)			
		% political appointments made at senior positions in key departments					
		# and % cases where S&J legislation is passed without civilian oversight and approval					
		Size of military: Ratio military personnel to population size					
		Military expenditure as % GDP					
		Crime and public safety: % citizens who say they feel safe going out in their neighborhood at night (disaggregated)					
		# violent deaths recorded by hospitals / morgues					
		Police: # violent crimes recorded by the police per 100'000 people	<ul style="list-style-type: none"> Proportion of victims of violence in the previous 12 months who reported their victimization to competent 	<ul style="list-style-type: none"> Proportion of those who have experienced a dispute in the past 12 months who have accessed a formal, 			

		<p>authorities or other officially recognized conflict resolution mechanisms</p> <ul style="list-style-type: none"> • Proportion of population reporting having personally felt discriminated against or harassed in the previous 12 months on the basis of a ground of discrimination prohibited under international human rights law 	<p>informal, alternative or traditional dispute resolution mechanism and who feel it was just</p> <ul style="list-style-type: none"> • Proportion of the population who believe that state institutions are treating people of all groups fairly, equitably and without discrimination 			
		% citizens satisfied with police response / complaints system				
		% citizens who believe bribes are necessary to access police services				
		<p>Justice: % citizens satisfied with cost/quality of legal services provided</p>	<ul style="list-style-type: none"> • Existence of a comprehensive legal aid system (in line with UN Principles and Guidelines on access to legal aid in the criminal justice system) 	<ul style="list-style-type: none"> • Average time to resolve [civil] disputes • Proportion of requests for legal assistance and free interpreters being met (criminal and civil proceedings) annually, by sex of requestor • Existence of a comprehensive legal aid system (in line with UN Principles and Guidelines on access to legal aid in the criminal justice system) • Percentage of people who trust the [police/courts] • Conviction rates by type of adjudicated crimes (e.g. rape, homicide, physical assaults) and characteristics of victims and perpetrators (e.g. sex, juvenile) 		<p>World Bank Worldwide Governance Indicator, Rule of Law score</p> <p>V-Dem Indicators on Justice</p> <p>Derived aggregate score of the World Bank Investing Across Borders (IAB) initiative annual scores</p> <p>World Bank Doing Business project “Ease of Doing Business” aggregate annual score</p> <p>Combined scores: freedom of speech, freedom of assembly & association, electoral self-determination, Cingranelli-Richards (CIRI) Database</p>

				<ul style="list-style-type: none"> • Percentage of people who report crime to authorities • Rate of compliance with binding resultant judgments of bilateral and multilateral investment treaty disputes • Existence of domestic laws for implementing non-discrimination • Existence of an independent body responsible for promoting and protecting the right to nondiscrimination • Inequality gaps (ratio of most deprived population to the rest of the population or most advantaged population) using indicators disaggregated to the extent feasible by all grounds of discrimination prohibited by international human rights law, including sex, age, geographical residence (e.g. rural/urban), ethnic background, income and disabilities 			
		# cases where women's rights are successfully adjudicated					
		# new courts opened in rural and/or urban areas with concentrations of marginalized populations					
		% judicial decisions upheld by higher courts					
		% citizens using primary justice system in last year reporting satisfaction with process		Unmet need for legal aid among the population in the poorest quintile in national consumption in the past 12 months, by sex and by age group			

		Corrections: (including pre-trial detention): Median length of stay in detention / # days between remand and first hearing	•	<ul style="list-style-type: none"> • Number of children in detention per 100,000 child population • Number of people who die in custody of the state • Number of Prisoners per prison officer • Percentage of prisoners who report having experienced physical or sexual victimization while imprisoned over the past 6 months, by sex 			
		# and % in custody over 1 year	Unsentenced detainees as a proportion of overall prison population				
		% trails disposed of within 6 months		Proportion of all detainees who are not yet sentenced			
		Ratio # prisoners: # beds					
	Output	Oversight and accountability: Rating of joint national security police / strategy / plan in terms of allocation of responsibility, authority and accountability across S&J sector					
		#CSOs ⁵³ consulted on policy development	<ul style="list-style-type: none"> • Existence of independent national human rights institutions (NHRIs) in compliance with the Paris Principles • 	<ul style="list-style-type: none"> • Number of registered CSOs per 100,000 inhabitants • Proportion of people who report feeling free to join civil society organizations, by sex • Number of days required to legally establish an operational civil society organization • Number and proportion (by sector of activity) of associations closed, 			

⁵³ CSO: Civil Society Organizations

			dissolved or suspended • Union density rate			
		Justice: # courts per 100'000 residents	Proportion of justice sector budget allocated for provision of free legal aid service			
		# cases where free legal advices has been provided	Percentage of criminal cases in which the defendant/people does not have legal or other representation in court			
		% primary justice institutions using systems for recording actions and documenting decisions				
		# and % disputes reported to state institutions that are referred to primary justice institutions				
		# cases resolved using alternative dispute resolution mechanisms				

Civil Service Reform

Develop effective, accountable and transparent institutions at all levels (16.6)

Civil Service Reform Develop effective, accountable and transparent institutions at all levels (16.6)	Outcome	Transparency of Inter-governmental fiscal relations: PEFA ⁵⁴ Indicator 8 (Central or Sub-National)	Primary government expenditures as a proportion of original approved budget, by sector (or by budget codes or similar)	<ul style="list-style-type: none"> Actual primary expenditures per sector and revenues as a percentage of the original approved budget of the government 			
		Where no PEFA, then indicators might include: % transfers from central government are determined by a transparent rule-based system (with criteria, formula)	Fairness in decisions of governance officials	<ul style="list-style-type: none"> Proportion of population satisfied with their last experience of public services Quality of public financial management and internal oversight mechanisms MAPS (Methodology for Assessing Procurement Systems) Thresholds of public procurement reform Existence of oversight mechanisms (internal and external – civil society, parliament, etc.) Proportion of people who affirm trusting public institutions (calculate separately for different institutions) Equality of access to various public services Selected Internet-based services available to citizens, by level of sophistication of service Percentage of individuals using the Internet for getting 			World Bank CPIA – Equity of Public Resource Use Score

⁵⁴ PEFA: Public Expenditure and Financial Accountability
<https://pefa.org/>

				information from general government institutions <ul style="list-style-type: none"> • Percentage of individuals using the Internet for getting information from & for interacting with general government institutions • Compliance with Open Contracting Initiative 			
		Rating of the timeliness of reliable information on the allocations to be transferred to sub-national government					
		% (by value) sub-national government expenditure consistent with central government fiscal reporting (by sector categories)					
		Ratio ghost workers: total staff					
		Effectiveness of recruitment / promotion systems: # and % of unfilled posts (Vacancy rate)					
		Leavers in the last year as a percentage of the average total staff (Staff turnover)					
		% people still in post after 12 months service					
		Ratio sector budget allocation: expenditure: PEFA Indicator 2 Where no PEFA, then indicators might include: % variance between budgeted and actual expenditure (by sector)					
	Output	Effectiveness of payroll controls: PEFA Indicator 18 Where no PEFA, then indicators might include: Rating of degree of integration and reconciliation between personnel records and payroll data ⁶					

		Time (# days) taken to make required changes to the personnel records and payroll					
		# payroll audits undertaken to identify control weaknesses and/or ghost workers in the past 3 years					
		% staff with job description					
		% staff trained in the last 12 months to do their job (by job type)					
		% complaints received acted on by Ombudsman					
		# cases of disciplinary action for violations of codes of conduct per 1,000 staff					

Political Party Support							
Political Party Support	Outcome	% political parties with issue-based manifesto / codes of conduct / audited accounts					
		# and % registered political parties who take actions on legal infringements					
		% women / minority members of executive committees of political parties					
		% political party membership given votes in internal decision-making					
	Output	# and % political parties with budgeted annual plans					
		% political parties with accounts available for membership or public scrutiny					
		% citizens aware of right to join political parties					
		% citizens who are able to mention distinguishing policies of two or more political parties					

Elections							
Elections	Outcome	Free & Fair elections: % External observation reports stating conclusions		Proportion of people who believe last national election was free and fair, by sex			
		% voter / political party satisfaction with conduct of the election (disaggregated)				Percentage of citizens surveyed that believe that the electoral management process is free and fair. (This is a proxy indicator. Instead of a general survey of citizens, a more limited survey could be done of a selected group of persons as well.)	
		# and % political parties / parliamentarians who consider electoral commission to be a competent public body					
		Participation: % voting age registered to vote (disaggregation)					
		% voter turnout (disaggregated)				<ul style="list-style-type: none"> • Annual percentage increase in number of women registered to vote. (This is an intermediate indicator of progress, getting to the point when the impact indicator of how many of these groups actually vote can be measured.) • Annual percentage increase in number of indigenous people registered to vote. Ratio of voter registration centers per population in rural areas. 	
		# people who vote in elections supported by DFID					

		S&J: % citizens expressing confidence in capacity of police to prevent and control electoral violence (disaggregated)					
		% citizens who believe courts resolve electoral disputes fairly					
		% electoral appeals concluded by courts					
		# of internationally standardized electoral legal reforms implemented				Percentage of women and minorities surveyed that are aware of their rights under the new electoral administration laws.	
		Equity: % seats in parliament held by women					
		Ethnic or tribal profile of seats in parliament					
		Gender profile of parliamentary candidates					
	Output	Free & fair elections: Independent supervisory body in place - % electoral body staff trained to fulfill their specific role and responsibilities (disaggregated)		Number of reported irregularities (intimidation, corruption or arbitrary interference) with registration, maintenance and review of electoral rolls			
		# and % national election observers trained (disaggregated)				Percentage of electoral management office staff and volunteers trained in techniques to reduce voter fraud	
		Ratio national: international observers					
		National election plan completion rate					
		Participation: % target citizen awareness of electoral principles and procedures (disaggregated)					
		% population aware how to vote (disaggregated)					

		S&J: # incidents of political violence reported in national media (pre-election period; election day; post election period)					
		Equity: Gender profile of polling officials					
						<ul style="list-style-type: none"> • Percentage of electoral centers using multiple forms of voter identification measures • Number of centers that are headed by trained professional staff • Percentage of electoral management office staff who believe that their agency is more professional and better run than one year ago 	
						Level of progress made in drafting new policy	

Parliament Support

Ensure responsive, inclusive, participatory and representative decision-making at all levels (16.7.)

<p>Parliament Support Ensure responsive, inclusive, participatory and representative decision-making at all levels (16.7.)</p>	Outcome	<p>Access to: % lobby groups / CSOs/ media/ political parties stating they have accessed voting records / debate information / parliamentary information, including assets in the past 12 months</p>	<ul style="list-style-type: none"> • Proportion of non-governmental organizations, trade unions or other associations consulted about government decisions, strategies and policies in their sector 	<ul style="list-style-type: none"> • Turnout as a share of voting-age population in national election • Legislature conducts public hearings during budget cycle • Participation in political processes and civic engagement at local level • Percentage of population who believe decision-making at all levels is inclusive and responsive • Proportion of public funds allocated to public participation in decision making; Civil society organizations • Existence of constituencies (mechanisms or bodies) and enforcement agencies (e.g., youth, women, traditional leaders) to ensure consultative, bottom-up process of representation in decision-making; existence and enforcement of legislation for ensuring representation of specific groups • Proportion of non-governmental organizations, trade unions or other associations consulted about government decisions, strategies and policies in their sector 			EIU Democracy Index
		# parliamentarians who declare assets					
		Parliamentary effectiveness: % citizens satisfied with parliamentary performance (disaggregated)					

		Length of passage of legislative reform: <ul style="list-style-type: none"> # days from legislative submission to ratification # new legislative reform bills ratified in past twelve months 					
		Representation: % seats in Parliament held by women		<ul style="list-style-type: none"> Proportion of positions (by sex, disability, age and ethnicity) in public institutions (national and local legislatures, public services and judiciary) compared to national distributions Percentage of women heads of government departments Proportion of parliamentarians that are [independent/from opposition parties] 			
		Scrutiny quality: PEFA Indicator 27 (on annual budget law) PEFA Indicator 28 (on external audit reports)					
	Output	Access to Information: # lobby groups / CSOs /media/ political parties who know how to access voting records / debate information / parliamentary information, incl. assets					
		Parliamentary effectiveness: # parliamentarians trained (in what their role is and how to be effective) (disaggregated)					
		# parliamentarians trained (in budget procedures, including scrutinizing & monitoring)					
		# parliamentary assets technically trained (in scrutiny of budget, public funds, service delivery – including S&J sector)					

Tax / Revenue

Strengthen domestic resource mobilization, including through international support to developing countries,
to improve domestic capacity for tax and other revenue collection (17.1)

<p>Tax / Revenue Strengthen domestic resource mobilization, including through international support to developing countries, to improve domestic capacity for tax and other revenue collection (17.1)</p>	Outcome	<p>Level of uniformity of tax collection: PEFA Indicator 15</p>	Proportion of domestic budget funded by domestic tax		<ul style="list-style-type: none"> • Tax revenue (% of GDP) • Tax revenue (current LCU) 			
		Where no PEFA, then indicators might include: % of tax arrears at start of fiscal year which was collected during the fiscal year (average of the last two fiscal years)						
		Frequency of transfer of the tax revenues to the Treasury (daily, weekly, monthly, or longer)						
		Frequency of complete reconciliation of tax assessments, collections, arrears and transfers to Treasury						
		% citizens aware importance of taxation: PEFA Indicator 13						
		Where no PEFA, then indicators might include: 7 Rating of clarity and comprehensiveness of tax liabilities (desk/ expert review)						
		Rating of taxpayer access to information on tax liabilities and administrative procedures (desk/ expert review)						
		Rating of functional tax appeals mechanism (desk/ expert review)						
		% increase in tax collection, by sector or local government (Tax collection rate)						
		Tax in arrears as proportion of tax collected						
		% business satisfaction with tax system						
		% citizens stating complaints system is effective						
Approval of key legislative changes								

	<u>Output</u>	Complaints system in place					
		Development of key legislative changes (Tax legislation)					
		Rating based on functional reviews of tax authority and tax offices (Organizational reform & capacity building)					
		% increase in number of registered taxpayers (Taxpayer identification and registration)					
		Higher proportion of actual collection from detected revenue in tax evasion cases (Tax enforcement)					
		Average number of days to complete administrative appeals process (Efficiency measure of appeals system)					
		Functional internal audit and inspection system - expert/ desk review (Audit and inspection)					
		Rating of transparency of procedures for tax collection (Tax compliance and liabilities)					

Corruption

By 2030, significantly reduce illicit financial and arms flows, strengthen the recovery and return of stolen assets and combat all forms of organized crime (16.4)

Substantially reduce corruption and bribery in all their forms (16.5)

<p style="text-align: center;">Corruption By 2030, significantly reduce illicit financial and arms flows, strengthen the recovery and return of stolen assets and combat all forms of organized crime (16.4)</p> <p style="text-align: center;">Substantially reduce corruption and bribery in all their forms (16.5)</p>	Outcome	% reported cases investigated by anti corruption body (domestic or international)	<ul style="list-style-type: none"> World Economic Forum Question: To what extent does organized crime (mafia-oriented racketeering, extortion) impose costs on businesses in your country? 	<ul style="list-style-type: none"> Total value of inward and outward illicit financial flows (in current United States dollars) Value of illicit production and trafficking of natural resources, as a total and as a percentage of GDP Value of illicit production and trafficking of drugs, as a total and as a percentage of GDP Global volume of money laundering Drug-related crime per 100,000 population 			
		% investigated cases that lead to prosecution (domestic or international)	<ul style="list-style-type: none"> Proportion of seized, found or surrendered arms whose illicit origin or context has been traced or established by a competent authority in line with international instruments 	Number of investigations and convictions against suspicious financial activity relating to organized crime, money laundering, bribery and corruption, and financing of terrorism			
		% targeted civil service staff that feel safe reporting a corruption case					
		% targeted citizens who believe government is committed to tackling corruption in public sector	.	<ul style="list-style-type: none"> Percentage of population who paid a bribe to a public official, or were asked for a bribe by these public officials, during the 	<ul style="list-style-type: none"> Bribery incidence (% of firms expecting at least one bribe) 		Transparency International, Global Corruption Barometer Survey Question: How effective do you think

				<ul style="list-style-type: none"> last 12 months Percentage of public officials who have been hired through formal and standardized procedure Rate of compliance with binding resultant judgments of bilateral and multilateral investment treaty disputes 	<ul style="list-style-type: none"> payment request) Firms expected to give gifts in meetings with tax officials (% of firms) 		<p>your government's actions are in the fight against corruption?</p> <p>Corruption Perception Index, Transparency International</p> <p>V-Dem index on corruption</p> <p>World Bank Doing Business project "Ease of Doing Business" aggregate annual score</p>
	% national budget dedicated to anti corruption body	<ul style="list-style-type: none"> Proportion of businesses that had at least one contact with a public official and that paid a bribe to a public official, or were asked for a bribe by those public officials during the previous 12 months 	<ul style="list-style-type: none"> Percentage of businesses that paid a bribe to a public official, or were asked for a bribe by these public officials, during the last 12 months 				
	% senior civil servants / parliamentarians / public office holders that declare assets according to regulations	Proportion of persons who had at least one contact with a public official and who paid a bribe to a public official, or were asked for a bribe by those public officials, during the previous 12 months					
	Output	# laws stating that corruption is a criminal offence					
		% citizens who are aware of their right to access to agency info (disaggregated)					
		% appointments to anti corruption body based on competency- based recruitment procedure					

Human Rights

By 2030, provide legal identity for all, including birth registration **(16.9)**

Ensure public access to information and protect fundamental freedoms, in accordance with national legislation and international agreements **(16.10)**

<p style="text-align: center;">Human Rights By 2030, provide legal identity for all, including birth registration (16.9)</p> <p>Ensure public access to information and protect fundamental freedoms, in accordance with national legislation and international agreements (16.10)</p>	Outcome	% Universal Periodic Review (UPR) recommendations implemented		<ul style="list-style-type: none"> • Proportion of children under 5 years of age whose births have been registered with a civil authority, by age • Percentage of budget, procurement and natural resource concessions publically available and easily accessible in open data forma • Existence of a fair, transparent and accessible process for obtaining legal identification exists • Population figures made publicly available and updated annually (underpinned by regular periodic population census) • Extent to which the rights to freedom of expression, association, peaceful assembly and access to information are guaranteed in law and practice • Monitoring the adoption and implementation of constitutional, statutory and/or policy guarantees and mechanisms for public access to information • Percentage of respondents saying that (No, A little, Enough, Too much) information is provided to citizens by the national government on government decisions • Proportion of people who perceive freedom of speech is granted in their country • Literacy rate of youth and adults, urban and rural literacy rate 	<ul style="list-style-type: none"> • Completeness of birth registration (%) • Completeness of birth registration, female (%) • Completeness of birth registration, male (%) • Completeness of birth registration, rural (%) • Completeness of birth registration, urban (%) 		
		Level of government accountability for service delivery: % targets achieved by human rights body					
		Issue profile of CSO human rights advocacy (civil, political, economic, social etc.)					
		Health, education, security as a % state budget					
		Health, education, security as a % household budget					

	Output	# CSOs (per 100,000 persons) involved in promotion / protection of right to X		Number of verified cases of killing, kidnapping, enforced disappearance, arbitrary detention and torture of journalists, associated media personnel, trade unionists and human rights advocates in the previous 12 months			
		% citizens who are aware government has legal obligation to provide basic education and other essential services for all (disaggregated)					
		% citizens who are aware government has legal obligation to protect them from violence and abuse (disaggregated)		Percentage of population who believes they can express political opinion without fear			
		# reported cases of domestic and/or sexual violence					

Empowerment & Accountability

Empowerment & Accountability	Outcome	# people supported to have choice and control over their own development and to hold decision-makers to account					
		PRSP = Pro Poor? / Participatory budgeting: % relevant CSOs stating they were consulted in PRSP / sector plan design / budget allocation (to an extent to which they are satisfied) (disaggregated)					
	Output	% targeted CSOs that confirm they can obtain specified information from key public agencies					
		# documented instances where PPAs are used in policy design					
		% proposals from consultations used in national strategy documentation (PRSP / budget [national and sub-national] / sector program)					
		% targeted CSOs document adequate consultation in the PRSP / sector planning / budget process					
		% sub-national expenditure covered by PETS					
		% of targeted CSOs undertaking budget tracking					
		% government expenditure online / in public libraries					
		% of all national statistical publications available online					

Media

Ensure public access to information and protect fundamental freedoms, in accordance with national legislation and international agreements (16.10)

<p style="text-align: center;">Media</p> <p>Ensure public access to information and protect fundamental freedoms, in accordance with national legislation and international agreements (16.10)</p>	Outcome	Quality media law / regulator		Media and Information (MIL) competencies			World Press Freedom Index, Reporters Without Borders
		% media owners satisfied with regulatory framework		<ul style="list-style-type: none"> • Numbers of websites blocked and of data users provided by Internet service providers on requests from governments • Number of Freedom of Information (FOI) requests per capita • Individuals using the Internet • Individuals owning a mobile phone 			
		% target population who use media as primary source of information (disaggregated)					
		% targeted citizens satisfied with media quality (disaggregated)					
		Gender profile of journalists employed in national media					
	Output	Media regulator capability rating					
		% journalists who are aware of their responsibilities for neutrality					
		# of newspapers, television, radio and internet channels, covering issues of inequality and discrimination among state and societal institutions					
		# newspapers, television and radio channels, covering corruption, electoral misconduct, political violence stories					

7.3 Theories of Change

Table 7: Comparison of the SDC's Indicators to the Theories of Change

SDC Indicators ⁵⁵	Theory of Change ⁵⁶
<p>Change of practice local governments yy local authorities informed zz citizens transparently, involving them in decision making processes and considering their interests in local development and budget plans. Among the local authorities, xyz take specific measures for balanced participation and consideration of interests of women and vulnerable groups. (ARI)</p>	<p>Decentralization <u>Output:</u> Promoting and facilitating public dialogue and debate during reform processes ➤ <u>Outcome:</u> Strengthening broad-based reform dialogue and protection of interests of subnational governments</p> <p>Local Governance <u>Output:</u> Strengthening confidence building by citizen participation in decision-making ➤ <u>Outcome:</u> Strengthening accountability relations between municipal authorities and citizens</p> <p><u>Output:</u> Promoting social audits, citizen score cards, public hearings or open budgeting, supporting specific programmes for the political empowerment of women and disadvantaged groups ➤ <u>Outcome:</u> Strengthening effective citizen participation and democratic accountability and oversight</p>
<p>Representation by parliament (national and subnational levels) Satisfaction of the population, including women and disadvantaged groups, that their interests are represented by parliament.</p>	<p>Democratization <u>Output:</u> Offering support to parliamentarians ➤ <u>Outcome:</u> Strengthening effective and representative parliament</p> <p><u>Output:</u> Assisting domestic election bodies, media, civil society, initiatives for civic education, public debates and the promotion of women's participation in elections ➤ <u>Outcome:</u> Strengthening transparent and inclusive elections</p>
<p>Effectiveness of civil society initiatives Number of well-founded, concerted requests or proposals by supported civil society organizations, citizens' initiatives or media to state authorities to contribute to public policy (e.g. laws, ordinances, strategies, plans, development projects, investments). This includes the number of proposals including the interests of women and disadvantaged population groups, and the number of initiatives which result in concrete measures being taken by state authorities.</p>	<p>Democratization <u>Output:</u> Supporting civil society organizations ➤ <u>Outcome:</u> Strengthening democratic accountability and oversight</p> <p><u>Output:</u> Assisting media, initiatives for civic education, public debates, initiatives, supporting people's organizational capacities and inclusive participation in public decision-making ➤ <u>Outcome:</u> Strengthening effective citizen participation</p> <p>Local Governance <u>Output:</u> Promoting social audits, citizen score cards, public hearings or open budgeting, supporting specific programmes for the political empowerment of women and disadvantaged groups ➤ <u>Outcome:</u> Strengthening effective citizen participation and democratic accountability and oversight</p>
<p>Democratic electoral processes Number and nature of contributions by supported actors (e.g. electoral commissions, civil society organizations and initiatives, media, security forces, political parties, local authorities, etc.) to the running of transparent, inclusive, non-violent elections and information on the population's confidence in elections and their participation (broken down by gender, disadvantaged population groups, age).</p>	<p>Democratization <u>Output:</u> Assisting domestic election bodies, media, civil society, initiatives ➤ <u>Outcome:</u> Strengthening transparent and inclusive elections</p> <p><u>Output:</u> Supporting and training media actors, designing new programs, connecting media assistance and establishment of strong media umbrella organizations ➤ <u>Outcome:</u> Strengthening an independent, pluralistic media, supporting the media in fulfilling its core functions</p> <p><u>Output:</u> Informing people about their entitlements and responsibilities, supporting people's organizational capacities and inclusive participation in public decision-making</p>

⁵⁵ SDC, 2016a.

⁵⁶ Theories of change developed by the author, based on SDC, 2016b.

	<p>➤ <u>Outcome</u>: Strengthening effective citizen participation</p>
<p>Access to Justice Measures taken by public and civil society actors which have improved public access to judicial procedures or alternative legal conciliation procedures and the share of the population, including women and disadvantaged groups making use of these opportunities.</p>	<p>Democratization <u>Output</u>: Supporting initiatives raising people’s awareness about legal rights and the provision of legal aid</p> <p>➤ <u>Outcome</u>: Strengthening independent, impartial and accessible justice</p>
<p>Effective and independent judicial authorities Institutional capacities of assisted judicial authorities and quality of their procedures measured against international minimum standards. Satisfaction of the population with their efficiency, independence and quality; (disaggregated by gender, disadvantaged population groups).</p>	<p>Democratization <u>Output</u>: Supporting the capacity-building of judges, notaries, lawyers and informal justice providers</p> <p>➤ <u>Outcome</u>: Strengthening independent, impartial and accessible justice</p>
<p>Improved budget resources local governments yy supported local authorities which have benefitted from increased budget resources: yy1 due to formula and rule based fiscal transfer schemes, yy2 due to local tax income and private investments. (ARI)</p>	<p>Decentralization <u>Output</u>: Providing access to information and technical advice, providing training and coaching to central government representatives, supporting national training systems</p> <p>➤ <u>Outcome</u>: Strengthening domestic capacities and initiative for designing and implementing decentralization reforms</p> <p><u>Output</u>: Assisting the design and co-financing of fiscal transfer schemes</p> <p>➤ <u>Outcome</u>: Strengthening adequate, predictable and transparent intergovernmental fiscal transfers</p> <p>Local Governance <u>Output</u>: Provision of “on-budget support”</p> <p>➤ <u>Outcome</u>: Strengthening revenue sources for local governments</p>
<p>Solid public financial management Number of governmental authorities at sub-national level with public administration (public revenue and expenditure management) practices in accordance with internationally recognized minimum standards.</p>	<p>Decentralization <u>Output</u>: Providing access to information and technical advice, providing training and coaching to central government representatives, supporting national training systems</p> <p>➤ <u>Outcome</u>: Strengthening domestic capacities and initiative for designing and implementing decentralization reforms</p> <p>Local Governance <u>Output</u>: Enhancing basic capacities of municipal staff in public planning, expenditure management and public works investment</p> <p>➤ <u>Outcome</u>: Strengthening inclusive provision of good-quality services and enabling conditions for local development, strengthening management capacities</p>
<p>Provision of high-quality public services Proportion of the population satisfied with the public services provided by supported state authorities (e.g. access, quality, affordability, price-performance ratio), disaggregated by gender and disadvantaged groups.</p>	<p>Decentralization <u>Output</u>: Providing access to information and technical advice, providing training and coaching to central government representatives, supporting national training systems</p> <p>➤ <u>Outcome</u>: Strengthening domestic capacities and initiative for designing and implementing decentralization reforms</p> <p>Local Governance <u>Output</u>: Enhancing basic capacities of municipal staff in public planning, expenditure management and public works investment</p> <p>➤ <u>Outcome</u>: Strengthening inclusive provision of good-quality services and enabling conditions for local development, strengthening management capacities, strengthening accountability relations between municipal authorities and citizens</p>
<p>Accountability Number of investigations, reports and debates (at different levels of government) by supported public supervisory bodies (e.g. parliaments, media, citizens' initiatives, NGOs, auditors, independent institutions), on performance assessment and control of government authorities. The number of corrective measures or sanctions following complaints.</p>	<p>Democratization <u>Output</u>: Establishing forums for public deliberations, assist parliamentary commissions, support civil society organizations,</p> <p>➤ <u>Outcome</u>: Strengthening democratic accountability and oversight</p> <p><u>Output</u>: Supporting and training media actors, designing new programs, connecting media assistance and establishment of strong media umbrella organizations</p> <p>➤ <u>Outcome</u>: Strengthening independent, pluralistic media, support the media in fulfilling its core functions</p> <p><u>Output</u>: Supporting different types of institutions</p>

	<ul style="list-style-type: none"> ➤ <u>Outcome</u>: Strengthening independent oversight bodies <p>Local Governance <u>Output</u>: Promoting social audits, citizen score cards, public hearings or open budgeting</p> <ul style="list-style-type: none"> ➤ <u>Outcome</u>: Strengthening effective citizen participation and democratic accountability and oversight
<p>Combating corruption Number of targeted measures to combat corruption by supported state or civil society actors (at different levels of government), and feedback from the population/civil society on the number of resolved corruption-related problems and corruption cases (broken down by men and women and disadvantaged population groups).</p>	<p>Democratization <u>Output</u>: Supporting the capacity-building of judges, notaries, lawyers and informal justice providers</p> <ul style="list-style-type: none"> ➤ <u>Outcome</u>: Strengthening independent, impartial and accessible justice <p><u>Output</u>: Supporting different types of institutions</p> <ul style="list-style-type: none"> ➤ <u>Outcome</u>: Strengthening independent oversight bodies <p>Local Governance <u>Output</u>: Promoting social audits, citizen score cards, public hearings or open budgeting</p> <ul style="list-style-type: none"> ➤ <u>Outcome</u>: Strengthening effective citizen participation and democratic accountability and oversight
<p>Participatory reforms Number of Swiss-supported legal bases, policies and reform programs for decentralization and enhanced local governance; proportion developed through broad-based consultations with relevant stakeholders.</p>	<p>Decentralization (all) Local Governance (all)</p>
<p>Efficiency in interactions between government authorities (vertical and horizontal) Contributions to established processes for improved coordination and cooperation between government authorities & and responsible public sector actors at different levels (e.g. rules defining responsibilities, support measures by central government, mutual coordination and consultation mechanisms, evidence of concerted action, etc.).</p>	<p>Decentralization <u>Output</u>: Providing access to information and technical advice, providing training and coaching to central government representatives, supporting national training systems</p> <ul style="list-style-type: none"> ➤ <u>Outcome</u>: Strengthening domestic capacities and initiative for designing and implementing decentralization reforms <p>Local Governance <u>Output</u>: Enhancing basic capacities of municipal staff in public planning, expenditure management and public works investment</p> <ul style="list-style-type: none"> ➤ <u>Outcome</u>: Strengthening inclusive provision of good-quality services and enabling conditions for local development, strengthening management capacities
<p>Natural Resource Governance Contribution to good natural resource governance on the basis of the Natural Resource Charter.</p>	/
<p>Global governance – SDG monitoring Evidence of support to national monitoring systems that measure the implementation of the SDGs in relation to Goal 16, 17.1 and the transversal integration of governance principles.</p>	/
<p>Policy coherence for development Illicit financial flows – capacities: yy governmental institutions and civil society organizations with strengthened capacities in preventing corruption, money laundering and tax evasion thanks to Swiss support. (ARI)</p>	<p>Democratization <u>Output</u>: Supporting the capacity-building of judges, notaries, lawyers and informal justice providers</p> <ul style="list-style-type: none"> ➤ <u>Outcome</u>: Strengthening independent, impartial and accessible justice <p><u>Output</u>: Supporting different types of institutions</p> <ul style="list-style-type: none"> ➤ <u>Outcome</u>: Strengthening independent oversight bodies <p>Decentralization <u>Output</u>: Assisting the design and co-financing of fiscal transfer schemes</p> <ul style="list-style-type: none"> ➤ <u>Outcome</u>: Strengthening adequate, predictable and transparent intergovernmental fiscal transfers
<p>Policy coherence for development Illicit financial flows – accountability: yy supported processes for increased accountability in the field of illicit financial flows. (ARI)</p>	<p>Local Governance <u>Output</u>: Enhancing basic capacities of municipal staff in public planning, expenditure management and public works investment, supporting confidence building by citizen participation in decision-making</p> <ul style="list-style-type: none"> ➤ <u>Outcome</u>: Strengthening accountability relations between municipal authorities and citizens <p><u>Output</u>: Promoting social audits, citizen score cards, public hearings or open budgeting</p> <ul style="list-style-type: none"> ➤ <u>Outcome</u>: Strengthening effective citizen participation and democratic accountability and oversight

Source: Own table based on SDC (2016a) and SDC (2016b)

7.4 Comparison of Selected Quality Criteria and SDC's Internal Quality Criteria

Table 8: Comparison of Selected Quality Criteria and SDC's Internal Quality Criteria

Selected Quality Criteria ⁵⁷	SDC's Internal Quality Criteria ⁵⁸	Conformity ⁵⁹
Differentiation (Output, Outcome and Impact)	Different definitions for output, outcome and impact	☑
Alignment of indicator with its target/goal	Implicitly required through the differentiation above	☑
SMART Criteria <ul style="list-style-type: none"> - Specific - Measurable - Attainable - Relevant - Time-Bound 	Not called SMART, but indirectly mentioned <ul style="list-style-type: none"> - Specific - Measurable - Attainable - Relevant - Time-Bound 	☑
Baseline data	Baseline defined before project/ program starts	☑
Combination of quantitative and qualitative indicators	Outcomes are defined as quantitative and qualitative changes	☑
Disaggregated data	<ul style="list-style-type: none"> - Gender - Marginalized/vulnerable population groups 	☑
	Impact Hypothesis/ Theory of Change	+
Indirectly included in SMART criteria	Limited Number of Key Indicators	☑
	Indicators cover several steps towards success	+
	Outreach for population indicators	+
	Quantitative changes and efficiency changes for organizational indicators	+
	Target values defined before intervention	+

Source: Own table.

⁵⁷ Theoretically deduced in chapter 2.2.

⁵⁸ Derived from the following documents provided by the SDC staff: SDC Logframe structure, SDCs How-to Note Impact Hypothesis, SDC Guidelines for Entry Proposals, SDC Guidelines for Credit Proposals and SDC Guidance for Progress Reporting by Partners.

⁵⁹ Author's assessment.