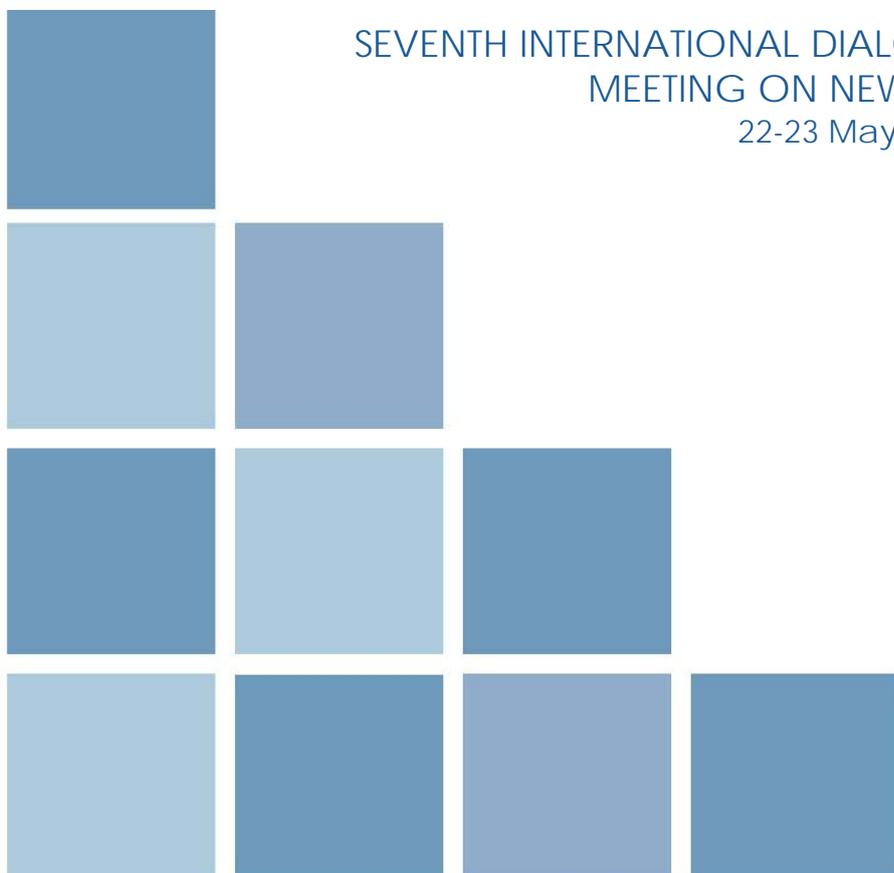


INTERNATIONAL **DIALOGUE**
ON PEACEBUILDING & STATEBUILDING

Guidance Note on New Deal Implementation

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A Guide to Implementing the **NEWDEAL**

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Annexes available from the ID Secretariat:

Annex 1: DRAFT Analytical framework for the fragility spectrum and PSG indicators

Annex 2: Parameters for selection of indicators

Introduction

The *New Deal for Engagement in Fragile States* is a framework for engaging in situations affected by conflict and fragility. It was developed through a consultative process and has undergone several revisions based on comments from International Dialogue members. It was finalised on the assumption that further revisions and updates might be required based on initial experiences and lessons learned during 2012.

The New Deal has been endorsed by over 40 countries and organisations since its presentation at the Fourth High-Level Forum on Aid Effectiveness in Busan at the end 2011. At the forum, seven g7+ countries agreed to pilot the New Deal.¹ Similarly, a number of development partners committed to support the pilots in specific countries. In June 2012, the UN Secretary General confirmed the UN's support for the implementation of the New Deal both at country- and global levels.

Since Busan, implementation has moved forward in different ways in each pilot country, and in other g7+ countries. Common challenges that have emerged include: *i)* generating broader government buy-in for the New Deal; *ii)* gathering the support of relevant international actors at country-level; and *iii)* tailoring the New Deal and its implementation to each country context. Simple tools to support the implementation of specific New Deal commitments are needed, and the Dialogue Implementation Working Group has been tasked to lead the process of identifying and developing these.

A reader's guide

This document provides a preliminary guide to support the country-level implementation of the New Deal. It includes select guidance material to help countries and in-country development actors understand how they should initiate New Deal implementation. Section I outlines the key entry points to start and/or advance New Deal implementation², while section II presents the key resources to support implementation, including draft agendas, mapping tools and basic guidance for selected New Deal elements. This guide will be complemented by a separate communication package – accessible at pbsbdialogue.org - with key messages that can be used to disseminate information locally.

Every context is different. The steps described in this guide should always be tailored to fit local needs and priorities. The purpose of this guide is to provide a flexible framework to facilitate more elaborated, context-specific planning.

¹ Afghanistan, Central African Republic, Democratic Republic of Congo, Liberia, Sierra Leone, South Sudan and Timor-Leste.

² This builds on the g7+ document called "First steps to initiate the New Deal", which was presented at the New Deal working group meeting in Copenhagen (March 2012) and on discussions at the working group meeting. It has been refined and finalised following feedback during the ID Steering Group meeting in Nairobi (June 2012). The document will remain a living document, and will be updated as needed based on experience sharing and lessons learned from implementation in the different pilot countries.

Section 1: What you can do to start and advance implementation

This section outlines possible entry points and relevant resources that can help country actors as they initiate and advance New Deal implementation at the country-level. Country contexts differ, and so the steps outlined below should be carefully understood based on the local situation and needs. They can be undertaken in a different order, tweaked to meet particular needs, and complemented with other initiatives, as necessary.

Regardless of the order and specific focus, implementation should be grounded in broader acceptance for the New Deal across governments, the establishment of appropriate co-ordination mechanisms to allow implementation, and discussions and agreement on how to move forward, including how existing initiatives fit with and support the New Deal.

Figure 1. Steps to implement the New Deal

The items listed in the gray boxes are recommended support documents for each of the four steps.



1. Build coalitions and support for New Deal implementation and identify appropriate local co-ordination structures

Initial outreach to a range of country-level stakeholders will ensure that individuals and organisations have a clear and unified understanding of the principles, implementation process and what can be achieved. Early support from key ministries across government will be critical to ensure implementation later on. This could be achieved through general awareness raising along with targeted cabinet or parliament briefings. Discussions should also be initiated with other local stakeholders, including civil society, the media, the private sector, local development partners and other organisations that can contribute to New Deal implementation. Development partners at headquarters should brief their colleagues working at country level on the New Deal and their specific country commitments.

A Task Force could be created to lead on New Deal Implementation. Its lead institution, membership and mandate should be agreed among key actors and endorsed by involved ministries. The composition will depend on the country context, but should ideally include the ministries most affected by the New Deal. Representation of key development partners, multilateral organisations, CSOs and other stakeholders should also be considered, in particular those development partners and organisations that have committed to support New Deal implementation in respective countries.

The Task Force should link and report to existing government co-ordination fora and mechanisms to avoid duplication. It could also be linked to existing government-development partner mechanisms as relevant.

One of the first concrete activities that could help to kick-start New Deal implementation is to carry out a fragility assessment as agreed in the New Deal. Should the Task Force decide to undertake such an assessment, it should designate a focal point that will have the responsibility for co-coordinating the fragility assessment process. The focal point will work with the full task force or a sub-set of task force members to conduct the assessment and identify indicators to measure progress against peacebuilding and statebuilding priorities.

Available support: A draft Terms of Reference for the Task Force and detailed guidance on how to plan a fragility assessment are included in Section II. The International Dialogue, through its New Deal implementation working group, could provide support as needed, including advising on the implementation process and fielding small teams of Dialogue members and technical experts to support and/or facilitate country-level discussions.

2. Organise a national workshop/discussion to kick-start and advance New Deal implementation (overall or in a specific area)

A key step to kick-start New Deal implementation and/or to advance it, is to organise a country level workshop. This can be organised by a “New Deal implementation task force” when one has been created, or as a step to establish this task force.

Depending on the country context and the stage of awareness and implementation of the New Deal, the workshop could:

- Provide space for an initial discussion and introduction of the New Deal and its content, principles and commitments amongst national and international actors. This could be complemented by an experience and lesson sharing exercise from similar efforts in other pilot countries.

- Provide an opportunity to launch a fragility assessment or to build awareness about its purpose and the process for undertaking such an assessment.
- Allow more detailed focus on one or more of the specific provisions in the New Deal. In countries with some degree of awareness of the New Deal, the workshop could be used to advance specific areas or commitment. For instance, a discussion could be organised to initiate discussions about the content and structure of a compact.
- In countries where key government officials and local development partners are already well aware of the New Deal, the workshop could be an opportunity to discuss existing implementation plans and to agree a strategy for how to implement the agreement.

Available support: The International Dialogue, through its New Deal implementation working group, could provide on-demand support to facilitate a national workshop. Section II of this guidance includes a model agenda for what a workshop might look like, and additional guidance for planning a fragility assessment. Section III includes some basic communication material that could be used to prepare the meeting.

3. Build on what is already happening: Map and build a baseline of existing initiatives in the PSG, FOCUS and TRUST areas, align new initiatives to the New Deal; and identify remaining gaps

Every country is different, and many areas of reform described in the New Deal are already underway in various guises in pilot countries. In order not to “reinvent the wheel” or create parallel or duplicate plans and structures, it is important to first establish a baseline of what is already happening in countries, what is planned and where the gaps are.

Key steps to build on existing work include:

- i. Establish a baseline by reviewing and mapping existing country plans (including PRSs and Aid Strategies and Development Plans), policies and activities by the government, development partners and other actors in each New Deal area.
- ii. Map existing analysis and assessments that have been conducted in areas of relevance to the PSGs and use them as basis to conduct a fragility assessment.
- iii. Align or re-brand new and existing initiatives to the New Deal. For example, if a new PRS is being drafted, work with the drafting team to ensure that the New Deal is used to frame and inform the document.
- iv. Identify which gaps must be addressed through new initiatives, in particular to develop “quick wins” that can demonstrate the impact of the New Deal in the short term.
- v. Review existing institutions and capacities, including aid tracking tools and dialogue fora, and identify how these could be used to promote implementation.

Available support: A draft matrix to map New Deal implementation within individual pilot countries and a baseline study of pilot countries’ status of New Deal commitments as of mid 2012 are included in Section II.

4. Agree and develop a New Deal implementation strategy

The next step to make the New Deal “Real” is to identify with your coalition of supporters on key areas of New Deal implementation and agree a strategy (with responsibilities, timeframes, and required support) and milestones to implement the New Deal.

The implementation plan will outline such issues as:

- Who should be responsible and involved?
- Which areas of the New Deal will be implemented in what order?
- What resources are required to advance the fragility assessment, develop or refine “one vision one plan”, monitor country-level progress, and ensure continued political dialogue (the FOCUS principles)?
- What is required to implement the TRUST commitments and to establish a compact?

Available support: Section II includes guidance on fragility assessments and compacts.

Section 2: Resources to support New Deal implementation

This section includes the main resources available to country level actors for each of the steps identified in Section I to start and/or advance New Deal implementation, including:

- i. An example agenda for a implementation workshop
- ii. A draft TOR for a New Deal implementation task force
- iii. A matrix to map New Deal implementation within individual pilot countries
- iv. A guidance note on compacts
- v. A matrix with the recommendations of the International Dialogue 2010-2011 Working Groups aligned to the New Deal
- vi. A guidance note on conducting fragility assessments (from the Indicators Working Group)

Additional resources may be made available to guide implementation in other areas of the New Deal, pending feedback from implementers and lesson sharing towards the end of 2012.

1. Model agenda for country-level New Deal implementation workshop

This template proposes a number of sessions that cover various levels and aspects of New Deal dissemination and implementation. The specific sessions, their focus and level will depend on the country context.

The timing attached to each session is also highly indicative, and the workshop could equally be run over several days to allow more detailed discussions of each item.

30 minutes	<p>Welcome and Opening remarks</p> <ul style="list-style-type: none"> ○ Welcome by high-level Government representative ○ Outline objectives of the workshop ○ Introductions
45 minutes	<p>Session 1: An overview of the New Deal for International Engagement in Fragile States</p> <ul style="list-style-type: none"> ○ Overview of the New Deal: background, key elements and commitments ○ Presentations of international experiences with New Deal implementation ○ Review of challenges and opportunities ○ Discussion <p><i>The scope of this session depends on the level of in-country knowledge of the New Deal. If the New Deal has already been disseminated, this session may focus on experiences with New Deal implementation.</i></p>
15 minutes	Coffee break
1 hour 45 minutes	<p>Session 2: Discuss roles and responsibilities for New Deal implementation</p> <ul style="list-style-type: none"> ○ Discuss and agree on overall roles and responsibilities for New Deal implementation ○ Set up task force for implementation <p><i>If a task force was established before the workshop, this session will focus on outlining other roles and responsibilities.</i></p>
1 hour 45 minutes	<p>Session 3: Establishing a baseline for implementation</p> <ul style="list-style-type: none"> ○ Presentation of current initiatives to promote the use of PSGs, FOCUS and TRUST ○ Reactions by three discussants representing different stakeholders (government, civil society, international community) ○ Identifying PSG, FOCUS and TRUST areas not covered by current policies and actions to be taken in these areas to deliver quick wins ○ Discussion
1 hour	Lunch break
1 hour 45 minutes	<p>Session 4: Establishing a baseline for implementation (continued)</p> <ul style="list-style-type: none"> ○ Review of existing institutions and capacities that can be used for implementation. ○ Discussion of two or more of the following questions in break out groups: <ol style="list-style-type: none"> 1) Given the country context, what are the priority areas for New Deal implementation? 2) What institutions and capacities can be used to advance New Deal implementation? 3) In which areas are new initiative required to take the New Deal forward? 4) What are the opportunities, challenges and risks associated with New Deal implementation? ○ Reporting back and discussion ○ Summary of key findings
1 hour 45 minutes	<p>Session 5: Develop an implementation strategy and agree on roles and responsibilities</p> <ul style="list-style-type: none"> ○ Based on the proceeding discussion, this session should identify ways forward and next steps to implement the New Deal, including the establishment of a task force and any other relevant mechanisms. It should also reach agreement on the roles and responsibilities of different actors in this process, and agree on next steps.
15 minutes	Conclusion and closing remarks by high-level government representative

2. Model TOR for country-level New Deal implementation Task Forces

Effective implementation of the New Deal at country-level requires significant effort and cross-government buy-in and co-operation. Initial outreach to a range of country-level stakeholders will ensure that individuals and organisations that can influence New Deal implementation are better informed of the principles and the implementation process and have the same understanding of what can be achieved. Support from key ministries across government must also be ensured early on. Such awareness-raising could be complemented by cabinet or parliament briefings to ensure that the process has buy-in from politicians. Discussions should also be initiated with other local actors, including civil society, the media, the private sector, local development partners and all other organisations that can contribute to New Deal implementation.

To encourage this type of outreach, information sharing, co-ordination and cross-government engagement, it is proposed that a National Task Force is established to manage and guide country-level work to support the implementation of the New Deal pilot. The following outlines a model TOR for the establishment and functions of this task force.

Aim and objective

The Task Force would bring together different parts of government in support of New Deal implementation, thus ensuring that national leadership and ownership is maintained from the outset. The aim would be to ensure that the New Deal is disseminated and understood; that an implementation strategy is developed and agreed with all stakeholders; and that the strategy itself is implemented.

Participation

The Task Force's lead institution, membership and mandate should be agreed among key actors and endorsed by involved ministries. The composition will depend on country context, but should ideally include the ministries most affected by the New Deal (*e.g.* economic affairs, planning, foreign affairs, finance). Representation of key development partners, multilateral organisations, CSOs and other stakeholders should also be considered, in particular those development partners and organisations that have committed to support New Deal implementation in respective countries.

Functions

The Task Force will be responsible for advancing all aspects of New Deal implementation. In keeping with the spirit of the New Deal, these functions should be revisited on a regular basis and, if necessary, recalibrated to address the changing situation. Initial functions may include:

- Organise a national workshop to agree on priority areas and next steps among all stakeholders.
- Plan and oversee work to: *a)* map and build a baseline of existing initiatives in the PSG, FOCUS and TRUST areas; *b)* align new initiatives to the New Deal; *c)* identify remaining gaps; *d)* set priorities and goals; and *e)* devise a plan to deliver them.
- Support and oversee concrete implementation.
- Monitor progress and feed into peer learning tools and the International Dialogue's implementation matrix.
- Ensure communication and information-sharing throughout the implementation process.

The Task Force could report to existing government-donor co-ordination fora or other mechanisms, depending on the context and existing institutional arrangements.

How can the Task Force be established?

Ideally, the Task Force will have a mandate from the highest levels of government. National leadership in this regard is of fundamental importance. Beyond strong commitments from political leaders, it is also critical that message reaches all parts of government, especially the relevant ministries—from the Ministers themselves down to directors and managers. All parts of government should be aware of the New Deal, and the support given by government leaders to the Task Force in order to ensure effective implementation of the New Deal. The Task Force could also benefit from an official mandate, depending on common practice in the particular country.

In order to avoid duplication, ways to build on existing government-donor co-ordination mechanisms should be explored. The Task Force could be linked to existing government-wide co-ordination mechanisms and/or existing government-donor fora.

3. Matrix to map country-level New Deal implementation

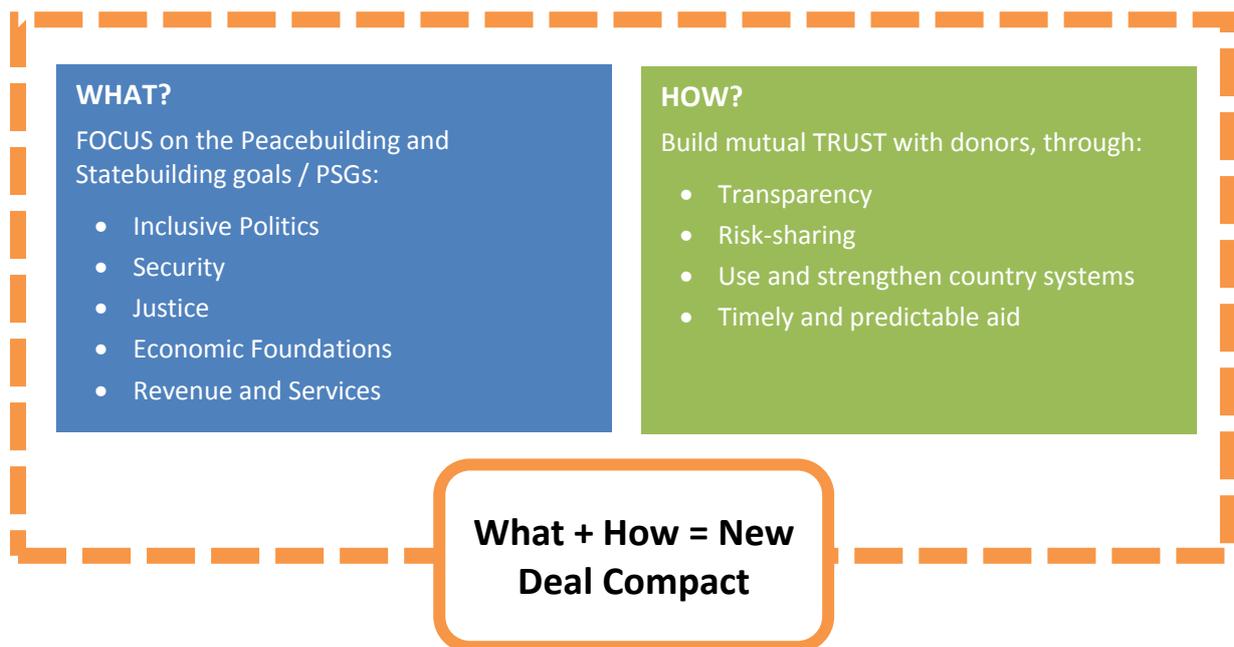
		REVIEW <i>What are the main existing policies and initiatives?</i>	IDENTIFY GAPS <i>Which areas are poorly addressed?</i>	SET GOALS <i>How to fill gaps? What quick wins exist?</i>	PROGRESS <i>with implementation</i>
PSGs	Inclusive Politics				
	Security				
	Justice				
	Economic Foundations				
	Revenue and Services				
FOCUS	Fragility assessment				
	One Vision One plan				
	Compact				
	Use PSGs to monitor				
	Support political dialogue				
TRUST	Transparency				
	Risk-sharing				
	Use and strengthen country systems				
	Strengthen capacity				
	Timely and predictable aid				

4. A basic guide to compact implementation³

This guide aims to support the design and implementation of a country compact, as defined in the New Deal.

The New Deal and compacts: The New Deal commits partners to use a country-specific compact in support of country-owned and led pathways out of conflict and fragility. A compact is a flexible framework that “can take different forms at different points in transition out of fragility, [...] ensure harmonisation and donor co-ordination, [...] guide the choice of aid modalities” and allow resources to be aligned to national priorities.⁴ In essence, a compact is a mechanism that allows national and international partners to focus on the most critical areas where joint effort is required whilst providing a mechanism that can build mutual trust and accountability. A compact should be designed and tailored to the country context and grounded in a commitment to deliver on the PSGs.

Compact as a mechanism to implement FOCUS and TRUST: A compact is a mechanism to implement and deliver on the FOCUS and TRUST commitments in the New Deal, specifically the One Vision, One Plan. It should be understood as a basic agreement between national and international partners on the “WHAT”, i.e. the main peacebuilding and statebuilding priorities to be addressed, identified by applying the FOCUS principles, the “HOW”, i.e. how to deliver on these in ways that build mutual trust and accountability among partners (TRUST commitments), and how the “WHAT” and the “HOW” link together.



³ This note draws on the recommendations of the Dialogue 2010-2011 working groups (i.e. the working group on planning and aid instruments), the work produced by the g7+ Secretariat (including the g7+ document on using the New Deal elements to design and implement a strategy to transition out of conflict and fragility (i.e. “A Peacebuilding and Statebuilding Roadmap”), the OECD Guidance on transition financing, and the lessons identified in the IPI study on compacts.

⁴ See compact definition in New Deal, Section 2, paragraph 4

Steps to agree and implement a compact:

1. Identify the “WHAT”: using the FOCUS principles, including a fragility assessment based on the fragility spectrum, identify and agree on the key peacebuilding and statebuilding priorities that require urgent and joint attention. Use the PSG indicator menus to set targets for these. Joint risk assessments, are also useful tools to identify key peacebuilding and statebuilding priorities.
2. Agree on the “HOW”: using the TRUST commitments, identify a strategy for how the peacebuilding and statebuilding priorities would be supported through a combination of national and international resources. Select specific instruments that could be used to deliver, build trust and avoid duplication/fragmentation.
3. Monitor to ensure relevance: a compact should include or be linked to a country-level mechanism to monitor the implementation of the New Deal commitments.

Structure and participation

National and international partners need to agree on the most appropriate structure of a compact based on the country context. Ideally a compact would not duplicate other aid co-ordination structures and mechanisms. To ensure continued relevance a compact will “draw upon a broad range of views from multiple stakeholders and the public, and be reviewed annually through a multi-stakeholder review”.⁵ Participants should agree among themselves on individual roles and responsibilities and on the commitments that they sign up to when joining.

Key lessons to keep in mind

Recent reviews of international experiences with compacts suggest that the following factors have helped make compacts successful:

- **Timing:** A compact is likely to be more effective if pursued when basic security is in place and when they operate on short timeframes.
- **Mutual commitment:** When national and international partners are committed to achieving shared goals there will likely be more understanding of risks and challenges and a more honest dialogue about how to overcome these and build trust and accountability.
- **Explicit prioritisation:** Agreement on a small number of key, high-level peacebuilding and statebuilding priorities allow more targeted focus and improve chances of success.
- **Link priorities to financing:** Through a transparent overview of resources, compacts have a better chance of identifying gaps and guiding the choice of delivery channels.
- **Focused participation:** A key factor will be to identify who should be involved from the outset, and who could be brought into the mix once the compact is already in place.
- **Flexibility:** A compact should be light on formalistic agreements and up-front negotiations and should focus on main lines of accountability to allow them to evolve over time and develop with the context.

⁵ Ibid

Some questions for consideration when establishing a compact

- Who should be involved in designing the compact?
- What capacities and systems already exist in the country that can be built on for compact design and management?
- What are the most urgent areas of capacity support required for the compact to perform its intended functions?
- What priorities should the compact focus on and what existing plans and assessments can these be drawn from?
- What funding sources and levels exist to deliver on these priorities? Are resources sufficient to meet agreed priorities?
- How can the responsibilities and relationships between different actors be identified and clarified?

For further reference

International Dialogue 2010-2011 working groups recommendations on planning and aid instruments; g7+ Secretariat Note on New Deal Implementation (RD4 presented in Copenhagen, March 2012); IPI study on compacts; OECD Guidance on transition financing; PBSO study.

- International Dialogue 2010-2011 working groups recommendations on planning and aid instruments
- g7+ Secretariat Note on New Deal Implementation (RD4 presented in Copenhagen, March 2012)
- IPI study on compacts – www.ipacademy.org/publication/meeting-notes/detail/357-transition-compacts-lessons-from-un-experiences.html
- OECD Guidance on transition financing - www.oecd.org/dac/conflictandfragility/rethinkingpolicychangingpracticelinedacguidelinesonpost-conflicttransition.htm

5. Summary of main recommendations on key areas of the New Deal from the 2010-11 Working Groups

PSGs	Inclusive Politics	In fragile situations, trust in state institutions and among people tends to be weak. Peacefully managing conflict and (re)building the state require an increasingly inclusive political settlement, able leadership and political institutions that ensure accountability and provide opportunities for participation of all key groups. An engaged public and civil society which constructively participates in and monitors decision-making is important to ensuring accountability. Conflict legacies and the risk of future tensions make it critical to build processes for reconciliation and conflict resolution at all levels. (Monrovia Roadmap, Annex I) INDICATORS ⁶
	Security	Without security for citizens there can be little development. The challenge is to improve the behaviour, effectiveness and accountability of security actors, whether formal or informal, in response to citizens' rights and needs. Particular attention needs to be paid to vulnerable groups, especially women and children. The participation of communities and civil society groups can make security provision more effective and more accountable. (Monrovia Roadmap, Annex I) INDICATORS
	Justice	Addressing grievances and deeply-felt injustice is essential. Formal justice mechanisms must be accessible, affordable and seen as fair by citizens. Where feasible, traditional non-state and informal means for dispute resolution and adjudication should be strengthened and gradually aligned with international human rights standards. (Monrovia Roadmap, Annex I) INDICATORS
	Economic Foundations	Employment gives people a sense of self-worth and the means to start shaping their future. Employment can reduce participation in violence and conflict. The challenge is to generate income opportunities fast enough, including for groups previously marginalised, and youth. Within fragile states, priority needs to be given to labor-intensive public and community works, increased agricultural productivity and domestic private sector development. (Monrovia Roadmap, Annex I) INDICATORS
	Revenue and Services	The ability to raise, prioritise and manage resources to finance more equitable delivery of basic social services is critical in fragile countries. The state must gradually ensure access to these services to all key groups in society, including the most vulnerable and marginalised. It is important for the state to lead in setting the framework and co-ordinating the delivery of services, including by non-state providers. Gradually building a sound and transparent system of public financial management will be essential to instil confidence in citizens to pay their taxes, in development partners to contribute aid and in businesses to invest. Of equal importance is donor transparency about their financial contributions. In countries where natural resource management is a particular challenge, it is critical that resource revenues are managed transparently and benefit society. (Monrovia Roadmap, Annex I) INDICATORS

⁶ The indicators will be added at a later date.

FOCUS	Fragility assessment	<ul style="list-style-type: none"> • Identify and agree on the most appropriate and co-ordinated mix of instruments (domestic and foreign) required to meet country-specific priorities, based on specific fragility context (working group on aid instruments) <ul style="list-style-type: none"> ○ National partners should develop a fragility assessment and related indicators (Fragility Index) to identify the level and underlying causes of fragility in individual countries, in consultation with their own citizens. International partners should agree to use this index as a basis for agreeing on the right mix of instruments that would address the causes of fragility. National partners and international partners should recognise that the mix needs to include appropriate levels of direct support through civil society organisations and humanitarian instruments. (Monrovia Roadmap, Annex I)
	One Vision One plan	<ul style="list-style-type: none"> • Develop one national plan, underpinned by a shared a national vision, that speaks to the national context, and is domestically led (working group on planning) <ul style="list-style-type: none"> ○ National partners should commit to develop one national plan, and - as appropriate - local level plans, that addresses the peacebuilding and statebuilding priorities identified through the national assessment of fragility and the consensus developed through the political dialogue. International partners should commit to realign their engagement in support to these priorities. National and international partners should commit to use national institutions and capacities at all stages of the planning and implementation process and to refer to existing guidance and planning tools as appropriate to the context. ○ Plans should be informed by an understanding of blockages and incentives for the implementation of peacebuilding and statebuilding priorities and must address them. ○ Planning processes should take political cycles into consideration when designing planning processes. • Ensure national plans balance and prioritise among peacebuilding, statebuilding and development objectives (working group on planning) <ul style="list-style-type: none"> ○ National partners should commit to develop, and international partners commit to support, flexible plans that are adaptable to the changing contexts. These could include planning processes that allow for short-term plans to deliver quick results, particularly if there is insufficient political consensus and to move to longer-term plans, as opportunities arise and depending on the existing level of consensus. ○ National partners should reassess the assumptions and conditions that form the basis for the plan and the sequencing of interventions periodically, including through the use of risk assessments. • Support greater coherence between domestic resources and aid (working group on aid instruments) <ul style="list-style-type: none"> ○ National partners should identify the best national co-ordination units to manage aid. International partners should agree to support and finance the establishment of such mechanisms. National and international partners should agree on the most appropriate financing mechanisms to link domestic resources and international aid, including multi-donor trust funds, and to undertake regular reviews of these to ensure their continued effectiveness. International partners should use pooled funding mechanisms. Smaller partners (e.g. not among those providing 80% of the assistance to a country) should channel assistance through pooled funds and multilateral organisations to decrease transaction costs and to avoid fragmentation. • Invest in monitoring, information gathering and dissemination (working group on planning) <ul style="list-style-type: none"> ○ National and international partners should commit to invest in building capacities and systems for monitoring implementation and results. In the short term they should invest in surveys that can deliver data quickly, that can assess process, and can build public confidence (including service delivery surveys, quick appraisals, surveys on perception of government legitimacy and trust). At the same time they should invest in building long-term statistical capacity. International partners should commit to support these investments.
	Compact	See above
	Use PSGs to monitor	N.A.

	Support political dialogue	<ul style="list-style-type: none"> • Create political space for peaceful dialogue (working group on political dialogue) <p>National partners should commit to create and maintain legitimate and inclusive spaces for peaceful dialogue, and dedicated capacities for conflict management, with the aim of building confidence and addressing conflicting or diverging priorities. National partners should do so on the basis of the preconditions for successful dialogue: adequate preparation, credible facilitation, sufficient political commitment, collective leadership capability and adequate inclusion. International partners (including regional and international organisations) should commit to increasing their long-term investment in dialogue and mediation.</p> <p>To this end, national partners should undertake the actions below. International partners will make long-term investments in time and resources to support them:</p> <ul style="list-style-type: none"> ○ Build and strengthen inclusive, transparent and legitimate institutions for governance, and internal capacities to mediate disputes and build peace that are context and culturally specific. This will be done at the national and local levels, and over the long term so as to allow continuous and effective dialogue. ○ Invest in programs that enhance the capacity of leaders at all levels, including the younger generation and women, for collaboration and for nation building. ○ Participate in, and peer review, electoral processes in other conflict affected and fragile countries to share experiences on how to maintain space for peaceful dialogue during critical periods. <ul style="list-style-type: none"> • Use successful conflict management methods for ‘best-fit’ approaches to dialogue (working group on political dialogue) <p>National partners should commit to use formal and informal conflict management methods that have been successful, paying due attention to the conditions under which this was the case, for ‘best-fit’ approaches to dialogue.</p> <p>To this end, the national partners should undertake the actions below. International partners should make long-term investments in time and resources to support them:</p> <ul style="list-style-type: none"> ○ Institutionalise specialised dialogue support at the international, national and local level, including within civil society, to deepen knowledge, skills and capacity. ○ Investigate whether a list of eminent persons should be established to support conflict management efforts, possibly as part of existing mechanisms. <ul style="list-style-type: none"> • Implement the results of political dialogue (working group on political dialogue) <p>National partners should commit to implement agreements that are the results of political dialogue processes as transparently and as fully as possible, recognising that implementation requires the continuation of dialogue, time and will generate new challenges.</p> <p>To this end, national partners should undertake the actions below. International partners should make long-term investments in time and resources to support them:</p> <ul style="list-style-type: none"> ○ Validate dialogue results as broadly and publicly as possible to confirm societal approval. ○ Ensure that agreements include provision(s) for procedures or institutions to monitor and evaluate implementation at the national and local level, including a significant role for civil society organisations. ○ Ensure that agreements include provision(s) for procedures or institutions to facilitate further dialogue. <ul style="list-style-type: none"> • Support greater coherence between domestic resources and aid (working group on aid instruments) ○ National partners should identify the best national co-ordination units to manage aid. International partners should agree to support and finance the establishment of such mechanisms. National and international partners should agree on the most appropriate financing mechanisms to link domestic resources and international aid, including multi-donor trust funds, and to undertake regular reviews of these to ensure their continued effectiveness. International partners should use pooled funding mechanisms. Smaller partners (e.g. not among those providing 80% of the assistance to a country) should channel assistance through pooled funds and multilateral organisations to decrease transaction costs and to avoid fragmentation.
TRUST	Transparency	<ul style="list-style-type: none"> • Be transparent about aid allocations to ensure alignment with country priorities (Aid Instruments WG) ○ National partners should publish domestic resource allocations and remaining financing gaps based on identified priorities, as well as budget data for the previous 5-10 years. National and international partners should request the International Aid Transparency Initiative (IATI) to prioritise support to fragile states to convert IATI data into local budget compatible data. International partners should be transparent about how official development assistance (ODA) – including humanitarian aid - is used to address country priorities and the reasons where this is not the case. All financing that address national identified peacebuilding and statebuilding priorities – included non aid flows such as military support – should be reported on and published locally in time for the budget and in the same format as the budget.

TRUST	Risk-sharing	<ul style="list-style-type: none"> • Manage risks associated with aid delivery in fragile states (Aid Instruments WG) <ul style="list-style-type: none"> ○ National partners should accept the need for stricter accountability and reporting requirements in fragile states and agree to prioritise efforts that can decrease these risks. International partners should undertake joint assessments of risks, share these with national governments, and take steps towards more joint risk management – recognising that risks are bigger to individual development partners than to a collective group. National partners should undertake a regular review of the effectiveness of different aid instruments, and should consider risk management as an important element in this. National partners and international partners should promote change to multilateral procedures to enable more collective and calculated risk taking and management. This could include reform of procurement procedures to enable more use of national procedures and systems. • Agree on a mechanism at country level to enable stronger partnership between national and international partners, to strengthen mutual accountability and the alignment of resources to national plans and priorities (Planning and Aid Instruments working groups) <ul style="list-style-type: none"> ○ National and international partners should establish a mutual agreement in-country, under the leadership of national actors to take their common agenda forward. This agreement should to be based on commitments from national and international partners and should reflect the agreement between citizens and the state. It should focus explicitly on identifying and delivering results, identifying the right mix of instrument and aligning resources to national priorities, building country capacities and systems, and on approaches that enable collective identification and management of risks. ○ As part of this agreement, the national partners should commission annual independent reviews of international performance in their countries and link renegotiation of partnership of the compact to results and findings of the reviews. ○ International partners should engage in this mutual accountability arrangement and contribute up to 5% of their overall aid to a joint government-donor Accountability Fund, which could be used to operate the agreement and related co-ordination mechanisms.
	Use and strengthen country systems	<ul style="list-style-type: none"> • Support greater coherence between domestic resources and aid (Aid Instruments working group) <ul style="list-style-type: none"> ○ National partners should identify the best national co-ordination units to manage aid. International partners should agree to support and finance the establishment of such mechanisms. National and international partners should agree on the most appropriate financing mechanisms to link domestic resources and international aid, including multi-donor trust funds, and to undertake regular reviews of these to ensure their continued effectiveness. International partners should use pooled funding mechanisms. Smaller partners (e.g. not among those providing 80% of the assistance to a country) should channel assistance through pooled funds and multilateral organisations to decrease transaction costs and to avoid fragmentation. • Use joint oversight mechanisms to strengthen country systems and to link aid with national budget and priorities (Aid Instruments working group) <ul style="list-style-type: none"> ○ National partners should identify instruments best suited for providing aid through government systems, including to provide immediate support for recurrent costs (including pooled funds). National and international partners should agree on level of additional safeguards and joint oversight required. International partners should provide support to establish joint oversight, including through capacity development efforts and agree to use the joint oversight mechanism for the majority of bilateral funding. • Agree on a mechanism at country level to enable stronger partnership between national and international partners, to strengthen mutual accountability and the alignment of resources to national plans and priorities (Planning and Aid Instruments working group) <ul style="list-style-type: none"> ○ National and international partners should establish a mutual agreement in-country, under the leadership of national actors to take their common agenda forward. This agreement should to be based on commitments from national and international partners and should reflect the agreement between citizens and the state. It should focus explicitly on identifying and delivering results, identifying the right mix of instrument and aligning resources to national priorities, building country capacities and systems, and on approaches that enable collective identification and management of risks. ○ As part of this agreement, the national partners should commission annual independent reviews of international performance in their countries and link renegotiation of partnership of the compact to results and findings of the reviews. ○ International partners should engage in this mutual accountability arrangement and contribute up to 5% of their overall aid to a joint government-donor Accountability Fund, which could be used to operate the agreement and related co-ordination mechanisms.

TRUST

Strengthen capacity

- Shape and endorse at the highest possible level the ground rules between key national and international partners on best approaches to capacity development (Capacity Development WG)
 - National and international partners should agree on capacity development approaches that build on existing capacities, and design initiatives that reflect ‘emergent’, or gradual, approaches with a clear results-orientation.
 - National and international partners should agree on a Code of Conduct, to shape a joint agreement, including with civil society, on the approach to supporting capacity development. This should clarify the role of technical co-operation in support of capacity development, as well as other forms of capacity development support, and explain the role of the respective partners in mobilising and managing such support.
 - A mechanism for a regular joint monitoring of these ground rules and progress in the achievement of capacity development results should be set up. Such a dialogue and monitoring should include civil society actors as well as providers of technical co-operation personnel where relevant.
- Use a variety of approaches to support capacity development and to mobilise expertise to fill temporary capacity gaps, starting with local and regional resources (Capacity Development WG)
 - National and international partners should identify possible alternative approaches to support capacity development, beyond the mobilisation of technical co-operation and expertise, including, outsourcing and public-private-partnerships, mobilisation of civil society organisations, research institutes, the media or community involvement. Ad hoc trainings should be replaced with longer term on the job training using “collaborative work-training methods” such as twinning arrangements, peer assistance and job-sharing and based on a wider capacity development strategy.
 - National and international partners should prioritise local and regional expertise, including national young graduates and experts from the Diaspora, placing a particular focus on women. International and senior long-term consultants should be considered only for critical high-level positions to reduce the potential negative impact of their high cost. International technical co-operation positions for gap-filling should be individually approved by government and development partners, overall numbers should be monitored by government and they report to national authorities, and not to international partners.
- Improve the co-ordination of capacity development support through the increased use of pooled funding mechanisms and by strengthening national capacity to manage such support (Capacity Development WG)
 - International partners should increase the proportion of capacity development support, including technical co-operation personnel, which is funded through pooled and flexible funding mechanisms. A lead capacity development donor/agency should be identified per sector to act as the main focal point for high-level dialogue with government and to identify technical co-operation priorities and technical co-operation personnel.
 - International partners should support the building of systems that allow national governments to manage and monitor the performance of capacity development support, with a particular focus on technical co-operation, ideally through country systems. Where such is not possible, co-management and co-monitoring arrangements with external partners should be applied. For the procurement of technical co-operation, the capacity of national partners to apply international procurement standards should be strengthened.
 - Sector/theme level dialogue should be set up between national and international partners about technical co-operation support and ways to harmonise and align it.
- Eliminate implementation arrangements that work in parallel to national systems (Capacity Development WG)
 - National and international partners should agree to reduce Project Implementation Units (PIUs) or project entities to one PIU that is managed under the leadership of the appropriate institution and is aligned with government structures and procedures. All other PIUs should be phased out gradually.
 - Ensure that parallel arrangements that are considered indispensable for strategic reasons have a clear strategy to exit, or approach to gradually align with government structures and procedures to avoid that the authority of line managers and agencies outside ministries is undermined. Apply “shadow alignment” approaches to the extent this is possible.
- Reduce distortions in national salary structures caused by non-harmonised pay practices (Capacity Development WG)
 - Salary top ups for civil servants should only be paid to entire ministries and through the government budget or through pooled funds/Multi Donor Trust Funds. Parallel top-up payments by development partners should be phased out. Top up levels should be agreed with the appropriate public authority, e.g. civil service commission.
 - National and international partners should agree on key steps to establish a unified remuneration package for national expertise/ contractors (including pay, fringe benefits, etc.) for national experts, national advisors and members of the Diaspora working in government institutions as well as development agencies. This pay scale should be gradually aligned with pay reforms in the civil service.
- Improve the quality of technical assistance personnel and allow for a more flexible mobilisation of capacity development support (Capacity Development WG)
 - International partners, in agreement with the government, should mobilise international technical assistance personnel for strategically relevant tasks.
 - National and international partners should review and adapt procedures and regulations for the mobilisation of capacity development support so as to allow for more flexibility in identifying and recruiting adequate expertise, in particular from the South, and to allow for country partners to take the lead in supervising, managing and assessing the support.
 - Knowledge sharing and learning mechanisms on positive capacity development experiences should be promoted.

TRUST	Timely and predictable aid	<p>RECOMMENDATIONS FROM THE INTERNATIONAL DIALOGUE WORKING GROUP (2010-2011)</p> <ul style="list-style-type: none"> • Adopt policies and procedures to increase the speed and flexibility of aid to fragile states (Aid Instruments WG) <ul style="list-style-type: none"> ○ Members of the International Dialogue should identify a group of fragile states where the risks of the return to conflict are so high and the needs for rapid development are so great that exemptions to normal aid regulations/practices should be accepted. International partners should allow their emergency financial management and procurement procedures to be used in this group of fragile states during the first ten years. These experiences should be monitored and the evidence used to help international partners adapt their rules and regulations for engagement in fragile states. • Agree on a mechanism at country level to enable stronger partnership between national and international partners, to strengthen mutual accountability and the alignment of resources to national plans and priorities (Planning and Aid Instruments WG) <ul style="list-style-type: none"> ○ National and international partners should establish a mutual agreement in-country, under the leadership of national actors to take their common agenda forward. This agreement should to be based on commitments from national and international partners and should reflect the agreement between citizens and the state. It should focus explicitly on identifying and delivering results, identifying the right mix of instrument and aligning resources to national priorities, building country capacities and systems, and on approaches that enable collective identification and management of risks. ○ As part of this agreement, the national partners should commission annual independent reviews of international performance in their countries and link renegotiation of partnership of the compact to results and findings of the reviews. ○ International partners should engage in this mutual accountability arrangement and contribute up to 5% of their overall aid to a joint government-donor Accountability Fund, which could be used to operate the agreement and related co-ordination mechanisms.
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6. Piloting the Fragility Spectrum and identifying country-specific peacebuilding and statebuilding indicators - Interim Guidance Note

The purpose of this note is to provide guidance to g7+ countries on how to pilot the fragility assessment and draft fragility spectrum in their respective countries. It also proposes a method for developing a list of country-specific indicators. This note is meant as a guide which will need to be adapted to the specific country context and the particularities of the national strategic planning process. It is important that the fragility assessment is not undertaken in isolation, but that it informs and connects to the national planning process and broader efforts for New Deal implementation.

Introduction

The fragility assessment is carried out by key national stakeholders to identify the causes, features and drivers of fragility and conflict and the sources of resilience within a country. The fragility spectrum is an innovative tool, currently being developed by the g7+, which will allow g7+ member states to situate themselves across various stages of fragility through a process of self-assessment, which is validated through broad stakeholder participation. It therefore forms an integral part of the fragility assessment. The fragility assessment process and the fragility spectrum tool in particular are intended to enable constructive and forward-looking dialogue among key stakeholders, to inform the development of national strategic plans and to set realistic peacebuilding and statebuilding priorities which address the causes and drivers of fragility and conflict. This process includes the development of a list of country-specific indicators that will help national stakeholders to monitor and evaluate progress towards achieving these priorities over time and in transitioning out of fragility.

The piloting phase

The piloting phase runs from June to end of August 2012. Pilot countries will be required to finalise the process by 1 September. It is expected that pilot countries will produce three deliverables undertake their own assessment of fragility and use the fragility spectrum to produce country level descriptors that outline the different levels of fragility;

1. A fragility assessment report including a filled out fragility spectrum that diagnoses where the country is presently situated with respect to each PSG goal;
2. A list of country-specific indicators for the PSGs, including pre-requisites for data collection and the successful use of these indicators for monitoring purposes;
3. A short report documenting the overall process and identify the lessons learned

The results and experiences of the piloting process will be used to finalise the fragility spectrum and to develop a menu of indicators as tools for other g7+ countries. The process will also inform the development of a set of common indicators which will be measured across all g7+ countries. Results from the piloting process will be presented at the High-Level Side Event during the 67th session of the United Nations General Assembly (UNGA).

Proposed methodology

This section outlines the key steps for conducting a fragility assessment and identifying country-specific peacebuilding and statebuilding indicators.

1) Formation of country task force

As recommended in Section I, a task force should be set up to advise on the overall New Deal implementation process. This task force or a sub-set of task force members should also have the responsibility for conducting the fragility assessment and identifying appropriate indicators. Task force members should include:

- Representatives from line ministries with one focal point for each PSG;
- Representatives from statistics offices and government planning and co-ordination teams (e.g. MDG, PRSP Secretariats, aid effectiveness teams);
- Civil society representatives, and a particular civil society focal point⁷; and
- Development partner representatives, in particular lead development partners.

The task force will designate a focal point that will have the responsibility for co-ordinating the fragility assessment process. The focal point will need to identify any technical support the task force will need to carry out the assessment process. The process is likely to require technical experts with PSG specific expertise and/or expertise in conflict analysis, strategic planning, participatory monitoring and evaluation.

2) Agreement on strategy and assessment method

The task force will need to agree on the overall strategy and method for conducting the fragility assessment and how it links to relevant national planning processes. While the strategy employed will be different in each country it is important that the process is based on broad consultations which will generate buy-in and ownership by key national stakeholders.

A useful starting point will be a stakeholder analysis for each of the respective PSGs. This will help identify the main stakeholders that have influence and/or a deep understanding about the issues covered in the respective PSG. The stakeholder mapping should cover representatives from government, civil society, private sector and development partners.

The stakeholder analysis will serve as the first step towards identifying sources of information and also the type of stakeholder engagement that will be most appropriate in the country and for the various groups identified. To generate political support and buy-in a high-level meeting for senior government officials and initial briefings for development partner and CSO representatives at the beginning of the process could be useful.

Finally, it will also be necessary to define how the fragility assessment and the development of indicators will be used in on-going or future planning, policy framework and related monitoring and evaluation processes (e.g. national development plans, PRSPs, national visioning exercises).

⁷ Civil society focal points in each of the pilot countries have been chosen or are in the process of being chosen through a consultative process aimed at identifying representatives with the appropriate experience and capacity.

3) Background research, information gathering and consultations

Different information gathering approaches will be employed for different groups of stakeholders. This process will also help to inform and generate buy-in from the respective groups. This could include:

- i. Document review of available reports and analysis carried out by the government and other stakeholder groups (e.g. conflict and governance assessments);
- ii. Key informant interviews (e.g. with high-level cabinet officials); and
- iii. Focus group discussions with key stakeholders for each PSG.

The process of research and information gathering should be guided by the fragility spectrum and its dimensions and sub-dimensions. For each PSG a number of overall and specific questions have been identified that can help guide discussions and information gathering (see [Annex 1](#)).

4) Multi-stakeholder consultation meeting

An important step in the process is the organisation of a multi-stakeholder meeting. This could be organised in different ways depending on context. Options include:

- i. A two-day workshop which covers a general discussion on the drivers of conflict and fragility followed by a discussion about each of the PSGs (possibly in break-out groups).
- ii. A series of one-day focus group discussions covering each PSG. This would allow for an in-depth discussion for each PSG and tailored participation of key stakeholders. In addition there should be some discussion of cross-cutting themes.

In either case, workshop participants will be asked to reflect on what fragility and resilience means to the country, examine the causes of prior conflicts and review drivers of conflict and fragility as well as for reliance and peace, acknowledging challenges that have existed or continue to exist that undermine progress. The task force may wish to gather and assess the current state of understanding that national actors have about drivers of conflict and fragility before the workshops commence, and prepare a background document that provides a basis for discussion and debate. For each of the PSGs and respective dimensions, participants will address the following overall questions:

- a) What factors (drivers) can generate conflict and fragility, and can contribute to peace and stability?
- b) What did the country look like during the crisis phase?
- c) Where is the country at now?
- d) How would the country like to look in the graduation to resilience phase?
- e) What are critical areas that could be used to measure progress against the PSG?

The fragility spectrum dimensions and sub-dimensions act as a guide. A number of overall questions have been identified to guide the discussion and can be used by workshop facilitators. Countries can add additional dimensions or sub-dimensions depending on what they consider relevant to their respective context.

It is also important that in some point in the assessment process there is reflection about the connections *between* the PSGs – their relationships, interactions, and their actual and potential impacts on one another. These are all vital considerations for planning and decision-making around sequencing and strategy development.

5) Identification of indicators

In this step technical consultations will be undertaken with the task force and relevant line ministry technical officers, statistical officers and monitoring and evaluation officers. These consultations will aim to establish a list of country-specific indicators and the extent of data availability for the areas of measurement identified by the consultation meeting. The selection of indicators should be guided by the parameters set out in [Annex 2](#).⁸

It is important that there are members present who have experience in developing indicators (and in wider monitoring and evaluation) in situations of conflict and fragility, in particular for peacebuilding and statebuilding. This is important because indicators should avoid duplicating Millennium Development Goals indicators and measures of more general development, focusing instead on indicators that reflect how sectoral efforts interact with drivers of conflict and fragility and contribute to peacebuilding and statebuilding.

The task force should state whether or not there is any data available on this indicator, the age of the data, the frequency and consistency of collection and the sources of it. Data sources will include government departments and statistical offices, chambers of commerce, multilateral and bilateral databases and civil society monitoring systems. A determination will be made if a minimum baseline can be established on the basis of public data.

The task force will also need to record the pre-requisites for each proposed indicator. This will help the country identify the extent of core capacities that will need to be in place to achieve and monitor progress on the PSGs. This can form the basis to identify actions that can be taken by the government and its partners to strengthen country statistical capacity.

6) Assessment, indicator development and reporting

Using the information gathered through the consultations, the country task force will prepare three deliverables:

- i. The [fragility assessment report](#) which should summarise the main findings from the review and consultations. It should be introduced by a context analysis which also reviews the causes and drivers of past conflict. The assessment should also include a completed fragility spectrum describing the crisis level, the current position and the resilience level as the desired vision. Detailed questions for each sub-dimension can help guide the drafter of the fragility spectrum.
- ii. A [list of indicators](#) for the identified key dimensions/sub-dimensions to assess progress, indicating the availability of the data at the local level and also the pre-requisites that will need to be in place for each of the indicators proposed, that will ensure the indicators can be monitored at the country level.
- iii. A short [lessons learned report](#) outlining the process, stakeholders consulted, feedback on the strengths and weaknesses of the approach and suggestions how it could be improved.

7) Validation, presentation and distribution

A validation of the final report and list of indicators will need to be carried out with key stakeholders. This could be done through a virtual consultation and/or – time permitting – through a validation workshop.

⁸ These parameters have been identified by the International Dialogue working group on PSG indicators.

In either case it will be important to present and distribute the findings of the validated report to all key stakeholders.

The task force shared the assessment report and list of indicators (even in draft form) with the Secretariats of the g7+ and the International Dialogue to allow the International Dialogue Working Group to analyse emerging findings from the different pilot countries.

Process overview

