

# **Sector Indicator Guidance for Programming**

**July 2013**

# Content

<b>Introduction</b>	P 1
<b>Cross Cutting Issues</b>	
Gender, Environment & Climate Change, Fragile States	P 6
<b>Sector Guidance Notes</b>	
<b>Human Rights, Democracy and Good Governance</b>	
Democracy and Human Rights	P 9
Rule of Law and Access to Justice	P 14
Corruption	P 19
Conflict Prevention, Peace Building and Security	P 23
Public Financial Management and Macro Economic Management	P 32
Environmental and Climate Change Governance	P 37
<b>Inclusive and Sustainable Growth for Human Development</b>	
Social Protection	P 40
Health	P 44
Education	P 51
Employment	P 56
Migration and Asylum	P 60
Sustainable Agriculture, Growth, Food and Nutrition Security	P 64
Energy	P 71
Natural Resources, Water, Low Carbon Development and Green Economy	P 74
Transport	P 79
Private Sector Development, Trade and Regional Integration	P 82
<b>Annexes</b>	
1. Table of Environment and Climate Change indicators for individual sectors	P 87
2. Table of Fragility indicators for individual sectors	P 89

3. Health: MDG Indicators, Endnote and Bibliography	P 93
4. Education: International Key Data Sources	P 95
5. Sustainable Agriculture, Growth, Food and Nutrition Security: FAO Indicators	P 96
6. Private Sector Development, Trade and Regional Integration: Monitoring System	P 98

**This Sector Indicator Guidance Note has been prepared by EuropeAid Unit “Quality and Results” (DEVCO 06), which ensured overall coordination, and EuropeAid Thematic Units. It has benefitted from contributions from the EuropeAid Geographical Directorates, European External Action Service and the EuropeAid Heads of Operations Network.**

## **Introduction - Sector Indicators Guidance**

The country Programming Instructions that were sent to EU Delegations and HQ services in mid-May 2012 for the programming period 2014-2020, requested the EU Delegations and services to provide, in the second phase of the programming process, a description of specific objectives for proposed priority sectors as well as the main results expected and corresponding indicators, mentioning targets where possible. In December 2012, a joint EEAS/EuropeAid note set out the next steps for the bi-lateral country programming process<sup>1</sup> with a view of meetings with the Commissioner who requested at that stage of the programming process an initial description of expected results and indicators for each specific objective in order to have a better basis of examining proposals for choice of sectors.

The strong emphasis on results constitutes a clear expression of the commitment in the Agenda for Change to strengthen our capacity to monitor and report our contribution to development results. Results-orientation must be built into the programming process from the outset with the identification of the intended results and corresponding indicators to be able to measure progress.

The purpose of the present guidance note on sector and cross cutting indicators is to support Delegations with the preparation of Multi-annual Indicative Programming documents (MIPs), in particular in the process of specifying indicators linked to expected results. It aims to support this process by providing a menu of options of key indicators for Delegations to draw from as they are developing their MIPs. The indicators listed in each sector note are aligned to EuropeAid priorities as set out in the Agenda for Change and other key policy documents. Indicators with commonly accepted definitions and for which data is in principle available on a regular basis in most of the countries EuropeAid works in have been given priority.

At the same time, it should be noted that due to the inherently different operating contexts across countries, it is not possible to provide an exhaustive list of sector indicators which cover every possible situation in a meaningful way. Delegations may therefore need to select additional context specific indicators for inclusion in the country MIPs.

### **Process for selecting Indicators**

The present guidance for 16 sectors/areas is aimed at assisting EU Delegations and HQ services with the selection of relevant indicators for inclusion in the country MIPs. Delegations and services need to refer only to the sub-set of those individual sector indicator guidance notes, which correspond to the sectors/areas proposed to be included in the MIP for their country.

In order to ensure that country policies and results frameworks are duly taken into account, the following recommendations are made with regard to the different situations which may exist in a country.

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<sup>1</sup> Ref Ares (2012) 1542405-21/12/2012

***Situation A – Countries where national or sector strategies owned by the partner government are in place***

When selecting indicators for inclusion in the MIPs, Delegations should in the first instance draw on indicators included in National or Sector Strategies at partner country level. In the majority of cases, the country documents will provide several indicators for each sector; and a smaller number of these are likely to be relevant for the area of work the EU plans to support. You should aim to include a manageable number of indicators, ideally no more than five indicators for each sector in the MIP. To help you with your selection, you should check:

- whether the indicator is close enough to the intended EU intervention to have a discernible effect on any change in the value of the indicator;
- whether baselines and targets (each with reference years) have been specified in the partner country document;
- whether national or regional data to track progress are being produced at a regular basis;
- whether the indicator is included in the relevant sector indicators guidance note and whether it integrates cross-cutting issues adequately.

Ideally, the indicators you select for inclusion in the MIP will satisfy all four of these conditions.

In addition to the selection of appropriate indicators, it will be important to specify expected results through the identification of targets. If the national or sector strategies include time-specific targets already agreed by the partner government you should consider using these in the MIP, explicitly stating that the targets referred to are country targets, towards which the EU will contribute.

Where the national or sector strategies exist but do not include targets, please follow the process described in 'Situation B' below.

***Situation B – Countries where no (or only out of date) national or sector strategies exist or where these are not accompanied by reliable results measurement frameworks***

In instances where no national or sector strategies are in place, the existing strategies are out of date or they are not accompanied by reliable results measurement frameworks your choice of indicators will more closely guided by the indicators provided in the sector indicator guidance notes. You should also not forget to also consult other country specific documents, for example from other development actors. As noted above, you should aim to include a manageable number of indicators (no more than five for each sector) in the MIP. Once you have decided which indicators are most relevant for the type of support you envisage, you should check national data availability and the cost associated with any additional data collection which might be necessary to ensure that you are able to monitor progress before finalising your choice.

In addition to the selection of appropriate indicators, it will be important to specify expected results through the identification of targets. In instances where you are unable to draw on country or sector strategies, or these do not include time specific targets, please consider whether you are able to

quantify expected results on the basis of other documents, established by other donors or organisations. If this is possible, please specifically state that the target in the MIP is not a government target and reflects results linked to the planned EU intervention and as such is potentially attributable to EU funded programmes.

### **Deciding the most appropriate level of indicator (output or outcome)**

Each of the sector indicator guidance notes includes indicators at different levels of the results chain with a focus at output and outcome levels (for definitions see terminology section on the following page). For the programming phase, the focus should be predominantly on outcome level indicators. Output indicators, whilst more relevant for the project level, have also been included in some of the guidance notes.

Impact indicators have not been prioritised in the sector indicator fiches as they reflect longer term change and other factors apart from the EU financed interventions will have an effect on these indicators. As such they provide a useful description of the operational context but are not immediately useful to assess or communicate the achievements of such interventions. We are therefore not looking for inclusion of impact level indicators in the MIPs.

### **Monitoring Progress**

It is important to draw your attention to the fact that the indicators included in the MIPs will also be used as a basis for the corporate results framework that is in the process of being developed for EU funded projects and programmes managed by EuropeAid. Whilst the exact scope and format of the results framework is still to be defined, it may be expected that it will require the selection of a limited number of indicators to measure:

- development outcomes towards which EU funded programmes contribute;
- outputs and outcomes, which can be directly linked to EU funded assistance.

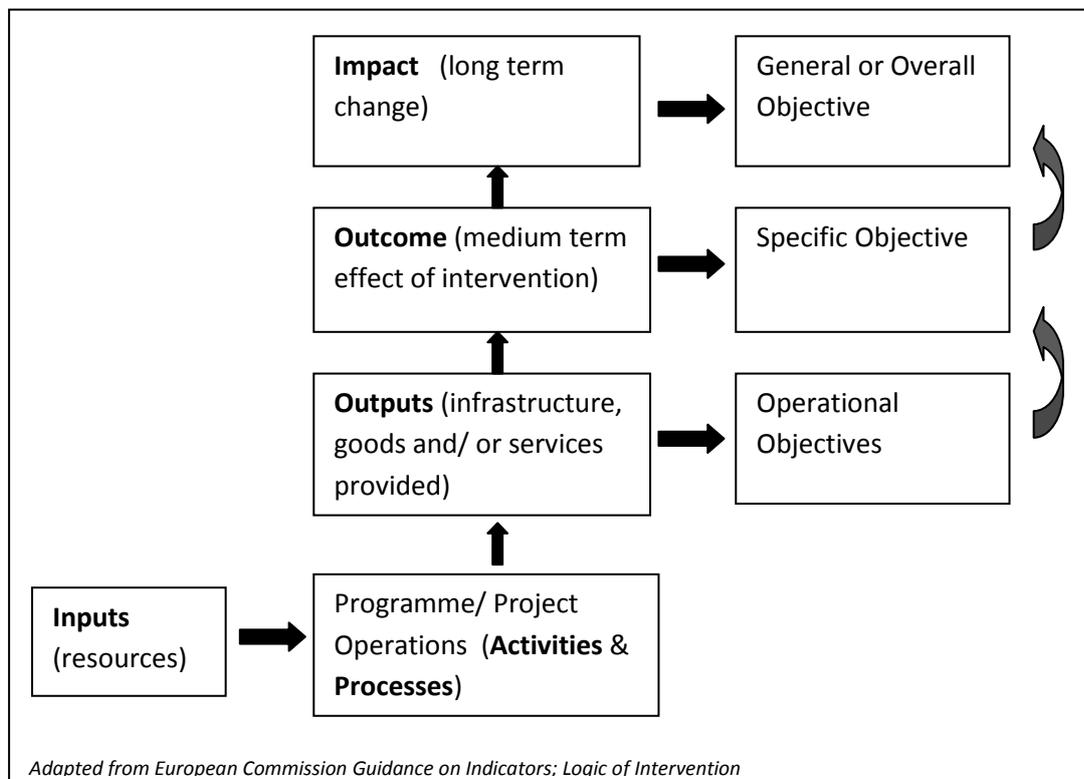
In practise this will mean that several of the indicators contained within individual MIPs will as such not be included as indicators at the level of the EuropeAid results framework. It is however to be foreseen that progress against all indicators in the MIPs will need to be tracked through EuropeAid's future information management system PCM Platform, presently under development.

## Results Terminology used in the Sector Guidance Notes

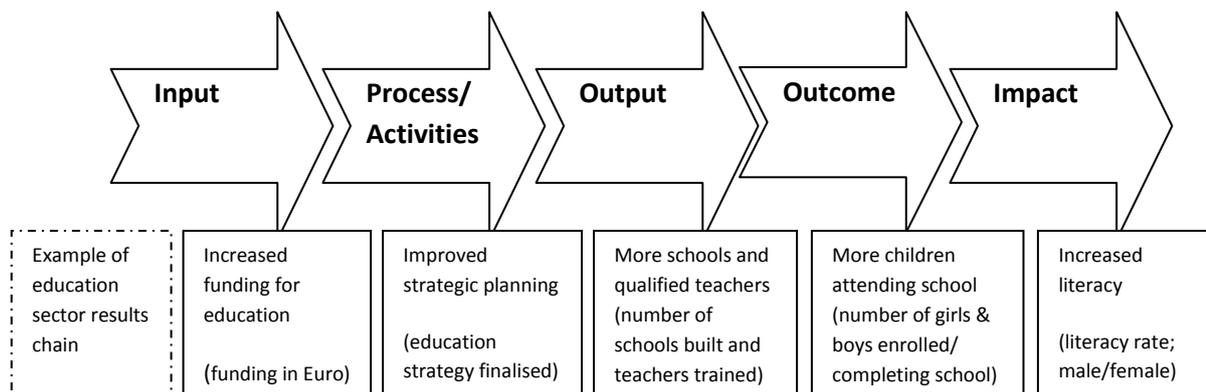
Results terminology currently used is often not being consistently applied and, depending on the reference base, the term “results” can be interpreted as meaning either an output or outcome.

Where the term “results” is used within the present sector indicator guidance notes, this should be interpreted in the generic sense of the word and in most instances you will find that it is followed by a statement of the specific level of the results chain referred to (e.g. outcome or output).

To avoid any potential confusion in this respect, the guidance notes use the objective terminology familiar to staff from the Project Cycle Management Guidance in conjunction with the OECD input-output-outcome-impact typology. The following diagram sets out the links between the terminology used in the EuropeAid Project Cycle Management Guidance and the OECD terminology.



## Results Chain (OECD Terminology)



**Inputs** refer to the resources provided. Examples of inputs: expenditure, staff.

**Processes** refer to the activities which turn inputs into outputs. Examples of process indicators: training conducted, legislation drafted, strategy completed.

**Outputs** describe the infrastructure, goods and services delivered by donor funded interventions. These can be controlled directly and as such linked to the donor funded assistance. Examples of output indicators: number of teachers trained, proportion of citizens who know how to access the legal system, number of health clinics equipped, number of people assisted by emergency food programmes.

**Outcomes** refer to the medium term effects of the intervention and tend to focus on the changes in behaviour resulting from programme outputs. EU funded interventions will contribute to these changes. Examples of outcome indicators: percentage of births attended by skilled health personnel, number of human rights violations reported in local media, including some MDG indicators, e.g. prevalence of under-weight children under 5 years of age.

**Impact** is the broader, longer term change, which will stem from a number of interventions by the partner government and development partners, which the EU funded intervention will (indirectly) influence. Examples of impact indicators: proportion of population living below the poverty line, including some MDG indicators, e.g. under-five mortality rate.

**Indicators** only describe what is to be measured. They can be either qualitative or quantitative.

Examples from the health sector are: under-five mortality rate; number of health professionals trained

**Targets** and milestones specify the planned direction for progress. They should be specific, measurable, achievable, realistic and time-bound (SMART).

An example from the health sector is: 80% of under-one year old children in Kenya are fully immunized by December 2015

**Baselines** give the starting point (current value of indicator) and are required to set meaningful targets.

## **Cross-cutting issues**

The inclusion of cross-cutting issues like gender, environment and climate change, at the programming stage is important for the sustainability of the results aimed at in the various sectors that we work in. Taking into account the country context in terms of fragility or resilience is also critical to achieving the intended outcomes.

In addition, the integration of cross-cutting issues is strongly underpinned by the high-level commitment of the EU, expressed in the Treaties that provide the legal basis for Community policies, the international commitments, the European Consensus for Development and more recently the Agenda for Change.

In as much as possible selected indicators should be disaggregated by sex and/or to the extent possible by vulnerable or marginalized groups. In conflict affected countries a breakdown of national data by region is likely to be important. In environmentally or climate relevant sectors, the inclusion of these dimensions in the selection of indicators is also important in terms of democracy and good governance.

### **Gender Equality and Women's Empowerment**

The rationale for addressing Gender Equality and Women's Empowerment (GEWE) as a cross cutting issue is grounded in the EU objective of contributing to eliminate discrimination of women with a view to ensure that they enjoy the same rights as men and that they can participate fully in the economic, social and political development of their countries. Women and men have to be equally involved in setting goals and elaborate strategies and plans so that the priorities and needs of both sexes are addressed and taken into account. Doing so, it is important to distinguish between practical gender needs which improve women's lives within their existing roles and strategic gender needs which point to enabling women to take on new roles and become empowered (for example increased access to education and political representation).

The EU has committed to ensure that 75% of its aid contributes to GEWE. Achieving this objective requires that, when a gender analysis indicates that women will not benefit automatically from a given development activity, specific activities and appropriate indicators need to be put in place to ensure that women benefit equally and equitably from project- and program activities and to make it possible to measure progress in this regard.

### **Environment and Climate Change**

Through the goods and services it provides to society and the economy the environment plays a critical role in livelihoods and the wealth of developing countries. Environmental degradation is therefore a threat to sustainable development. Climate change represents an additional challenge, intensifying pressures on the environment and development. However, if taken into consideration properly, environment and climate change also represent extraordinary opportunities to stimulate new thinking and promote low carbon development and green economy.

The next Multi-annual Financial Framework foresees to make 20% of the EU overall budget "climate relevant" together with a clear mainstreaming of climate change and environment in our activities.

Examples of indicators integrating environment and climate change in the various sectors such as Agriculture, Energy, Rule of Law, Public Finance Management and Private Sector are proposed in Annex 1. Additional examples are included in the sector guidance notes on Environment and Climate Change Governance and on Natural Resources, Water and Low Carbon Development and Green Economy.

You can also refer to the following EuropeAid guidance documents:

- Guidelines N<sup>o</sup>4 on the Integration of Environment and Climate Change in Development Cooperation (and in particular its Annex 1) <http://capacity4dev.ec.europa.eu/public-environment-climate/document/2011-final-draft-revised-guidelines-integration-environment-and-climate-change-development>
- EuropeAid Climate change sector scripts <http://capacity4dev.ec.europa.eu/public-environment-climate/documents>

For more guidance please contact EuropeAid Unit C2.

### **Countries in fragile and crisis situations**

Development actors are increasingly aware that development cooperation needs to be more sensitive to conflict and crisis related issues. This is particularly true for fragile and crisis-affected states. The Commission's Agenda for Change specifically refers to the fact that the EU "should ensure that its objectives in the fields of development policy, peace-building, conflict prevention and international security are mutually reinforcing." Since Busan, the EU Council Conclusions on the Agenda for Change adopted a common position on a new approach to fragile and conflict-affected situations, based on effective support for New Deal's peace-building and state-building goals.

The New Deal for Engagement in Fragile States<sup>2</sup> was endorsed in Busan by the EU along with 36 countries<sup>3</sup> and six international institutions. It reflects an approach towards fragile states, which can be applied in a customised way depending on the country context and it could also be used in other countries which may not acknowledge themselves as fragile. The New Deal with its three pillars: i) the Peace-building and State-building goals (PSGs)<sup>4</sup>, the FOCUS<sup>5</sup> principles and iii) the TRUST<sup>6</sup>

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<sup>2</sup> See for details [www.newdeal4peace.org](http://www.newdeal4peace.org)

<sup>3</sup> the g7+ group of "self-acknowledged" fragile countries consist of the following "pilot" countries wishing to advance implementation: Afghanistan, CAR, DRC, Liberia, Sierra Leone, South Sudan, Timor Leste, Somalia and the following currently non-pilot countries: Chad, Haiti, Guinea Bissau, Burundi, Guinea Conakry, Solomon islands, Togo. CoteD' Ivoire and Papua New Guinea have not endorsed the New Deal, but are members of the International Dialogue for Peacebuilding and Statebuilding. The New Deal approach and its tools could be used also in countries which have not signed up to the New Deal and may not acknowledge themselves as fragile.

<sup>4</sup> The Peacebuilding and Statebuilding goals are: 1) Inclusive politics, 2) Security, 3) Justice, 4) Economic foundations and 5) Revenue and services

<sup>5</sup> FOCUS: Fragility assessment, One vision one plan, Compact, Use the PSGs to monitor progress, Support political dialogue and leadership

<sup>6</sup> TRUST: Transparency, Risk, Use of country systems, Strengthening capacities, Timely and predictable aid

principles sets a framework in place that builds mutual trust and strong partnerships between countries and their international partners. For each of the five Peacebuilding and Statebuilding goals indicators have been identified to cover most aspects of a country's fragility and along which progress of the country can be measured. A selection of these indicators, although not yet refined, can be found in Annex 2. Discussions are on-going to possibly include a subset of these indicators in the post-2015 MDG framework to reflect on the nexus between development and security.

These Peacebuilding and Statebuilding indicators complement each other and the data collection methods that have been chosen are a mix of administrative data provided by the government and perception and experience based surveys answered by the population. The EU Conflict Early Warning System, which is to be based both on internal assessments and on public sources measuring 10 indicators relating to the risk of violent conflict – once rolled out globally – could serve as useful source of information<sup>7</sup>. For more information please contact Unit 05 (Fragility and Crisis Management) and join the group on <http://capacity4dev.ec.europa.eu/internal-fragility/>.

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<sup>7</sup> The ten indicators cover: legitimacy, rule of law, security, civil society and media, fundamental rights, inter-communal/ inter-ethnic relations, disaster/ environmental resilience, economic performance, social welfare/ equality, regional stability.

## **Indicator Guidance Note- Democracy and Human Rights**

### **Background**

The new European Neighbourhood Policy Communication (May 2011), the Agenda for Change and Budget Support communications (October 2011) have all announced a strategic shift in EU development policy towards stronger conditionality on human rights, democracy and the rule of law, the role of civil society and other elements of good governance.

The recent adoption of the EU Strategic Framework for Human Rights and Democracy and the related Action Plan (June 2012) calls for the elaboration of country-specific democracy profiles and democracy action plans. Their elaboration and programming on democratic governance and accountability can further benefit from such commonly agreed frameworks and principles on domestic accountability.

The Agenda for Change recognises that good governance, in its political, economic, social and environmental terms, is vital for sustainable and inclusive growth and EU support to governance should feature more prominently in all partnerships.

More specifically, the Agenda for Change states that the mix and the level of aid will depend on the country's situation in terms of commitment to human rights, democracy and the rule of law, ability to conduct reforms and meet its people demands and needs. It underlines the need to provide incentives for results-oriented governance reforms and to support with programmes or projects interventions that strengthen actors and processes at local, sector and national level.

Regarding aid modalities, the Communication on Budget Support recognises that General Budget Support should be provided where there is trust and confidence that aid will be spent pursuing the values and the objectives to which the EU subscribes, the fundamental values, to which partner countries commit to move towards meeting international standards.

### **Sector Objective and Specific Objectives**

The Agenda for Change states that the "EU should continue to *support democratisation, free and fair elections, the functioning of institutions, media freedom and access to the internet, protection of minorities, the rule of law and judicial systems in partner countries, that gender equality and the empowerment of women as development actors will be mainstreamed and that the EU should help its partner countries tackle corruption through governance programmes that support advocacy, awareness-raising and reporting and increase the capacity of control and oversight bodies and the judiciary*".

#### **Specific Objective 1: Promote free and fair elections and democratisation**

Electoral assistance in combination with electoral observation missions have for a long time constituted a core in our support to democratisation. This has been extremely useful, but it is also necessary to move away from the events surrounding election day. Often, our support goes to executive strengthening and electoral assistance. We see a cycle of costly electoral assistance followed by little investment in poorly institutionalised parliaments leading to ineffective oversight of the executive, poor representation and legislation.

There is therefore a need for long term support to Parliaments as part of our new policy on democratic accountability in development, alongside our traditional support for elections and voter registers. Further, political parties can play a useful role in society (represent voters, aggregate their

opinions into programmatic platforms and contribute to the prioritisation of the use of existing resources etc). They fill the gap between the population and the politicians and therefore political parties and the pluralist political party system need to receive our support as well.

There is a need to provide enhanced support to the emergence of an organised local civil society able to act as a watchdog and partner in dialogue with national governments. Civil Society Organisations can play a crucial role not only in observing elections (domestic election observation) but also in monitoring and reporting on budget implementation and thematic policy implementation.

### **Specific Objective 2: Promote media freedom, online and offline**

To ensure that the media can effectively enhance democratic accountability and safeguard the rights of citizens it is crucial to establish constitutionally enshrined principles that guarantee freedom of expression and access to information in accordance with international standards. It is also vital that a regulatory framework is put in place that enables implementation of the rights principles and also ensures the independence of the media, be it offline or online. It is absolutely vital that any regulatory body set up to manage media, communication and information related issues (including telecommunication and internet) is independent from government.

One of independent media's primary roles is to act as a public watchdog, scrutinising how state money is spent, how laws are being implemented (issue of impunity), and check on corruption of politicians, government or judicial officials by interest groups and other powerful bodies. Capacity building support to strengthen oversight and investigation skills, access to information can be very useful.

### **Specific Objective 3: Promote the respect of Human Rights**

Assessment of the human rights situation, the prospects for democracy and the rule of law is part of the programming and implementation of our aid. Countries with which we cooperate or to which we provide external aid should share our basic values and are expected to show respect for human rights. As a minimum, this means that countries should not retain the death penalty for ordinary crimes, countries should not be characterised by widespread torture and should ensure that slavery and servitude is not prevalent or should be making efforts to do so. Also countries are expected to adhere to international conventions on human rights and to provide the space for human rights NGOs to operate in the country.

Through the European Instrument for democracy and human rights (**EIDHR**), the EU cooperates directly with ad hoc organizations, primarily local civil society organisations that need to preserve their independence from public authorities. The EIDHR country-based support schemes (EIDHR - CBSS) are managed at country level by the EU Delegations in more than 100 countries and territories around the world.

### **Expected Results and linked Indicators**

Relevant outcomes and outputs linked to the specific objectives stated above are presented in the table below. For each result indicators and data sources are proposed.

Expected Results	Indicators	Data Sources
<p>A credible electoral cycle and improved democratic performance of the beneficiary country</p>	<p><b><u>Outcome level</u></b></p> <p>Bertelsman Transformation Index sub-index on political participation related to the degree of <b>free and fair elections</b></p> <p>The World Bank's World Wide Governance sub-indicator on <b>voice and accountability</b></p> <p>The Economist Intelligence Unit's <b>Democracy indicator</b></p> <p>Varieties of Democracy indicators on <b>elections and democracy</b></p> <p><b><u>Output level</u></b></p> <p>Number of electoral processes and democratic cycles supported, observed and followed</p> <p>Number of actions undertaken with EUROPEAID funding to improve the voter registration system and the organisation of credible elections</p> <p>Number of EU Electoral Observation Mission recommendations implemented</p> <p>Number of persons trained with EUROPEAID funding that are stakeholders or actors in the process of improving the democratic performance of the country (judges, law enforcement officers, journalists, members of parliament, electoral commission officers)</p>	<p><a href="http://www.bti-project.org/home/index.nc">http://www.bti-project.org/home/index.nc</a></p> <p><a href="http://info.worldbank.org/governance/wgi/index.asp">http://info.worldbank.org/governance/wgi/index.asp</a></p> <p><a href="http://www.eiu.com">http://www.eiu.com</a></p> <p><a href="https://v-dem.net">https://v-dem.net</a></p> <p>CRIS data and EOM reports</p> <p>CRIS data and EAMRs</p> <p>EOM follow up reports EU Human Rights Country Strategies;</p> <p>EU democracy profiles</p> <p>EU Budget Support Risk management framework and Fundamental Values Assessment</p> <p>CRIS data</p>
<p>Improved media freedom, whether online or offline</p>	<p><b><u>Outcome level</u></b></p> <p><b>Improved freedom of expression</b> as measured by the Freedom House index</p> <p>Improved press freedom index of Reporters without Borders</p> <p>Media Development Indicators (MDI) - Country diagnostics tool and yearly report on press freedom to be undertaken by UNESCO</p> <p>Media Sustainability Index (IREX) By "sustainability" IREX refers to the ability of media to play its vital role as the "fourth estate." How sustainable is a media sector in the context of providing the public with useful, timely, and objective information? How well does it serve as a facilitator of public discussion?</p>	<p><a href="http://www.freedomhouse.org">http://www.freedomhouse.org</a></p> <p>(<a href="http://en.rsf.org">http://en.rsf.org</a>)</p> <p>(<a href="http://www.unesco.org/new/en/communication-and-information/intergovernmental-programmes/ipdc/special-initiatives/media-development-indicators-mdis/">http://www.unesco.org/new/en/communication-and-information/intergovernmental-programmes/ipdc/special-initiatives/media-development-indicators-mdis/</a>)</p> <p>(<a href="http://www.irex.org/project/media-sustainability-index-msi">http://www.irex.org/project/media-sustainability-index-msi</a>)</p>

	<p>Committee to Protect Journalists statistics provide continuously updated statistics on attacks against media and types of assignments that caused the incidents (corruption reporting a dangerous assignments)</p> <p>Internet World Stats is an International website that features up to date world Internet Usage</p> <p>International Telecommunication Union World Telecommunication/ICT Indicators Database</p> <p>Existence of freedom of expression guaranteed in law and extend to which it is respected in practice</p> <p>Extent of state practice of blocking or filtering internet content deemed sensitive or detrimental</p> <p>Extent to which plurality and diversity of media exists and the level of economic playing field and transparency of ownership</p> <p>Existence and implementation status of laws guaranteeing the right to information, editorial independence, journalists' rights to protect their sources and freedom for journalists to created unions</p> <p>Number of journalists who reported sanctions or threats for the publication of information</p> <p>Number of reported cases of killing, disappearance, detention or torture of journalists, human rights defenders or any other person who exercises their right to freedom of expression</p> <p>Extend to which independence of the regulatory system is guaranteed by law and respected by justice in practice</p> <p><b><u>Output level</u></b></p> <p>Number of actions undertaken with EUROPEAID funding to provide support to the media and improve the freedom of the press in the country</p> <p>Number of actors trained with EU funding that should be instrumental in the process of improving freedom of expression, media freedom, access to the internet, and the role of the media as democratic watchdogs of society</p> <p>Number of campaigns supported to foster public awareness and legal and regulatory reforms in relation to the media regulatory authorities of the country</p>	<p>(<a href="http://www.cpj.org/killed/impunity.php">http://www.cpj.org/killed/impunity.php</a>)</p> <p><a href="http://www.internetworldstats.com/stats.htm">http://www.internetworldstats.com/stats.htm</a></p> <p><a href="http://www.itu.int/ITU-D/ict/">http://www.itu.int/ITU-D/ict/</a></p> <p>EU Human Rights Country Strategies; EU Budget Support Risk Management Framework</p> <p><a href="http://unesdoc.unesco.org/images/0016/001631/163102e.pdf">http://unesdoc.unesco.org/images/0016/001631/163102e.pdf</a></p> <p>(UNESCO MDI based on key categories - to the left a sample of the indicators - need to be complemented with other indicator categories such as media markets/ media economics or new media)</p> <p>EU Human Rights Country Strategies</p> <p>EOM reports</p> <p>EAMRs</p>
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Improved Human Rights situation	<p><b><u>Outcome level</u></b></p> <p>Number of people who have been handed down the death penalty for ordinary crimes and/or have been executed</p> <p>Number of cases of torture reported</p> <p>Number of incidents reported related to discrimination in all its forms, including gender based and sexual violence</p> <p>Freedom Score</p> <p>Level of adherence to Human Rights Conventions</p> <p><b><u>Output level</u></b></p> <p>Number of human rights defenders supported</p> <p>Number of human rights NGOs in the country having received support from multiple sources</p>	<p>Amnesty International reports</p> <p>Human Rights Watch reports</p> <p>UN Women, UNOCHA</p> <p>Freedom House reports</p> <p>UN reports, EU Human Rights Country Strategies, EU Budget Support Risk Management Framework</p> <p>EAMR reports</p> <p>Human Rights reports</p>
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**Cross cutting issues** Indicators integrating climate change, environment and fragile states for this sector can be found in Annex 1 and 2.

## Indicator Guidance Note – Rule of Law & Justice

### Background

The Agenda for Change considers the rule of law as a good governance sub-sector. ‘Good governance, in its political, economic, social and environmental terms, is vital for inclusive and sustainable development. EU support to governance should feature more prominently in all partnerships, notably through incentives for results-oriented reform and a focus on partners’ commitments to human rights, democracy and the rule of law and to meeting their peoples’ demands and needs. The EU should continue to support democratisation, free and fair elections, the functioning of institutions, media freedom and access to internet, protection of minorities, the rule of law and judicial systems in partner countries.’

In its cooperation with third countries to date, the EU has been providing support to the following priority areas:

- Promoting and protecting human rights and fundamental freedoms;
- Establishing an independent judiciary and modern justice system;
- Strengthening the institutional and administrative capacity of justice institutions, often as part of structural reforms;
- Promoting good governance and accountability through fighting corruption, illegality and abuse of power by authorities;
- Modernising the criminal justice system, through enhanced respect of parties' rights; improved prison conditions and treatment; effective reforms resulting in liberalisation of sanctions; and introduction of alternatives to imprisonment that in turn reduce prison overcrowding;
- Enforcing the principle of civilian control and oversight over the functioning of the justice system, through strengthening the capacity of national parliaments, ombudsmen, independent human rights institutions, civil society organisations and other non-state actors.

The EU does not have a specific policy on rule of law to date. Two reference documents on EU support to justice reforms and the rule of law have been issued during 2010-2013<sup>8</sup>.

There are internationally agreed indicators on rule of law, relevant for EUROPEAID priorities in this sector, as follows:

**1. The United Nations Rule of Law Indicators, 2011,**

[http://www.un.org/en/events/peacekeepersday/2011/publications/un\\_rule\\_of\\_law\\_indicators.pdf](http://www.un.org/en/events/peacekeepersday/2011/publications/un_rule_of_law_indicators.pdf)

**2. Juvenile Justice Indicators (UN, 2006),** [http://www.unodc.org/pdf/criminal\\_justice/06-55616\\_ebook.pdf](http://www.unodc.org/pdf/criminal_justice/06-55616_ebook.pdf)

### **Sector Objective, Specific Objectives and expected Results**

The **overall sector objective** is to improve justice and rule of law through strengthening the capacity of institutions to deliver and the capacity of citizens to claim their rights, while ensuring the accountability and oversight of the state.

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<sup>8</sup> Support for justice reform in ACP countries, Tools and Methods Series, Reference Document no. 9, EuropeAid/European Commission, September 2010; Support for justice and the rule of law, Tools and Methods Series, Reference Document no. 15, EuropeAid/European Commission, 2012

Indicators to measure the sector objective may include:

- Extent to which people are able to hold institutions and states to account through elections, social mobilisation or advocacy and lobbying
- Extent to which civil society organisations are able to monitor government and service providers and influence national legislation and policy
- Existence of Independent bodies to monitor, hold accountable and possibly sanction state entities (e.g. judicial institutions, public audit commission, parliament committees, human rights commission, ombudsman)
- Extent to which people are able to directly engage with the state and service providers through budgeting monitoring and other oversight processes
- Level of access to justice allowing people to claim their rights and seeking redress
- Status of communication system for feedback and consultation between state and people

The **specific objectives** leading to the achievement of the above sector objective could be:

- i. Ensured judicial independence and integrity, including increased professionalism and integrity of the justice providers as well as respect of human rights in the delivery of justice,
- ii. Enhanced transparency and accountability of court operations,
- iii. Improve access to justice for all,
- iv. Improved detention conditions,
- v. Set up a specialised juvenile justice system.

**Expected Results and Indicators linked to the Specific Objective are listed in the table below:**

Expected results	Indicators <sup>9</sup>
<b>Ensured judicial integrity and independence</b> ( <i>Courts do not violate human rights or abuse their power and are free from undue influence of political and private interests</i> )	Independence of judiciary – tenure and mode of appointment <i>Percentage of judges who are appointed for fixed terms that provide a guaranteed tenure, which is protected until retirement age or the expiration of a defined term of substantial duration, mode of selection of judicial officers and role of the executive in appointment</i>  Independence of judiciary – discipline <i>Whether judges are protected from arbitrary removal or punishment</i> <i>Number of disciplinary actions per year</i>  Independence of judiciary – respect of decision <i>Whether there is respect of judicial decisions and the courts are protected from undue criticism and pressures</i>

<sup>9</sup> Source: open data sources and the United Nations Rule of Law Indicators

<p><b>Enhanced transparency and accountability of court operations</b> (Relevant information on the activities, decision-making processes, decisions and use of resources by the courts is publicly available, and the judges and prosecutors are held accountable for their actions)</p>	<p>Public perception of judicial independence <i>Percentage of the population that believes that judges are able to make decisions free from direct or indirect interference by Government or politicians</i></p> <p>Bribes to judges, prosecutors or court personnel <i>Whether the population believes that people can avoid a conviction or receive a more lenient sentence by paying a bribe to a judge, a prosecutor or other court personnel</i> <i>No. of corruption cases involving judges/prosecutors investigated/prosecuted per year</i></p> <p>Public access to criminal trials <i>Whether members of the public are allowed to attend criminal trials (notwithstanding any legal exceptions for cases involving children, sexual violence or national security)</i></p> <p>Publicly available information about complaints against judges <i>Whether courts produce publicly available information on complaints against judges which describes the nature of the complaints and how they were resolved</i></p> <p>Investigation of misconduct <i>Whether lawyers, judges, or members of the public are able to trigger an investigation of alleged misconduct by a prosecutor or a judge</i></p> <p>Judicial misconduct <i>Likelihood of judges being removed from their posts or otherwise disciplined in cases of serious misconduct</i> <i>No. of judges held accountable for professional misconduct per year</i></p> <p>Performance monitoring system for judges <i>Whether courts have performance guidelines and a system for monitoring performance that holds judges accountable for unnecessary delays in proceedings, case backlog, or absenteeism.</i></p> <p>Publicly available reports on court spending <i>Whether courts periodically produce a publicly available account of spending which is reasonably complete and itemized</i></p>
<p><b>Improved access to justice for all</b> (The judicial system offers access to criminal justice)</p>	<p>Protection of the rights of defendants and victims <i>Whether the rights of victims and defendants are sufficiently protected during criminal court proceedings</i></p> <p>Access to redress for miscarriage of justice <i>Whether victims of miscarriage of justice have access to effective legal recourse and redress</i></p> <p>Fees to obtain access to courts <i>Whether victims of crime have to pay an official or unofficial fee to have their complaints proceed to court</i></p> <p>Average length of time a case takes from registration to judgement</p> <p>Availability of free legal assistance for the most vulnerable <i>Whether and to what extent most vulnerable defendants receive free legal assistance at all stages of criminal proceedings against them</i> <i>No. of defendants who received free legal assistance/year</i></p> <p>Quality of legal representation <i>The quality of the legal representation generally available to defendants during criminal proceedings</i></p> <p>Availability of interpreters <i>How available are the services of interpreters to assist defendants and victims of crime</i></p>

<p><b>Set up of juvenile justice system</b></p> <p><b>(the 15 Juvenile Justice indicators, UNICEF &amp; UNODC)</b></p>	<p>Response to gender-based violence <i>Whether the population believes that women who are victims of sexual and other gender-based violence are treated fairly by the courts</i></p> <p>Children in conflict with the law <i>Number of children arrested during a 12 month period per 100,000 child population</i></p> <p>Children in detention <i>Number of children in detention per 100,000 child population</i></p> <p>Children in pre-sentence detention <i>Number of children in pre-sentence detention per 100,000 child population</i></p> <p>Duration of pre-sentence detention <i>Time spent in detention by children before sentencing</i></p> <p>Duration of sentenced detention <i>Time spent in detention by children after sentencing</i></p> <p>Child deaths in detention <i>Number of child deaths in detention during a 12 month period, per 1,000 children detained</i></p> <p>Separation from adults <i>Percentage of children in detention not wholly separated from adults</i></p> <p>Contact with parents and family <i>Percentage of children in detention who have been visited by, or visited, parents, guardian or an adult family member in the last 3 months</i></p> <p>Custodial sentencing <i>Percentage of children sentenced receiving a custodial sentence</i></p> <p>Pre-sentence diversion <i>Percentage of children diverted or sentenced who enter a pre-sentence diversion scheme</i></p> <p>Aftercare <i>Percentage of children released from detention receiving aftercare</i></p> <p>Regular independent inspections <i>Existence of a system guaranteeing regular independent inspection of places of detention</i> <i>Percentage of places of detention that have received an independent inspection visit in the last 12 months</i></p> <p>Complaints mechanism <i>Existence of a complaints system for children in detention</i> <i>Percentage of places of detention operating a complaints system</i></p> <p>Specialised juvenile justice system <i>Existence of a specialised juvenile justice system</i></p> <p>Prevention <i>Existence of a national plan for the prevention of child involvement in crime</i></p>
<p><b>Improved detention conditions</b></p>	<p>Prisoners' nutrition, clean water and sanitation <i>The extent to which the prison systems adheres to the UNs Standard Minimum Rules for the Treatment of Prisoners</i></p> <p>Women detained separately from male prisoners <i>Whether and to what extent female prisoners are kept separate from male prisoners</i></p> <p>Health examination at time of admission <i>Percentage of prisoners who have been examined by a qualified medical</i></p>

	<p><i>professional at the time of their admission to prison</i></p> <p>Quality of health-care services <i>Whether the professional health care generally available to prisoners is adequate</i></p> <p>Number of non-violent deaths per 1,000 prisoners <i>Number of non-violent deaths per 1,000 prisoners within the last 12 months</i></p> <p>Excessive use of force <i>Whether corrections officers use excessive force against prisoners</i></p> <p>Lawfulness of detention <i>Whether people are held in prison without a valid judicial order, or beyond the expiration of such an order</i></p> <p>Inspection of prisons by human rights organizations or mechanisms <i>Whether human rights organizations are able to visit prisons to monitor prison conditions</i></p> <p>Discrimination <i>Whether the population believes that unfair discrimination against certain groups of prisoners is a problem in the country's prisons</i></p> <p>Children detained separately from adults <i>Whether and to what extent children in detention are kept wholly separate from adult prisoners</i></p> <p>Prison overcrowding <i>Whether overcrowding is a serious problem in the country's prisons</i></p>
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**Data Sources:** National legislation, judicial practice, public surveys, international and national reports, official statistics. In case that relevant data is not available, accurate or accessible, the EU Delegations may need to fund the establishment of baseline data and information management systems within the justice sector to be able to measure the indicators suggested above.

There are also several international open sources that could be consulted in order to assess the qualitative indicators (e.g. judicial independence; transparency and accountability; corruption; respect for human rights by courts and law enforcement agencies): **World Governance Indicators, Amnesty International, Human Rights Watch, Freedom House, Transparency International.**

**Cross cutting issues** Indicators integrating climate change, environment and fragile states for this sector can be found in Annex 1 and 2.

## Indicator Guidance Note – Corruption

### Background

The support for strengthening good governance and democratisation granted by the EU as part of cooperation and development policy also covers anti-corruption policies. Based on the latest communications, when it comes to corruption, the policy of the Commission is to follow a partnership-based approach encouraging compliance with the standards of the UN Convention against Corruption (UNCAC). Political **dialogue** with partner countries' governments and civil society, EU Member States and other donors is over-arching this partnership-based approach. While recognising that without political will inside the country, outside support is unlikely to deliver results, the Commission underpins this political dialogue with **incentives** and **support to capacity building**, all with the aim to lead towards the adoption and implementation of national strategies to fight corruption in all its forms. The ability of a state to tackle corruption is examined as part of our country assessments preceding budget support.

### Sector Objective and Specific Objectives

**The single, overall objective of EU development policy in the field of anti-corruption is the reduction of corrupt practices in the beneficiary countries.**

In order to achieve this, the Agenda for Change clearly stipulates that "The EU should help its partner countries tackle corruption through governance programmes that support advocacy, awareness-raising and reporting and increase the capacity of control and oversight bodies and the judiciary". This declaration outlines the following specific objectives:

1. Support to advocacy, awareness-raising against corruption, including international and regional initiatives
2. Improve reporting on corruption
3. Increase the capacity of control and oversight bodies and the judiciary

### Expected Results

The table below summarises the outcomes and outputs expected to be achieved in order to attain the specific objectives mentioned above:

Specific Objective	Expected outcome	Expected output
1. Support to advocacy, awareness-raising	Increased awareness among the population and among the elites of corruption as a problem	Aggregate resources of anti-corruption actors have increased
2. Improve reporting against corruption	More rigorous anti-corruption culture	More cases of corruption reported to/by the control and oversight bodies
3. Increase the capacity of control and oversight bodies and the judiciary	More cases of corruption tackled by the control and oversight bodies	Aggregate resources of control and oversight bodies have increased

## Indicators

Expected results such as those mentioned above appear to be straightforward and measurable. In reality though, corruption is by definition an illicit and therefore obscure practice. Hence, it is notoriously hard to measure corruption directly. In practice this means we cannot measure how many people have actually paid a bribe over a year because they will not always report it. We cannot measure how many people have abused entrusted power either because they will obviously not report it either and they may never be caught anyway.

As a consequence, what many indicators examine in an effort to measure corruption is the *perception* certain groups of people may have about how widespread corrupt practices are in a given country.

We have therefore singled out such a corruption perceptions indicator that is quantifiable and comparable across time as well as across countries. The World Bank World Governance Indicator "Control of Corruption" captures perceptions of the extent to which public power is exercised for private gain, including both petty and grand forms of corruption, as well as "capture" of the state by elites and private interests.

Whilst the "Control of Corruption" indicator is not specific to our own policy priorities, one of its main advantages is that it is widely recognised given that the membership of the World Bank includes most states of the planet and it is the indicator espoused by the Bank. Moreover, it is part of a broader set of indicators measuring governance, which is important because, similarly to the Bank, the EC approaches corruption as an issue of governance.

There are over 400 indicators available in the bibliography<sup>10</sup>, which are used in various contexts to measure corruption. Some indicators, like the Corruption Perceptions Index used by Transparency International and the World Governance Indicators of the World Bank (WB) are widely known. The corruption indicators database of Transparency International (GATEway) <http://gateway.transparency.org/about> contains a near exhaustive list of corruption indicators which are often tailored to specific sectoral and country contexts.

Outcome Indicators – As far as outcomes are concerned, the relevant sources of data and appropriate indicators should be identified at country level, in accordance with the conditions prevailing in each country.

The World Governance Indicators (WGI) as a whole are composite measures based on a large number of underlying data sources. The datasets are provided by a large number of enterprise, citizen and expert survey respondents in industrial and developing countries. These data are gathered from a number of survey institutes, think tanks, non-governmental organizations, international organizations, and private sector firms. There are margins of error in the measurements, but the WGI stand out because they quantify those error margins as well. The other big advantage is that they are freely available on the internet at [http://info.worldbank.org/governance/wgi/pdf\\_country.asp](http://info.worldbank.org/governance/wgi/pdf_country.asp) and may be accessed on an annual basis.

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<sup>10</sup> <http://gateway.transparency.org/tools>

Output indicators - The suggested output indicators are not internationally agreed. Instead, they are specific to our own policy priorities as stated in the Agenda for Change. Their means and sources of verification are outlined in the table below.

<b>Expected Results</b>	<b>Indicator(s)</b>	<b>Data Sources</b>
<b><u>Output level</u></b>		
a) Aggregate resources of anti-corruption actors has increased	a1) level of funding (in Euro) available to anti-corruption actors not falling under ( c )  a2) Number of staff employed by anti-corruption actors not falling under ( c )	a1) Published financial statements of anti-corruption actors  a2) If not available in the annual reports of the actors involved, through interviews
b) More cases of corruption reported to/by the control and oversight bodies	b1) Number of corruption cases reported  b2) volumes of funds recovered (in Euro)	b1) Annual reports of the control and oversight bodies or other independent observers
c) Aggregate resources of control and oversight bodies has increased	c1) level of funding available to control and oversight bodies (in Euro)  c2) Number of staff employed by control and oversight bodies  c3) number of oversight and control bodies supported by EuropeAid	c1) Published financial statements of control and oversight bodies  c2) If not available in the annual reports of the actors involved, through interviews

### **Gender sensitive anti-corruption indicators**

The European Consensus on Development (2006) and especially the EC Communication on Gender Equality and Women’s Empowerment in Development Cooperation (2007) make clear reference to the importance of mainstreaming gender issues in development cooperation. The DCI regulation 2007-2013 makes mainstreaming of gender equality and women’s empowerment mandatory in all our cooperation activities. The current “EU Plan of Action on Gender Equality in Development Cooperation 2010-2015” contains concrete actions and obligations to ensure that these policies are translated into action in the field, including gender sensitive indicators in all sector support programmes. Therefore, gender-sensitive corruption indicators should be included when designing anti-corruption interventions.

There is no global corruption indicator with a specific gender dimension, even though it is mentioned often in the anti-corruption literature that women are disproportionately affected by corruption. However, there are a few regional indicators that attempt to encapsulate the gender dimension of corruption such as

The Ibrahim Index of **African** Governance, which in its 2012 report captures data up to 2011

<http://www.moibrahimfoundation.org/IAG/>

**Cross cutting issues** Indicators integrating climate change, environment and fragile states for this sector can be found in Annex 1 and 2.

## Indicator Guidance Note – Conflict Prevention, Peace-Building and Security

### Background

Development actors are increasingly aware that development cooperation needs to be more sensitive to conflict and crisis related issues. This is particularly true for fragile and crisis-affected states. One-and-a-half billion people live in areas affected by fragility, conflict, or large-scale, organized criminal violence, and no low-income fragile or conflict-affected country has yet achieved a single UN Millennium Development Goal. See also guidance note “Joint EUROPEAID-EEAS Note on addressing conflict prevention, peace-building and security issues under external cooperation instruments” for more detail.

The Council Conclusions of 2007 on Security and Development clearly state that "conflict prevention should be pursued as a priority goal in particular by fostering and strengthening development cooperation"<sup>11</sup>. The EC's Agenda for Change is clear that the EU "should ensure that its objectives in the fields of development policy, peace-building, conflict prevention and international security are mutually reinforcing [and that] our “objectives of development, democracy, human rights, good governance and security are intertwined”.<sup>12</sup> The Agenda calls for a concentration on, amongst other areas, tackling the challenges of security, fragility and transition<sup>13</sup>.

The following four components all contribute to conflict prevention, peace-building and security.

1. Security Sector Reform,
2. Disarmament, Demobilisation and Reintegration of ex-combatants,
3. Mine Action and
4. Proliferation of small arms and light weapons

### 1. Security Sector Reform (SSR)

The EU recognises SSR as an important part of conflict prevention, peace building, democratisation and sustainable development. The security sector can be defined as all state institutions and other entities with a role in ensuring the security of the state and its citizens. SSR means transforming the security sector so it operates in a manner consistent with democratic norms and sound principles of good governance.

EC support to SSR pursues the following **sector objectives**:

Objective A: Enhance the quality of security provision,

Objective B: Improve the quality of the governing bodies and institutional framework of the security framework.

It should be noted that changes occurring in the security sector in a specific state are likely to be influenced by a large number of both domestic and external factors. It is therefore a difficult undertaking to link causally the effects of an external intervention such as SSR.

### **Expected Results –**

Objective A: the focus should be on ensuring better quality of two dimensions of security, namely state security and human security. Possible outcomes could be identified as:

- Reduction of war and violent conflicts
- Reduced militarisation
- Strengthened culture of peace

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<sup>11</sup> Council conclusions, 15097/07, p. 3

<sup>12</sup> Increasing the impact of EU Development Policy: an Agenda for Change, COM(2011) 637 final, p.2

<sup>13</sup> Ibid, p.4

- Improved real or perceived security
- Increased performance and capacity of security institutions

**Indicators** - Indicators focusing on the quality of security provision in the third countries measure the extent to which a security sector is able to deliver security in an effective and efficient manner while both the security of the state itself and the security of its people are benchmarks for measuring the quality of security provision. Indicators for the second and broader people-centred understanding of security are, for instance, measures of perceived and actual crime levels as well as indicators that measure the state of fundamental rights in a country.

Objective B – The main outcomes that can be identified are the following:

- Enhanced stability of democratic institutions
- Strengthened civilian control and accountability
- Strengthened rule of law

**Indicators** for Objective B should focus on the quality of security sector governance processes and institutions. They essentially measure the ‘quality of governance’ in the security field. Indicators for this objective are, for instance, the type of political system, the quality of democratic accountability and oversight procedures in a security sector and the overall state of the rule of law. This group of indicators is essentially covered in the section on **Democracy & Human Rights** and Rule of **Law & Access to Justice** of this note.

EXPECTED RESULTS	INDICATORS	DATA SOURCES
<b>Objective A –Quality of Security Provision</b>		
<u>Outcome level</u> <b>State Security</b> Reduced war and violent conflict Reduced militarisation Strengthened culture of peace	<u>Outcome indicators</u> -Levels of intra-state and inter-state conflicts and increased security in target countries - Levels of death in armed conflict - Military expenditure as a proportion of GDP - Levels of illicit weapons - Level of Structural and Cultural Violence	Uppsala Conflict Data Program/PRIO Armed Conflict Dataset and Battle Death Data  CIDCM International Crisis Behaviour  HIIK Conflict Barometer IISS Military Balance SIPRI military expenditures Small Arms Survey Global Peace Index
<b>Human Security</b> Improved real or perceived security (dimensions: crime, victimisation, safety perceptions)  Increased performance and capacity of Security Institutions	Official Crime Rates, particularly homicide rates (number of violent deaths per 100.000 population) - Police Investigation Statistics - Recorded incidence of Physical assaults, Rape and Sexual violence - Recorded incidence of unlawful detainment  - Level of Public confidence in the performance of security institutions - Territorial coverage of police and state security actors vs % coverage by non-state armed groups - Existence of strategic and budgetary planning capacity for the security services - Number of intentional homicides resolved by	UNODC Survey on Crime Trends Political Terror scale US Annual Trafficking in Persons Report International Crime Victims Survey (ICVS)  Administrative data, expert assessment  Administrative data

	<p>police</p> <ul style="list-style-type: none"> <li>- Number and Quality of human resources within the security forces ( recruiting practices are perceived to be fair and effective, entry-level salaries for police officers are sufficient to recruit and retain qualified individuals, % of security forces salaries which are being paid at the agreed date on a monthly basis)</li> </ul>	
<p><b>Output level</b></p> <p><b>Human security</b></p> <p>Improved real or perceived security ( dimensions: crime, victimisation, safety perceptions)</p> <p>Increased performance and capacity of Security Institutions</p> <p>Improved governance of the security sector</p>	<p><u>Output indicators</u></p> <p>Existence/ status of a National Security Strategy/ a crime prevention strategy which is informed by the crime statistics</p> <ul style="list-style-type: none"> <li>- Existence/ status of National Action plan for the police</li> <li>- Existence/ status of standard operation procedures for the national police , including on how criminal cases should be processed</li> <li>-Existence/ status of a vetting process for security personnel to ensure that individuals who committed gross HR violations and other serious crimes are identified and prevented from serving as security personnel</li> <li>-Quality and availability of regular crime statistics</li> </ul> <ul style="list-style-type: none"> <li>- Number of police installations ( per 10.000 population)</li> <li>-Number of police installations that have adequate equipment to perform basic duties - Development of training standards/ training curricula for the security forces</li> <li>-Number of security forces having completed basic training</li> <li>- Number of security personnel having completed specialized training</li> <li>-Number of trainings for trainers undertaken</li> <li>-Number of security personnel that is paid on a regular basis</li> </ul> <ul style="list-style-type: none"> <li>- Existence/ status of procedures for investigating police misconduct</li> <li>- Percentage of cases of misconduct or corruption that resulted in a disciplinary action or prosecution</li> <li>-Number of reports generated on compliance with the procedures; deaths in police custody, police response</li> <li>- Number of monitoring visits undertaken</li> <li>- Number of awareness campaigns carried out</li> </ul>	<p>Review of National primary and secondary legislation</p> <p>Review of other Government documents</p> <p>Programme documents</p>

Additional Reference Material:

- "A Concept for European Community Support for Security Sector Reform" (2006)<sup>14</sup>
- Council Conclusions on a Policy Framework for Security Sector Reform (2006)<sup>15</sup>

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14 COM(2006)253 final of 24/05/2006

[http://eur-lex.europa.eu/LexUriServ/site/en/com/2006/com2006\\_0253en01.pdf](http://eur-lex.europa.eu/LexUriServ/site/en/com/2006/com2006_0253en01.pdf)

- Council Conclusions on Security and Development (2007)<sup>16</sup>, notably paragraph 10
- Thematic Evaluation of European Commission Support to Justice and Security System Reform (2001-2009)<sup>17</sup>.

## **2. Disarmament, Demobilisation and Reintegration of ex-combatants**

Disarmament, Demobilisation and Reintegration (DDR) of former combatants has been identified as a key area for the European Union's engagement in post-conflict peace building. There is increased recognition that DDR needs to be part of the political and social developments and will be most successful when linked to an overall peace process, democratic governance issues, transitional justice and long-term development. DDR refers to a set of interventions in a process of demilitarising official and unofficial armed groups by disarming and disbanding non-state groups and, possibly, downsizing armed forces. DDR is often more successful when part of a broader Security Sector Reform (SSR).

**Sector objectives:** The ultimate objective of DDR processes is the social and economic reintegration of former combatants in order to contribute to sustainable peace, reconciliation of society, stability and long-term development.

The aim is to help ex-combatants moving away from the roles and positions that defined them during the conflict to identifying themselves as citizens and members of the local communities. This includes providing alternatives for combatants and their dependents in terms of access to the political process, viable livelihoods and social and economic prospects for the future. Depending on the context, the focus may also need to gradually shift from the combatant to the needs of the wider community in this process. Reintegration into civilian life can only be sustained in the long term if a sound and sustained economic prospect, functioning State institutions capable of providing basic services, a legal framework and close coordination with civil society exist, not least to ensure that former fighters find viable livelihoods, in terms of food, shelter/housing, education, a job or a pension and a new purpose in life.

**Expected Results** – Main outcomes leading to the above sector objective may be identified as:

- Mitigation of the risk of ex-combatants and special needs groups disrupting security
- Mitigation of the risk of insecure communities disrupting security

Relevant outputs for each of these are indicated in the table below.

**Indicators** should capture both quantity (e.g. the percentage of ex-combatants who are underage) as well as a certain quality (e.g. the level of satisfaction of officers with the reinsertion package). An indicator should be direct and closely linked to the result it attempts to measure. For example, a direct indicator would be the 'number of ex-combatants provided with reintegration assistance'. However, in some cases where direct data cannot be reliably collected, a more indirect indicator (proxy indicator) will be needed. This is the case if a result is more abstract concept. For example, a DDR programme measures impact ('security situation improved') by using four proxy indicators (violence, confiscated ammunition, confiscated weapons, suspects detained). Indirect indicators are also used if data for direct indicators is not collected frequently enough, or if data for direct indicators is too difficult, dangerous or expensive to collect.

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15 2736th GAERC meeting - Luxembourg, 12 June 2006; Council document 9946/06 pp. 16-17

[http://www.consilium.europa.eu/ueDocs/cms\\_Data/docs/pressData/en/gena/90013.pdf](http://www.consilium.europa.eu/ueDocs/cms_Data/docs/pressData/en/gena/90013.pdf)

16 Council document 15097/07 of 20/11/2007, pp. 5-6

<http://register.consilium.europa.eu/pdf/en/07/st15/st15097.en07.pdf>

17 [http://ec.europa.eu/europeaid/how/evaluation/evaluation\\_reports/2011/1295\\_docs\\_en.htm](http://ec.europa.eu/europeaid/how/evaluation/evaluation_reports/2011/1295_docs_en.htm)

The most frequently used tool for collecting data for DDR outcomes and impact is the survey. In many cases, due to the sensitivity of and necessity to have a technical knowledge about the issue, the survey is often carried out by an external organisation, in cooperation with the national or regional body or an NGO. Other data sources can be provided by the national oversight institutions like National Commission, relevant Government Ministries like the Ministry of Labour and Agriculture, Ministry of Defence or Ministry of Interior or UN political analysis.

EXPECTED RESULTS	INDICATORS	DATA SOURCES
<p><b><u>Outcome level</u></b></p> <p><b>1. The risk of ex-combatants and special needs groups to disrupt security is mitigated</b> (Male and female combatants are disarmed, demobilized and socially reintegrated into communities of their choice and are economically active)</p>	<p><u>Outcome indicators</u></p> <ul style="list-style-type: none"> <li>- Number of ex-combatants who formally finish the reintegration programme (disaggregated by sex and age)</li> <li>- Ratio of ex-combatants who formally finish the reintegration programme compared to ex-combatants who enter reintegration programme (disaggregated by sex and age).</li> <li>- Number and % of ex-combatants who are economically active at least 6 months after reintegration support ceased</li> <li>- Number and % of women associated with armed forces and groups who are economically active at least 6 months after reintegration support ceased</li> <li>- % of ex-combatants who are satisfied with the disarmament and demobilization process (disaggregated by sex and age)</li> <li>- Number of male and female ex-combatants who are satisfied with the reintegration assistance (disaggregated by sex and age)</li> </ul>	<p>National Statistics</p> <ul style="list-style-type: none"> <li>-Survey</li> <li>- National Action Plan for DDR</li> </ul>
<p><b><u>Output level</u></b></p> <p>1.1. Female and male combatants are disarmed</p>	<p><u>Output indicators</u></p> <ul style="list-style-type: none"> <li>-Number. of combatants referred to the programme for disarmament and demobilization</li> <li>- No. of officers referred to the programme for disarmament and demobilization</li> <li>- % of referred combatants verified by national verification committee</li> <li>- Number of combatants disarmed</li> <li>- Number and type of weapons received by the DDR programme from combatants</li> <li>- Number and type of weapons received by the DDR programme from communities (all indicators to be disaggregated by sex and age)</li> </ul>	<ul style="list-style-type: none"> <li>-National Budget (provisions for disarmament, demobilisation, reintegration)</li> <li>-National Action Plan for DDR</li> <li>- New Legislation with special provisions for ex-combatants</li> <li>-Donor contributions and programme documents</li> </ul>
<p>1.2. Combatants are demobilized and reinserted and women associated with armed forces and groups are demobilized and reinserted</p>	<ul style="list-style-type: none"> <li>-Number of combatants formally demobilized</li> <li>- % of combatants disarmed but not demobilized</li> <li>- % of combatants who received complete reinsertion package</li> <li>- % of targeted units decommissioned (all indicators to be disaggregated by sex and age)</li> </ul>	<ul style="list-style-type: none"> <li>-National Budget (provisions for disarmament, demobilisation, reintegration)</li> <li>-National Action Plan for DDR</li> <li>- New Legislation with special provisions for ex-combatants</li> </ul>

		<ul style="list-style-type: none"> <li>-Donor contributions and programme documents</li> <li>-Sample Survey</li> </ul>
1.3. Male and female excombatants and women associated with armed forces and groups are supported to reintegrate into their communities	<ul style="list-style-type: none"> <li>- Number of ex-combatants formally entering reintegration programmes</li> <li>- % of ex-combatants who qualify for special support for underaged combatants</li> <li>- % of ex-combatants who demobilized but declined receiving reintegration support</li> <li>- Average no. of days between demobilization and start of reintegration programmes</li> <li>- % choosing agricultural reintegration support</li> <li>- % choosing small business reintegration support</li> <li>- % choosing educational support</li> <li>- % of ex-combatants who drop out of reintegration programmes (all indicators to be disaggregated by sex and age)</li> </ul>	<ul style="list-style-type: none"> <li>- National Budget ( provisions for disarmament, demobilisation , reintegration)</li> <li>-National Action Plan for DDR</li> <li>- New Legislation with special provisions for ex-combatants</li> <li>-Donor contributions and programme documents</li> </ul>
<p><b><u>Outcome level</u></b></p> <p><b>2. The risk of insecure communities to disrupt security is mitigated</b> (Communities receive and support excombatants and associated groups in their reintegration)</p>	<p><b><u>Outcome indicators</u></b></p> <ul style="list-style-type: none"> <li>- % of community leaders of communities (disaggregated by sex and age) which received support through the DDR programme who are satisfied with the support they received for reintegrating ex-combatants</li> <li>- % of community leaders in communities (disaggregated by sex and age) with at least 50 ex-combatants that indicate that excombatants are integrated or reasonably integrated in their community at least one year after DDR support has ceased</li> </ul>	<ul style="list-style-type: none"> <li>-Sample Surveys</li> <li>declarations of countries on adoption of relevant legislation and/or strategies and action plans</li> </ul>
<p><b><u>Output level</u></b></p> <p>2.1. Communities provided with tools and capacities to support the integration of excombatants and associated groups</p>	<p><b><u>Output indicators</u></b></p> <ul style="list-style-type: none"> <li>- % of communities which finished a participatory planning process including representatives of women's groups</li> <li>-Number of communities with at least one community micro-project funded by DDR programme</li> <li>- EUR in thousands provided directly to communities for community micro-projects</li> </ul>	<ul style="list-style-type: none"> <li>-National Budget (provisions for disarmament, demobilisation, reintegration)</li> <li>--Donor contributions and programme documents</li> </ul>

Additional Reference Material: EU Concept for support to Disarmament, Demobilisation and Reintegration (2006)<sup>18</sup>.

### **3. Mine Action**

Anti-personnel landmines (APL) and explosive remnants of war (ERW) (including cluster munitions) continue to pose a significant threat, including - or even mainly - to socio-economic development and reconstruction, in many post-conflict countries. These devices have serious secondary political, social and economic consequences. In post-conflict societies, APL and ERW impede the return of refugees and internally displaced people. They also hinder reconciliation, stabilisation and economic recovery.

<sup>18</sup> Approved by the European Commission on 14 December 2006 and by the Council of the European Union on 11 December 2006. (doc. 16387/06). [http://www.ssrnetwork.net/uploaded\\_files/3367.pdf](http://www.ssrnetwork.net/uploaded_files/3367.pdf)

Their mere presence also affects the overall community by preventing any agricultural or economic activity around contaminated areas.

In 1997, the Ottawa Convention on the Prohibition of the Use, Stockpiling, Production and Transfer of Anti-Personnel Mines and on their Destruction, also known as the Mine Ban Treaty (MBT), was concluded. The Convention legally obliges all state parties to cease the production, transfer, stockpiling and use of APL. In addition to being the first convention to place a total ban on anti-personnel mines, the main characteristic of the Convention is its comprehensiveness, as it addresses all aspects of the landmine issue (i.e. ranging from demining to mine risk education, research and development). The European Community is not a state party to the Convention, but has obtained an observer status and is a donor, in the same way as other international and regional organisations (such as the United Nations and the International Committee of the Red Cross).

**Sector Objective** - *The overall goal remains to eliminate mines and to resolve related economic and social problems caused by these weapons.* In particular, the EU remains committed to its zero-victim target and therefore continues to address mainly immediate threats to mine-affected populations rather than so-called residual threats (i.e. mines located in remote areas, which therefore do not amount to a genuine threat to local populations). Financial efforts should continue to be backed by a diplomatic effort to universalise the Ottawa Convention and the Convention on Certain Conventional Weapons (CCW) through EC/EU political dialogue. EC delegations in countries not yet party to the MBT have a key role to play in promoting accession to the Ottawa Convention.

The EC's **specific objectives** in this sector can be summarised as:

- (i) Reducing the threat posed by APL through landmine clearance, stockpile destruction and mine risk education;
- (ii) Building national capacity in affected countries to address this threat.

A specific concentration is put on so-called "zero-victim target", thus concentrating on mine clearance, victim assistance and mine risk education besides demining.

**Expected Results linked to the above specific objectives are presented in the table below.**

EXPECTED RESULTS	INDICATORS	DATA SOURCES
<p><b><u>Outcome level</u></b></p> <p>i. 1 Risk to individuals and the socio-economic impacts of mines and Explosive Remnants of War (ERW) are reduced</p>	<p><b><u>Outcome indicators</u></b></p> <ul style="list-style-type: none"> <li>- % of affected land cleared and being used for socio-economic purposes</li> <li>- % increase in safe access to basic services, facilities, and vital infrastructure</li> <li>- % of affected individuals and communities with the information needed to reduce personal risks</li> </ul>	<ul style="list-style-type: none"> <li>- Mine clearance statistics</li> <li>- Mine awareness and mine risk education reports</li> </ul>
<p>i. 2 Increased support mine and ERW victims within broader responses to injury and disability.</p>	<ul style="list-style-type: none"> <li>- Status of disability policy</li> <li>- Extend to which the state provides age and gender sensitive services to ensure psychosocial support, social inclusion, economic reintegration, care and protection for victims</li> <li>- Extend to which the state collects, analyses and disseminates data related to mine and ERW related disabilities disaggregated by age and gender</li> </ul>	<ul style="list-style-type: none"> <li>- Declarations of countries on adoption of relevant legislation and/or strategies and action plans</li> </ul>

<u>Outcome level</u>	<u>Outcome indicators</u>	
ii. 1 Transfer of mine action functions to national actors is accelerated, with national capacity to fulfil mine action responsibilities increased.	-Extent to which national authorities coordinate mine action activities and directly implement and manage mine action responses -Level of resources in national budgets designated for mine action -Existence of national strategy and completion plan which articulates milestones	National budgets have provision for mine action

#### **4. Proliferation of small arms and light weapons (SALW)**

The number of light weapons in circulation throughout the world is estimated by the United Nations at 600 million. SALW are responsible for almost 500 000 deaths a year, 300 000 of which occur in armed conflicts. Of the 49 major conflicts in the 1990s, 47 were conducted with SALW as the major weapons. The consequences of the illicit manufacture, transfer and circulation of small arms and light weapons and their excessive accumulation and uncontrolled spread contribute to a worsening of terrorism and organised crime and are a major factor in triggering and spreading conflicts, as well as in the collapse of State structures. The abundance of the stocks of arms and ammunition, particularly those left over from the Cold War, make such arms easily obtainable by civilians, criminals, terrorists and combatants alike. Besides the humanitarian effects, the consequences in terms of the development of the countries concerned are well-documented: the weakening of State structures, displacement of persons, collapse of health and education services, declining economic activity, reduced government resources, the spread of pandemics, damage to the social fabric and, in the long term, the reduction or withholding of development aid.

**Sector Objective** - SALW and explosives continue being a highly destabilising threat, particularly when countries are fragile or conflict-prone. The majority of conflict deaths are caused by the use of SALW, and civilian populations bear the brunt of armed conflict more than ever. Also, small arms are the dominant tools of criminal violence. The rate of firearms related homicides in post-conflict societies often outnumber battlefield deaths. More human rights abuses are committed with small arms than with any other weapon. Furthermore, where the use of armed violence becomes a means for resolving grievances and conflicts, legal and peaceful dispute resolution suffers and the rule of law cannot be upheld. Armed violence aggravates poverty, inhibits access to social services and diverts energy and resources away from efforts to improve human development. It also undermines investment climate, hindering economic growth. The impact of SALW on development was also highlighted in the EU SALW Strategy<sup>19</sup>.

The intervention objective should be on *building the capacity of third countries' law enforcement and judicial and civil authorities involved in fighting their illicit trafficking* as well as supporting multilateral SALW control efforts for the benefit of third countries.

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<sup>19</sup> EU Strategy to combat illicit accumulation and trafficking of SALW and their Ammunition. Council document 5319/06, January 2006.

Expected results linked to the above specific objective are presented in the table below.

EXPECTED RESULTS	INDICATORS	DATA SOURCES
<p><b><u>Outcome level</u></b></p> <p>Reduced proliferation of firearms and explosive materials</p>	<p><u>Outcome indicators</u></p> <ul style="list-style-type: none"> <li>-Levels of armed crime</li> <li>-Level of intra-state and inter-state conflicts and security</li> <li>-Number of illicit SALW in target countries</li> <li>-Extent of legal knowledge and awareness of policy makers on the firearms problematic and its international response</li> <li>-Existence of legislative and institutional frameworks compliant with the Protocol against the illicit manufacturing of and trafficking in firearms and other global and regional instruments</li> <li>-Level of sub-regional harmonization of laws and procedures on firearms control</li> </ul>	<p>World Bank reports</p> <p>UNDP reports</p> <p>UNODA reports</p> <p>AU reports</p> <p>Small Arms survey (SAS) Annual Reports</p> <p>Declarations of countries on adoption of relevant legislation and/or strategies and action plans</p>

**Cross cutting issues** Indicators integrating fragile states for this sector can be found in Annex 2.

## Indicator Guidance Note: Public Financial Management, Domestic Revenue Mobilisation, and Macroeconomic Management

### Background

**Public Finance Management (PFM)** refers to the management of public monies through the systems for budgeting, collecting revenues, spending, reporting and scrutinizing. A well-functioning PFM system is essential for the achievement of policies and developmental objectives.

The EU 2011 *Agenda for Change* calls for a reinforcement of good governance in all partnerships detailed in eight priorities. These include i) public sector management for better service delivery through the support to improve public finance management, ii) the promotion of fair and transparent domestic tax systems encompassing policy and administration aspects and iii) help to tackle corruption including amongst others increase the capacity of control and oversight bodies.

The EU actively supports PFM often through its Budget Support operations and the monitoring of the eligibility criterion but also through capacity development programmes. The 2011 *Communication on Budget Support*<sup>20</sup> and the related *Guidelines* reinforce the importance of the existence of a relevant and credible government PFM reform programme. In addition, budget transparency and oversight of the budget has become an eligibility criterion on its own.

Domestic revenue mobilization (DRM) as one important part of PFM is recognised as being crucial to create fiscal space for development-related public spending, reduce dependency on aid, and taxation particularly is central to the social contract between a state and its citizens thereby impacting upon both national ownership of development and domestic accountability. In resource-rich countries the Extractive Industries Transparency Initiative (EITI) is seen as a way to promote transparency, domestic accountability and thus enhancing public and corporate governance in these countries.

There is no general blueprint for successful interventions to strengthen public finance management as they need to be country specific. However the Commission in close collaboration with the International Monetary Fund within the PEFA partnership published a Good Practice Note on Sequencing Public Finance Management Reforms<sup>21</sup> in early 2013. The Note suggests issues to be taken into account when designing PFM reforms. When developing a PFM system, countries should give priority to core PFM functions and then move to more sophisticated reforms. Non-technical aspects such as political environment, institutional capacity and timing are also crucial.

Sound **macroeconomic management** is essential for a country's development and is a key part of budget support operations. It is one of the four eligibility criteria where the maintenance of a credible and relevant stability-oriented macroeconomic policy or progress towards restoring key balances is being regularly assessed. It can be furthermore supported through complementary capacity development support or policy dialogue.

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<sup>20</sup> COM(2011) 638; 13 October 2011. Council of the European Union Doc. 9371/12, 14 May 2012.

<sup>21</sup> <https://myintracomm.ec.europa.eu/dg/EuropeAid/eu-development-policy/public-finance/Pages/public-finance-management.aspx>

## **Sector Objectives and Specific Objectives**

The overall objective of **public finance management, including domestic revenue mobilisation** is to support the achievement of government policies in an effective, efficient and transparent fashion. Overarching objectives of a good PFM system are financial compliance, aggregate fiscal discipline, strategic allocation of resources and efficiency in service delivery.

The specific objectives of a PFM system enhancement are listed under the heading 'Expected Results' in the table on the next page.

The overall objective of **macroeconomic management** is macroeconomic stability. The specific objectives are again listed under the heading 'Expected Results' in the table on the next page.

## **Expected Results and linked Indicators**

The **PFM Performance Measurement Framework** developed by the Public Expenditure Financial Accountability (PEFA) partners including the Commission in 2005 is the preferred tool to assess the quality of the PFM system in a country for the European Commission. The twenty-eight high level indicators of the Framework focus on the operational performance of the key elements of the country PFM system.

It should be noted that measurement of changes in performance in PFM systems needs ideally:

- to be country specific as each country has its specific challenges. The most basic and universally recommended approach is to compare over time PEFA scores for each indicator in a given country also using the narratives in the PEFA reports to draw conclusions from the country context on reasons for differences in scores.<sup>22</sup>

- to be measured every three years. There are no internationally agreed standard indicators to measure public finance management performance on an annual basis given the difficulty to measure systems performance changes in such short period of time. Annual measurement would need to focus on specific reform measures at the process level (e.g. number of Ministry of Finance or Supreme Audit institution staff trained, preparation or approval of a law or regulation, etc.).

Aggregation of results of a country assessment entails difficulties with indicator weights and numerical scale conversion as there is currently no scientifically correct method to get an aggregated measure of PFM performance. The comparison across countries is potentially hazardous and findings should be treated with caution.

Notwithstanding these methodological problems, when required and for simplifications purposes, it is proposed to measure improvement of country PFM performance against seven dimensions in composite indicators as presented in the table below<sup>23</sup>. The table includes **Domestic Revenue Mobilisation** within expected result R4.

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<sup>22</sup> PEFA Secretariat (2009), Issues in Comparison and Aggregation of PEFA Assessment Results Over Time and Across Countries. <http://www.pefa.org/sites/pefa.org/files/attachments/Eng-NoteonAggregationandComparisonofPEFAratingsfinalMay13.pdf>

<sup>23</sup> Average PEFA score (average calculated using a numeric scale conversion: no data=0, D=1, D+=2, ... and A=7)

<b>Expected Results</b>	<b>Indicators</b>	<b>Data Sources</b>
<u>Outcome</u> R1: Improved Credibility of the budget	I1: Credibility of the budget measured as the average (non-weighted) of PEFA scores of the four following indicators: - PI-1 Aggregate expenditure out-turn compared to original approved budget - PI-2 Composition of Expenditure out-turn compared to original approved budget - PI-3 Aggregate revenue out-turn compared to original approved budget - PI-4 Stock and monitoring of expenditure payment arrears	S1: PEFA scores of the latest publicly available assessment ( <a href="http://www.pefa.org">www.pefa.org</a> )
<u>Outcome</u> R2: Enhanced Budget comprehensiveness and transparency	I2: Budget comprehensiveness and transparency measured as the average (non-weighted) of PEFA scores of the following six indicators: - PI-5 Classification of the budget - PI-6 Comprehensiveness of information included in budget documentation - PI-7 Extent of unreported government operations - PI-8 Transparency of inter-governmental fiscal relations - PI-9 Oversight of aggregate fiscal risk from other public sector entities - PI-10 Public access to key fiscal information	S2: PEFA scores of the latest publicly available assessment ( <a href="http://www.pefa.org">www.pefa.org</a> )
<u>Outcome</u> R3: Strengthened Policy based budgeting	I.3: Policy based budgeting measured as the average (non-weighted) of PEFA scores of the following two indicators: - PI-11 Orderliness and participation in the annual budget process - PI-12 Multi-year perspective in fiscal planning, expenditure policy and budgeting	S3: PEFA scores of the latest publicly available assessment ( <a href="http://www.pefa.org">www.pefa.org</a> )
<u>Outcome</u> R4: Fair, transparent and effective revenue systems developed	I.4.1: Transparent and effective tax collection system measured as the average (non-weighted) of PEFA scores of the following three indicators: - PI-13: Transparency of taxpayer obligations and liabilities - PI-14: Effectiveness of measures for taxpayer registration and assessment - PI-15: Effectiveness in tax payer collection I-4.2: Tax ratio (tax collection with revenues from	S4.1: PEFA scores of the latest publicly available assessment ( <a href="http://www.pefa.org">www.pefa.org</a> )  S4.2: Annual IMF country reports (e.g. Article IV reports or programme review reports)  S4.3: Annual IMF country reports (e.g. Article IV

<b><i>Expected Results</i></b>	<b><i>Indicators</i></b>	<b><i>Data Sources</i></b>
	oil and gas in resource-rich countries as a % of GDP) I-4.3: Tax ratio (tax collection without revenues from oil and gas for all countries as a % of GDP) I-4.4: Tax effort (tax collection as a % of estimated tax collection potential based on the structure of the economy) - where available	reports or programme review reports) S4.4: IMF country reports (e.g. annual Article IV or programme review)
<u>Outcome</u> R5: Enhanced Predictability in control in budget execution	I.5: Predictability in control in budget execution measured as the average (non-weighted) of PEFA scores of the following six indicators: - PI-16: Predictability in the availability of funds for commitment of expenditures - PI-17: Recording and management of cash balances, debt and guarantees - PI.18: Effectiveness of payroll audits - PI.19: Competition, value for money and controls in procurement - PI20: Effectiveness of internal controls for non-salary expenditure - PI-21: Effectiveness of internal audit	S5: PEFA scores of the latest publicly available assessment ( <a href="http://www.pefa.org">www.pefa.org</a> )
<u>Outcome</u> R6: Timely, relevant and reliable financial information	I6: Timely, relevant and reliable financial information measured as the average (non-weighted) of PEFA scores of the following four indicators: - PI-22: Timeliness and regularity of accounts reconciliation - PI-23: Availability of information on resources received by service delivery units - PI-24: Quality and timeliness of in-year budget reports - PI-25: Quality and timeliness of annual financial statements	S6: PEFA scores of the latest publicly available assessment ( <a href="http://www.pefa.org">www.pefa.org</a> )
<u>Outcome</u> R7: Government accountability for fiscal and expenditure policies and implementation	I7: Government accountability for fiscal and expenditure policies and implementation measured as the average (non-weighted) of PEFA scores of the following three indicators: - PI-26: Scope, nature and follow-up of external audit - PI-27: Legislative scrutiny of the annual budget law - PI-28: Legislative scrutiny of external audit reports	S7: PEFA scores of the latest publicly available assessment ( <a href="http://www.pefa.org">www.pefa.org</a> )

A multitude of **macroeconomic indicators** exist that can indicate progress towards macroeconomic stability and a selection is proposed below. However, defining expected results in terms of specific indicator targets is complicated by the nature of macroeconomic management and probably not appropriate. For example, there may be trade-offs between different targets, and optimal targets and the pace for achieving those are difficult to define. Nevertheless, expected results can be defined in broader terms, for example in terms of a positive trend, without being overly prescriptive on the expected indicator results. The suggested indicators below provide only summary information. A more comprehensive list of indicators is provided in the budget support guidelines annex on macroeconomic eligibility.

<b><i>Expected Results</i></b>	<b><i>Indicators</i></b>	<b><i>Data Sources</i></b>
<u>Outcome</u> R1: Sustainable external and internal deficits	I1.1. Overall fiscal balance before and after grants (% GDP)  I1.2. External Current Account Balance	IMF country reports, national data sources
<u>Outcome</u> R2: Maintaining price stability	I2.1. Inflation (CPI period average) I2.2. Real effective exchange rate	Idem
<u>Outcome</u> R3: Macroeconomic resilience and sustainable debt management	I3.1. Reserve coverage (months of imports)  I3.2. External debt (% GDP)	Idem
<u>Outcome</u> R4: Financial sector stability	I4. Non-performing loans (% total loans)	Idem

**Cross cutting issues** Indicators integrating climate change, environment and fragile states for this sector can be found in Annex 1 and 2. Additional indicators on institutionalising environment and climate change mainstreaming can be found in the “Environment and Climate Change Governance Note.

## Indicator Guidance Note – Environment and Climate Change Governance

### Background

The Agenda for Change (AfC) highlights a number of points central for **environment and climate change integration**, in particular:

- "Good governance, in its political, economic, social and environmental terms, is vital for inclusive and sustainable development";
- "Increasing the extent to which EU cooperation could promote and support political, economic, social and environmental policy reforms in partner countries";
- "It (EU development policy) should also contribute to improving the resilience of developing countries to the consequences of climate change".

The AfC also states that the EU should scale up its support for oversight processes and bodies and continue to back **governance reforms that promote the sustainable and transparent management of natural resources**, including raw materials and maritime resources, and ecosystem services, with particular attention to the dependence of the poor on them, especially smallholder farms.

The **Millennium Development Goal MDG7** 'ensure environmental sustainability' translates into a series of internationally agreed targets and indicators:

- 7.A **Integrate** the principles of sustainable development into country policies and programmes; reverse loss of environmental resources
- 7.B Reduce **biodiversity** loss, achieving, by 2010, a significant reduction in the rate of loss
- 7.C Reduce by half the proportion of people without sustainable access to **safe drinking water and basic sanitation**
- 7.D Achieve significant **improvement in lives** of at least 100 million **slum** dwellers, by 2020

There are a set of internationally agreed indicators that are all used to monitor the achievement of the **MDG 7**:

- Proportion of land area covered by forest MDG 7.A 7.1
- CO<sub>2</sub> emissions, total per capita and per \$1 GDP (PPP) - MDG 7A 7.2
- Consumption of ozone-depleting substances MDG 7A 7.3
- Proportion of terrestrial and marine areas protected MDG 7B 7.6
- Proportion of species threatened with extinction MDG 7B 7.7
- Proportion of total water resources used MDG 7B 7.8
- Proportion of population using an improved drinking water source MDG 7C 7.8
- Proportion of population using an improved sanitation facility MDG 7C 7.9
- Proportion of urban population living in slums MDG 7D 7.10

Disaster risk reduction (DRR) is not included in the MDG 7. There is no international agreed indicator so far but on-going work is advancing in that field. Some indicators are already used to measure the impact of DRR policies:

- Human losses from climate-related and natural disasters (measured by the number of people - source: CRED (Center for Research on the Epidemiology of Disaster) web site: [www.cred.be](http://www.cred.be))
- Financial losses from climate-related and natural disasters – source web site: [www.cred.be](http://www.cred.be)
- Percentage of population living in hazard prone areas (measures the level of vulnerability to natural disaster) – National statistics in DRR prone countries - source: web site: [www.cred.be](http://www.cred.be)

## Overall Objective and Specific Objectives

The overall objective is to enhance environmental sustainability and resilience to climate change and natural disasters. The indicators referred to above measure the consequence of the interventions in terms of wider objectives.

At country level depending on the national development objectives, the status of the environment, the risks related to climate change and/or natural disasters and the policy environment, a specific governance objective might be:

*Environmental and climate governance is improved in particular via effective mainstreaming of environment, climate and disaster risk reduction.*

## Expected Results and linked Indicators

The following table presents examples of expected results – outcomes and corresponding outputs at national level and linked indicators.

Note: Some indicators may not be followed yet at national level particularly if policy reforms that would lead to the introduction of those indicators in national systems have not been undertaken yet. The proposed indicators should thus be adapted to national circumstances. They could also be fine-tuned to focus on for instance specific subsets of the environment (for instance forest, water, biodiversity).

<b>Expected results</b>	<b>Indicators</b>	<b>Data Sources</b>
<u>Outcome level</u>  <b>Environmental and climate governance is improved in particular via effective mainstreaming of environment, climate and disaster risk reduction</b>	-Extent to which national commitments, policy goals and targets are adhered to (covering key issues such as forests, land and water use, protected areas, pollution, national GHG emissions)	Country statistics
<u>Outcome level</u>  <b>Mainstreaming of environment, climate change and disaster risk reduction is established as usual practice in development processes at national, sector and subnational levels</b>	-Existence of budget lines/allocations and public expenditures for environment, climate change and/or DRR policy measures of non-environment ministries and subnational bodies (% of ministry budget; % of expenditure e.g. -Level of environment and climate relevant public expenditures (USD/year) -Level of environment and climate relevant extra-budgetary funds (USD/year) -Percentage of environment and climate relevant public expenditures as % of total public expenditures -Existence and level of environmental fiscal measure (tax credits, subsidies) taken (USD/year)	Country statistics/ with project support linked to MDG 7A
<u>Outcome level</u>  <b>Governance reforms that promote the sustainable, inclusive and transparent</b>	-Existence/ status of system of valuation of natural capital/ecosystem services -Existence/ status of an integrated water management plan Existence/ status of FLEGT Voluntary Partnership Agreement	Country statistics / with project support linked to MDG 7

<p><b>management of natural resources are in place</b></p>	<p>(VPA)</p> <ul style="list-style-type: none"> <li>-Extent of participation by public and environmental civil society in decision-making (which has implications for the environment)eg:</li> <li>-Number of consultation meetings organised with civil society (output)</li> <li>-Number of submissions made by civil society which are included in the policies, programmes and plans</li> <li>-Extent of media coverage of environmental performance of the country and climate change eg:</li> <li>-Number of press articles</li> <li>-Number of corruption cases related to the management of natural resources (forests, protected areas), licensing of concessions and issuance of permits of exploitation (as reported in annual reports of the control and oversight bodies or other independent observers) registered</li> <li>-Number of judicial or administrative recourse procedures in case a Party violates or fails to adhere to environmental law and the convention's principles (e.g. polluter pays principle)</li> <li>-Number of judges, law enforcement officers, journalists and members of parliament (women/men) trained on environment and climate change (output)</li> </ul>	
<p><u>Outcome level</u></p> <p><b>National response to international governance commitments is enhanced</b></p>	<ul style="list-style-type: none"> <li>-Number of Multilateral Environment Agreements (MEA) ratified</li> <li>-Existence/status of monitoring and compliance with environmental, climate/disaster resilient and sustainable energy policy and regulatory framework</li> <li>-Existence/status of quality greenhouse gas emissions data reporting system</li> </ul>	<p>UNEP list</p> <p>Country statistics</p> <p>National Communication to the UNFCCC</p>

Additional examples of indicators are included in the sector guidance note on 'Natural Resources, Water and Low Carbon Development and Green Economy'.

For more guidance please contact Unit C2. You can also refer to the various EuropeAid guidance documents:

- Guidelines N<sup>0</sup>4 on the Integration of Environment and Climate Change in Development Cooperation (and in particular its Annex 1) <http://capacity4dev.ec.europa.eu/public-environment-climate/document/2011-final-draft-revised-guidelines-integration-environment-and-climate-change-development>
- EuropeAid Climate change sector scripts <http://capacity4dev.ec.europa.eu/public-environment-climate/documents>

## Indicator Guidance Note – Social Protection

### Background

Social protection refers to policies and actions that enhance the capacity of all people, but notably the poor and vulnerable groups, to escape from poverty or avoid falling into poverty, and better manage risks and shocks. They aim at providing a higher level of social security through access to health services and income security and facilitate access to essential services throughout active and inactive periods and periods of need throughout the lifecycle.

The *Agenda for Change* calls, inter alia, for a more comprehensive approach to human development, supporting increased access to quality health and education services and enhanced social protection in support of inclusive growth characterised by "people's ability to participate in and benefit from wealth and job creation".

The European Commission has recently adopted a *Communication on Social Protection in EU Development Cooperation*<sup>24</sup> which sets out the way forward for the EU's support to social protection in its partner countries, based on the principles of equity and universal access.

The International Labour Conference adopted on 14 June 2012 the Recommendation No 202<sup>25</sup> concerning national floors for social protection. Social protection floors are nationally defined sets of basic social security guarantees, which secure protection aimed at preventing or alleviating poverty, vulnerability and social exclusion. This new labour standard is also very important for EU external action.

There are no internationally agreed indicators for social protection. The ILO Social Security Inquiry collects, stores and disseminates comparable statistical data on social security worldwide. This includes expenditure and receipts of social protection schemes as well as data on protected persons, recipients of social benefits and benefit amounts. The rationale of the inquiry is to address the lack of (comparable) social security statistics outside the OECD world. In this respect, the inquiry adopts a systematic approach compatible with existing statistical frameworks such as the European System of Integrated Social Protection Statistics (ESSPROS) and the OECD (SOCX Social Expenditure Database).

There is no general blueprint for successful social protection interventions. Effective social protection policy must be rooted in a society's specific context, taking into account factors such as poverty dynamics, demographic characteristics, the prevailing economic situation, the structure of the labour market and cultural values and societal consensus. For this reason, the focus ought to be on country-specific indicators rather than global indicators.

### Sector Objective and Specific Objectives

According to the Communication on social protection, *the goal of EU development cooperation in supporting social protection is to improve equity and efficiency in provision, while supporting social inclusion and cohesion, as the essential underpinnings of inclusive, sustainable growth and poverty reduction.*

This goal springs naturally from the fundamental values of the European Union. EU development cooperation will support partner countries in facing the challenges to design social protection

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<sup>24</sup> COM(2012)446, Council Conclusions 14538/12

<sup>25</sup> [http://www.ilo.org/wcmsp5/groups/public/---ed\\_norm/---relconf/documents/meetingdocument/wcms\\_183326.pdf](http://www.ilo.org/wcmsp5/groups/public/---ed_norm/---relconf/documents/meetingdocument/wcms_183326.pdf)

programmes that have better coverage – and hence address equity issues - and to operate them with greater efficiency and in ways that are fiscally feasible and sustainable.

The **overall objective** of social protection policies is very often formulated in terms of reduced poverty and reduced vulnerability (i.e. the risk of falling into poverty). These generic terms are often expressed or re-defined in terms of improving equity, itself re-defined as access to services and/or well-being of the poor and of vulnerable populations and increased resilience/ability to cope with risks and shocks. A third element that characterises the goals of comprehensive, programmatic or strategic approaches to social protection is improving livelihoods, sometimes characterised in terms of increasing opportunities for economic participation and/or employment. A further over-arching objective of improved social inclusion and social cohesion is sometimes added. Ideally, the overall objective will be derived from national policy and strategy.

**Specific objectives** should refer to specific aspects of the overall strategy. Their achievement is measured with performance indicators. In general, specific objectives should be set with regard to the institutional capacity and management of the social protection system, its design and management (including legal framework) and, thirdly, its coverage and performance (delivery). Examples for specific objectives of social protection sector interventions may be:

SO1: To strengthen the institutional capacity of national stakeholders to set up the strategic, policy, legal and institutional social protection framework.

SO2: To improve the effectiveness, efficiency, financial sustainability, transparency and accountability of the social protection system.

SO3: To widen coverage and improve access of the poor and vulnerable to social benefits and basic social services;

### **Expected Results**

As already mentioned, effective social protection policy must be rooted in a specific national/local context. Expected results of EU support will therefore need to be adapted to specific situations. Examples of results (outcomes) may be:

O1 (linked to SO1/2): Enhanced capacity of the public administration agency/ministry in charge of social protection and other relevant stakeholders to develop, implement, finance, coordinate, monitor and evaluate the social protection system/programme.

O2 (linked to SO2): The necessary management tools, such as management information systems (e.g. beneficiary/contributors registries) and costing tools are developed and relevant staff trained to use and update them.

O3 (linked to SO3): Effective social protection floor in place

The table below presents relevant outputs for each of the above outcomes as well as proposals for indicators.

Expected Results	Indicators	Data Sources
<p><u>Outcome 1</u> - Enhanced capacity of the public administration agency/ministry in charge of social protection and other relevant stakeholders to develop, implement, finance, coordinate, monitor and evaluate the social protection system/programme</p> <p><u>Output O1.1</u> - Social service centres functioning with trained staff</p> <p><u>Outcome 2</u> - The necessary management tools, such as management information systems (e.g. beneficiary/contributors registries) and costing tools are developed and relevant staff trained to use and update them</p> <p><u>Output O2.1</u> – Quantity of staff trained on management tools</p> <p><u>Outcome 3</u> - Effective Social Protection Floor in place</p> <p><u>Output O3.1</u> - Coverage of the social security fund extended to people earning their living in the informal sector.</p> <p><u>Output O3.2</u> - Appropriate, timely and predictable social transfers received by poor and vulnerable households.</p>	<p><u>Outcome indicator</u>            -Number of beneficiaries as % of the population (disaggregated by age, sex, location, poor, people with disabilities, etc).            -Percentage of eligible recipients not covered</p> <p><u>Output indicators</u>            -Number of social service centres            -Number of staff / social workers trained            - Number of beneficiaries served per social worker</p> <p><u>Outcome indicators</u>            -Number of beneficiaries as % of the population (disaggregated by age, sex, location, poor, people with disabilities, etc).            -Percentage of eligible recipients not covered</p> <p><u>Output indicators</u>            -Number of staff / social workers trained</p> <p><u>Outcome indicators</u> coverage of benefits by population group, e.g.            -Percentage of the population having access to predictable cash benefits in case of need            -Percentage of older people receiving pensions            -Percentage of people with disabilities receiving benefits            -Percentage of the population having effective access to affordable health services            -Percentage of school age girls and boys having effective access to universal, free primary and secondary education</p> <p><u>Output indicators</u>            -Number of clients served disaggregated by age, sex, location, etc.            -Number of benefits paid</p> <p><u>Output indicators</u>            -Number of benefits paid            -Number of beneficiaries as % of the population (disaggregated by age, sex, location, poor, people</p>	<p>ILO, WB, OCDE reports</p> <p>National Economic, Financial, Social Welfare, Labour, National Statistics, Survey Reports, Population Census Data</p>

	with disabilities, etc). -Number of beneficiaries as % of all eligible beneficiaries (target group) for a given programme -Percentage of eligible recipients not covered	
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**Data Sources**

The identification of performance indicators has to be made within the context of data availability. When identifying indicators, it is important to keep in mind whether one can access relevant data at reasonable cost that allow monitoring the selected indicators. Depending on the type of indicator, the data source differs. There are basically four different types of data: administrative data; survey data; population census data; and qualitative data. The availability of each is country specific.

**Cross cutting issues** Indicators integrating climate change and environment for this sector can be found in Annex 1.

## Indicator Guidance Note – Health Sector

### Background

The new EU strategy to reducing poverty is outlined in the **Agenda for Change**. It acknowledges **health** as an important determinant of economic growth and development as it is one of the sectors, together with education and social protection, that "build the foundations for growth and help ensure that it is inclusive".

The EU has adopted a policy (2010) on **global health** that is outlined in a EC *Communication* that was approved in the *Council Conclusions: "The EU role in Global Health"* (2010)<sup>26</sup>; there is no single definition for global health, as it is about worldwide *improvement of health, reduction of disparities, and protection against global health threats*. The EC *Staff Working Document: "Contributing to Universal Coverage of health services through development policy"*<sup>27</sup> complements "The EU role in Global Health" in elaborating on specific objectives for EU support to health in third countries, especially in **reducing health inequalities** and in progressing towards **universal coverage** by health services in partner countries.

The European Commission is committed to apply **aid effectiveness principles** in its development cooperation. The Commission is signatory to the **International Health Partnership** (IHP+) which applies aid effectiveness principles to the health sector and promotes the alignment to and support of a *national health plan, one national health budget and one national monitoring system* for health; tools and manuals are developed. The **Joint Assessment of National Health Strategies and Plans (JANS<sup>28</sup>)** is used in countries interested.

Given the broad possible scope of health interventions, health sector monitoring involves a broad range of indicators. In the past decade, indicators from the **Millennium Development Goals** have been extensively used in the context of effective aid (see throughout this note and in Annex 3). The **WHO** is leading in developing concepts, guidelines and classifications in health statistics. Impact, outcome, output and input indicators that are referred to in this guidance note are all internationally recognized. WHO released a **Compendium of Health Indicators** in 2012<sup>29</sup> that is our first reference; it lists more than 100 indicators related to health status, health systems resources, health service coverage, health system resources and risk factors. Each indicator is reviewed in details and

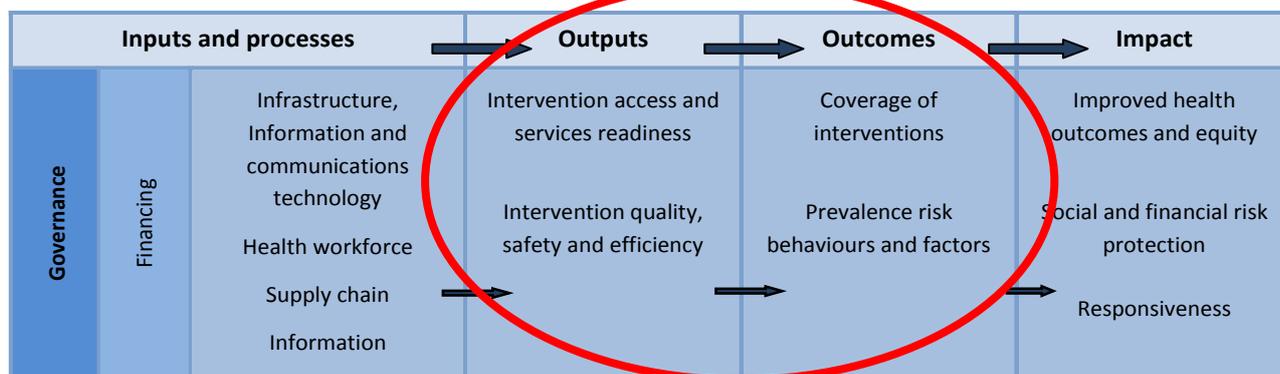
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<sup>26</sup> Commission COM (2010) 128 final, Council Conclusions (2010): "The EU role in Global Health"  
[http://ec.europa.eu/development/icenter/repository/COMM\\_PDF\\_COM\\_2010\\_0128\\_EN.PDF](http://ec.europa.eu/development/icenter/repository/COMM_PDF_COM_2010_0128_EN.PDF)

<sup>27</sup> Commission SWD SEC (2010) 382 final: "Contributing to Universal Coverage of health services through development policy" (accompanying document to "the EU role in Global health")  
[http://ec.europa.eu/development/icenter/repository/SEC2010\\_382\\_EN.pdf](http://ec.europa.eu/development/icenter/repository/SEC2010_382_EN.pdf)

<sup>28</sup> The JANS <http://www.internationalhealthpartnership.net/en/tools/jans-tool-and-guidelines/> provides valuable information on the quality, soundness and robustness of a health sector strategy, helping to establish confidence in the national strategy for predictable and aligned funding of partners. It has been implemented in several countries: Nepal, Ethiopia, Uganda, Ghana, Kyrgyzstan and Vietnam: <http://www.internationalhealthpartnership.net/en/results-evidence/jans-lessons/>

<sup>29</sup> [http://www.who.int/gho/publications/world\\_health\\_statistics/WHS2012\\_IndicatorCompendium.pdf](http://www.who.int/gho/publications/world_health_statistics/WHS2012_IndicatorCompendium.pdf)



**Table 1. Chain of results** - Source: IHP+ and WHO (2011), "Monitoring, Evaluation and review of national health strategies" (cited above)

the compendium provides among others **methodological information** and **data sources**. Another excellent reference is the manual prepared by IHP+ and WHO<sup>30</sup>.

**Internationally agreed indicators** at impact level measure the consequences of the outcomes in terms of wider objectives (such as better health); prevalence, mortality and incidence rates. They are best measured on the medium- to long-term and many reflect composite results of improvements across sectors which are not sufficiently health-specific to measure health sector specific performance (with the exception of maternal and neonatal mortality, for example).

**Related to health status:**

- **Life expectancy at birth**
- **Under-five mortality rate:** proportion of children (in a country or a region) who are born alive but who will die before their 5<sup>th</sup> birthday (**MDG 4.1**)
- **Infant mortality rate:** proportion of babies born alive but who will die before age 1 per 1000 live births (**MDG 4.2**)
- **Maternal mortality rate:** number of women who die (due to pregnancy-related causes) during pregnancy and childbirth per 100,000 live births (**MDG 5.1**)
- **Mortality rate by major cause of death, by age and sex**

**Related to financial risk protection:**

**Out of pocket expenditure as % of total health expenditure** (catastrophic health expenses)

**Related to health sector responsiveness:**

User satisfaction

**Health outcome indicators are related to use and access to the services.** The examples of indicators below are typically indicative of **coverage of the interventions** or of **prevalence risks behaviours and factors**. They are composite of different actions' and interventions' results, and attribution of results between several "contributors" is indicative. They are best measured on the medium-term. For example:

**Access to quality health services**

<sup>30</sup> IHP+ and WHO (2011), "Monitoring, evaluation and review of national health strategies. A country-led platform for information and accountability", Geneva, Switzerland.

[http://www.internationalhealthpartnership.net/fileadmin/uploads/ihp/Documents/Tools/Guidance\\_for\\_monitoring\\_NHS/Monitoring%20&%20evaluation%20of%20national%20health%20strategies.pdf](http://www.internationalhealthpartnership.net/fileadmin/uploads/ihp/Documents/Tools/Guidance_for_monitoring_NHS/Monitoring%20&%20evaluation%20of%20national%20health%20strategies.pdf)

Also have a look at GFATM – M&E toolkit, especially Part 5 **Health and Community systems strengthening:**  
<http://www.theglobalfund.org/en/me/documents/toolkit/>

- **skilled birth attendance:** the proportion of live births attended by skilled health personnel. This is also a proxy indicator for the "maternal mortality rate" impact indicator that lacks availability of data (**MDG 5.2**)
- **children with acute respiratory infection taken to health facility** (and received antibiotics)
- **contraceptive prevalence: or percentage of need for family planning satisfied:** proportion of women of reproductive age who are using (or whose partner is using) a contraceptive method at a given point in time. It is used as a proxy measure of access to reproductive health services (**MDG 5.3**)
- **proportion of pregnant women who received at least one antenatal care consultation (or any other elected antenatal care package) (MDG 5.5)**
- **TB case detection**
- **cervical or breast cancer screening** (20-64 years)
- **immunization coverage (MDG 4.3),** for example % of under-5 population fully immunized

#### Protection against global health threats

- **children under 5 (and pregnant women) sleeping under long-lasting ITN (Insecticide Treated Net) (MDG 6.7)**
- **HIV prevalence among population aged 15-24 years (MDG 6.1)**
- **condom use at last high-risk sex (15-24) (MDG 6.2)**

#### Sector Objective and Specific Objectives

At country level, it is recommended to adopt a systematic approach taking into account that:

-“**Development strategies led by the partner country** will continue to frame the EU development cooperation in line with the principles of ownership and partnership” (AfC, 2011) , and the choice of objectives and indicators related to EU aid will be in line with the existing national policies, data and indicators.

-Interventions in the **health sector** may be very different in nature; consequently, a wider range of various specific objectives, expected results and indicators than those in this note is anticipated;

In line with the Agenda for Change and the EC Communication on the EU Role in Global Health, the health sector has the following main and specific objectives:

**Sector's main objective:** to improve health **outcomes** for all (AfC).

**The specific objectives** (AfC) are:

- SO1: to strengthen and further develop health systems,
- SO2: to reduce inequalities in access to quality health services,
- SO3: to promote policy coherence,
- SO4: to increase the protection against global health threats.

Country sector objectives as indicated in the National and Sectoral Development Plans are the priority, and programme objectives should be aligned to nationally defined health sector objectives.

## Expected Results and linked Indicators

The four specific objectives of the AfC give way to a wide range of specific results for which relevant indicators are defined.

It should be noted that **output indicators** are related to the **provision of goods or services**. They measure the immediate and concrete consequences of the resources used and measures taken. They also are useful in understanding outcome and impact indicators. Output indicators<sup>31</sup> are very specific to the country situation and to the programme that is being developed or implemented. Output indicators can be measured annually. Where relevant and possible, indicators should be disaggregated by region, wealth quintile and sex to be able to reflect potential inequalities.

EXPECTED RESULT	INDICATORS	DATA SOURCES
<b>SO 1 - To strengthen and further develop health systems</b>		
<u>Outcome level</u> <b>Access to quality health services has increased</b>	<u>Outcome indicators</u> <ul style="list-style-type: none"> <li>▫ skilled birth attendance</li> <li>▫ contraceptive prevalence</li> <li>▫ proportion of pregnant women who received at least one antenatal care consultation (or any other elected antenatal care package)</li> </ul> <b>Indicators measured by sex, region, wealth quintile</b>	Civil registration National Health Information System Facility reporting system Household surveys
<u>Output level</u> <b>Improved organization and management of services</b>	<u>Output indicators</u> <ul style="list-style-type: none"> <li>▫ referral system established</li> <li>▫ appropriate guidelines enforced</li> <li>▫ staff trained</li> </ul>	Civil registration National Health Information System Facility reporting system Surveys Routine surveillance system National TB program
<u>Output level</u> <b>Optimized health workforce skills and distribution</b>	<u>Output indicators</u> <ul style="list-style-type: none"> <li>▫ density of health professionals per region</li> <li>▫ number of health professionals trained</li> <li>▫ innovative remuneration schemes pilot-tested in x provinces</li> <li>▫ existence of costed / prioritised human resources management / development plan</li> <li>▫ number of health workers newly recruited over the past 12 months at PHC level</li> <li>▫ number of days of health workers absenteeism</li> <li>▫ annual number of graduates of health professions from educational institutions per 100.000 population</li> </ul>	
<u>Output level</u>	<u>Output indicators</u>	

<sup>31</sup> Also refer to the six building blocks towards health systems strengthening, as defined by WHO; [http://www.who.int/healthinfo/systems/WHO\\_MBHSS\\_2010\\_full\\_web.pdf](http://www.who.int/healthinfo/systems/WHO_MBHSS_2010_full_web.pdf) This handbook also provides indicators and data collection methods

EXPECTED RESULT	INDICATORS	DATA SOURCES
Quality of Service has improved	<ul style="list-style-type: none"> <li>▫ 30-day hospital case fatality rate acute myocardial infarction</li> <li>▫ waiting time to elective surgeries</li> <li>▫ surgical wound infection rate</li> <li>▫ TB treatment success rate</li> </ul>	
<b>SO 2 –To reduce inequalities in access to health services</b>		
<b>Output level</b> Better health sector governance	<b>Output indicators</b> <ul style="list-style-type: none"> <li>▫ national essential drugs policy is updated</li> <li>▫ health budget allocation formula amended for increased equity amongst regions</li> <li>▫ MoH mid-level managers trained in health planning / management / ...</li> </ul>	
<b>Output level</b> Service access and/or readiness has improved	<b>Output indicators</b> <ul style="list-style-type: none"> <li>▫ level of use of services: outpatient visits per person per year</li> <li>▫ number of facilities providing integrated sexual reproductive health and HIV services</li> <li>▫ SRH or antenatal visits per year per region</li> <li>▫ general or specific service readiness score for health facilities</li> <li>▫ average availability of 14 selected essential medicines in public and private health facilities</li> <li>▫ treatment guidelines reinforced and health professional retrained on the topic</li> </ul> <p><b>Where relevant, indicators are to be disaggregated by sex, region, wealth quintile</b></p>	Civil registration National Health Information System Facility reporting system Household surveys
<b>SO 4 – To increase the protection against global health threats<sup>32</sup></b>		
<b>HIV/AIDS</b>		
<b>Outcome level</b> Increased population coverage by prevention measures against HIV/AIDS	<b>Outcome indicators</b> <ul style="list-style-type: none"> <li>▫ Percentage of young women and men aged 15–24 years who have had sexual intercourse before the age of 15 years</li> <li>▫ Percentage of women and men aged 15–49 years who have had sexual intercourse with more than one partner in the last 12 months</li> <li>▫ Percentage of people who inject drugs who reported the use of a condom the last time they had sexual intercourse</li> </ul>	UN MDG database National Health Information System

<sup>32</sup> Source for the three diseases HIV/AIDS, malaria and TB: GFATM – M&E toolkit : <http://www.theglobalfund.org/en/me/documents/toolkit/>

EXPECTED RESULT	INDICATORS	DATA SOURCES
	<ul style="list-style-type: none"> <li>▫ HIV prevalence among population aged 15-24 years (MDG 6.1)</li> <li>▫ Condom use (at last high-risk sex) (MDG 6.2)</li> <li>▫ Proportion of population aged 15-24 years with comprehensive correct knowledge of HIV/AIDS (MDG 6.3)</li> <li>▫ (Number and) percentage of key populations reached with HIV prevention programs</li> </ul>	<ul style="list-style-type: none"> <li>Facility reporting system</li> <li>Household surveys</li> <li>Special surveys</li> <li>Routine surveillance system</li> <li>National HIV/AIDS program</li> </ul>
<p><b><u>Output level</u></b></p> <p>Measures for HIV/AIDS prevention and better access to treatment are taken</p>	<p><b><u>Output indicators</u></b></p> <ul style="list-style-type: none"> <li>▫ Number of syringes distributed per person who injects drugs per year</li> <li>▫ Number of pregnant women attending ANC whose male partner was tested for HIV</li> <li>▫ Number of pregnant women who know their HIV status results</li> <li>▫ Number of eligible adults and children currently receiving antiretroviral therapy</li> <li>▫ Percentage of health facilities dispensing antiretroviral therapy that have experienced a stock-out of at least one required antiretroviral drug in the last 12 months</li> </ul>	
<b>MALARIA</b>		
<p><b><u>Outcome level</u></b></p> <p>Increased population coverage by prevention measures against malaria</p>	<p><b><u>Outcome indicators</u></b></p> <ul style="list-style-type: none"> <li>▫ Incidence and death rates associated with malaria (MDG 6.6)</li> <li>▫ Percentage of &lt;5 who slept under an ITN (MDG 6.7)</li> <li>▫ Percentage of houses sprayed</li> <li>▫ Percentage of women who received IPTp</li> <li>▫ Percentage of fevers tested</li> <li>▫ Percentage of cases treated with artemisinin combination therapy (ACT)</li> <li>▫ Proportion of children under 5 with fever who are treated with appropriate anti-malarial drugs (MDG 6.8)</li> </ul>	<ul style="list-style-type: none"> <li>Civil and vital registration</li> <li>UN MDG Database</li> <li>National Health Information System</li> <li>Facility reporting system</li> </ul>
<p><b><u>Output level</u></b></p> <p>Measures for malaria prevention are taken</p>	<p><b><u>Output indicators</u></b></p> <ul style="list-style-type: none"> <li>▫ Number of Insecticide Treated Nets (ITN) distributed</li> <li>▫ Number of households sprayed</li> <li>▫ Number of women receiving Intermittent Preventive Treatments (IPT)</li> <li>▫ Number of Rapid Diagnostic Tests/slides taken</li> </ul>	<ul style="list-style-type: none"> <li>Household surveys</li> <li>Routine surveillance system</li> <li>National malaria program</li> </ul>

EXPECTED RESULT	INDICATORS	DATA SOURCES
	<ul style="list-style-type: none"> <li>▫ Number of received antimalarials</li> </ul>	
<b>TB</b>		
<p><b><u>Outcome level</u></b></p> <p>Increased population access to TB prevention measures and treatments</p>	<p><b><u>Outcome indicators</u></b></p> <ul style="list-style-type: none"> <li>▫ Incidence, prevalence and death rates associated with tuberculosis (<b>MDG 6.9</b>)</li> <li>▫ Proportion of tuberculosis cases detected and cured under directly observed treatment short course (<b>MDG 6.10</b>)</li> <li>▫ Treatment success rate, new smear positive TB</li> <li>▫ TB case detection rate for new smear-positive cases (%)</li> </ul>	<p>Civil and vital registration</p> <p>UN MDG database</p> <p>National Health Information System</p> <p>Facility reporting system</p> <p>Household surveys</p>
<p><b><u>Output level</u></b></p> <p>Adequate TB treatments are available</p>	<p><b><u>Output indicators</u></b></p> <ul style="list-style-type: none"> <li>▫ Stock-outs of first-line anti-TB drugs</li> <li>▫ TB cases with result for drug susceptibility testing</li> <li>▫ Private and public health providers collaborating with the national TB program (number and percentage)</li> <li>▫ Notification rate of all forms of TB cases</li> </ul>	<p>Routine surveillance system</p> <p>National TB program</p>
<b>NON-COMMUNICABLE DISEASES (NCD)</b>		
<p><b><u>Impact</u></b></p> <p>Premature mortality from NCD is reduced</p> <p><b><u>Outcome level</u></b></p> <p>Increased population access to NCD preventive, screening, treatment and palliative services</p>	<p><b><u>Outcome indicator</u></b></p> <ul style="list-style-type: none"> <li>▫ Proportion of women between the ages of 30–49 screened for <b>cervical cancer</b> at least once, or more often, and for lower or higher age groups according to national programmes or policies</li> </ul> <p><b><u>Output indicators</u></b></p> <ul style="list-style-type: none"> <li>▫ <b>Availability</b> and affordability of quality, safe and effective essential <b>NCD medicines</b>, including generics, <b>and basic technologies</b> in both public and private facilities</li> </ul>	<p>Civil and vital registration</p> <p>National Health Information System</p> <p>Facility reporting system</p> <p>Routine surveillance system</p>

**Cross cutting issues** Indicators integrating climate change and environment for this sector can be found in Annex 1. Additional indicators on institutionalising environment and climate change mainstreaming in a sector like health can be found in the “Environment and Climate Change Governance” Note.

## Indicator Guidance Note – Education Sector

### Background

Education is central to poverty reduction and sustainable development. Education is critical for giving young people the opportunity to learn the knowledge and skills to be active members of an evolving society. According to the EU's **Agenda for Change**, education builds the foundations for "inclusive and sustainable growth for human development".

The **EU policy on education** dates to 2002 with the 'Communication on education and training in the context of poverty reduction in developing countries'. This Communication prioritized Community support to basic education, in particular primary education and teacher training, work related training and higher education.

The **Commission Staff Working Document – "More and Better Education in Developing Countries"**<sup>33</sup> of 2010 elaborates on the main challenges for equal access and quality of education. It underlines that despite great achievements for Universal Primary Education still millions of children in developing countries do not have access to education and millions of children those that are in school are leaving school without basic skills due to a lack of quality education or early drop out and a wide range of other related factors – such as problems with equity, infrastructure, labour market opportunities, child labour etc. As it states: "[A better education] requires an enabling environment both in and out of school, including nutritional and health aspects, a relevant curriculum, school leadership, community involvement and accountability. Teachers are key and there are significant shortcomings to overcome in both the quantity and quality of teachers if universal primary education is to be achieved by 2015".

In addition the document underlines the need for 1) joint working on a whole sector approach (covering all sub-sectors, which starts with early childhood development, embraces lifelong learning and strengthens links between education and the world of work); 2) appropriate links with other sectors; and 3) enlargement and/or expansion of the range of available financing possibilities.

The main internationally agreed indicators in the education sector emanate from the **Millennium Development Goals** (in particular goals 2 and 3) as well as the **Education for All goals** (see Annex 4).

The following definitions of the sector objectives, expected results and indicators have the Agenda for Change as a starting point. In practice however, these definitions are only indicative, because, as the Agenda for Change emphasises, "**development strategies led by the partner country will continue to frame EU development cooperation in line with the principles of ownership and partnership**". The country sector objectives as indicated in the National and Sectoral development Plans are the priority, and programme objectives should be aligned to nationally defined education sector objectives. The choice of objectives and indicators related to EU aid will be in line with the existing national policies, data and indicators.

Secondly, the education sector is very broad and as interventions will likely be converging towards education systems strengthening, they might be very different in nature, and a wide range of various specific objectives, expected results and indicators is anticipated.

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<sup>33</sup> SEC(2010) 121 final

Lastly, the choice of suitable indicators requires education expertise so as to ensure realistic and appropriate measurement of results. While some indicators put forth in this note, including the internationally agreed goals, provide guidance to the European Commission and the development community more broadly, they only provide the basic minimum needed to establish a well-functioning education system. As such, monitoring education needs to be country-specific, project-specific, and even donor-specific to some extent, which depends on the country's M&E systems, the implemented interventions and the availability, quality and timeliness of information.

### **Education Sector Objectives**

The Agenda for Change sets the objective for the EU to take a more comprehensive approach to human development: "The EU should enhance its support for quality education to give young people the knowledge and skills to be active members of an evolving society. Through capacity-building and exchange of knowledge, the EU should support vocational training for employability and capacity to carry out and use the results of research". Moreover the EU aims to use its range of aid instruments, notably 'sector reform contracts' with intensified policy dialogue.

Building on the Agenda for Change and the Staff Working Document "More and Better Education in Developing Countries" the EU aims to pursue a balanced approach in the education sector. Central to this approach is the need to improve the equity and quality of education next to improving the access.

#### **Sector's specific objectives:**

- **SO1 - Improve access to education**
- **SO 2- Reduce inequalities in education**
- **SO 3 - Improve quality education and strengthen and further develop education systems**

### **Expected Results, linked Indicators and Data Sources**

This section provides examples of important expected results linked to the objectives identified above and key indicators for each. These are internationally agreed and monitored indicators and they are distinguished between output and outcome levels.

**Education outcome indicators - related to use and access to the services:** Outcome indicators measure results at the level of beneficiaries. This particularly concerns access to education (i.e. intake and enrolment rates) and efficiency (e.g. progression and completion rates) of the education system. These indicators at minimum should be broken down by gender and regions (rural, urban, and metropolitan) to give a good indication of both the gender and geographical equity of the school system. Expanding coverage by other factors of disadvantage (e.g., language, ethnicity) would further enhance monitoring ability of outcome indicators. Education outcomes relate to the likely or achieved short-term and medium-term effects of an intervention's outputs.

**Education output indicators - related to the provision of services:** measure the immediate and concrete consequences of the resources used and measures taken; this includes infrastructure, human resources and the availability of pedagogic materials. They give an indication of the education

system's capacity, which has a direct impact on the quality of the education provided (e.g. pupil/teacher ratio, book/pupil ratio, teacher/class ratio) and the sustainability of the school system (e.g. level of teacher salaries, importance of private schools, etc.). These indicators at minimum should be broken down by regions (e.g., rural, urban, administrative units, metropolitan areas) to pinpoint subnational discrepancies, thus giving a good indication of the geographical equity of the school system. Output indicators are very specific to the country situation and to the programme that is being developed or implemented. Output indicators can be measured annually.

EXPECTED RESULTS	INDICATORS	DATA SOURCES <sup>34</sup>
<b>SO 1 - Improve access to education</b>		
<u>Outcome level</u>  Increased access to education	-Net intake rate -Net attendance rate -Adjusted net enrolment ratios – MDG 2/EFA -Number of out of school children -Gross intake rate -Age specific enrolment ratio	UN Millennium Development Goal Database  EFA – Global Monitoring Report (including the World Inequality Database on Education (WIDE))  UIS (UNESCO Institute for Statistics)  National statistical offices
<u>Output level</u>  Increased availability of school infrastructure and personnel	-Number of schools constructed -Number of teachers and school managers trained	Country data/ with project support
<u>Output level</u>  Increased school affordability of education	-Number of Capitation grants provided and/or increased amount	Country data/ with project support
<u>Output level</u>  Increased household affordability of education	-Number of Household grants provided and/or increase amount	International and national household surveys.  Country data/ with project support

<sup>34</sup> Annex 4 contains more information about the variety of international, regional and national databases available.

<b>SO 2 – Reduce inequalities in education</b>		
<u>Outcome level</u>  Improved equity for a targeted population (e.g., girls (parity required) , language/ethnic minority, nomadic tribe, rural population, slums, health/disability, income) in access/progression/ completion/ governance <sup>35</sup>	- Cost of education (i.e. fees, materials/equipment, lunches etc) as a % of household expenditure. - Cost per pupil as a % of income per capita - Ratio of Gross Enrolment Rate of girls to boys in primary, secondary and vocational education – <b>MDG 3/EFA</b> - Gender parity index of access/progress/completion - Enrolment Ratio of other disadvantaged groups, rural/urban etc. compared to x% of population for primary, secondary and tertiary education.	UN Millennium Development Goal Database  EFA – Global Monitoring Report (especially the World Inequality Database on Education (WIDE))  UIS EFA monitoring report
<u>Output Level</u>  Improved inclusive teaching and community involvement for target group(s)	- Number of community groups formed to support the access to education for children from key target group(s) - Number of teachers educated with special education training <sup>36</sup>	Country data/ with project support
<u>Output Level</u>  Barriers decreased for female students’ schooling	- Number of female teachers - Number of school latrines constructed <sup>37</sup>	UIS National statistical offices
<b>SO3 – Improve quality of education and strengthen and further develop education system</b>		
<u>Outcome level</u>  Improved quality, including good school management	- Pupil/ trained teacher ratio - Rate of double shifting - Average qualification of teachers at each educational level - Survival rates - Completion rates - Transition rates to secondary education - Standardized exam results - Teacher and pupil absenteeism rates	UIS EFA monitoring report (including the World Inequality Database on Education (WIDE))

<sup>35</sup> The indicators for increasing access to education, in the first line of this table, can also be broken down by certain target groups.

<sup>36</sup> Relevant for special needs.

<sup>37</sup> Only relevant for girls.

	<ul style="list-style-type: none"> <li>-Dropout rates</li> <li>-Teaching staff % trained</li> <li>-Pupil/textbook ratio</li> <li>-Average class size</li> <li>-Teacher turnover/attrition rate</li> <li>-Teacher salary as a percentage of GDP per capita, where necessary making a distinction between civil servants and contractual teachers</li> <li>-Existence of standards for teacher qualifications</li> <li>-Percentage of new entrants to primary education with Early - Childhood Care Education experience</li> <li>-Number of reliable and useful education data releases to key education planners and managers per year</li> <li>-Ratio of public spending on education to total public spending</li> <li>-Ratio of actual disbursements in education sector to planned disbursements</li> </ul>	<p>EFA monitoring report International Bureau of Education OECD DAC National statistical offices</p>
<p><u>Output level</u></p> <p>Improved availability of quality teaching and materials</p>	<ul style="list-style-type: none"> <li>-Number of teachers/ head teachers trained/certified</li> <li>-Number of textbooks provided</li> <li>-Number of teaching hours</li> </ul>	<p>UIS EFA monitoring report National statistical offices</p>
<p><u>Output level</u></p> <p>Improved governance of education</p>	<ul style="list-style-type: none"> <li>-Existence of sub-sector policies (in early childhood-, pre-primary-, secondary-, higher, technical/vocational- and adult education).</li> <li>-Annual Sector Reviews</li> </ul>	<p>Annual Sector Review meetings' minutes</p>

### **Data Sources**

This guidance paper serves as a starting point for further enquiry on education indicators. Availability and validity of data are key aspects for the selection of monitoring indicators. See appendix 4 for a list of complementary international key data sources. Other data sources should be considered from at the country level starting with information from the Education Management Information System as well as programme/project surveys, household surveys, national literacy assessments, censuses, etc.

**Cross cutting issues** Indicators integrating climate change and environment for this sector can be found in Annex 1. Additional indicators on institutionalising environment and climate change mainstreaming in a sector like education can be found in the “Environment and Climate Change Governance” Note.

## Indicator Guidance Note – Employment

### Background

Employment should be seen both as **a sector of cooperation** in itself and **an objective** that should be integrated into actions in other sectors such as private sector development, rural development, infrastructure and other social sectors such as education and health.

Within Agenda for Change, employment is a fundament of inclusive growth that is "characterised by current and future generation's ability to participate in, and benefit from, wealth and job creation". Reference is made to "the promotion of decent work covering job creation, guarantee of rights at work, social protection, and social dialogue. It also states that "the EU should support the decent work agenda, social protection schemes and floors and encourage policies to facilitate regional labour mobility".

The main policy document governing employment within EU development cooperation is a **Staff Working Paper from 2007 Promoting Employment and Decent Work in Developing Countries** and its associated Council Conclusions. The Council Conclusions stress the need to step up efforts to promote more and better employment through development cooperation, in particular through strengthening dialogue with partner countries on employment and other areas of decent work, supporting employment promotion as a cross-cutting issue in other areas of development cooperation, and to improve employability and productivity of workers in developing countries.

The recent EC Communication on **Social Protection in EU Development Cooperation** and associated council conclusions make also specific reference to employment " Effective social protection should also include or be closely associated with measures that enable beneficiaries to participate in productive economic activity and employment." and "The EU should support national governments to develop employment programmes, job creation schemes, and support for entrepreneurship. It should also support social dialogue and labour standards in line with the Decent Work Agenda and the provision of social protection in the context of highly informal labour markets, including innovative approaches such as micro-insurance schemes. The EU should also support national programmes to improve the employment opportunities of vulnerable and marginalised groups, such as persons with disabilities."

Employment was included into the Millennium Development Goals framework in 2005 in form of a specific target under MDG1: Target 1B Achieve full and productive employment and decent work for all, including women and young people.

### Sector Objective and Specific Objectives

The starting point for a discussion on sector objectives in the field of employment should be the MDG Target *Achieve full and productive employment and decent work for all*.

It is important to note that in a developing country context, the creation of more jobs is not enough as an objective for employment actions. This is for at least two reasons. Firstly, jobs might be difficult to define as wage employment is not the norm in developing countries and many people are generating income from several different sources and activities. Secondly, what matters for most people in developing countries is **the quality of the job** (or the work they are carrying out to

generate income), rather than that they are a having job (as most people need to carry out some work to generate income for their subsistence). The quality of jobs is about avoiding poverty for many people, about wages and productivity, it is about rights, protection, and safety, and it is about having access to permanent and secure jobs. Most jobs in developing countries are not good, or decent, but the quality of jobs may vary significantly between different workers.

A typical **sector objective** for an employment-related action, may then be *the creation of more decent jobs* in many respects, such as for example expanding (decent) employment opportunities, improving the productive capacity and employability of workers, improving legal and social protection of workers, and strengthening the voice of workers.

### **Expected Results**

A discussion on expected results in relation to employment objectives will need to start from an analysis of "*binding constraints*" for the creation of more decent jobs. These constraints are likely to vary significantly between countries at different levels of development and between different economic sectors, be it formal or informal economic sectors, or agriculture.

Expected results would also need to distinguish between specific employment policy objectives and employment-related objectives in other areas of development.

A first main issue is to which extent employment objectives are incorporated in national development plans or if a specific national employment policy exists (or needs to be elaborated).

A second major issue is to assess which sectors will be able to create more (decent) jobs and to which extent economic sector strategies (such as tourism, construction, manufacturing and food processing) have integrated an employment perspective.

Specific results would then need to be developed for the different constraints and for the different policy areas that should be addressed by an action. This will range over a large number of issues depending on the context. **Some of the most typical expected results will include** (note that this is only an indicative list):

- Government committed to employment policy objectives
- Improved capacity of public employment services, including improved labour market information systems to develop an evidence-based employment policy
- Direct and indirect job creation

### **Indicators**

Given the importance of the quality of jobs in developing countries, it is not enough with one indicator stating that more jobs have been created or that unemployment has decreased to be able to measure results in terms of (decent) employment creation. Instead, it is important to base the analysis on a set of indicators to capture both quantitative and qualitative aspects of employment. Within the framework of the MDGs, a composite of four indicators is used to monitor progress towards the **MDG Target 1B Achieve full and productive employment and decent work for all**,

including women and young people, (i) Labour productivity, (ii) Employment-to-population ratio, (iii) Working poverty, and (iv) Vulnerable employment.

The ILO has recently (within the framework of an EC-financed project) developed a manual for **Decent Work Indicators**<sup>38</sup> covering both legal framework indicators and quantitative statistical indicators in different areas of decent work such as employment opportunities, working poverty, work that should be abolished, equal opportunities, social protection and social dialogue. This is a good inspiration for an identification of indicators that measures qualitative aspects of employment. In a recent concept note the ILO has also proposed the identification of possible indicators and targets for the post-2015 development agenda<sup>39</sup>. These include improved livelihoods for the most vulnerable workers and households, increase in the proportion of good jobs, increased participation of women and youth in employment and overage and level of social protection floors.

Examples of **outcome and output indicators for the core areas of employment policy actions** are listed in the following table.

Expected Results	Indicators	Data Sources
<u>Outcome level</u> Government committed to employment policy objectives	<u>Outcome indicators</u> The existence of a national employment strategy or a strong section in the national development plan that approaches employment from a holistic cross-sector perspective	Government Documentation  ILO reports
<u>Output level</u> Labour legislation improved	<u>Output indicators</u> Number of amendments passed to improve labour legislation in line with ILO conventions and recommendations	
<u>Outcome level</u> Direct or indirect job creation	<u>Outcome indicators</u> The number of non-vulnerable jobs created  Number of participants who have found a (good <sup>40</sup> ) job x months after participating in a programme  Number of jobs created and formally registered with basic social protection coverage  Number of people lifted out of poverty through increased incomes from work	ILO, World Bank UN, OCDE, National Employment and Social Welfare Reports, National Statistics   National Public Employment Services Reports

<sup>38</sup> ILO (2012), Decent Work Indicators – Concepts and definitions.

<sup>39</sup> [http://www.ilo.org/wcmsp5/groups/public/--dgreports/---dcomm/documents/genericdocument/wcms\\_213309.pdg](http://www.ilo.org/wcmsp5/groups/public/--dgreports/---dcomm/documents/genericdocument/wcms_213309.pdg)

<sup>40</sup> Measured for example as jobs that bring workers out of poverty or jobs that are formally registered with basic social protection coverage.

<p><u>Output level</u> Development and implementation of active labour market measures</p>	<p><u>Output indicators</u> Numbers of programmes implemented</p> <p>Number of participants in active labour market programmes such as public works, wage subsidy, training or micro-finance programmes</p>	<p>Project information</p> <p>National Employment, Economic report</p>
<p><u>Output level</u> Better targeting of active labour market programmes.</p>	<p><u>Output indicators</u> Number of poor participants in active labour market programmes</p>	<p>National Statistics and Labour Survey reports</p>
<p><u>Outcome level</u> Improved labour market information systems and improved quality of analysis of survey results</p>	<p><u>Outcome indicators</u> Existence and regularity of labour force surveys (LFS)/ Existence of specific surveys on informal employment</p>	<p>National Statistics and Labour Survey reports</p>
	<p>Number of governments funded LFS produced over a time period</p>	<p>National Statistics and Labour Survey reports</p>
	<p>Number of governments funded surveys providing information on informal employment produced over a time period</p>	<p>National Statistics and Labour Survey reports</p>
	<p>Time between survey date and publication of statistics</p>	<p>National Statistics and Labour Survey reports</p>
	<p>Number of relevant indicators that are published regularly</p>	<p>Project information</p>
<p><u>Outcome level</u> Improved capacity of public employment services</p>	<p><u>Outcome indicators</u> Number of staff at public employment services</p>	
	<p>Number of job seekers divided by the number of staff employed at public employment services</p>	
<p><u>Output level</u> Higher amount of staff trained</p>	<p><u>Output indicators</u> The number of staff that has been trained within a programme or over a time period</p>	

**Cross cutting issues** Indicators integrating climate change, environment and fragile states for this sector can be found in Annex 1 and 2.

## Indicator Guidance Note - Migration and Asylum

### Background

Migration might be selected as focal sector at national level by countries where migration challenges are particularly relevant or by potential partners of cooperation frameworks with the EU such as the Mobility Partnerships (ENP region). In addition to the national level, a twin-track approach should be followed, namely to 1) incorporate a migration dimension into other sectors of intervention of CSPs where migration is a key feature (notably economic sectors such as agriculture, private sector development and employment) and 2) include migration as a priority area at regional level, notably to facilitate labour mobility and regional integration including border management as well as to address forced displacement.

*The Agenda for change* calls for "policies to facilitate **regional labour mobility**. The EU will support targeted efforts to fully exploit the interrelationship between migration, mobility and employment". Furthermore, migration is key in the framework of Policy coherence for development: "in terms of the **development-migration nexus**, the EU should assist developing countries in strengthening their policies, capacities and activities in the area of migration and mobility, with a view to maximising the development impact of the increased regional and global mobility of people".

The EU has developed in recent years a common migration policy whose external dimension is embedded in the Global Approach to Migration, renewed and broadened by the November 2011 Communication *Global Approach to Migration and Mobility*, welcomed by the Council in May 2012. The Global Approach to Migration and Mobility includes four pillars, namely 1) fight against irregular migration, smuggling and trafficking, 2) promotion of legal migration, 3) link between migration and development and 4) asylum and international protection.

There are no internationally agreed indicators in this sector.

### Sector Objective and Specific Objectives

The **overall objective** of migration related interventions is to *maximise the development impact of migration and mobility at regional and global level and to minimise its negative consequences*.

**Specific objectives** are:

SO 1) Enhance national, local and regional institutional capacities to manage migration in all its dimensions

SO 2) Promote protection of migrants' rights

### Expected Results and Indicators

#### National Level

Expected Results	Indicators	Data Sources
<b>SO 1 – Enhance national, local and regional institutional capacities to manage migration in all its dimensions</b>		
<u>Outcome</u> Enhanced capacity of the national authorities in charge of migration	Existence and status of national migration strategies Number of partner country's policy documents	IOM Project information

<p>to design, implement, coordinate and monitor a national migration strategy and sectoral migration policies (labour migration, border management, asylum, trafficking, remittances) in line with the specificities of the country and taking into account the interactions with other policy domains</p>	<p>related to policy areas other than migration where the migration dimension is incorporated</p> <p>Comprehensiveness of migration profile (all the migration related dimensions should be covered), level of ownership of the national government (involvement in the design or updating process), inclusion of up to dated data</p> <p>Number of bilateral agreements concluded between origin and destination countries</p> <p>Level of alignment with international standards on trafficking and asylum of national rules and practises</p> <p>Level of alignment of the national regulatory framework governing the remittances market with the general principles for international remittance services</p> <p>Frequency and effectiveness of policy dialogue on migration with the EU or among third countries</p>	<p>Project information</p> <p>IOM</p> <p>UNODC / UNHCR</p> <p>World Bank/ Central Bank</p>
<p><b>SO 2 – Promote protection of migrants’ rights</b></p>		
<p><u>Outcome</u></p> <p>Enhanced capacity of local authorities in third countries to provide services and information for potential migrants, accompany reintegration of returnees, promote links with diaspora organisations</p>	<p>Number of local authorities targeting migrants/refugees/returnees in their local strategies and service provision</p>	
<p><u>Output</u></p> <p>Improved awareness of migrants' rights as well as of available means of recourse against abuses and discrimination</p>	<p>Number of i) awareness raising campaigns that have taken place as a results of EuropeAid support and ii) people reached by those campaigns</p> <p>Number of centres set up or scaled up as a results of EuropeAid support and providing information and assistance to migrants</p>	<p>Project information</p> <p>Project information</p>

## Regional Level

Expected Results	Indicators	Data Source
<u>Outcome</u> Improved coordination and cooperation at regional level among all the relevant national authorities and agencies involved in the management and/or regulation of different migration related dimensions (border management, labour migration)	Number of border posts equipped and interconnected at regional level <sup>41</sup> as a result of EuropeAid support (output)  Number of arrangements in place between countries of origin and countries of destination to facilitate labour migration management and migrants workers' protection (outcome)  Number of coordination mechanisms set up to monitor the implementation of regional free movement arrangements as well as to sanction their violations	IOM/UNHCR  Project Information  IOM
<u>Output</u> Enhanced capacity of the relevant regional organisations to promote regional mobility	Number of national regulations and practises hindering regional free movement arrangements detected and amended  Number and effectiveness of regional dialogues on migration and mobility	Project information
<u>Outcome</u> Strengthened protection and assistance measures targeting migrants and refugees, including measures to ensure their access to fundamental rights and to public services in host societies and measures to assist and repatriate stranded migrants	Number of migrants and refugees with access to fundamental rights such as the right to work and right of free movement as well as to services such as school, justice, health  Number of i) awareness raising campaigns that have taken place at regional level as a result of EuropeAid support and ii) people reached by those campaigns (output)  Number of stranded migrants assisted to return and to reintegrate in their country of origin	IOM

### Mainstreaming the migration dimension into other sectors

Migration related results can be achieved through "pure" migration related interventions as well as through mainstreaming migration into other sectors, such as education, health, employment, private sector development, justice/protection of human rights. Possible outcomes are shown in the table below.

<sup>41</sup> Border posts of the same region are enabled to mutually exchange data and information.

<b>Expected Results</b>	<b>Indicators</b>	<b>Data Source</b>
<u>Outcome</u> Promoting access to health, education services for immigrants and refugees	% of immigrants/refugees having access to health services % of immigrants/refugees having access to primary and secondary education	Ministry of Health and Education/ IOM/ UNHCR
<u>Outcome</u> Mitigating brain drain in sensitive sectors (health and education)	% of skilled workers leaving the i) health and ii) education system due to emigration % of health staff temporarily returning to work in the health system of their origin country Number of national rules and practises on health human resources development and training that have been aligned with the WHO Code of conduct for ethical recruitment of health personnel	Ministry of Health and Education  WHO
<u>Outcome</u> Promoting equality of treatment between migrant workers and nationals of the host country	Wage disparities between nationals and immigrants % of refugees entitled to legally work in the host country % of returnees having access to targeted assistance from the employment services aimed at their reintegration in the labour market	IOM/ UNHCR
<u>Outcome</u> Increased contribution of diaspora to private sector development and to development of country of origin	Number of enterprises/businesses created using remittances or diaspora investment	World Bank/Central Bank

### **Data Sources**

International Organisation for Migration country reports, UNHCR country reports, International Labour Organisation reports, World Bank reports, data by National Statistical Offices, such as censuses; household surveys; labour force surveys; Central Bank data; reports of educational and health institutions; Diaspora Ministry; diaspora associations; trade unions and civil society organisations' reports all provide relevant data on asylum and migration. However, in some instances project level data will be required in order to be able to set baselines and monitor progress against indicators such as whether the reason for people leaving positions in the education or health system is as a result of migration.

**Cross cutting issues** Indicators integrating climate change, environment and fragile states for this sector can be found in Annex 1 and 2.

## Indicator Guidance Note - Sustainable Agriculture, Growth and Food & Nutrition Security

### Background

The **2010 EU policy framework on food security**<sup>42</sup> supports developing countries in addressing agriculture and food security challenges in a comprehensive manner. This has been recently bolstered by subsequent Communications on Nutrition and Resilience and the staff working document on “Boosting Food and Nutrition Security through EU Action: Implementing our Commitments (Implementation Plan)”, which defines the EU’s operational response, over the period from 2014 to 2020, to deliver on the commitments taken in relevant EU policy documents<sup>43</sup>. Collectively, these documents cohere and are aligned with the four internationally recognized pillars of food security: 1) Availability of food (at national and regional levels); 2) Access to food (by households); 3) Food use/utilisation and nutritional adequacy (at the individual level); and 4) Stability of these three pillars over time through disaster preparedness and management.

The objective of these communications is to focus support to food insecure countries furthest off-track in terms of reaching **MDG 1** and to tackle food insecurity with the best approaches, aiming at the right areas of intervention.<sup>44</sup>

To reach this objective, the EU has set six broad priorities:

1. Improve smallholder resilience and rural livelihoods;
2. Support effective governance;
3. Support regional agriculture and food security policies;
4. Strengthen assistance mechanisms for vulnerable population groups;
5. Enhancing nutrition in particular for mothers, infants and children;
6. Enhancing coordination between development and humanitarian actors.

The **2011 Agenda for Change** acknowledges sustainable agriculture as one of the sectors the EU should focus its support on because of its impact on national economies and its contribution to environmental protection. It further states that the EU should continue to back governance reforms that promote the sustainable and transparent management of natural resources, ecosystems services with particular attention to the dependence of the poor on them, especially smallholder farms, and tackle inequalities, in particular to give poor people better access to land, food, water and energy without harming the environment.

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<sup>42</sup> [http://ec.europa.eu/development/icenter/repository/COMM\\_PDF\\_COM\\_2010\\_0127\\_EN.PDF](http://ec.europa.eu/development/icenter/repository/COMM_PDF_COM_2010_0127_EN.PDF)

<sup>43</sup> Communication on Resilience (COM (2012) 586) ; Commission Communication on “Enhancing Maternal and Child Nutrition in External Assistance: An EU Policy Framework” (COM (2013) 140); Boosting Food and Nutrition Security through EU Action: Implementing our Commitments” (Implementation Plan), SWD (2013), 104.

<sup>44</sup> MDG1 “Eradicate extreme poverty and hunger”, with the target of halving, between 1990 and 2015, the proportion of people who suffer from hunger. Two indicators monitor this target: prevalence of underweight children under-five years of age and proportion of population below minimum level of dietary energy consumption. Improving nutrition contributes to reach MDG 4 (reduce child mortality) and MDG5 (improve maternal health).

Sustainable agricultural growth and food and nutrition security profile two agendas. The sustainable agriculture agenda is focused on smallholder farmers and sustainable intensification of production. At the same time, however, the EU would like to see the private sector to invest in rural space and specifically in agricultural value chains so as to create wealth. Sustainable agriculture also entails addressing explicitly the issue of climate variability and change which affect both smallholder farmers and the private investors, thereby contributing meaningfully to the Multi Financial Framework 2014-20 which proposes to make 20% of the EU overall budget “climate relevant”.

The food and nutrition security agenda is focused on vulnerable population groups, which include smallholders who are often net buyers of food.

The nutritional status of the population can be seen as a good indication of the success of policies on food and nutrition security and poverty reduction in general. Indicators typically used to measure under-nutrition, are based on anthropometric measures (e.g. stunting and wasting). However, under-nutrition can be caused by a combination of several factors, primarily nutrient intake and disease. Food and nutrition security interventions can result in improved entitlements to sources of nutritious food (through own production or in purchasing them), but it will also be important to address issues such as the prevalence of diseases and chronic morbidity levels through a multi-sectoral approach. Interventions on food and nutrition security and in particular nutrition - and ways in measuring the outcomes and impacts- need to be coherent with support in other sectors, such as health, water, sanitation and hygiene. Improving nutrient supply and intake is essential, but the outcomes would be all the more profound and lasting if worked in tandem with other 'solutions'. Thus, interventions to support partner countries resolve high stunting levels need to be coordinated across sectors and, more importantly, should be delivered in a coherent way at the point of delivery.

### **Sector Objectives and Specific Objectives**

The **overall sector objectives are:** to improve the sustainability of and increase the wealth created by the agricultural sector, and to reduce hunger and vulnerability in the context of a changing climate.

The authority for developing impact and many outcome indicators at this level lies exclusively with the beneficiary or partner country and *"development strategies led by the partner country will continue to frame EU development cooperation in line with the principles of ownership and partnership" (AfC, 2011), and the choice of objectives and indicators related to EU aid will be in line with the existing national policies, data and indicators"*.

Two mutually re-enforcing **specific sector objectives** apply:

1. Generate sustainable agricultural wealth
2. Improve food and nutrition security (FNS), including prevention and management of food stress and crises through enhancing the stability, quantity and quality of food intake

This guidance differentiates indicators based on the four dimensions of the FNS definition: availability, access, utilization and stability (which also include the notion of vulnerability). The indicators of FNS might be analyzed at various levels, from individual to national level, because FNS at one level does not guarantee security at other levels. Therefore, there exists a wide range and heterogeneity of indicators.

Some additional important clarifications:

- Wealth creation includes monetary and non-monetary benefits both in the short and long term and across generations.
- Vulnerable households are those who do not have the ability to cope with, resist and recover from the impact of a shock or a stress. Resilience is the ability of an individual, a household, a community, a country or a region to withstand, to adapt, and to quickly recover from stresses and shocks<sup>45</sup>, including related to climate variability and change.

The EU Approach to Resilience-Learning from Food Crises”<sup>46</sup>. sets out key policy principles for action to help vulnerable communities build resilience to future shocks. Activities such as developing national resilience strategies, disaster management plans, efficient early-warning systems in disaster-prone countries/regions, putting forward innovative approaches to risk management through collaboration with the insurance industry, natural resource management and improved access and use of services all contribute to enhancing resilience.

### **Indicators**

Most, if not all, internationally agreed indicators are for the purposes of monitoring the global and/or overall country situation.

Below is a proposed list of indicators relevant to track the progress towards the Sector’s **Main Objectives** in line with our policy directives, which is to generate sustainable agricultural wealth; and improve food and nutrition security:

#### ***Specific Objective 1 – Generate sustainable agricultural wealth***

Annual % change in quantity of produce by location (region, district, etc.)

Annual % change of income from the agricultural sector

% change of rural employment rates

% change of land under sustainable agriculture

% of land classified as ‘degraded’

value of domestic food production compared to food imports

#### ***Specific Objective 2 - Improve food and nutrition security***

Daily average food energy (calorie) intake per person

Percentage of children under 5 years of age who are wasted

Percentage of children under 5 years of age who are stunted

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<sup>45</sup> EC Communication: The EU Approach to resilience: learning from food crises.

<sup>46</sup> Communication on Resilience (COM (2012) 586) ;

Annual growth (%) of income from rural non-agricultural activities

Share of food assistance in annual import bill

Inter and intra year volatility of food prices in regional and local markets

Average annual rate (AARR) in stunting

For each of these Specific Objectives examples of relevant Outcomes and Outputs as well as corresponding indicators have been identified in the following table. It is important to remind the distinction amongst them:

Output indicators define in clear terms the nature of the product of service that has been delivered through our EU support and the specific characteristics of those to whom it was intended for, the intended beneficiaries (men and/or women, vulnerable or not so vulnerable etc). They are very specific to the programme being developed.

Outcome indicators define the changes in the behaviours of the intended beneficiaries stimulated by the use and retention of the outputs made available: do they change the gender character of production and consumption behaviours and decisions and market opportunities at household level? What are the distributional consequences (between poor and not-so-poor farmers) of the targeting mechanism used? Are they using input and product markets and social infrastructural facilities? Are partner country institutions following through on policies and regulations in place? How are the farmers responding to market opportunities and the results of value chain analyses for example?

The tables below provide an overview of outcome and output indicators that can be used in the programming exercise.

**Specific Objective 1 : Sustainable Agriculture Wealth Creation**

Expected results	Indicators	Data sources
<b><u>Outcome level</u></b>  <b>Generate sustainable agricultural wealth</b>	<b>Outcome indicators</b>	CGIAR (Consultative Group on International Agricultural Research) program, GFAR (Global Forum on Agricultural Research), FAO and national research system statistics
	Proportion of farmers households who have applied and retained new, more sustainable and climate resilient technology or management (as a result of EU support) disaggregated by gender	
	% change in yields resulting from use of improved practices after retaining use of technologies or management practices	
	Land managed using a) improved technologies and b) improved management practices (in hectares)	
	Number of farmers organizations (formal and informal) and extension organizations (private or public) that promote sustainable technologies or management practices	
	Level of decentralized expenditure on agricultural development	Country statistics

	Proportion of farmers using services (eg extension, input supply, product, markets, training)	
	Proportion of land users with legally and formally secured use and disposal rights	Country statistics / with project support
	% change in secure land access for women and minority groups	
	% change in number and value of agriculture private investments in rural areas that adhere to Principles for Responsible Agricultural Investment	Country statistics on FDI (Foreign Direct Investment). On responsible investments to be developed
	Share of market price (urban consumer price) realized at the farm gate (selected products)	Household survey
<b><u>Output level</u></b>	<b>Output Indicators</b>	
Increased small holder productivity	Number of households provided with improved seeds	Households survey
	Number of households supplied with fertilizers	Households survey
	Hectares of irrigated land	Agricultural statistics
Increased access to financial and land resources.	Number of Households supported to gain access to finance	Project information
	Number of women supported to gain secure land tenure rights	Project information
Increased access to extension services and research findings	Share of government budget allocated to agricultural research and development	Country statistics
	Number of small and medium producers who are satisfied with training and extension services offered on sustainable agriculture crop production	Specific survey
	Number of farmers contacted by extension services in x period	Country statistics
	Number of farmers introducing new/sustainable practices	Country statistics / with project support
Sustainable land and crop management	Number of target farmers trained on sustainable crop and land management practices	Country statistics / with project support
<b>Improved business environment and market development</b>	Number of agro-enterprises supported who are satisfied with the assistance	Specific survey
	Number of smallholders and traders i) with access to price information ii) who make use of price information	Specific survey
Improved data availability in	Number of national surveys providing food and	FAO assessment

support of evidence based policy / decision making	agricultural data  Number of indicators published regularly by the national Authorities	
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### **Specific Objective 2: Improved food and nutrition security**

Expected results	Indicators	Data sources
<b><u>Outcome level</u></b>	<b>Outcome indicators</b>	
<b>Improve food and nutrition security, including prevention and management of food stress and crises through enhancing the stability, quantity and quality of food intake</b>	Individual Dietary Diversity score among vulnerable households (Dietary diversity scores are defined as the number of food groups consumed by an individual over a reference period)	Demographic and Health Surveys (DHS)
	Consumption of safe nutritious foods by the poor, especially among vulnerable women	Households survey – FAO statistics
	Share of food expenditures in total household expenditures of vulnerable households	FAO/WB
	Stability of food prices at national/regional level	Country statistics
	Value of assets (land, housing, livestock, durable items etc.) available at households level	Households survey
	Diversity of income sources	Household survey
<b><u>Output level</u></b>		
Improved quality of food supply	Number of women who have been trained in child health and nutrition and who are satisfied with the training they received	Project data
	Number of women who have received information on feeding infants of 0-6months exclusively with breast milk	Project data
	Number of community based nutrition service providers trained	Project data
	Number of mothers from vulnerable households who are satisfied with training on food processing and preparation	Project data
	Number of children aged under 5 receiving micronutrient supplements	Demographic and Health Surveys (DHS)
	Number of pregnant women receiving iron and folic acid supplements	Demographic and Health Surveys (DHS)
	Number of vulnerable households supported with social transfer mechanisms	Project Data
Enhanced stability of food supply	Number of people within rural population who have been supported to obtain a business loan	Project Data
	Number of farmers who have received support by warehouse receipt schemes or comparable credit provision scheme	Project Data
	Number of storage and associated distribution systems supported	Project Data

	Number of farmers supplied with drought resistant varieties of seeds	Agricultural statistics
	Number of hectares provided with irrigation facilities	Agricultural statistics
Improved data availability in support of evidence based policy / decision making	Status of national information systems for food security (ISFS) institutions	Project Data

**Cross cutting issues** Indicators integrating climate change, environment and fragility for this sector can be found in Annex 1 and 2. Additional indicators on institutionalising environment and climate change mainstreaming in a sector like agriculture can be found in the Indicator Guidance Note – Environment and Climate Change Governance.

## Indicator Guidance Note – Energy Sector

### Background

The Communication "Increasing the impact of EU Development Policy: an Agenda for Change" identifies energy as a key driver for inclusive growth. The Agenda stresses the need to "focus on helping reduce developing countries' exposure to global shocks such as climate change, ecosystem and resource degradation, and volatile and escalating energy and agricultural prices, by concentrating investment in **sustainable** agriculture and **energy**". Furthermore, the AfC confirms that EU development policy should promote a '**green economy**' including through supporting market opportunities for cleaner technologies, **energy** and resource **efficiency, low-carbon development** while stimulating innovation, the use of ICT, and reducing unsustainable use of the natural resources. It further states that that EU should tackle inequalities, in particular to give **poor people better access to land, food, water and energy without harming the environment**.

Sustainable energy therefore entails addressing explicitly the issues of climate change and low-carbon development through **renewable energy and energy efficiency**, thereby contributing meaningfully to the next Multi Financial Framework which proposes to make 20% of the EU overall budget "climate relevant".

In order to tackle these energy and development issues the EU will offer expertise as well as development funding. It will focus on the following challenges: price volatility and energy security; climate change, including access to low carbon technologies; and access to secure, affordable, clean and sustainable energy services. The low rate of access in particular in the rural areas of Sub-Saharan Africa is a major barrier to the achievement of the Millennium Development Goals.

Providing access to energy requires multidimensional action, from electricity generation to distribution, from policy making to capacity development, involving a wide-range of stakeholders, from the global to the local levels and from the public and private sectors to civil society. In this context, the EU strongly supports the objectives of Sustainable Energy for All (SE4ALL), which are:

1. Achieving universal access to modern and sustainable energy services;
2. Doubling the share of renewable energy in the global mix;
3. Doubling the rate of improvement in energy efficiency.

### Overall Sector Objective

The EU will respond to three main challenges in line with SE4All noted above.

### Expected Results and linked Indicators<sup>47</sup>

In view of the fulfilment of the SE4ALL objectives, during the 2014-20 programming period the key outcomes and outputs to be achieved as well as relevant indicators to be considered can be found in the table below.

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47

EXPECTED RESULTS	INDICATORS	DATA SOURCES
<b>Achieving universal access to modern and sustainable energy services</b>		
<u>Outcome Level</u>  Increased access to modern and sustainable energy services	<ul style="list-style-type: none"> <li>• Number of people with secure access to modern energy services(urban and rural areas separately)</li> <li>• Number of people with access to electricity from a grid (urban and rural areas separately)</li> <li>• Number of people using solid fuels (MDG 7 indicator)</li> </ul>	UN Millennium Development Goal Database  Country data/ with project support
<u>Outcome level</u>  Improved energy security and trade, aiming at preparing the national energy system to benefit from cross-border energy cooperation, including regulation and barrier removal	<ul style="list-style-type: none"> <li>• Existence/ status of i) National strategy, ii) policies and iii) regulation that aim at allowing the national energy system to benefit from cross-border energy cooperation in the context of ad-hoc Regional Agreements.</li> </ul>	National Policy Documentation
<u>Outcome level</u>  Improved and management of public bodies and utilities in the energy sector	<ul style="list-style-type: none"> <li>• Existence/ degree of implementation of i) National strategy and ii) policies related to the access to modern and sustainable energy services for the poor</li> <li>• Existence of regulations delegating decision making power and operational capacity in the sector of energy access to local authorities below the Central Government level</li> </ul>	National Policy Documents
<b>Improvement in energy efficiency</b>		
<u>Outcome level</u>  Improved energy efficiency in terms of generation, transmission and consumption	<ul style="list-style-type: none"> <li>• Number of people with secure access to improved cooking facilities</li> <li>• Technical and non-technical losses in power generation, transmission, distribution and end-use (measured as % of energy generated, transmitted and distributed)</li> <li>• MWh per year saved through energy efficiency measures</li> <li>• Energy Intensity (kg oil equivalent per \$ GDP) (MDG 7 indicator)</li> </ul>	UN Millennium Development Goal Database  Country data/ with project support
<b>Increase the share of renewable energy</b>		
<u>Outcome level</u>  Increased share of renewable energy in the country's energy mix	<ul style="list-style-type: none"> <li>• Percentage of energy mix from renewable energy</li> <li>• Number of MW generated from renewable energy sources</li> <li>• Percentage of GDP allocated to energy investments using renewable energies</li> </ul>	Country data/ with project support

<u>Outcome level</u> Improved investment framework in the (sustainable) energy sector	<ul style="list-style-type: none"> <li>Existence of regulations/favourable fiscal regime/subsidies aiming at promoting private sector investments in the sector of sustainable energy</li> </ul>	Country data/ with project support
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\*Note: Energy issues can be addressed from several angles dependant on the specific situation of the individual country, or sub-region. Furthermore, in many cases it is relevant to address energy as an important input to other sectors, such as agriculture, industry, forestry, water, health, education etc.

**Cross cutting issues** Indicators integrating climate change, environment and fragile states for this sector can be found in Annex 1 and 2. Additional indicators on institutionalising environment and climate change mainstreaming in a sector like energy can be found in the Indicator Guidance Note – Environment and Climate change Governance.

## Indicator Guidance Note - Natural Resources (Forest and Biodiversity), Water, Low Carbon Development and Green Economy

### Background

The **Agenda for Change (AfC)** recognizes that inclusive and sustainable growth is crucial to long-term poverty reduction. It states also that development is not sustainable if it damages the environment, biodiversity and natural resources and increases the exposure/vulnerability to natural disasters.

The AfC highlights a number of points central for **environment and climate change**, in particular:

- "A focus on helping reduce developing countries' exposure to global shocks such as climate change, ecosystem and resource degradation, and volatile and escalating energy and agricultural prices, by concentrating investment in sustainable agriculture and energy" and
- "It (EU development policy) should also contribute to improving the resilience of developing countries to the consequences of climate change".

Furthermore, the AfC confirms that EU development policy should promote a '**green economy**' that can generate growth, create jobs and help reducing poverty by valuing and investing in natural capital<sup>48</sup>, including through supporting market opportunities for cleaner technologies, energy and resource efficiency, low-carbon development while stimulating innovation, the use of ICT, and reducing unsustainable use of the natural resources.

Finally the AfC mentions that EU should use its support in agriculture and energy to help insulate developing countries from shocks (such as scarcity of resources and supply, price volatility) and thus help provide the foundations for sustainable growth. It should tackle inequalities, in particular **to give poor people better access to land, food, water and energy without harming the environment**.

The **Millennium Development Goal MDG7** 'ensure environmental sustainability' translates into a series of internationally agreed targets and indicators.

- 7.A **Integrate** the principles of sustainable development into country policies and programmes; reverse loss of environmental resources
- 7.B Reduce **biodiversity** loss, achieving, by 2010, a significant reduction in the rate of loss
- 7.C Reduce by half the proportion of people without sustainable access to **safe drinking water and basic sanitation**
- 7.D Achieve significant **improvement in lives** of at least 100 million **slum** dwellers, by 2020

There are a set of internationally agreed indicators that are all used to monitor the achievement of the MDG 7:

- Proportion of land area covered by forest MDG 7.A 7.1
- CO<sub>2</sub> emissions, total per capita and per \$1 GDP (PPP) - MDG 7A 7.2
- Consumption of ozone-depleting substances MDG 7A 7.3
- Proportion of terrestrial and marine areas protected MDG 7B 7.6
- Proportion of species threatened with extinction MDG 7B 7.7
- Proportion of total water resources used MDG 7B 7.8
- Proportion of population using an improved drinking water source MDG 7C 7.8
- Proportion of population using an improved sanitation facility MDG 7C 7.9

<sup>48</sup> COM (2011) 363 final -

- Proportion of urban population living in slums MDG 7D 7.10

Disaster risk reduction (DRR) is not attached the MDG 7. There is no international agreed indicator so far but on-going work is advancing in that field. Some indicators are already used to measure the impact of DRR policies:

- Human losses from climate-related and natural disasters (measured by the number of people - source: CRED (Center for Research on the Epidemiology of Disaster) web site: [www.cred.be](http://www.cred.be))
- Financial losses from climate-related and natural disasters – source web site: [www.cred.be](http://www.cred.be)
- Percentage of population living in hazard prone areas (measures the level of vulnerability to natural disaster) – National statistics in DRR prone countries - source: web site: [www.cred.be](http://www.cred.be)

### **Overall Objective and Specific Objectives**

The overall objective is to enhance environmental sustainability and resilience to climate change and natural disasters and to contribute to the transition towards a green economy in order to ensure inclusive and sustainable growth for human development. The indicators referred to above measure the consequence of the interventions in terms of wider objectives.

In a country, depending on the national development objectives, the status of the environment, the risks related to climate change and/or natural disasters and the policy environment, **specific objectives** might be:

1. Transition to a green economy pathway is effectively implemented leading to long term sustainable development
2. The population and more particularly the most vulnerable, enjoy a safer, healthier and cleaner environment
3. Natural resources and ecosystems are sustainably managed and contribute to development and poverty reduction

### **Expected Results and linked Indicators**

For each specific objective listed above, the following table presents examples of outputs and suggestions for outcome and output indicators. Depending on the country context, the proposed indicators may need to be adapted to national circumstances and for example fine-tuned to focus on specific subsets of the natural capital (forests, water or biodiversity).

<b>Expected results</b>	<b>Indicators</b>	<b>Data Sources</b>
<u>Outcome level</u>  <b>1. Specific Objective:            Transition to a green economy pathway is effectively implemented leading to long term sustainable development</b>	-Number of net jobs (women/men) created in specific Environmental Goods and Services Sectors (EGSS) -Contribution of EGSS in GDP (% of GDP and USD/year) -Resource efficiency (Energy; Water, CO <sub>2</sub> measured by unit/USD) -Material intensity of the economy (ton/USD) -Trade (% of export in EGSS) -Waste generation (ton/year)	National accounting systems

<p><u>Output level</u></p> <p><b>Green policy interventions are in place (e.g. related to investment, fiscal reform, internalisation of externalities, payment for ecosystem services, procurement, and job skill training)</b></p>	<p>If such policies are in place, indicators at national level could be a mix of the following indicators measuring the output of policies' implementation such as:</p> <ul style="list-style-type: none"> <li>-Level of Research &amp; Development investment (% of GDP)</li> <li>-Level of investment in the Environmental Goods and Services Sectors (EGSS) (USD/year)</li> <li>-Existence and level of subsidies in fossil fuel, water and fishery (USD)</li> <li>-Existence and level of incentives for renewable energy (USD)</li> <li>-Total value of payments for ecosystem services either by public or private resources (e.g. water provision)</li> <li>-Expenditures in sustainable procurement in particular in the public sector (USD/year and % of GDP)</li> <li>-Training expenditures in EGSS (USD/year)</li> <li>-% of energy produced which is renewable</li> </ul>	<p>Country statistics if green policies/strategies are developed</p>
<p><u>Output level</u></p> <p><b>Economic actors are better equipped and have greater opportunities to develop green business and/or apply sustainable production and consumption practices</b></p>	<ul style="list-style-type: none"> <li>-Number of newly established business in the Environmental Goods and Services Sectors (EGSS)</li> <li>-Number of business adopting and investing in resource-efficient management practices and technologies and safer and cleaner production methods (outcome)</li> <li>-Number of people (women/men) trained on environment issues and green sector (e.g. sound management of chemicals, waste management, energy efficiency, renewable energy)</li> </ul>	<p>Country statistics if specific Private Sector Development programmes are in place – if not those data are at programme level.</p>
<p><u>Outcome level</u></p> <p><b>2. Specific Objective</b> <b>The population and more particularly the most vulnerable, enjoy a safer, healthier and cleaner environment</b></p>	<ul style="list-style-type: none"> <li>-Morbidity and mortality rate in environment related diseases (e.g. pulmonary diseases, malaria, water borne diseases)</li> <li>-Death rate related to waterborne diseases - national health statistics (measured by number of death by the total population (or indicated if a different population group is used, e.g. children under 5 years)</li> <li>-% of waste which is recycled/composted/incinerated and landfilled in a controlled site (national level in case there is a National Solid Waste Management strategy)</li> </ul>	<p>WHO</p> <p><a href="http://apps.who.int/gho/indicatorregistry/App_Main/view_indicator.aspx?iid=2260">http://apps.who.int/gho/indicatorregistry/App_Main/view_indicator.aspx?iid=2260</a></p> <p><a href="http://apps.who.int/gho/indicatorregistry/App_Main/view_indicator.aspx?iid=2259">http://apps.who.int/gho/indicatorregistry/App_Main/view_indicator.aspx?iid=2259</a></p> <p><a href="http://apps.who.int/gho/indicatorregistry/App_Main/view_indicator.aspx?iid=2256">http://apps.who.int/gho/indicatorregistry/App_Main/view_indicator.aspx?iid=2256</a></p>
<p><u>Outcome level</u></p> <p><b>Increased access and use of improved water and sanitation services</b></p>	<ul style="list-style-type: none"> <li>-Proportion or number of persons (women and men) with access to improved drinking water source</li> <li>-Proportion or number of persons (women/ men) with access to improved sanitation</li> </ul>	<p>Country statistics linked to MDG 7C</p>

<p><u>Output level</u></p> <p><b>Risks of pollution and pollution sources are identified, monitored and controlled</b></p>	<ul style="list-style-type: none"> <li>-Number of amendments passed to improve environmental and occupational health legislation (outcome)</li> <li>-Existence of a system for monitoring and enforcing compliance with national policy and regulatory framework covering the major threats of pollution, and evidence that national policy goals and targets are adhered to such as: <ul style="list-style-type: none"> <li>-Number of sites monitored for pollution prevention and protected against pollution</li> <li>-Number of pollution sources and of polluted sites respectively avoided and cleaned</li> <li>-Proportion or number of persons (women/ men) living in a (cleaned or controlled) non-polluted environment</li> </ul> </li> </ul>	<p>Country statistics</p>
<p><u>Outcome level</u></p> <p><b>3. Specific Objective: Natural resources and ecosystems are sustainably used and managed and contribute to development and poverty reduction.</b></p>	<ul style="list-style-type: none"> <li>-Volume of timbers verified as legal</li> <li>-Existence of natural capital accounting system, and evidence that national natural capital (forest, water, biodiversity) stocks are managed in accordance with policy goals and established national targets (evidence is measured by regular reporting and dissemination of information).</li> <li>-Existence of a system for monitoring and enforcing compliance with national policy and regulatory framework covering water, forests, land use and protected areas and evidence that national policy goals and targets are adhered to.</li> </ul>	<p>FLEGT National Competent authority from EU MS</p>
<p><u>Outcome level</u></p> <p><b>Natural resources and ecosystems are sustainably managed and contribute to economic development and poverty reduction through the goods and services they provide</b></p>	<ul style="list-style-type: none"> <li>-Hectares of ecosystems restored (including reforestation) or preserved</li> <li>-Hectares of protected areas developed and sustainably managed</li> <li>-Hectares of forests under Sustainable Forest Management</li> <li>-Total value of payment for ecosystems goods and services schemes</li> <li>-Implementation status of integrated water management plans</li> <li>-Number of persons (women and men) benefitting from sustainably managed natural resources and ecosystems (e.g. eco-tourism, diversified income)</li> <li>-Time spent (women/men) collecting water and firewood</li> <li>-Number of migrants and refugees due to environmental condition and climate change</li> </ul>	<p>Country statistics linked to MDG 7A and 7B</p>

Additional examples of indicators for all the ‘inclusive and sustainable growth for human development’ sectors are proposed in the guidance note on cross-cutting issues as well as in the sector guidance note on ‘Environmental and Climate Change Governance’.

You can also refer to the various EuropeAid guidance documents:

- Guidelines N<sup>0</sup>4 on the Integration of Environment and Climate Change in Development Cooperation (and in particular its Annex 1) <http://capacity4dev.ec.europa.eu/public-environment-climate/document/2011-final-draft-revised-guidelines-integration-environment-and-climate-change-development>
- EuropeAid Climate change sector scripts <http://capacity4dev.ec.europa.eu/public-environment-climate/documents>

For more guidance please contact Unit C2.

**Cross cutting issues** Indicators integrating fragile states for this sector can be found in Annex 2.

## Indicator Guidance Note – Transport

### Background

In the last few years there has been a gradual shift from project to sector approach in the transport sector and particular attention was given to policy and reforms support, institutional capacity building and infrastructure maintenance. This shift contributed to enhance the sustainability of the investments made on transport networks during past EDF.

Transport is as such not a priority sector for country programming defined in the Agenda For Change but will be contributing to its second pillar (inclusive and sustainable growth) within the framework of actions to enhance regional integration (point 3.2). Besides, improving access to transport and reducing transport costs is also contributing to the achievements of MDGs (by improving access to social services and connection between production and consuming areas) which is a priority of the Agenda for Change. In this context our intervention in Transport should be concentrated on the following elements:

- Promotion and consolidation of the **transport policy and planning structure** of the partner countries to bring them to a more acceptable standard of programming, planning and prioritisation of operations (including investments versus maintenance);
- More attention to **other modes of transport than roads** and inter-modality with focus on terminals and inter-modal exchanges of transport;
- Identification of and concentration on **four levels of intervention** (international corridors, national transport networks, urban mobility and rural accessibility);
- Improvement of **sector governance** such as: an institutional framework ensuring more competition between transport services providers and ending unjustified monopolistic situation, promotion of fair and balanced concession agreement and enforcement of concessions monitoring mechanisms, promotion of enhanced trade facilitation (harmonisation of tariffs, custom unions, axle load control, port management, railways/ airports concessions, etc.).
- Use of **different financing tools** for infrastructure development, exploring possibilities to blend grants with loans to promote private sector participation in project financing. Grants shall be used mainly to finance institutional support, soft components, maintenance and rural infrastructures. Sector Budget Support remains the preferred financing modality and the most effective way to support reforms.

**Sector Objective and Specific Objectives** Sector objective: Achieve higher efficiency and transport cost reduction

Specific objectives that could be set at country level include:

- (i) Sustainability of primary transport networks,
- (ii) Improvement of international corridors,
- (iii) Enhancement of rural access, and
- (iv) Improvement of urban mobility.

### Expected Results, linked indicators and Data Sources

For each of the specific objectives listed above relevant outputs can be identified.

In order to target the sustainability of primary transport networks,

- O1 Primary networks should be properly maintained (Road Maintenance Funds should cover current and periodic maintenance minimal needs, Road Agency should execute properly budgets, and contractors should execute properly works);
- O2 Road regulations should be applied (axle load limits, road code, rain barriers).

To improve the efficiency of international corridors:

- O3 Corridors should be identified in accordance with continental or sub-regional strategies and missing links financed;
- O4 Traffic should be facilitated on these corridors (improvement of multi-bilateral transport agreements, border checking facilitated, illegal practice avoided, transport observatories put in place, logistics, competition and regulation of transport services improved).

To enhance rural access and enhance urban mobility:

- O5 Rural and feeder roads should be constructed and properly maintained in accordance with local development strategies;
- O6 Road regulations should be applied (axle load limits, road code, rain barriers);
- O7 Appropriate urban development plans should be approved and executed;
- O8 Maintenance facilities should be in place.

EXPECTED RESULTS	INDICATORS	DATA SOURCES
<u>Outcome level</u> Sustainability of primary transport networks improved  <u>Output level</u> O1 Primary networks maintained	<u>Outcome indicators</u> <b>Transport cost</b> reductions (€/100kmxton) per corridor  <u>Output indicators</u> Percentage of transport network in <b>good and fair conditions</b> (for paved, unpaved, total km of roads) Km of roads constructed/ maintained	Projects studies and DTA  National strategy  EUD and donor's expertise and thematic reports
<u>Outcome level</u> Efficiency of international corridors improved	Quality of the <b>national transport strategy and its execution</b>  Percentage of needs met by <b>maintenance funds</b> (for paved, unpaved and total km of roads)	TA reports  Road agency and Road Fund annual reports  Maintenance programs
<u>Outcome level</u> Rural access enhanced and	<u>Outcome indicators</u> Percentage of rural population with	Project studies and DTA

urban mobility improved	<p>access to an all-season road (where possible broken down by income percentile)</p> <p>Number of people benefitting from new road connection</p> <p>Employment during construction</p>	<p>Environmental and social reports</p> <p>Project report</p>
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**Cross cutting issues** Indicators integrating climate change, environment and fragile states for this sector can be found in Annex 1 and 2. Additional indicators on institutionalising environment and climate change mainstreaming in a sector like transport can be found in the Indicator Guidance Note – Environment and Climate change Governance.

## **Indicator Guidance Note - Private Sector Development, Trade and Regional Integration**

### **Background**

Inclusive and sustainable growth is one of the pillars of the Agenda for Change (AfC). In support of this broad objective the AfC reiterates the importance of a stronger business environment, integration into the world economy and regional integration as enabling vectors in developing countries.

For the purpose of the current exercise and based on our recent two evaluations on Trade (TRA) and Private Sector Development (PSD) an overall intervention framework for the TPSD area has been developed that will help in defining indicators. The proposed approach delimitates the scope of the results monitoring process to two sub-sectors:

- Private Sector Development and
- Regional Integration/Trade.

The reason for taking this integrated approach is that interventions often cover actions both related to trade and private sector developments and all of them pursue the same development objectives, namely increasing decent jobs opportunities, and achieving sustainable income increases of the poor. (PSD interventions in most LDCs are often closely linked to exports markets and practically always influenced by the trade regime. The same applies to Regional integration projects. The proposed framework (see diagram included in Annex 6) articulates the link between TPSD programmes and final development objectives by connecting each intervention to a limited number of expected results leading to specific intermediate outcomes in the area of TPSD.

### **Sector Objectives**

Inclusive and sustainable growth is essential for development. A dynamic business sector is a basic pre-requisite for economic growth, decent job creation for all, including women and young people, increase of income and poverty reduction. The private sector has a major role in providing everybody with access to basic goods and services, such as clean water and sanitation, energy, financial services, communication technologies, housing, medicines and many other inclusive innovations that can help improve poor peoples' lives not only by serving them as consumers, but more importantly by providing them with the factors they need to develop their own productive activities. In addition, a growing private sector will ultimately enable governments in developing countries to generate the tax revenues contributing to funding of wider development strategies.

By recognising the substantial impact that private sector actors can have on development, the European Commission is considering new ways for engaging with the private sector in development cooperation to pull in private sector expertise, innovative, technical, human and financial capacities for the achievement of development objectives including those of green growth. The Agenda for Change, although not explicitly defining the intervention logic in the field of TPSD establishes the following three **Sector Objectives** with a view to contributing to sustainable and inclusive growth:

- 1. More competitive local private sectors**
- 2. Increased domestic and foreign inclusive and sustainable investment**
- 3. Deeper Regional integration and more diversified and higher value added trade**

These three outcomes are supposed to lead to two long term objectives (impact level), namely the **creation of more decent jobs and inclusive and sustainable economic development.**

In most cases even the outcomes are too high level to establish a direct contribution of EU programmes. However, EU TPSD programmes should outline how they contribute to these intermediate outcomes, including the definition of baseline values and target values for monitoring and evaluation purposes.

The link between these TPSD sector objectives and the overall objective of inclusive and sustainable development needs a few additional comments. The link from the TPSD agenda to the growth/increased development is straightforward. However, the links to inclusiveness and sustainability in a natural resource sense may be direct or indirect; in the way that certain interventions may target these areas directly as a part of the intervention, whereas others TPSD intervention may be more systemic, where increased growth would better enable the country to address questions of sustainability and inclusiveness but pursued through other policies/support programmes. This poses a challenge for the effective monitoring of the inclusiveness and sustainability aspects under the TPSD agenda. It is outlined below how these aspects will be integrated.

The overall indicators relating to the sector objectives would be:

- 1. More competitive local Private Sector:
  - Value added of Private sector in the economy/Expansion of Private Sector (measured in **% of GDP or % of employment; new business entry density**)
  - On jobs: net additional decent job creation (both formal and informal sectors)
- 2. Increased domestic and foreign inclusive and sustainable investment flows:
  - Private investment (as % of GDP)** in infrastructure and productive sectors receiving assistance, divided into foreign and local investments)/**Ratio of investments that goes to non-extractive industries.**
- 3. Deeper Regional integration and more diversified and higher value added trade:
  - Change in global export shares (**X/GDP**) (**Total, by regional trade and in key sectors**)/Diversification of trade. **Share of top 5 products/markets in total X.**

**Specific Objectives, Expected Results and linked Indicators for TPSD**

We have identified **seven TPSD key results areas** and three **cross cutting elements**. All programmes should therefore explain how they will contribute to one or more of the following **specific results** at country level. The following table presents **Outcome/Output level indicators by TPSD Result area/Cluster**:

EXPECTED RESULTS	INDICATORS	DATA SOURCE
<p><b>Outcome level</b></p> <p><b>1. Enabling business environment for MSMEs, informal economy actors and self-employed</b></p>	<p><b>Use overall “Doing business indicator” and choose best sub-indicator according to specific programme focus</b> such as:</p> <ul style="list-style-type: none"> <li>-Number of days required to register a business</li> <li>-Direct compliance cost saving</li> <li>-Number of days required for concluding all formalities relating to an investment project</li> </ul> <p>Use International Labour Organisation (ILO) indicators to measure informal economy</p> <p>Use overall “Global Competitiveness Report” and choose most suitable sub-index according to the specific programme focus, in particular “institutions” and “goods market efficiency”</p>	<ul style="list-style-type: none"> <li>-Doing business (WB) MSME Registration records, Enterprise survey;</li> <li>-Global Competitiveness Index (GCI- WEF). World Economic Forum has based its competitiveness analysis on the GCI, a comprehensive tool that measures the micro-and macro-economic foundations of national competitiveness<sup>49</sup>;</li> <li>-ILO Indicators<sup>50</sup></li> </ul>
<p><b>Outcome level</b></p> <p><b>2. Increased productive capacity for MSMEs (including labour-intensive) in both formal and informal sectors</b></p>	<p><b>Use indicators related to the increase in productivity, sustainable production, innovation capacities, Business Development Services (BDS) adapted to the programme,</b> such as :</p> <ul style="list-style-type: none"> <li>-Number of MSMEs integrated in international value chains</li> <li>-Additional net income of supported MSMEs (output indicator)</li> <li>-Number of additional jobs created in targeted MSMEs (subdivided into local and foreign, type of enterprises) (output indicator)</li> <li>-Firm-level productivity (measured in labour productivity ratio, output per worker or output per machine hour – Average data from statements)</li> <li>-Number and membership of producer associations</li> </ul>	<ul style="list-style-type: none"> <li>Enterprise- level surveys</li> <li>Business surveys</li> </ul>
<p><b>Outcome level</b></p> <p><b>3. Improved access to financial services for all (MSMEs and households)</b></p>	<p><b>Use financial and social indicators related to improved access and use of financial services according to programme focus,</b> such as:</p> <ul style="list-style-type: none"> <li>-Number of Micro, and Small and Medium Enterprises (MSMEs) with access to financial services as a result of EC's intervention (output indicator)</li> <li>-Number of households having access to a saving account</li> </ul>	<ul style="list-style-type: none"> <li>MSME level survey</li> <li>Doing business Getting credit indicators</li> <li>Others</li> </ul>
<p><b>Outcome level</b></p> <p><b>4. Improved Trade</b></p>	<p><b>No composite or readily available indicator.</b></p> <ul style="list-style-type: none"> <li>-Quality of trade policy framework</li> <li>-Level of integration of trade into national</li> </ul>	<ul style="list-style-type: none"> <li>Country specific assessment ex-ante and ex-post</li> </ul>

<sup>49</sup> <http://reports.weforum.org/global-competitiveness-report-2012-2013>

<sup>50</sup> See Employment Guidance Note

<b>Policy and regulations</b>	development and sector plans	
<b>Outcome level</b> <b>5. Improved Trade facilitation</b>	<b>Use an overall logistics indicator</b> such as -“logistics performance index” or “trading across borders” <sup>51</sup> and specify sub-indicators according to programme focus (for example the number of simplified customs procedures i) approved and ii) implemented)	Doing business, WTI
<b>Outcome level</b> <b>6. Increased market access by compliance with international standards and technical regulations</b>	<b>No composite or readily available indicator.</b> The indicators will have to measure improved market access conditions for the country in targeted sectors. Specify elements of the Quality Infrastructure (QI) system targeted for improvement and outline how this would enhance market access	Ex-ante assessment compared to ex-post
<b>Outcome level</b> <b>7. Framework for Regional Integration strengthened</b>	-Number of regional agreements concluded/implemented in xx% of countries. -Existence/ implementation status of an effective monitoring and surveillance system for Regional Integration (RI) processes  Depending on the focus of the programme, indicators for each of the above results areas may also be of relevance, e.g. Trade facilitation or QI targeted at regional level	Ex-ante assessment and ex-post Programme Records REC reports

### Cross-cutting issues

<b>More and better engagement with the Private sector</b>	<b>No composite or readily indicator. Use indicators related to different dimensions of public private dialogue,</b> such as: -Existence of mechanisms to facilitate private-public dialogue. -Number of regular consultations and dialogue between Government and PS representatives on reforms and regulations affecting the business environment by main sector. -Number of PPP investment projects identified	National Development plan report Programme reports Private-Public Dialogue Handbook
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Indicators should of course be adapted to the specific context of the partner country, aligned to country strategies, disaggregated by sex and dimension of enterprise.

<sup>51</sup> The World Bank’s LPI, is a comprehensive index created to help countries identify the challenges and opportunities they face in trade logistics performance. The trading across borders indicator is a component of Doing Business and measures time, cost and the number of documents required to export and import standardised cargo by ocean transportation.

<http://www1.worldbank.org/PREM/LPI/tradesurvey/mode1a.asp>

<http://www.doingbusiness.org/methodology/trading-across-borders>

**Cross-cutting elements**: Indicators integrating climate change and environment for this sector can be found in Annex 1.

### **International Initiatives & Best practice**

**World Bank Doing Business Indicators** and **World Bank Enterprise surveys** are important and complementary sources of information assessing the business environment and obstacles to growth experienced by firms as well as the **World Trade Indicators** (WTI). To measure competitiveness, the following three indices are used: WEF's Global Competitiveness yearbook, IMD's world Competitiveness Report and IFCs Ease of Doing Business Report.

Over the past years, the Donor Committee for Enterprise Development, which is a main donor knowledge sharing platform dedicated to promote TPSD in developing countries, has developed a practical [Standard for results measurement](#)<sup>52</sup> – providing practitioners with a common framework and an incentive, to measure their TPSD programmes' results credibly and allow comparisons across countries. A growing number of donor agencies are working towards compliance with the Standard.

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<sup>52</sup> <http://enterprise-development.org/page/introduction-standard>

## Annex 1 – Sector Indicators integrating Environment and Climate Change

<b>Human Rights, Democracy and Good Governance</b>	
Democracy and Human Rights	<ul style="list-style-type: none"> <li>-Improved media coverage of environmental performance of the country and climate change (number of press articles)</li> <li>-Improved participation of public and environmental civil society in decision-making (which has implications for the environment) (number of consultation meetings organised with civil society; number of submissions made by civil society which are included in the policies, programmes and plans)</li> <li>-Number of judges, law enforcement officers, journalists and members of parliament (women/men) trained on environment and climate change</li> </ul>
Rule of Law & Access to Justice	<ul style="list-style-type: none"> <li>-Number of judicial or administrative recourse procedures in case a Party violates or fails to adhere to environmental law and the convention's principles</li> </ul>
Corruption	<ul style="list-style-type: none"> <li>-Number of corruption cases related to the management of natural resources (forests, protected areas), licensing of concessions and issuance of permits of exploitation (as reported in annual reports of the control and oversight bodies or other independent observers)</li> </ul>
Public Financial Management and Macro Economic Management	<ul style="list-style-type: none"> <li>-Level of environment and climate relevant public expenditures (USD/year)</li> <li>-Level of environment and climate relevant extra-budgetary funds (USD/year)</li> <li>-Percentage of environment and climate relevant public expenditures as % of total public expenditures</li> <li>-Extent of inclusion of environment and climate change in the public financial management system (e.g. budget classification and codes, budgeting guidelines)</li> <li>-Contribution of the environment sector to national GDP (% of GDP and USD/year)</li> <li>-Existence and level of environmental fiscal measures (tax credits, subsidies) taken (USD/year)</li> </ul>
Environmental and Climate Change Governance	Please see sector guidance note
<b>Inclusive and Sustainable Growth for Human Development</b>	
Social Protection	<ul style="list-style-type: none"> <li>-Proportion of population (women and men) with access to improved drinking water source (MDG7, indicator 7.8)</li> <li>-Proportion of population (women and men) with access to improved sanitation (MDG7, indicator 7.9)</li> <li>-Proportion of urban population living in slums (MDG7, indicator 7.10)</li> <li>-Proportion of population (women and men) living in a (cleaned or controlled) non-polluted environment</li> <li>-Number of persons (women and men) benefitting from sustainably managed natural resources and ecosystems (e.g. eco-tourism, diversified income)</li> <li>-Number of persons who benefit from micro-insurance for climate related events</li> <li>-Time spent (women/men) in collection water and firewood</li> </ul>
Health	<ul style="list-style-type: none"> <li>-Prevalence of vector-borne diseases (malaria and dengue fever) in areas previously not affected due to climate change</li> <li>-Number of victims of natural disasters and climate related extreme events (floods, droughts, heat waves)</li> <li>-Morbidity rate in environment related diseases(e.g. pulmonary diseases, malaria, water-borne diseases)</li> <li>-Number of patients (women/men/girls/boys) who have access to healthcare for climate sensitive diseases</li> <li>-Proportion of hospitals with an adequate waste management system</li> <li>-Proportion of hospitals that are climate proofed<sup>1</sup></li> </ul>

<sup>1</sup> Climate proofing: a term used for identifying and ensuring that potential climate change risks to a development project or to other assets are reduced to acceptable levels.

Education	<ul style="list-style-type: none"> <li>-Extent of Integration of environment, climate change and disaster risk reduction in school and university curricula</li> <li>-Proportion of teachers trained on environment, climate change and disaster risk reduction</li> <li>-Number of schools which are climate proofed<sup>2</sup></li> </ul>
Employment	<ul style="list-style-type: none"> <li>-Number of amendments passed to improve environmental and occupational health legislation</li> <li>-Number of people (women/men) trained on environmental issues and green sectors (e.g. sound management of chemicals, waste management, energy efficiency, renewable energy)</li> <li>-Training expenditures in Environmental Goods and Services Sectors (USD/year)</li> <li>-Number of net jobs (women/men) created in environmental goods and services sectors</li> </ul>
Migration and Asylum	<ul style="list-style-type: none"> <li>-Numbers of migrants and refugees due to environmental conditions and climate change</li> <li>-Number of migrants and refugees having access to water and sanitation and a healthy, safe and clean environment</li> </ul>
Rural Development, Sustainable Agriculture, Food and Nutrition Security	<ul style="list-style-type: none"> <li>-Losses in agricultural productivity (i.e. ratio of agricultural outputs to agricultural inputs) due to environmental degradation (soil erosion or desertification)</li> <li>-Agriculture-related greenhouse gas emissions (CO<sub>2</sub> equivalent-tons/year)</li> <li>-Intensity of use of water in agriculture (hl/output unit or GDP)</li> <li>-Intensity of pesticide and fertiliser use (kg/output unit or GDP)</li> <li>-Fish stocks (biomass in kg)</li> <li>-Intensity of land used by agriculture (ha/output unit or GDP)</li> <li>-Share of area occupied by organic farming in total utilised agricultural area</li> </ul>
Energy	<ul style="list-style-type: none"> <li>-% of energy produced which is renewable</li> <li>-Existence and level of subsidies in fossil fuel (USD)</li> <li>-Existence and level of incentives for renewable energy (USD)</li> <li>-Greenhouse gas emission per \$1,000 GDP</li> <li>-Greenhouse gas emission per capita divided by the Human Development Index</li> <li>-Energy use (kg oil equivalent) per \$1,000 GDP</li> <li>-Proportion of population (women/men) using solid fuels</li> </ul>
Natural Resources, Water, Low Carbon Development and Green Economy	Please see sector guidance note
Transport	<ul style="list-style-type: none"> <li>-Energy efficiency of the transport sector (T.km/energy consumption)</li> <li>-Greenhouse gas efficiency of the transport sector (T.km/CO<sub>2</sub> emitted)</li> <li>-Fragmentation of vulnerable habitats (forests, protected areas) (km crossed)</li> <li>-Proportion of railway and water transport versus road and air transport</li> <li>-Level of Investment in public transport (USD/year)</li> <li>-Number of km of roads that are climate proofed<sup>3</sup></li> </ul>
Private Sector Development, Trade and Regional Integration	<ul style="list-style-type: none"> <li>-Level of Research &amp; Development investment in Environmental Goods and Services Sectors (% of GDP)</li> <li>-Level of Investment in Environmental Goods and Services Sectors (USD/year)</li> <li>-Greenhouse gas intensity of manufacturing industry (total CO<sub>2</sub>eq/output unit or GDP)</li> <li>-Number of new business in Environmental Goods and Services Sectors</li> <li>-Number of enterprises certified ISO 9001 or ISO 14001<sup>4</sup></li> <li>-Trade (% of export from Environmental Goods and Services Sectors)</li> <li>-Trends in shared resources (e.g. fish stocks, transboundary waters or protected areas)</li> </ul>

<sup>2</sup> See previous footnote

<sup>3</sup> See previous footnote

<sup>4</sup> International Organization for Standardization

## Annex 2 - Fragile States: New Deal’s Peacebuilding and Statebuilding indicators grouped by sector

The below Peacebuilding and Statebuilding indicators *complement* each other and data from various sources shall be triangulated for verification. Therefore the data collection methods that have been chosen are a mix of administrative data provided by the government and perception and experience based surveys answered by the population. For more information please see cross cutting issues (p 7-8) and contact Unit 05 (Fragility and Crisis Management).

### Democracy and Human Rights-additional Peacebuilding and Statebuilding indicators for fragile states

EXPECTED RESULTS	INDICATORS	DATA SOURCES
<p><u>Outcome</u></p> <p>Legitimate and inclusive politics: inclusive representation in the political system</p>	<p>Diversity in representation in key state institutions (basket)</p> <p>Perception of representation (and its effectiveness in government)</p>	<p>Administrative Data, Breakdown of representatives (%) within selected bodies by gender, region and social group</p> <p>Perception survey, breakdown by region and social group</p>
<p><u>Outcome</u></p> <p>Increased political participation by the society</p>	<p>Participation in and satisfaction with the election</p>	<p>Administrative data and perception survey</p>
<p><u>Outcome</u></p> <p>Improved civic political participation</p>	<p>Number of inter-group disputes that produce violent death</p> <p>Number of joint initiatives involving different groups in society</p> <p>(“Initiatives” should cover associations (membership or non-membership driven), organized or spontaneous events, or collective actions, projects, or enterprises. Initiatives can also be conceived as “social networks” and could be broken down into economic, social and political)</p>	<p>Incident reporting -Available data source: ACLED <a href="http://www.acleddata.com/">http://www.acleddata.com/</a></p> <p>Experience Survey</p>

**Rule of law and access to Justice-additional Peacebuilding and Statebuilding indicators for fragile states**

EXPECTED RESULTS	INDICATORS	DATA SOURCES
<u>Outcome</u> Justice: increased performance and independence of the justice institutions	Level of Public confidence in the performance of justice institutions (formal / customary), including human rights mechanisms  % of victims who reported crime to authorities	Perception Survey  Administrative data, victimisation surveys
<u>Outcome</u> Increased capacity of Justice Institutions	Average length of time suspects spend in jail or prison before trial or sentencing  % change of police files / cases accepted by prosecuting agency	Administrative data  Administrative data
<u>Outcome</u> Access to Justice	% of population who when surveyed show strong awareness of their legal rights	Knowledge survey, focus group discussion

**Corruption -additional Peacebuilding and Statebuilding indicators for fragile states**

EXPECTED RESULTS	INDICATO(S)	DATA SOURCES
<u>Outcome</u> Positive development over time: decrease in people's experience of bribery with public administration	% of population that reports paying a bribe when obtaining a public service or when interacting with a public official	Experience survey

**Security- additional Peacebuilding and Statebuilding indicators for fragile states**

EXPECTED RESULTS	INDICATORS	DATA SOURCES
<u>Outcome</u> Improved security conditions	Violent deaths per 100,000 population  Numbers of internally displaced people  Incidence of rape and sexual violence  Percentage of people that feel safe	Administrative data (police, health), incident reporting, household surveys  Administrative data, Internal Displacement Monitoring Centre (IDMC); UNHCR  Administrative data, UNODC collects data on

		sexual violence, including rape against adults and children
<u>Outcome</u> Increased performance and capacity of security institutions	<p>Level of Public confidence in the performance of security institutions (basket)</p> <p>% of territorial coverage of police and state security actors vs % coverage by non-state armed groups</p> <p>% of police salaries which are being paid at the agreed date on a monthly basis</p> <p>Quality of human resources within police force (basket):</p> <ul style="list-style-type: none"> <li>-Police recruiting practices are perceived to be fair and effective</li> <li>- Entry-level salaries for police officers are sufficient to recruit and retain qualified individuals</li> <li>-The existing vetting process is adequate to ensure that individuals who committed gross human rights abuses and other serious crimes are identified and prevented from serving as police officers</li> </ul>	<p>Perception survey</p> <p>Perception survey</p> <p>Administrative data, expert assessment</p> <p>Administrative data</p> <p>UN Rule of Law Indicators<sup>5</sup></p>

**Public Financial Management, Domestic Revenue Mobilisation, and Macroeconomic Management –additional Peacebuilding and Statebuilding indicators for fragile states**

EXPECTED RESULTS	INDICATORS	DATA SOURCES
<u>Outcome</u> Revenues and Services: improved revenue management	<p><b>State monopoly and capacity to collect tax, customs and fees across its territory (basket)</b></p> <p>% of territory the state has a functioning tax and customs office presence at all major trading points and in all major urban areas cities in the country</p> <p>% of alternative sources of tax authority (warlord payments, protection rackets).</p> <p>(to complement Tax revenue as a share of GDP)</p>	<p>Administrative data/ expert review</p> <p>Expert analysis (with scale)</p>

<sup>5</sup> [http://www.un.org/en/events/peacekeepersday/2011/publications/un\\_rule\\_of\\_law\\_indicators.pdf](http://www.un.org/en/events/peacekeepersday/2011/publications/un_rule_of_law_indicators.pdf)

<u>Outcome</u> Revenues and services: improved Public Administration	% of population that reports paying a bribe when obtaining a public service or when interacting with a public official  Territorial distribution of services  Public satisfaction with service delivery	Experience survey  Administrative data  Perception survey by gender, region
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**Transport, Water, Energy, Food security, Employment, Natural resources- Economic foundations for fragile states**

EXPECTED RESULTS	INDICATORS	DATA SOURCES
<u>Outcome</u> Economic foundations: improved productive resources and prospects for growth	Population with access to useable and serviceable transport networks, communication, water and energy (basket)  Income inequality by region- % difference between regions  % change in food prices over the last 3 months  % of labour force under- or unemployed	Administrative data, satellite imagery, household survey data  Administrative data, household data, document review  Administrative data  Administrative data, breakdown by age, sex, region
<u>Outcome</u> Economic foundations: Natural resource management	Perception of fair use of benefits from natural resources	Perception survey

## Annex 3 - Health

### Health-related Millennium Development Goals Indicators

<b>Goal 4: Reduce child mortality</b>		
Target 4.A: Reduce by two-thirds the under-five mortality rate	4.1 Under-five mortality rate	Impact
	4.2 Infant mortality rate	Impact
	4.3 Proportion of 1 year-old children immunised against measles	Outcome
<b>Goal 5: Improve maternal health</b>		
Target 5.A: Reduce by three quarters the maternal mortality ratio	5.1 Maternal mortality ratio	Impact
	5.2 Proportion of births attended by skilled health personnel	Outcome
Target 5.B: Achieve, by 2015, universal access to reproductive health	5.3 Contraceptive prevalence rate	Outcome
	5.4 Adolescent birth rate	Outcome
	5.5 Antenatal care coverage (at least one visit and at least four visits)	Outcome
	5.6 Unmet need for family planning	Outcome
<b>Goal 6: Combat HIV/AIDS, malaria and other diseases</b>		
Target 6.A: Have halted by 2015 and begun to reverse the spread of HIV/AIDS	6.1 HIV prevalence among population aged 15-24 years	Outcome
	6.2 Condom use (at last high-risk sex)	Outcome
	6.3 Proportion of population aged 15-24 years with comprehensive correct knowledge of HIV/AIDS	Outcome
	6.4 Ratio of school attendance of orphans to school attendance of non-orphans aged 10-14 years	Outcome
Target 6.B: Achieve, by 2010, universal access to treatment for HIV/AIDS for all those who need it	6.5 Proportion of population with advanced HIV infection with access to antiretroviral drugs	Outcome
Target 6.C: Have halted by 2015 and begun to reverse the incidence of malaria and other major diseases	6.6 Incidence and death rates associated with malaria	Outcome
	6.7 Proportion of children under 5 sleeping under insecticide-treated bednets	Outcome
	6.8 Proportion of children under 5 with fever who are treated with appropriate anti-malarial drugs	Outcome
	6.9 Incidence, prevalence and death rates associated with tuberculosis	Outcome
	6.10 Proportion of tuberculosis cases detected and cured under directly observed treatment short course	Outcome

## Health Annex continued

### Endnotes: Bibliography and Remarks

A **thematic evaluation of the health sector** covering all EC aid delivery (geographic and thematic) over the period 2002-2010 was finalised in 2012. The evaluation clearly indicated that EU aid has contributed to progress in the health sector (but precise impact is difficult to assess), and that aid impact has been constrained by the persistent under-resourcing of the health sector by beneficiary governments, the human resources crisis in health and the need for better health technical capacity in EU Delegations. Several areas for improvement were identified at a strategic and operational level. Please see report for details: Particip GmbH, Final report, Vol. 1 (2012), "*Thematic evaluation of the European Commission support to the health sector*"

[http://ec.europa.eu/europeaid/how/evaluation/evaluation\\_reports/reports/2012/20120904-health-new-vol-i\\_en.pdf](http://ec.europa.eu/europeaid/how/evaluation/evaluation_reports/reports/2012/20120904-health-new-vol-i_en.pdf)

## Annex 4 - Education

### International key data sources

#### *International databases on **education indicators**:*

- European Commission: Eurydice - European Network for Information in Education; Eurostat 2012.
- OECD: Centre for Educational Research and Innovation (CERI)
- Education For All Global Monitoring Report (EFA-GMR; UNESCO)
- UN Millennium Development Goal Indicators Database
- UNESCO Institute of Statistics
- World Bank EdStats - Education Statistics Database

#### *Worldwide statistics on education are collected through three major data surveys:*

- UIS survey: The *UIS education survey* questionnaires are sent to 162 UNESCO Member States annually. The questionnaires are based on international standards, classifications and measures that are regularly reviewed and modified by the UIS in order to address emerging statistical issues and improve the quality of data.
- UOE survey: *UNESCO-UIS, the OECD and Eurostat (UOE)* have jointly administered this annual data collection since 1993. The UOE questionnaire compiles data from 46 high and middle-income countries that are members or partner countries of the OECD or the European Union + Israel + EFTA/EEA countries. WEI programme: UIS administers the *World Education Indicators (WEI)* programme to provide a platform for 15 countries to develop a critical mass of policy relevant education indicators beyond the global core set of education statistics collected by the annual UIS survey. The WEI also allows for direct comparisons to countries participating in the UOE survey, as the collection of data from the countries included in the WEI programme is based on the same common set of definitions, instructions and methods agreed by UIS, OECD and Eurostat for the UOE.

#### *Selected international and regional international studies geared to assessing learning outcomes among children, youth and adults*

- Southern Africa Consortium for Monitoring Education Quality (SACMEQ).
- Programme d'Analyse des Systèmes Educatifs(PASEC),
- Trends in International Mathematics and Science Study (TIMSS)
- Progress in International Reading Literacy Study (PIRLS)
- Laboratorio Latino-Americano de la Evaluación de Calidad de la Educación (LLECE),
- OECD's Programme for International Student Assessment (PISA)
- OECD Teaching and Learning International Survey (TALIS)
- UIS' Literacy Assessment and Monitoring Programme (LAMP).

#### *International Household Surveys*

Large international household surveys with education-related information include the UNICEF Multiple Indicator Cluster Surveys (MICS) and the Demographic and Health Surveys (DHS) funded by the US Agency for International Development (USAID).

## Annex 5 - Sustainable Agriculture Growth and Food & Nutrition Security

The documents listed below provide a useful reference base of internationally agreed indicators used for the purpose of monitoring the global and/or overall country situation:

- 1) Various MDG indicators, in particular 1C: prevalence of underweight children under 5 years of age; proportion of population below minimum level of dietary energy consumption<sup>6</sup>.
- 2) The Global Hunger Index, based on three equally weighted indicators: the proportion of undernourished as a percentage of the population (reflecting the share of the population with insufficient dietary energy intake), the prevalence of underweight in children under the age of five (indicating the proportion of children suffering from low weight for their age), the under-five mortality rate (partially reflecting the fatal synergy between inadequate dietary intake and unhealthy environments)
- 3) The indicator used by FAO in the State of Food Insecurity in the World is the Prevalence of undernourishment (the proportion of the population in the Country with a level of Dietary Energy Consumption lower than the Dietary Energy Requirements).
- 4) 6) Global Strategic Framework for Food Security and Nutrition <http://www.fao.org/docrep/meeting/026/ME498E.pdf>. The prevalence of undernourishment indicator provides only a partial picture of the food security situation. Recognizing this, FAO has compiled a preliminary set of indicators available for most countries and years that often draw on country data systems (see table on the next page)
- 5) Indicator of the Common Framework for Action CFA [http://www.fao.org/fileadmin/templates/worldfood/Reports\\_and\\_docs/FINAL\\_20CFA\\_20July\\_202008.pdf](http://www.fao.org/fileadmin/templates/worldfood/Reports_and_docs/FINAL_20CFA_20July_202008.pdf) . This document provides general indicators of food security which could be of use.
- 6) A review of Food and Nutrition Indicators by David Laborde,<sup>7</sup> Simla Tokgoz, Maximo Torero (IFPRI). [FOODSECURE working paper no. 06](#). February 2013. . This document provides general indicators of food security which could be of use.

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<sup>6</sup> It is increasingly recognized that the MDGs fail to adequately address nutrition

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Preliminary set of indicators available for most countries and years that often draws on country data systems developed by FAO

Type of indicator	Source	Coverage
<b>DETERMINANTS OF (INPUTS TO) FOOD INSECURITY</b>		
<b>Availability</b>		
Average dietary supply adequacy	FAO	1990–2012
Food production index	FAO	1990–2012
Share of energy supply derived from cereals, roots and tubers	FAO	1990–2012
Average protein supply	FAO	1990–2012
Average supply of protein of animal origin	FAO	1990–2012
<b>Physical access (conditions for physical access to food)</b>		
Percentage of paved roads over total roads	International Road Federation	1990–2009
Rail lines density	WB	1990–2010
Road density	WB, Transport Division	1990–2009
<b>Economic access (affordability)</b>		
Food price level index	FAO/WB	1990–2010
<b>Utilization</b>		
Access to improved water sources	WHO/ UNICEF	1990–2010
Access to improved sanitation facilities	WHO/UNICEF	1990–2010
<b>OUTCOMES</b>		
<b>Inadequate access to food</b>		
Prevalence of undernourishment	FAO	1990–2011
Share of food expenditure of the poor	FAO	partial
Depth of the food deficit	FAO	1990–2011
Prevalence of food inadequacy	FAO	1990–2011
<b>Utilization (food-related anthropometric failures)</b>		
Percentage of children under 5 years of age who are stunted	WHO/UNICEF	1966–2010
Percentage of children under 5 years of age who are wasted	WHO/UNICEF	1966–2010
Percentage of children under 5 years of age who are underweight	WHO/UNICEF	1966–2010
Percentage of adults who are underweight	WHO	1974–2010
<b>VULNERABILITY/STABILITY</b>		
Domestic food price volatility	FAO/ILO	1990–2010
Per capita food production variability	FAO	1980–2010
Per capita food supply variability	FAO	1980–2010
Political stability and absence of violence/terrorism	WB WGI	1996–2010
Value of food imports over total merchandise exports	FAO	1990–2009
Percentage of arable land equipped for irrigation	FAO	1990–2009
Cereal import dependency ratio	FAO	1990–2009

## Annex 6 – Monitoring System for Private Sector Development, Trade and Regional Integration

