



## *Draft New Deal implementation guide*

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This **DRAFT** was prepared by the International Dialogue Secretariat in consultation with the g7+ Secretariat. It is submitted to the Steering Group for **DISCUSSION** under Item 4 of the agenda.



# A Guide to Implementing the New Deal

*Draft for consultation (29 May 2012)*

## Introduction

This document provides a guide to support the country-level implementation of the *New Deal for International Engagement in Fragile States*. It outlines what you can do to start and/or advance implementation and presents key resources to help throughout implementation.

This document is based on the work undertaken by the g7+ Secretariat to develop New Deal implementation guidance, on discussions during the Working Group on New Deal Implementation (Copenhagen, 28-29 March 2012), and on the work undertaken by the Working Groups of the International Dialogue for Peacebuilding and Statebuilding in 2010-11.

Sharing experiences on New Deal implementation among g7+ countries and development partners is also a key way to contribute to overall implementation.

## Background

The New Deal has been endorsed by over 40 countries and organisations since its presentation at the Fourth High-Level Forum on Aid Effectiveness in Busan at the end 2011. At the forum, seven g7+ countries agreed to pilot the New Deal.<sup>1</sup> Similarly, a number of donors committed to support the pilots in specific countries.

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

The Working Group on New Deal Implementation has agreed to produce a simple guide that can support governments, other national actors, and partners when kick-starting and/or advancing implementation of the New Deal.

Options for providing targeted support to facilitate implementation will be provided separately.

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

## Structure of this document

This document is structured as follows:

Section I outlines the key entry points to start and/or advance New Deal implementation.<sup>2</sup>

Section II presents the key resources to support implementation. These include:

a) An implementation tool-kit:

- Example agenda for a kick off workshop
- A matrix to map New Deal implementation within individual pilot countries
- A guide on Compacts
- A matrix with the recommendations of the International Dialogue 2010-2011 Working Groups aligned to the New Deal
- A baseline study of pilot countries' status of New Deal commitments at December 2011
- A guide to road-testing the fragility spectrum and conducting a fragility assessment (from the Indicators Working Group)

b) A communication package:

- Key messages on the New Deal
- Standard presentation for use when briefing cabinet/Parliament, development partners and local CSOs

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<sup>2</sup> This builds on the g7+ document called "First steps to initiate the New Deal", which was presented at the New Deal working Group meeting in Copenhagen (March 2012) and on discussions at the working group meeting.

# Section 1

## *What you can do to start and/or advance implementation*

This section outlines entry points and relevant resources, to start, plan for, and/or advance New Deal implementation at country-level.<sup>3</sup> These are presented in Figure 1 and detailed in the following paragraph.

Country contexts differ, so the steps and the order outlined in Figure 1 are indicative. They can be undertaken in a different order, can be skipped, or other initiatives may be added, as necessary.

Figure 1: Entry points to start and/or advance New Deal Implementation

<p><b>Set up a task force and organise a national workshop to kick-start implementation</b></p> <p><i>Objective:</i> Depending on the context, disseminate, kick-start, plan for, advance New Deal implementation.</p> <p><i>A workshop can take place before or in parallel with any of the following steps.</i></p>			<ul style="list-style-type: none"> <li>• Model agenda</li> <li>• Communication package</li> </ul>
<p><b>Build coalitions/support for New Deal implementation</b></p> <p><i>Objective:</i> Brief key actors, establish cross-government mandate, create a “New Deal task force”</p>			<ul style="list-style-type: none"> <li>• Communication package</li> <li>• Implementation toolkit</li> </ul>
Brief stakeholders on the New Deal	Agree on institutional anchoring, governance and participation	Establish core “task force” as key driver for implementation	<ul style="list-style-type: none"> <li>• Implementation toolkit</li> <li>• National plans, policies, reports, etc.</li> </ul>
<p><b>Review and rebrand current New Deal initiatives; identify gaps</b></p> <p><i>Objective:</i> Review what is already going on to implement the New Deal, realign initiatives and identify key areas/initiatives to advance implementation</p>			<ul style="list-style-type: none"> <li>• Implementation toolkit (New Deal Implementation Review Matrix)</li> <li>• National plans, policies, reports, etc.</li> </ul>
Review existing country plans, policies and activities in each area	Rebrand existing New Deal country plans, policies and activities	Identify gaps in each New Deal area	<ul style="list-style-type: none"> <li>• Implementation toolkit</li> </ul>
<p><b>Make the New Deal real: Set goals and an implementation plan</b></p> <p><i>Objective:</i> Agree on goals and a strategy to advance implementation</p>			<ul style="list-style-type: none"> <li>• Implementation toolkit</li> </ul>
Set goals, implementation strategies and mechanisms, responsibilities and time frames to quickly advance implementation	Make the New Deal real: Start and/or advance implementation		

<sup>3</sup> These steps are based on the Document “First steps to Initiate the New Deal” prepared by the g7+ Secretariat” and presented at the New Deal implementation working group in Copenhagen (RD 5) and on further discussion during the working group meeting.

## 1. Organise a national workshop to kick-start and/or advance New Deal implementation

A key step to kick-start New Deal implementation and/or to advance it, is to organize a country level workshop. This can be organised by a “New Deal implementation task force” when one has been already created (see point 2).

Depending on the country context and the stage of socialisation and/or implementation of the New Deal, the workshop could cover one or more of the steps outlined in Figure 1 and in more detail in the following sections. In particular, a national New Deal implementation workshop could be used to:

- In countries where the New Deal is already well socialised among key Government officials and local donors, the workshop could be an opportunity to discuss existing implementation plans and to agree a way to work together to coordinate these.
- In countries where knowledge of the New Deal is relatively low, and few plans exist yet for implementation, the workshop is a chance to socialise the New Deal, its principles, and commitments, and share information on early experiences on implementation in other pilots. The workshop could select a ‘taskforce’ made up of stakeholders from civil society, government and engaged donors to discuss how to take forward implementation.

**Resources:** Model workshop agenda (Section II-a), communication package (Section II-b)

The International Dialogue, through its New Deal implementation working group, could provide on-demand support to facilitate a national workshop.

## 2. Build coalitions/support for New Deal implementation

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

A Task Force could be created to lead on New Deal Implementation. Its lead institution, membership, and mandate should be endorsed at the highest level of government. The composition will depend on country context, but should ideally include the ministries that will be the most affected by the New Deal (e.g. Finance or Planning). Representation could be considered for key donors and other stakeholders, in particular for those donors that have committed to support New Deal implementation in respective countries.

The Task Force will be responsible for advancing all aspects of New Deal implementation. Initial functions might include:

- i. Organise a national workshop to agree on priority areas and next steps among all stakeholders ( see point 1 above);
- ii. Plan and oversee work to deliver the steps 3 and 4 outlined below;
- iii. Support and oversee concrete implementation;
- iv. Monitor progress and feed into peer learning tools and the ID implementation matrix

- v. Ensure communication and information sharing throughout the implementation process.

The Task Force could report to existing government-donor coordination fora or other mechanisms, depending on the context and existing institutional set up.

**Resources:** Communication package (Section II-b), Implementation tool-kit (Section I-a)

The International Dialogue, through its New Deal implementation working group, could provide support as needed, including advising on the implementation process and fielding small teams of Dialogue members and technical experts to support and/or facilitate country-level discussions.

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

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

Key steps to build on existing work include:

- i. Establish a baseline by reviewing and mapping existing country plans (including PRSs and Aid Strategies and Development Plans), policies and activities by the government, development partners and other actors in each New Deal area.
- ii. Align or re-brand new and existing initiatives to the New Deal. For example, if a new PRS is being drafted, work with the drafting team to ensure that the New Deal is used to frame and inform the document
- iii. Identify what gaps must be addressed through new initiatives, in particular to develop 'quick wins' that can demonstrate the impact of the New Deal in the short term.

It will also be useful to review existing institutions and capacities, including aid tracking tools and dialogue fora, and identify how these could be used to promote implementation

**Resources:** Implementation tool-kit (Section II-a)

### 4. Set priorities and goals and devise a plan to deliver them

The final step to make the New Deal "Real" is to clarify and agree with your coalition of supporters on some key priorities and goals, and agree a plan (with responsibilities, timeframes, and required support) to implement the New Deal.

The implementation plan will outline such issues as how, when, and what resources are required to undertake the fragility assessment, develop or refine 'one vision one plan', monitor country-level progress, and ensure continued political dialogue (the FOCUS principles).<sup>4</sup> It will also outline what is required to implement the TRUST commitments, and to establish a compact.

**Resources:** Implementation tool-kit (Section II-a)

<sup>4</sup> Add explanation of what is the roadmap and how this is different from the One Vision One Plan.

## Section 2

### *Resources to support New Deal implementation*

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

a) An implementation tool-kit:

- Standard agenda for an implementation workshop
- A country-level matrix to map New Deal implementation
- A guide on Compacts
- A matrix with the recommendations of the International Dialogue 2010-2011 Working Groups aligned to the New Deal

b) A communication package:

- Key messages on the New Deal
- Standard presentation

# Section 2a

## Implementation toolkit

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

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

0:00 – 0:30 30 minutes	<p><b>Welcome and Opening remarks</b></p> <ul style="list-style-type: none"> <li>○ Welcome by high-level Government representative</li> <li>○ Outline objectives of the workshop</li> <li>○ Introductions</li> </ul>
0:30 – 1:15 105 minutes	<p><b>Session 1: An overview of the New Deal for International Engagement in Fragile States</b></p> <ul style="list-style-type: none"> <li>○ Overview of the New Deal: background, key elements and commitments</li> <li>○ Presentations of international experiences with New Deal implementation</li> <li>○ Review of challenges and opportunities</li> <li>○ Discussion</li> </ul> <p><i>The scope of this session depends on the level of knowledge on New Deal in country. If the New Deal has already been disseminated, this session may focus on experiences with New Deal implementation.</i></p>
15 minutes	<p><b>Coffee break</b></p>
1 hour 45 minutes (indicative timing)	<p><b>Session 2: Discuss roles and responsibilities for New Deal implementation</b></p> <ul style="list-style-type: none"> <li>○ Discuss and agree on overall roles and responsibilities for New Deal implementation</li> <li>○ Set up task force for implementation</li> </ul> <p><i>If a task force was established before the workshop, this session will focus on outlining other roles and responsibilities.</i></p>
1 hour 45 minutes (indicative timing)	<p><b>Session 3: Establishing a baseline for implementation</b></p> <ul style="list-style-type: none"> <li>○ Presentation of current initiatives to promote the use of PSGs, FOCUS and TRUST</li> <li>○ Reactions by three discussants representing different stakeholders (government, civil society, international community)</li> <li>○ Identifying PSG, FOCUS and TRUST areas not covered by current policies and actions to be taken in these areas to deliver quick wins</li> <li>○ Discussion</li> </ul>
1 hour	<p><b>Lunch break</b></p>
1 hour 45 minutes (indicative timing)	<p><b>Session 4: Establishing a baseline for implementation (continued)</b></p> <ul style="list-style-type: none"> <li>○ Review of existing institutions and capacities that can be used for implementation.</li> <li>○ Discussion of two or more of the following questions in break out groups: 1) given the country context, what are the priority areas for New Deal implementation? 2) what institutions and capacities can be used to advance New Deal implementation? 3) in which areas are new initiative required to take the New Deal forward? 4) what are the opportunities, challenges and risks associated with New Deal implementation?</li> <li>○ Reporting back and discussion</li> <li>○ Summary of key findings</li> </ul>
1 hour 45 minutes (indicative timing)	<p><b>Session 5: Develop an implementation strategy and agree on roles, responsibilities</b></p> <ul style="list-style-type: none"> <li>○ Based on the proceeding discussion, this session should identify ways forward and next steps to implement the New Deal, including the establishment of a task force and any other relevant mechanisms. It should also reach agreement on the roles and responsibilities of different actors in this process, and agree on next steps.</li> </ul>
15 minutes	<p><b>Conclusion and closing remarks by high-level government representative</b></p>

## 2. Matrix to map country-level New Deal implementation

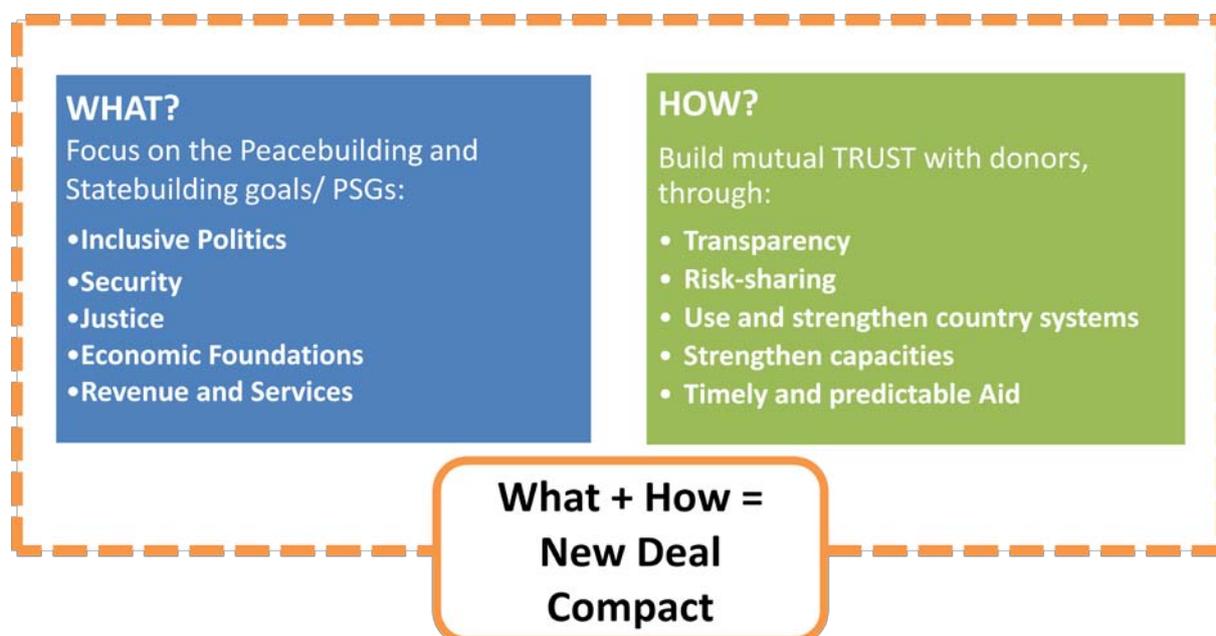
		<b>REVIEW</b> <i>What are the main existing policies and initiatives?</i>	<b>IDENTIFY GAPS</b> <i>Which areas are poorly addressed?</i>	<b>SET GOALS</b> <i>How to fill gaps? What quick wins exist? Key next steps?</i>	<b>PROGRESS</b> <i>with implementation</i>
<b>PSGS</b>	<b>Inclusive Politics</b>			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

### 3. A basic guide to compact implementation<sup>5</sup>

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

**The New Deal and compacts:** The New Deal commits partners to use a country-specific compact in support of country-owned and led pathways out of conflict and fragility. A compact is a flexible framework that “can take different forms at different points in transition out of fragility... ensure harmonization and donor coordination... guide the choice of aid modalities”<sup>6</sup> and allow resources to be aligned to national priorities. In essence, a compact is a mechanism that allows national and international partners to focus on the most critical areas where joint effort is required whilst providing a mechanism that can build mutual trust and accountability. A compact should be designed and tailored to the country context and grounded in a commitment to deliver on the PSGs.

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



<sup>5</sup> This note draws on the recommendations of the Dialogue 2010-2011 working groups (i.e. the working group on planning and aid instruments), the work produced by the g7+ Secretariat (including the g7+ document on using the New Deal elements to design and implement a strategy to transition out of conflict and fragility (i.e. “A Peacebuilding and Statebuilding Roadmap”), the OECD Guidance on transition financing, and the lessons identified in the IPI study on compacts.

<sup>6</sup> See compact definition in New Deal, Section 2, paragraph 4

### *Steps to agree and implement a compact:*

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

### *Structure and participation*

National and international partners need to agree on the most appropriate structure of a compact based on the country context. Ideally a compact would not duplicate other aid coordination structures and mechanisms. To ensure continued relevance a compact will “draw upon a broad range of views from multiple stakeholders and the public, and be reviewed annually through a multi-stakeholder review”.<sup>7</sup> Participants should agree among themselves on individual roles and responsibilities and on the commitments that they sign up to when joining.

### *Key lessons to keep in mind*

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

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

### *Some questions for consideration when establishing a compact*

- Who should be involved in designing the compact?

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<sup>7</sup> Ibid

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

***For further reference***

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

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

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

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

<p><b>Support political dialogue</b></p>	<ul style="list-style-type: none"> <li>• Create political space for peaceful dialogue (working group on political dialogue) <p>National partners should commit to create and maintain legitimate and inclusive spaces for peaceful dialogue, and dedicated capacities for conflict management, with the aim of building confidence and addressing conflicting or diverging priorities. National partners should do so on the basis of the preconditions for successful dialogue: adequate preparation, credible facilitation, sufficient political commitment, collective leadership capability and adequate inclusion. International partners (including regional and international organisations) should commit to increasing their long-term investment in dialogue and mediation.</p> <p>To this end, national partners should undertake the actions below. International partners will make long-term investments in time and resources to support them:</p> <ul style="list-style-type: none"> <li>○ Build and strengthen inclusive, transparent and legitimate institutions for governance, and internal capacities to mediate disputes and build peace that are context and culturally specific. This will be done at the national and local levels, and over the long term so as to allow continuous and effective dialogue.</li> <li>○ Invest in programs that enhance the capacity of leaders at all levels, including the younger generation and women, for collaboration and for nation building.</li> <li>○ Participate in, and peer review, electoral processes in other conflict affected and fragile countries to share experiences on how to maintain space for peaceful dialogue during critical periods.</li> </ul> </li>   <li>• Use successful conflict management methods for ‘best-fit’ approaches to dialogue (working group on political dialogue) <p>National partners should commit to use formal and informal conflict management methods that have been successful, paying due attention to the conditions under which this was the case, for ‘best-fit’ approaches to dialogue.</p> <p>To this end, the national partners should undertake the actions below. International partners should make long-term investments in time and resources to support them:</p> <ul style="list-style-type: none"> <li>○ Institutionalise specialised dialogue support at the international, national and local level, including within civil society, to deepen knowledge, skills and capacity.</li> <li>○ Investigate whether a list of eminent persons should be established to support conflict management efforts, possibly as part of existing mechanisms.</li> </ul> </li>   <li>• Implement the results of political dialogue (working group on political dialogue) <p>National partners should commit to implement agreements that are the results of political dialogue processes as transparently and as fully as possible, recognising that implementation requires the continuation of dialogue, time and will generate new challenges.</p> <p>To this end, national partners should undertake the actions below. International partners should make long-term investments in time and resources to support them:</p> <ul style="list-style-type: none"> <li>○ Validate dialogue results as broadly and publicly as possible to confirm societal approval.</li> <li>○ Ensure that agreements include provision(s) for procedures or institutions to monitor and evaluate implementation at the national and local level, including a significant role for civil society organizations.</li> <li>○ Ensure that agreements include provision(s) for procedures or institutions to facilitate further dialogue.</li> </ul> </li>   <li>• Support greater coherence between domestic resources and aid (working group on aid instruments) <ul style="list-style-type: none"> <li>○ National partners should identify the best national coordination units to manage aid. International partners should agree to support and finance the establishment of such mechanisms. National and international partners should agree on the most appropriate financing mechanisms to link domestic resources and international aid, including multi-donor trust funds, and to undertake regular reviews of these to ensure their continued effectiveness. International partners should use pooled funding mechanisms. Smaller partners (e.g. not among those providing 80% of the assistance to a country) should channel assistance through pooled funds and multilateral organisations to decrease transaction costs and to avoid fragmentation.</li> </ul> </li> </ul>
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<b>TRUST</b>	<b>Transparency</b>	<ul style="list-style-type: none"> <li>• Be transparent about aid allocations to ensure alignment with country priorities (Aid Instruments WG) <ul style="list-style-type: none"> <li>○ National partners should publish domestic resource allocations and remaining financing gaps based on identified priorities, as well as budget data for the previous 5-10 years. National and international partners should request the International Aid Transparency Initiative (IATI) to prioritise support to fragile states to convert IATI data into local budget compatible data. International partners should be transparent about how official development assistance (ODA) – including humanitarian aid - is used to address country priorities and the reasons where this is not the case. All financing that address national identified peacebuilding and statebuilding priorities – included non aid flows such as military support – should be reported on and published locally in time for the budget and in the same format as the budget.</li> </ul> </li> </ul>
	<b>Risk-sharing</b>	<ul style="list-style-type: none"> <li>• Manage risks associated with aid delivery in fragile states (Aid Instruments WG) <ul style="list-style-type: none"> <li>○ National partners should accept the need for stricter accountability and reporting requirements in fragile states and agree to prioritise efforts that can decrease these risks. International partners should undertake joint assessments of risks, share these with national governments, and take steps towards more joint risk management –recognising that risks are bigger to individual donors than to a collective group. National partners should undertake a regular review of the effectiveness of different aid instruments, and should consider risk management as an important element in this. National partners and international partners should promote change to multilateral procedures to enable more collective and calculated risk taking and management. This could include reform of procurement procedures to enable more use of national procedures and systems.</li> </ul> </li> <li>• Agree on a mechanism at country level to enable stronger partnership between national and international partners, to strengthen mutual accountability and the alignment of resources to national plans and priorities (Planning and Aid Instruments working groups) <ul style="list-style-type: none"> <li>○ National and international partners should establish a mutual agreement in-country, under the leadership of national actors to take their common agenda forward. This agreement should be based on commitments from national and international partners and should reflect the agreement between citizens and the state. It should focus explicitly on identifying and delivering results, identifying the right mix of instrument and aligning resources to national priorities, building country capacities and systems, and on approaches that enable collective identification and management of risks.</li> <li>○ As part of this agreement, the national partners should commission annual independent reviews of international performance in their countries and link renegotiation of partnership of the compact to results and findings of the reviews.</li> <li>○ International partners should engage in this mutual accountability arrangement and contribute up to 5% of their overall aid to a joint government-donor Accountability Fund, which could be used to operate the agreement and related coordination mechanisms.</li> </ul> </li> </ul>
	<b>Use and strengthen country systems</b>	<ul style="list-style-type: none"> <li>• Support greater coherence between domestic resources and aid (Aid Instruments working group) <ul style="list-style-type: none"> <li>○ National partners should identify the best national coordination units to manage aid. International partners should agree to support and finance the establishment of such mechanisms. National and international partners should agree on the most appropriate financing mechanisms to link domestic resources and international aid, including multi-donor trust funds, and to undertake regular reviews of these to ensure their continued effectiveness. International partners should use pooled funding mechanisms. Smaller partners (e.g. not among those providing 80% of the assistance to a country) should channel assistance through pooled funds and multilateral organisations to decrease transaction costs and to avoid fragmentation.</li> </ul> </li> <li>• Use joint oversight mechanisms to strengthen country systems and to link aid with national budget and priorities (Aid Instruments working group) <ul style="list-style-type: none"> <li>○ National partners should identify instruments best suited for providing aid through government systems, including to provide immediate support for recurrent costs (including pooled funds). National and international partners should agree on level of additional safeguards and joint oversight required. International partners should provide support to establish joint oversight, including through capacity development efforts and agree to use the joint oversight mechanism for the majority of bilateral funding.</li> </ul> </li> <li>• Agree on a mechanism at country level to enable stronger partnership between national and international partners, to strengthen mutual accountability and the alignment of resources to national plans and priorities (Planning and Aid Instruments working group) <ul style="list-style-type: none"> <li>○ National and international partners should establish a mutual agreement in-country, under the leadership of national actors to take their common agenda forward. This agreement should be based on commitments from national and international partners and should reflect the agreement between citizens and the state. It should focus explicitly on identifying and delivering results, identifying the right mix of instrument and aligning resources to national priorities, building country capacities and systems, and on approaches that enable collective identification and management of risks.</li> <li>○ As part of this agreement, the national partners should commission annual independent reviews of international performance in their countries and link renegotiation of partnership of the compact to results and findings of the reviews.</li> <li>○ International partners should engage in this mutual accountability arrangement and contribute up to 5% of their overall aid to a joint government-donor Accountability Fund, which could be used to operate the agreement and related coordination mechanisms.</li> </ul> </li> </ul>

<p><b>Strengthen capacity</b></p>	<ul style="list-style-type: none"> <li>• Shape and endorse at the highest possible level the ground rules between key national and international partners on best approaches to capacity development (Capacity Development WG)             <ul style="list-style-type: none"> <li>○ National and international partners should agree on capacity development approaches that build on existing capacities, and design initiatives that reflect ‘emergent’, or gradual, approaches with a clear results-orientation.</li> <li>○ National and international partners should agree on a Code of Conduct, to shape a joint agreement, including with civil society, on the approach to supporting capacity development. This should clarify the role of technical cooperation in support of capacity development, as well as other forms of capacity development support, and explain the role of the respective partners in mobilising and managing such support.</li> <li>○ A mechanism for a regular joint monitoring of these ground rules and progress in the achievement of capacity development results should be set up. Such a dialogue and monitoring should include civil society actors as well as providers of technical cooperation personnel where relevant.</li> </ul> </li> <li>• Use a variety of approaches to support capacity development and to mobilise expertise to fill temporary capacity gaps, starting with local and regional resources (Capacity Development WG)             <ul style="list-style-type: none"> <li>○ National and international partners should identify possible alternative approaches to support capacity development, beyond the mobilisation of technical cooperation and expertise, including, outsourcing and public-private-partnerships, mobilisation of civil society organisations, research institutes, the media or community involvement. Ad hoc trainings should be replaced with longer term on the job training using “collaborative work-training methods” such as twinning arrangements, peer assistance and job-sharing and based on a wider capacity development strategy.</li> <li>○ National and international partners should prioritise local and regional expertise, including national young graduates and experts from the Diaspora, pacing a particular focus on women. International and senior long-term consultants should be considered only for critical high-level positions to reduce the potential negative impact of their high cost. International technical cooperation positions for gap-filling should be individually approved by government and development partners, overall numbers should be monitored by government and they report to national authorities, and not to international partners.</li> </ul> </li> <li>• Improve the coordination of capacity development support through the increased use of pooled funding mechanisms and by strengthening national capacity to manage such support (Capacity Development WG)             <ul style="list-style-type: none"> <li>○ International partners should increase the proportion of capacity development support, including technical cooperation personnel, which is funded through pooled and flexible funding mechanisms. A lead capacity development donor/agency should be identified per sector to act as the main focal point for high-level dialogue with government and to identify technical cooperation priorities and technical cooperation personnel.</li> <li>○ International partners should support the building of systems that allow national governments to manage and monitor the performance of capacity development support, with a particular focus on technical cooperation, ideally through country systems. Where such is not possible, co-management and co-monitoring arrangements with external partners should be applied. For the procurement of technical cooperation, the capacity of national partners to apply international procurement standards should be strengthened.</li> <li>○ Sector/theme level dialogue should be set up between national and international partners about technical cooperation support and ways to harmonise and align it.</li> </ul> </li> <li>• Eliminate implementation arrangements that work in parallel to national systems (Capacity Development WG)             <ul style="list-style-type: none"> <li>○ National and international partners should agree to reduce Project Implementation Units (PIUs) or project entities to one PIU that is managed under the leadership of the appropriate institution and is aligned with government structures and procedures. All other PIUs should be phased out gradually.</li> <li>○ Ensure that parallel arrangements that are considered indispensable for strategic reasons have a clear strategy to exit, or approach to gradually align with government structures and procedures to avoid that the authority of line managers and agencies outside ministries is undermined. Apply “shadow alignment” approaches to the extent this is possible.</li> </ul> </li> <li>• Reduce distortions in national salary structures caused by non-harmonised pay practices (Capacity Development WG)             <ul style="list-style-type: none"> <li>○ Salary top ups for civil servants should only be paid to entire ministries and through the government budget or through pooled funds/Multi Donor Trust Funds. Parallel top-up payments by development partners should be phased out. Top up levels should be agreed with the appropriate public authority, e.g. civil service commission.</li> <li>○ National and international partners should agree on key steps to establish a unified remuneration package for national expertise/ contractors (including pay, fringe benefits, etc.) for national experts, national advisors and members of the Diaspora working in government institutions as well as development agencies. This pay scale should be gradually aligned with pay reforms in the civil service.</li> </ul> </li> <li>• Improve the quality of technical assistance personnel and allow for a more flexible mobilisation of capacity development support (Capacity Development WG)             <ul style="list-style-type: none"> <li>○ International partners, in agreement with the government, should mobilise international technical assistance personnel for strategically relevant tasks.</li> <li>○ National and international partners should review and adapt procedures and regulations for the mobilisation of capacity development support so as to allow for more flexibility in identifying and recruiting adequate expertise, in particular from the South, and to allow for country partners to take the lead in supervising, managing and assessing the support.</li> <li>○ Knowledge sharing and learning mechanisms on positive capacity development experiences should be promoted.</li> </ul> </li> </ul>
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<p><b>Timely and predictable aid</b></p>	<p>RECOMMENDATIONS FROM THE INTERNATIONAL DIALOGUE WORKING GROUP (2010-2011)</p> <p>Adopt policies and procedures to increase the speed and flexibility of aid to fragile states (Aid Instruments WG)</p> <ul style="list-style-type: none"> <li>• Members of the International Dialogue should identify a group of fragile states where the risks of the return to conflict are so high and the needs for rapid development are so great that exemptions to normal aid regulations/practices should be accepted. International partners should allow their emergency financial management and procurement procedures to be used in this group of fragile states during the first ten years. These experiences should be monitored and the evidence used to help international partners adapt their rules and regulations for engagement in fragile states.</li> </ul> <p>Agree on a mechanism at country level to enable stronger partnership between national and international partners, to strengthen mutual accountability and the alignment of resources to national plans and priorities (Planning and Aid Instruments WG)</p> <ul style="list-style-type: none"> <li>• National and international partners should establish a mutual agreement in-country, under the leadership of national actors to take their common agenda forward. This agreement should be based on commitments from national and international partners and should reflect the agreement between citizens and the state. It should focus explicitly on identifying and delivering results, identifying the right mix of instrument and aligning resources to national priorities, building country capacities and systems, and on approaches that enable collective identification and management of risks.</li> <li>• As part of this agreement, the national partners should commission annual independent reviews of international performance in their countries and link renegotiation of partnership of the compact to results and findings of the reviews.</li> <li>• International partners should engage in this mutual accountability arrangement and contribute up to 5% of their overall aid to a joint government-donor Accountability Fund, which could be used to operate the agreement and related coordination mechanisms.</li> </ul>
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