Publish What You Fund

2013 Aid Transparency Index

Technical Paper

Table of Contents

Acronyms and Abbreviations

BPA	Busan Partnership Agreement
CPA	Country Programmable Aid
CRS	Creditor Reporting System (of the OECD DAC)
CSO	Civil society organisation
CSV	Comma separated values
DAC	Development Assistance Committee (of the OECD)
DFI	Development Finance Institution
DFID	Department for International Development
EC	European Commission
ECHO	Humanitarian Aid and Civil Protection Department (European Commission)
FOI(A)	Freedom of Information (Act)
G8	Group of Eight
HLF-4	Fourth High Level Forum on Aid Effectiveness
HTML	HyperText Markup Language
IATI	International Aid Transparency Initiative
IFI	International Financial Institution
MFA	Ministry of Foreign Affairs
MoU	Memorandum of Understanding
NGO	Non-governmental organisation
ODA	Official Development Assistance (definition of OECD DAC)
ODF	Official Development Finance (definition of OECD DAC)
OECD	Organisation for Economic Co-operation and Development
PDF	Portable Document Format
RTI	Right to Information
UK	United Kingdom
UN	United Nations
URL	Uniform Resource Locator
U.S.	United States (of America)
USD	United States Dollar
XML	Extensible Markup Language

Introduction

This technical paper sets out the approach taken to develop the 2013 Aid Transparency Index, including the revised methodology, donor selection criteria, indicator scoring and weighting, the data collection process, interpreting and comparing results and limitations. It also presents the various options that were considered before making final methodological decisions.

A new methodology for 2013

2013 represents an evolution in the Index methodology, recognising changes in the global environment since the Fourth High Level Forum (HLF-4) in Busan and the significant progress donors have made in increasing their aid transparency, both in terms of commitments and publication.[1] As in previous years, the Index monitors the availability of aid information. For the first time in 2013, it also looks at the format of the information. This is in response to feedback from donors and civil society organisations (CSOs) on the previous methodology, particularly regarding activity sample selection and the need to assess the quality of the information being made available. Looking at the format of the data helps us to assess how easy the information is to access, use and compare.

Why do this and why now?

Since the launch of the 2011 pilot Index, donors have shifted from making high-level commitments to practical implementation. As the Index evolves, it needs to reflect the progress made by donors in making their aid information more accessible in line with these commitments. In the 2012 Index, we made clear that we wanted to start measuring the quality of published aid data better by focusing much more on the format that the data is provided in and how comprehensive it is.[2]

Publish What You Fund conducted a review of the Index methodology at the end of 2012 in consultation with peer reviewers, CSO partners and donors who expressed interest in giving feedback. Reviewers were asked to consider whether 43 indicators, assessed using a manual data collection process, were still needed. They were also asked to consider how best to show differences in organisations' publication, the quality of that data, and ultimately how the Index could be used to encourage publication of more and better aid information. Two options were proposed for collecting and presenting the data – one using an automated data quality assessment and one with a mixture of automated assessment and manual sampling.

Option 1: Automated data using 105 indicators to monitor what information donors are making available
This option uses two main data sources – donors' implementation schedules detailing how they will implement the Busan common standard; and a data quality tool, to measure the quality of IATI XML data publication across the full range of fields in the International Aid Transparency Initiative (IATI) standard, for each activity. The tool would be designed to ensure that the tests are meaningful, suitably targeted and appropriate to the context in which the organisation is operating. This option would allows us to begin to answer questions such as: "What percentages of activities contain titles?" or "Is this organisation publishing results data and is that roughly what you would expect from this organisation (i.e. is the data comprehensive)?" From answers to these questions, it would be possible to build up a detailed picture of the quality of each donor's data. These two data sources would be supplemented with a simpler, leaner survey assesses the donor's overall commitment

---

[1] For more on the commitments made at HLF-4 see the Busan Partnership Agreement: http://www.effectivecooperation.org/files/OUTCOME_DOCUMENT_-_FINAL_EN2.pdf.
[2] See Annex 1 of the 2012 Aid Transparency Index: http://www.publishwhatyoufund.org/files/2012-Aid-Transparency-Index_web-singles.pdf.

to aid transparency, including the quality of its Freedom of Information Act (FOIA); any national or organisation-wide open data initiatives it is implementing; and whether it is promoting the use of its data.

Overall benefits:
- The methodology is more robust in terms of awarding 'always' scores. It checks activities in all countries, not just the largest recipient country. It also checks the *quality* of the information, not just the location.
- The methodology is in-line with donor commitments made at HLF-4.
- More time is available for producing analysis rather than collecting and checking data.
- Civil society engagement can be more focused on the results and findings rather than data collection and activity selection.

Overall drawbacks:
- It exclude donors that have made no progress on IATI since Busan.
- Changing the methodology could highlight that some donors' data is not high quality and hard to use.
- Donors included in the 2011 and 2012 Indexes that have not made any progress on IATI would either be excluded or score 0.

Option 2: Combination of the manually collected 43 indicators used in the 2012 Index and automated data sources listed in option 1

This option uses three main data sources – a manual survey (43 indicators), donors' implementation schedules (46 indicators) and a data quality tool (duplicating the survey indicators) – amounting to 89 individual indicators. These would be combined but the scoring methodology would have two distinct categories, with 41 of the indicators (those collected via the survey) awarded additional points if that information is published in the most open format (IATI XML) and according to the same criteria as option 1.

For example, a donor publishing the 41 information items in PDFs on its website would receive 1 point for each indicator; but a donor publishing the 41 information items in IATI XML (and therefore in a comparable format) for 70% of its projects would receive 1.7 points for each indicator. Scaling would be required to combine the two set of scores.

Overall benefits:
- All donors that were included in the 2012 Index can be included in 2013.
- Some consistency from year to year – it is not a complete break from the 2011/2012 methodology.
- It allows engagement with donors that have made limited progress with implementing the common standard since HLF-4.

Overall drawbacks:
- It is the more complicated option. Explaining it might distract from the Index's main purpose: to monitor donor progress on implementing aid transparency.
- It does not provide a concise monitoring tool for implementation of the common standard or IATI.
- It is the most resource intensive option. It does not provide enough time for analysis unless the number of donors included in the Index is reduced by approximately 30%, therefore losing some of the comparability across donor organisations.
- There will be a break in the time series every year, which will reduce the ability to monitor progress over time in the future as well as now.

Consultations were held in December 2012 and January 2013. They included a discussion of the two proposed options and the criteria for selecting which organisations to include. Three core questions were posed:

1) Given the commitments made in Busan, do some of the indicators need updating?
2) How can feedback from donors be incorporated on the indicators used and activity selection?
3) How can the data collection process be streamlined?

Feedback from the consultations emphasised that Publish What You Fund should assess organisations on their progress with implementing the Busan common standard and that this should start in 2013, in order to assess progress against the target of full implementation by the end of 2015. There was also a strong preference for Option 2 as it means the Index can include a mixture of both automatically and manually collected data (in order to include as many different types of organisations and publishers as possible, and especially to include organisations not yet publishing to the IATI standard), and that it continue to look at overall commitment to aid transparency as well as current publication, particularly at the activity level. There was also a preference to retain the 43 indicators used in 2012 instead of increasing or radically altering the number of indicators.

The indicators used in 2013 are largely drawn from those used in 2011 and 2012. Four indicators that were used in 2012 have either been dropped or replaced and two new indicators have been introduced. Overall, the new methodology uses 39 indicators.

A new scoring methodology is also used, looking at how comparable and accessible the information is. This means that **for 22 indicators, the format in which the information is published is taken into account, with more open and accessible formats scoring higher**. The grouping and weighting of the indicators has also changed. See Sections 2 and 3 for more on the 39 indicators and how they are scored and weighted.

Given the preference for combining automatically and manually collected data, the 2013 Index data is collected using the approach outlined in option 2 above:

- Via a manual survey
- A review of donor's implementation schedules
- An automated assessment of IATI XML data

A new data collection platform, the Aid Transparency Tracker, is used to collect and share the data included in the Index. Section 4 provides more detail on the Tracker and the data collection process. As in previous years, **timeliness is a core criterion – the Index only scores data published in the previous 12 months and that relates to that period**.

The incentives in the Index are very clearly structured in 2013: more points are awarded for publishing in more useful formats. As a result, there are clear ways for organisations included in the Index to improve their aid transparency and boost their scores. Put simply, organisations that are not publishing current information in open, comparable and machine-readable formats do not perform as highly as those that do.

Section 1. Donor selection

Feedback on the 2012 Index highlighted the need for a more systematic approach to selecting which donors to assess. In previous years, organisations were selected on the basis of their membership of the OECD's Development Assistance Committee (DAC) or IATI signatory status, with additional organisations included later to test the methodology, such as Development Finance Institutions (DFIs) and climate finance providers.

Criteria for selection in 2013

In 2013, the organisations were selected using three criteria. Organisations need to meet two of these to be included in the Index:
1) They are a large donor (annual ODA and/or OOF spend is more than USD 1bn[3]);
2) They have a significant role and influence as a major aid agency and engagement with the Busan agenda;
3) They are an institution to which government or organisation-wide transparency commitments apply, for example members of the G8 or all European Union Member States.

The 67 organisations covered by the 2013 Index includes 49 bilateral agencies, 17 multilateral organisations and one philanthropic organisation. Recognising that not all the indicators used in the Index are a direct fit with every organisation's particular modus operandi, the scoring guidelines for certain indicators have been amended to accept equivalent documents or information based on the type of organisation under assessment. More details on the scoring guidelines for individual indicators can be found in Annex 1.

Table 1: The 67 donor organisations included in 2013, with 2011 spend and largest recipient

Donor Name	Spend in 2011 (USD mn)	Largest recipient[4]
African Development Bank	5406	Ethiopia
Asian Development Bank	7566	Vietnam
Australian Agency for International Development	4154	Papua New Guinea
Austrian Development Agency	118	Uganda
Belgium, Directorate General for Cooperation and Development	1235	Democratic Republic of Congo

---

[3] The data source for calculating annual ODA spend is the OECD DAC's Creditor Reporting System (CRS). The most recent CRS data available is from 2011. For those organisations that do not report to the DAC, the spend was calculated based on the most recent annual financial report. In the case of IFIs or DFIs that spend ODF as well as or instead of ODA, their ODF and ODA spend was calculated. Where no ODA or ODF data source was available, the figure was calculated based on total investment programme budget (for the European Bank for Reconstruction and Development and the International Finance Corporation) or loans disbursed to partner countries (for the European Investment Bank).

[4] Calculated based on DAC CRS 2011 ODA spend, information provided in annual reports or the donor's own data. For Canada and Korea, their second or third largest aid recipient was used as funds to the largest recipient are managed jointly with other agencies. For Brazil, Bulgaria, China, Lithuania and Malta, the largest recipient was selected based on news articles and other grey literature as official data sources could not be found.

Donor Name	Spend in 2011 (USD mn)	Largest recipient[4]
Bill and Melinda Gates Foundation	3208	Global Health Program[5]
Brazilian Cooperation Agency	1000	Mozambique
Bulgaria, Ministry of Foreign Affairs	48	Armenia
Canadian International Development Agency	2810	Mozambique
China, Ministry of Commerce	1000	Angola
CyprusAid	18	Latin America and Caribbean region
Czech Development Agency	23	Mongolia
Denmark, Ministry of Foreign Affairs	2257	Tanzania
European Bank for Reconstruction and Development	9561	Ukraine
European Investment Bank	6696	Turkey
Estonia, Ministry of Foreign Affairs	7	Afghanistan
European Commission, Service for Foreign Policy Instruments	158	Pakistan
European Commission, DG Development and Cooperation – EuropeAid	12231	Afghanistan
European Commission, DG Humanitarian Aid and Civil Protection	1292	South Sudan
European Commission, DG Enlargement	1281	Serbia
Finland, Ministry of Foreign Affairs	774	Tanzania
France, Ministry of Economy and Finance	1879	Democratic Republic of Congo
France, Ministry of Foreign Affairs	1087	Morocco
French Development Agency	5296	Cote d'Ivoire
GAVI Alliance	819	Ethiopia
Germany, Foreign Office	965	Afghanistan
Germany, BMZ-GIZ	5654	Afghanistan
Germany BMZ-KfW	1752	India
Greece, Hellenic Aid	154	Albania
Hungary, Ministry of Foreign Affairs	33	Afghanistan
Inter-American Development Bank	8897	Honduras
International Monetary Fund	1455	Kenya
Irish Aid	596	Uganda
Italy, Ministry of Foreign Affairs	403	Afghanistan
Japan International Cooperation Agency	9728	India

---

[5] For the Bill and Melinda Gates Foundation, the largest thematic programme was selected as the foundation does not develop country-specific strategies.

Donor Name	Spend in 2011 (USD mn)	Largest recipient[4]
Japan, Ministry of Foreign Affairs	5308	Democratic Republic of Congo
Korean International Cooperation Agency	405	Mongolia
Latvia, Ministry of Foreign Affairs	1	Moldova
Lithuania, Ministry of Foreign Affairs	21	Afghanistan
Luxembourg, Ministry of Foreign Affairs	281	Mali
Malta, Ministry of Foreign Affairs	13	Libya
Netherlands, Ministry of Foreign Affairs	4538	Afghanistan
New Zealand, Ministry of Foreign Affairs and Trade	333	Papua New Guinea
Norway, Ministry of Foreign Affairs	2600	Afghanistan
Poland, Ministry of Foreign Affairs	90	Belarus
Portugal, Camões Institute for Cooperation and Language	516	Mozambique
Romania, Ministry of Foreign Affairs	29	Moldova
Slovak Agency for International Development Cooperation	21	Kenya
Slovenia, Ministry of Foreign Affairs	19	Croatia
Spain, Ministry of Foreign Affairs – Spanish Agency for International Development Cooperation	1182	Nicaragua
Swedish International Development Cooperation Agency	2668	Tanzania
Swiss Agency for Development and Cooperation	1240	Nepal
The Global Fund to Fight AIDS, Tuberculosis and Malaria	2647	Ethiopia
United Kingdom, Department for International Development	7225	Ethiopia
United Kingdom, Foreign and Commonwealth Office	451	Afghanistan
United Kingdom, Ministry of Defence	218	Afghanistan
United Nations Children's Fund	1104	Democratic Republic of Congo
United Nations Development Programme	706	India
United Nations Office for the Coordination of Humanitarian Affairs	246	Sudan
United States Agency for International Development	15690	Afghanistan
United States, Department of Defense	695	Afghanistan
United States, Department of State	4059	Afghanistan
United States, Department of the Treasury – Office of Technical Assistance	372	Afghanistan
United States, Millennium Challenge Corporation	1620	Morocco
United States, President's Emergency Plan for AIDS Relief	6725	South Africa
World Bank, International Development Association	11703	India
World Bank, International Finance Corporation	6715	India

Changes to selection process since 2012

The total number of agencies included has decreased from 72 to 67. Six organisations included in 2012 have been dropped as they did not meet two of the three selection criteria. This includes five organisations (Adaptation Fund, Clean Technology Fund, Global Environment Facility and the UK's CDC Group and Department of Energy and Climate Change), one DFI (Korea's Economic Development Cooperation Fund), and one philanthropic organisation (the Hewlett Foundation). Two new organisations – the International Monetary Fund and the German Foreign Office – have been included for the first time in 2013.

Selection of multiple agencies from the same donor country or group

As in previous years, the Index assesses more than one agency for some large donors (EC, France, Germany, Japan, UK, UN, U.S. and the World Bank) with multiple ministries or organisations responsible for significant proportions of ODA. We opted to maintain the disaggregation of agencies for several reasons. First, no two agencies in this Index score the same. There is often wide variation in the amount of information made available by different agencies in a single country or multilateral organisation. Second, agencies often retain a large amount of autonomy in deciding how much information they make available and have different publication approaches, and should therefore be held accountable for them. Third, it would be unfair for high performing agencies within a country or organisation to be pulled down by lower performing agencies, and similarly lower performing agencies should not have their poor performance masked in an average score.

Finally, it was unclear how we would aggregate agencies into a single country or organisation score in a way that reflected wide variations in performance. For example, if all UK agencies' levels of transparency were averaged to provide a single score, it would be 43.4% in 2013, placing the UK in the fair category (its median score would have been 34.7%, placing it in the poor category) despite the high score of 83.5% for DFID, which accounts for 90% of UK ODA. Ranked separately, it is possible to see the variation in the different agencies' performance and which common indicators they collectively perform well or poorly on. Moreover, it would have been necessary to take into account the proportion of a country's aid delivered by each separate agency in order to create an aggregate country ranking that fairly reflected that country's level of aid transparency. This information is not always available.

Donors not included in the 2013 Index

There are some donor organisations that are spending more than USD 1bn per annum that have not been included in 2013, for example Saudi Arabia and Turkey. The Index's coverage of DFIs and providers of south-south cooperation is also limited. Ideally we would like to rank all large or influential aid providers but this is not possible at the present time due to resource and capacity constraints. The Aid Transparency Tracker, the online platform used to collect the Index data, has been designed so that others can use it to collect and analyse data on different organisations. Please get in touch if you are interested in doing this: 2013tracker@publishwhatyoufund.org

Section 2. Indicators, grouping and scoring

The indicators used to measure publication of information about aid activities for the 2013 Index were selected using the information types agreed in the IATI standard, most of which are based on the DAC CRS. The indicators represent the most commonly available information items where commitments to disclosure already exist. In addition to these, organisations' commitment to aid transparency is measured by the existence of FOI legislation or disclosure policies, plans for IATI publication and the organisation's efforts to promote access, use and re-use of its information.

Changes to indicators in 2013

The 2013 Aid Transparency Index methodology uses 39 indicators to monitor aid transparency (compared to 43 indicators in 2012). These are largely drawn from the indicators used in 2011 and 2012. Four indicators that were used in 2012 have either been dropped or replaced. Two new commitment indicators have been introduced: **Commitment to aid transparency** (assessment of the IATI component of the common standard implementation schedules); and **accessibility** (assessment of organisations' portals, project databases or searchable data sources).

Indicators that have been dropped
- *"Publishes forward planning budget for country for next three years" (indicator 13 in 2012)*
  Feedback on this indicator highlighted that it overlapped with the disaggregated budget indicator (indicator 7 in 2012) included at the organisation level.
- *"Publishes current activities in this country" (indicator 17 in 2012)*
  Our experience with this indicator in 2012 highlighted that unless the donor is publishing comprehensive data publicly for the specific country, it is not possible to measure this accurately.
- *"Centralised online country database" (indicator 18 in 2012)*
  Our experience from 2012 was that donors with good quality databases (indicator 11 in 2012) also tend to have country databases, therefore this information was captured already.
- "*Publishes the design documents and/or log frame for the activity*" (indicator 42 in 2012)
  Our experience with this indicator in 2012 highlighted that it overlapped with indicators 37 (impact appraisals) and 38 (objectives).

Indicators that have changed
- *"Engagement in IATI" (indicator 2 in 2012) to "Overall commitment to aid transparency" (indicator 2 in 2013)*
  In previous years, engagement with the International Aid Transparency Initiative was used to measure a donor's overall commitment to aid transparency. In 2013, the indicator has been renamed so it is more explicit what it measures. The data source is donors' schedules for implementing the IATI component of the common standard. This change has been made to reflect the commitments and timeline agreed in Busan.[6]

---

[6] See §23c of the Busan Partnership Agreement: http://www.effectivecooperation.org/files/OUTCOME_DOCUMENT_-_FINAL_EN2.pdf. "We will work to... implement a common, open standard for electronic publication of timely, comprehensive and forward-looking information... We will agree on this standard and publish our respective schedules to implement it by December 2012, with the aim of implementing it fully by December 2015."

- *"Centralised, online database" (indicator 11 in 2012) to "Accessibility of the data" (indicator 3 in 2013)*
  In previous years, the existence of a centralised, online database was used to measure the accessibility of a donor's aid information, including whether it is published in a useful format. In 2013, the indicator has been renamed so it is more explicit what it measures. Given that the format of the data is now be taken into account for all other organisation and activity-level indicators (see below), this indicator is now redundant. But we still wanted to measure how accessible donors' data is overall, and whether the donor is promoting access and re-use of the data. Donor's individual portals and online project databases are a good way to measure this. Each portal or database is assessed against three criteria – whether the portal allows free bulk export of data; whether it provides disaggregated, detailed data; and whether it is released under an open licence.

Groups and sub-groups

Indicators are divided into those that measure **commitment to aid transparency** and those that measure **publication of aid data**. The publication indicators are further divided into organisation level and activity level, as in previous years. The country-level indicators from the 2012 Index have been dropped or included at the activity level. The publication indicators are further divided in sub-groups, based largely upon the sub-groups used in the [Common Standard implementation schedules template](#).

General scoring approach

A new, graduated scoring methodology has been used for some of the publication indicators. For 22 of the indicators, the scoring takes into account the format that the data is provided in, depending on how accessible and comparable the information is (see chart 1 below). For example, data published in PDFs scores lower than data published in machine-readable formats (see box 1 for more on data formats and why they are scored differently). Data that is published in the most open, comparable format of IATI XML can score up to 100% for most indicators, depending on quality and coverage.

Chart 1. Scoring format of data for 22 indicators

% score available for 22 indicators scored on format
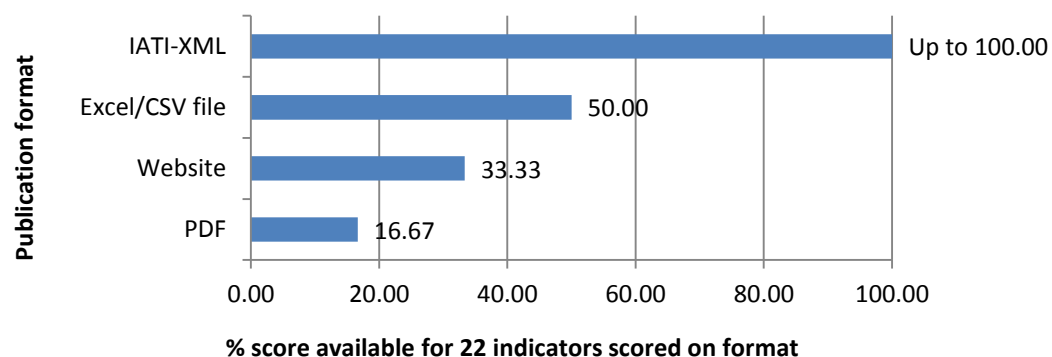
Box 1. What is machine-readable data and why is it more valuable?

Information published in machine-readable formats is presented in a structured way (not free text) that can be read automatically by a computer. Formats such as XML or spreadsheets (Excel, CSV) are machine-readable formats. Traditional word processed documents, HTML and PDF files are easily read by humans but are difficult for machines to interpret.

There is a substantial difference between structured, machine-readable data where you can access and compare any number of worldwide projects across a number of fields as opposed to searching dozens of websites or looking for information published in different PDF files. This difference has been quantified in the 2013 Index by allowing organisations to score more highly on 22 indicators depending on the format of publication. For example, data published in PDFs scores lower than data published in CSV, Excel or XML files.

In other cases, the scoring approach recognises that format is not so important – an annual report published in PDF is much the same as an annual report published on a webpage. However, where applicable, the inclusion of links to that PDF in an organisation's IATI data is more valuable – especially at the activity level – as it makes them easier to locate and identify.

Table 2 below provides a summary of the 39 indicators, including the sub-groups and the scoring approach for each indicator.

Table 2: Indicators, grouping and scoring approach

Category	Sub-group	Indicator	Scoring Approach
Commitment to aid transparency	Commitment	1. Quality of FOI legislation	Graduated based on the score given in Right To Information (RTI) Rating. The complete approach to assessing and scoring FOIA and disclosure policy quality is the same as that used in 2012 (see box 2 on p.22).
		2. Implementation schedules	Graduated based on the total score received out of 100 based on analysis of Busan common standard/IATI implementation schedules.
		3. Accessibility	Graduated based on three criteria: allows free bulk export of data; provides disaggregated, detailed data on activities; and data is released under an open licence. Each criterion carries 33.33% of the total possible score on this indicator.
Publication – Organisation level	Planning	4. Strategy	Graduated based on accessibility
		5. Annual report	Graduated based on accessibility
		6. Allocation policy	Graduated based on accessibility
		7. Procurement policy	Graduated based on accessibility
		8. Strategy (country)	Graduated based on accessibility
	Financial	9. Total organisation budget	Graduated based on format and number of years for which data is provided
		10. Disaggregated budget	Graduated based on format and number of years for which data is provided
		11. Audit	Graduated based on accessibility
Publication – Activity level	Basic activity information	12. Implementer	Graduated based on format
		13. Unique ID	Graduated based on format
		14. Title	Graduated based on format
		15. Description	Graduated based on format
		16. Planned dates	Graduated based on format
		17. Actual dates	Graduated based on format
		18. Current status	Graduated based on format
		19. Contact details	Graduated based on format
	Classifications	20. Collaboration type	Graduated based on format
		21. Flow type	Graduated based on format
		22. Aid type	Graduated based on format
		23. Finance type	Graduated based on format
		24. Sectors	Graduated based on format
		25. Sub-national location	Graduated based on format
		26. Tied aid status	Graduated based on format

	Related documents	27. Memorandum of Understanding	Graduated based on accessibility
		28. Evaluations	Graduated based on accessibility
		29. Objectives	Graduated based on accessibility
		30. Budget docs	Graduated based on accessibility
		31. Contracts	Graduated based on accessibility
		32. Tenders	Graduated based on accessibility
	Financial	33. Overall cost	Graduated based on format
		34. Planned expenditures	Graduated based on format
		35. Actual expenditures	Graduated based on format
		36. Budget ID	Graduated based on format
	Performance	37. Results	Graduated based on format
		38. Impact appraisals	Graduated based on accessibility
		39. Conditions	Graduated based on accessibility

General scoring guidelines

- **Survey data collection**: All manual surveys are completed using information pertaining to the recipient country receiving the largest amount of aid by value from that donor agency. The value of aid to recipients is determined by the 2011 OECD DAC CRS figures. If this information is not available in the CRS, then the largest recipient is determined using the latest annual report for the agency or related ministry. To establish that information is consistently, i.e "always", published at the activity level, a minimum of five activities are selected within the largest recipient country or thematic sector (if the donor organisation organises itself along thematic areas or sectors rather than by countries). While checking and verifying data, organisations are asked to confirm if the responses are representative as a whole.
- **Current data:** Data for each indicator must be current for an organisation to be able to score on the indicator. "Current" is defined as published within the 12 months immediately prior to the data collection period (1 May–31 July 2013), so information published on 1 May 2012 or later and that relates to that date or later is accepted as current. Information published after 1 May 2012 but relating to a period prior to then, for example 2011 DAC CRS data, is not accepted as current. Documents that are not current under this definition are accepted only if they are up to date with their regular cycle of publication, for example, annual audits and evaluation reports, or if they have explicit extensions into the current period written into them.
- **Date information:** For indicators with a date component (e.g. actual dates, planned dates), both the month and the year are required in order to score. In previous years, just the year was accepted for such indicators. They have been interpreted more strictly in 2013 in recognition of recipient countries' need to map activities to their individual financial years rather than the calendar year.
- **Development focused**: For the handful of organisations whose primary mandate is not providing development assistance, the assessment of their aid transparency relates only to the development assistance aspect of their operations and not the transparency of the organisation more broadly.
- **Parent or subsidiary organisations:** Information for some organisations is held or managed by other organisations. In such cases, we look at both organisations for the information, i.e. the primary organisation under assessment as well as the organisation holding/publishing the information. For example, in the case of Norway, the majority of development assistance is administered by the Ministry of Foreign Affairs (MFA) but most activity-level information is found on the Norwegian Agency for Development Cooperation (Norad) website. In such cases, information published by both the MFA and Norad is accepted.

- **Multiple sources:** For organisations which publish information to multiple databases or websites, information from all sources is accepted. For example, data for the EC's Humanitarian Aid and Civil Protection Department (ECHO) is published to two humanitarian databases, the European Disaster Response Information System (EDRIS) and the Financial Tracking Service (FTS), and to IATI. All three sources are accepted. If there are differences between the three information sources, the most recent information or the most accessible source is used.

Details of scoring approach

- All indicators can score a maximum of 100 points, apart from indicator 11 where the maximum score in 2013 is 50 (see footnote 9 for more on this).
- For all indicators for which scores are "**graduated on the basis of format**", the information is scored as follows:
  - PDF = 16.67 points
  - Website = 33.33 points
  - Machine-readable (CSV, Excel, etc.) = 50.00 points
  - IATI XML = 50–100 points depending on data quality and frequency
- For organisation-level indicators for which the scores are "**graduated based on accessibility**", information published in IATI XML is awarded the total score for the indicator, while information published in all other formats is awarded 50 points of the total possible score of 100 (apart from indicator 11 – see footnote 9). These indicators relate to organisation documents which may be provided in IATI in the form of links to PDF documents with the correct document code from the IATI 'Organisation Documents Codelist' specified. This makes them easier to locate and identify than documents available just on the organisation's website, as they have been categorised according to a common standard; hence they are scored more highly.
- For activity-level indicators for which the scores are "**graduated on the basis of accessibility**", information published in IATI XML can score between 50–100 points for that indicator based on data <u>quality</u> and <u>frequency</u> of publication. Information published in all other formats is awarded 50 points for the indicator.
- The scoring for the two forward budget indicators at the organisation level is "**graduated on the basis of both format and the number of years**" for which information is published. Start and end date for forward budgets are calculated based on donors' fiscal years. For most donors, publishing a budget for 2013 counts as one year forward looking, 2014 as two years and 2015 as three years. Budgets need to run up to a minimum of December 2015 to score for three years. Lump sum budgets are treated the same as a one year forward looking, i.e. a lump sum budget for 2011–2015 is treated the same as a one year budget for 2013. If a donor publishes a budget for 2013 and then a lump sum budget for 2014–2015, then the budget is considered to be two years forward looking. The scores are graduated as follows:
  - PDF = 16.67 points x[7] y/3 where y is the number of years – up to a maximum of 3 years – for which forward looking budget information is published
  - Website = 33.33 points x y/3
  - Machine-readable = 50.00 points x y/3
  - IATI XML = 50–100 points depending on data quality and frequency x y/3
  - Aggregate budgets of between 2–3 years will be scored the same as 1 year forward budgets

---

[7] x means multiplied by.

Measuring quality and frequency for IATI XML data

Quality: The quality of data published in IATI XML is assessed by running a series of tests on all activity and organisation data packages being published. These tests have been designed to assess the availability, comprehensiveness and comparability of aid information and to determine whether an organisation's IATI data conforms to the IATI standard appropriately. Most of the tests have been derived directly from the IATI schemas which provide formats for reporting data on various fields to the IATI Registry. Some additional tests have been designed to check that data published in IATI XML is presented in a manner which allows for comparison across organisations. Tests are run against only those activities that ended at most 13 months ago or are still ongoing. This is to ensure that the information gathered pertains to the period of assessment covered by the Index, i.e. information published on or after 1 April 2012 and that relates to that period.

Example: The following data quality tests are run to determine the quality of information for the indicator 18 "current status":

Test	Test ID	Test Description
Activity status exists?	30	Does the activity file have information on the status of activity?
Activity status exists one time?	56	Does the activity status exist only once?

The tests return a "pass" or "fail" result for each activity (or organisation file based on the indicator being measured) included in organisations' data packages.

For indicators for which IATI information is scored based only on quality of publication, organisations are awarded the first 50 points of the total possible score of 100 for at least one "pass" result on the data quality tests for the indicator and the remaining 50 points based on the percentage of an organisation's total activities published to IATI which pass the data quality tests.

Example: If 80% of an organisation's activities pass the tests underlying such an indicator, it will receive the following score for that indicator: 50 + 80/2 = 90 points for the indicator.

Publish What You Fund developed tests for indicators 8 (country strategy), 9 (total budget) and 10 (disaggregated budget) in consultation with donors.[8] For a complete list of tests run for determining indicator scores for the 2013 Index, see Annex 2. Donors are encouraged to provide comments and feedback on the methodology used for these tests.

Frequency: Frequency refers to how often organisations publish activity level information to IATI. For the activity level indicators, IATI publishers are awarded the first 50 points for at least one "pass" result on the data quality tests and the remaining 50 points based on the coverage and frequency. Publishing quarterly or

---

[8] Publish What You Fund developed tests for indicators 8, 9 and 10 to determine whether an IATI publisher publishes strategy documents and budgets for every country in which it has activities that relate to the 'current period' being looked at for the purposes of the Index.

frequently allows an organisation to achieve the maximum score of 100 points, whereas an organisation will be awarded 90% of the data quality score if information is published less often (up to once in 12 months).

Example: An organisation that publishes to IATI for an indicator, with 80% of its activities published to IATI passing the tests for that indicator, and publishes less than quarterly, will receive the following score for that indicator: 50 points + (80 x 0.9)/2 = 86 points. (If they published quarterly, they would receive a score of 50 + 80/2 = 90 points.)

The IATI data collected via the Tracker was updated at least four times during the data collection period – in May, late June and then several times towards the end of July and donors had access to the assessment throughout this period. We ensured that any adjustments made to the automated tests during this period did not affect any organisation adversely.

Section 3. Weighting, ranking and performance categories

In 2012, the three categories of indicators (organisation, country and activity) were weighted equally in thirds. Given the changes to indicator groups and sub-groups and the new scoring approach, different weighting and grouping options were considered for the 2013 Index.

Weighting used in 2013

As detailed in Section 2 above, 22 indicators are scored based on format, while 14 are scored based on accessibility. In effect, this means that 50% of each indicator is scored on whether a donor publishes the information in IATI XML format or links documents to their IATI XML files, i.e. the format of a donor's publication, together with the weight ascribed to indicators it scores on, determines its overall performance in the Index.

Each indicator differs in weight based on its category and sub-group. The commitment category indicators account for 10% of the overall weight. Publication accounts for 90% of the overall weight. The organisation-level indicators account for 25% of the overall weight, while the activity-level indicators account for 65%. Within these categories, the indicator sub-groups are equally weighted.

Table 3: Categories, sub-groups and weighting

Top-level category	Category	Sub-group	Number of indicators
Commitment = 10%	Commitment = 10%	Commitment = 10%	3 indicators = 3.3% each
Publication = 90%	Organisation level = 25%	Organisation – Planning = 12.5%	5 indicators = 2.5% each
		Organisation – Financial = 12.5%	3 indicators = 4.2% each
	Activity level = 65%	Basic activity information = 13%	8 indicators = 1.6% each
		Classifications = 13%	7 indicators = 1.9% each
		Related documents = 13%	6 indicators = 2.2% each
		Financial = 13%	4 indicators = 3.3% each
		Performance = 13%	3 indicators = 4.3% each
Total			**39 indicators = 100%**

The IATI standard does not include country-level fields, but previous country-level indicators have been either dropped or included as activity-level indicators (see p. 8 for more on dropped or changed indicators).

As in previous years, commitment to aid transparency remains important, but the aid transparency agenda is sufficiently well-established for organisations to be primarily assessed on their actual publication. Therefore commitment to transparency is weighted at 10% (which is similar to the weighting of the two commitment indicators included in 2011 and 2012), while publication is weighted at 90%. Organisation-level publications such as annual reports are important, but activity-level information is critical in order for information to be useful to recipient country governments, civil society and other stakeholders. This is reflected in decision to assign heavier weighting to the activity-level. Organisation-level information is weighted at 25% of the total score (again, similar to previous years) while activity-level information is weighted at 65%.

Within these levels, the various sub-groups of information type are weighted equally. In previous years, no sub-groups were used. Organisation-level information is split into two equal sub-groups of planning information (12.5%) and financial information (12.5%). Activity-level information is split into five equal sub-groups as described above. Different numbers of indicators in these sub-groups mean that individual indicators are differently weighted overall, and may have a different weight than in previous years. In particular, financial and performance data is weighted more heavily than in previous years.

Individual indicator weights assigned in 2013 and 2012 are set out in Table 4 below.

Table 4: Indicator weighting in 2013 and 2012

Category	Sub-group	Weight of sub-group	Indicator	Scoring Approach	Weight of indicator in 2013	Weight of indicator in 2012
Commitment = 10%	Commitment	10.0%	FOIA	Graduated based on the score given in Right To Information (RTI) Rating. The complete approach to assessing and scoring FOIA and disclosure policy quality is the same as that used in 2012 (see box 2 on p.22).	3.33%	2.78%
			Implementation schedules	Graduated based on the total score received out of 100 based on analysis of Busan common standard/IATI implementation schedules.	3.33%	N/A
			Accessibility (portal)	Graduated based on three criteria: allows free bulk export of data; provides disaggregated, detailed data on activities; and data is released under an open licence. Each criterion carries 33.33% of the total possible score on this indicator.	3.33%	2.78%

Publication – organisation = 25%	Planning	12.5%	Strategy	Graduated based on accessibility	2.50%	2.78%
			Annual report	Graduated based on accessibility	2.50%	2.78%
			Allocation policy	Graduated based on accessibility	2.50%	2.78%
			Procurement policy	Graduated based on accessibility	2.50%	2.78%
			Strategy (country)	Graduated based on accessibility	2.50%	4.76%
	Financial	12.5%	Total (organisation) budget	Graduated based on format and number of years for which data is provided	4.17%	2.78%
			Disaggregated budget	Graduated based on format and number of years for which data is provided	4.17%	4.76%
			Audit	Graduated based on accessibility[9]	4.17%	2.78%
Publication – activity = 65%	Basic Activity Information	13.0%	Implementer	Graduated based on format	1.63%	1.33%
			Unique ID	Graduated based on format	1.63%	1.33%
			Title	Graduated based on format	1.63%	1.33%
			Description	Graduated based on format	1.63%	1.33%
			Planned dates	Graduated based on format	1.63%	1.33%
			Actual dates	Graduated based on format	1.63%	1.33%
			Current status	Graduated based on format	1.63%	1.33%
			Contact details	Graduated based on format	1.63%	1.33%
	Classifications	13.0%	Collaboration type	Graduated based on format	1.86%	1.33%
			Flow type	Graduated based on format	1.86%	1.33%
			Aid type	Graduated based on format	1.86%	1.33%
			Finance type	Graduated based on format	1.86%	1.33%
			Sectors	Graduated based on format	1.86%	1.33%
			Sub-national location	Graduated based on format	1.86%	1.33%
			Tied aid status	Graduated based on format	1.86%	1.33%
	Related documents	13.0%	MoU	Graduated based on accessibility	2.17%	4.76%
			Evaluations	Graduated based on accessibility	2.17%	4.76%

[9] When reviewing the methodology for 2013, it was agreed that this indicator would be scored based on how accessible the information is. This decision was taken on the understanding that audit would be included in the next scheduled upgrade to the IATI code list, due for approval in June 2013. However, the pilot for the upgrade was delayed, meaning the new code was not approved before data collection ended. Publish What You Fund learnt of the delay late in the Index cycle when it was too late to change the scoring methodology, but decided it would be unfair to take the new audit code into account until it has formally been approved, even though some donors have started using it. This means that all donors publishing audits are scored the same in the 2013 Index (50 points), regardless of how accessible the information is. In future years, scores for this indicator will take accessibility into account.

		Objectives	Graduated based on accessibility	2.17%	1.33%
		Budget docs	Graduated based on accessibility	2.17%	1.33%
		Contracts	Graduated based on accessibility	2.17%	1.33%
		Tenders	Graduated based on accessibility	2.17%	1.33%
Financial	13.0%	Overall cost	Graduated based on format	3.25%	1.33%
		Planned expenditures	Graduated based on format	3.25%	1.33%
		Actual expenditures	Graduated based on format	3.25%	1.33%
		Budget ID	Graduated based on format	3.25%	1.33%
Performance	13.0%	Results	Graduated based on format	4.33%	4.76%
		Impact appraisals	Graduated based on accessibility	4.33%	1.33%
		Conditions	Graduated based on accessibility	4.33%	1.33%

Other weighting options considered

Several weighting options were considered before opting for the final weighting above. The following factors were taken into account before making the decision
- Degree of comparability with the 2011 and 2012 indices – the indicators needed to be weighted such that some degree of comparability would be possible, although the new format of scoring limits the possibility of true time-series comparability.
- Ensuring that sub-groups and individual indicators would not receive undue weight.
- Ensuring that indicator sub-groups would receive appropriate treatment.
- Ensuring that the final results would not be over sensitive to the changes in weighting.

Three additional weighting options were considered in depth:
- Weighting all indicators equally (ignore sub-groups) – 39 indicators at 2.6% each.
- Weighting all sub-groups equally – 8 sub-groups at 12.5% each
- Weighting commitment to transparency at 10%, organisation publication at 25%, and activity-level publication at 65%, with indicators equally weighted within these categories (and sub-groups are ignored).

These weighting options were tested using 2012 data, retroactively scored for format where possible. The sensitivity testing revealed that the final results were not radically affected by the different weighting given to the indicators. It was agreed that ignoring the sub-groups in the final weighting decision would mean that certain types of basic activity-level information would be effectively more heavily weighted (due to there being more of these indicators) while the publication of important financial and results information would not be sufficiently rewarded. Also, if the weighting was driven by trying to ensure that all sub-groups were equally weighted, this led to less comparability with 2012.

A tool is provided on the 2013 Index website which allows users to test out different weighting options and see the effect on the final results. Weights can be adjusted using the interactive slider or by entering the desired values manually: http://ati.publishwhatyoufund.org.

Ranking and performance categories

The final results of the Index are an absolute score for each organisation and a rank in relation to other organisations. Because the Index covers a large number of organisations, we wanted to provide a shorthand for comparing performance. As in previous years, performance categories have been used to provide this shorthand. However, the changes in methodology in 2013 mean that absolute scores are lower. As in 2012, donors have been grouped into five performance categories.

Although there are still five categories evenly divided between 0 and 100%, some have been renamed for 2013. As in 2012, the 'very poor' (0–19%) and 'poor' (20–39%) categories remain the same, but the next three categories have been renamed 'fair', 'good' and 'very good' (previously 'moderate', 'fair' and 'good').

The middle category is now 'fair' with scores ranging between 40–59%. In 2012, organisations scoring within this range were 'moderate' performers, but this label has been removed as the distinction between the terms 'moderate' and 'fair' was hard to discern. It was also felt that the next category, with organisations scoring between 60–79%, should be credited with performing relatively well when comparing all 67 agencies, hence it has been changed from 'fair' to 'good'. This leaves the top category of organisations scoring between 80–100%. These organisations really do stand apart from the others in terms of the amount of information they are publishing, and in more accessible formats, hence this category has been re-labelled 'very good'.

Section 4. Data collection

New data collection platform

We have designed a new data collection tool, the Aid Transparency Tracker, to collect and share the data included in the Index.[10] The Tracker is an online platform to monitor progress made by organisations in making their aid information more transparent.

It includes three components:
1) An automated **data quality assessment tool** which assesses the quality of data being published in IATI XML format.
2) An online **survey** tool which assesses aid information published by organisations, in formats other than IATI XML, based on survey data collected manually for the Index.
3) An **implementation schedules tool** which assesses all IATI/common standard schedules published to date by organisations as part of their commitment to publish aid information to a common standard by the end of 2015.

The Tracker highlights what information donors have committed to publish in their implementation schedules, as well as what they are currently publishing. While the analysis derived from all three tools feeds into the annual Aid Transparency Index, the implementation schedules tool and the data quality tool are designed to be 'living tools' that will continue to monitor and reflect changes in organisations' plans or publication beyond the annual Index process. For more details on each of these tools, visit: www.tracker.publishwhatyoufund.org

Data sources

Most information included in the Index is gathered from what is published online by each organisation – either on their website, national platforms such as the U.S. Foreign Assistance Dashboard, the OECD common standard website (for implementation schedules) or the IATI Registry. One indicator uses a secondary data source, the Global Right to Information (RTI) Rating, to assess the quality of Freedom of Information legislation.

The Global RTI Rating scores the strength of the legal framework in guaranteeing the right to information in a country. Based on a 61 indicator survey, the legislation is graded on a 150-point scale.[11] This has been adapted to a three point framework for the Index indicator. As in 2012, a second scale was developed to score disclosure policies for non-bilaterals. This was guided by the principle that, while non-bilateral donors may not be legally obliged to disclose their information, many of them have disclosure policies and these should be taken into consideration rather than having a data gap or awarding them an average score for this indicator. For more detail on how this methodology was developed box 2 on p. 22.

---

[10] See http://tracker.publishwhatyoufund.org/.

[11] The Global RTI Rating is produced by the Centre for Law and Democracy and Access Info Europe. For the methodology and dataset, visit: http://www.rti-rating.org/index.html.

IATI XML data and the IATI Registry

The IATI Registry is an important component of IATI publication, as it makes data discoverable and easier to access. IATI publishers "register" their IATI XML data, providing links back to the original source data – which remains on donors' own websites – and other useful metadata.

For the purposes of the 2013 Index, some donors[12] were unable to register their IATI XML data with the Registry by the 31 July data collection deadline. Publish What You Fund accepted IATI XML data from the donors' own websites, even if it was not registered with the IATI Registry, on the understanding that it would be in the near future. Donors provided Publish What You Fund with links to the source files via public URLs, where the data could be downloaded and automatically assessed. The URLs for the files are now published on the Aid Transparency Tracker. All four organisations were strongly encouraged to register their data with the IATI Registry and some have since done this.

Given that the rest of the Index methodology permits information to be taken into account no matter which website the information is provided on, it was felt it would be unfair to penalise these organisations. The focus in 2013 is on the format that data is published in and not the location. In the 2014 Index however, registering data with the IATI Registry will be a criterion on which donors will be assessed, given that the discoverability of IATI data, and the fact that it is accessible through a machine-readable list of the locations of the files from different publishers, is an important aspect of the accessibility of IATI data (in addition to the structure of the files themselves).

Timeline and process

There was a defined data collection period (1 May–31 July 2013) to ensure that all organisations are compared fairly at the same period in time. If the organisation is not an IATI publisher then all the information was collected via the manual survey. Surveys were completed in-house by Publish What You Fund as per the methodology described in the general scoring guidelines in Section 2. As in previous years, donors and partner CSOs were invited to review the surveys and provide any updates or corrections as necessary.

For organisations that are publishing in IATI XML format, data collection follows a two-step process:
- First, their data is run through the data quality tool, which is designed to run automated checks and tests on each organisation's data, providing both a comparative view across organisations and granular details on each organisation's data. These tests are aggregated to produce scores for indicators to which they are relevant.[13]
- Next, for those indicators for which information is not published in IATI XML or does not pass the necessary tests, the data is collected via the survey.

The initial assessment was made available to donors via the Tracker in May 2013 and remained available for review and comment for three months until the end of July. The final set of IATI data was automatically collected on 31 July, so any improvements or changes to an organisation's IATI data during that period have been reflected in the final dataset used to compile the Index.

---

[12] EC ECHO, EC Enlargement, U.S. MCC and U.S. Treasury.

[13] For more information on the data quality tests, visit the data quality tool page on the Aid Transparency Tracker: http://tracker.publishwhatyoufund.org/publish/about/.

Only IATI data is collected and assessed automatically. The tests used to assess the data were designed by Publish What You Fund in consultation with IATI data experts. Several donors also provided feedback on the tests. As in previous years, all organisations are assessed against the same indicators, meaning that a mixture of automatically and manually collected data can be used for the 28 IATI publishers included in 2013.[14]

After the end of data collection, all surveys were subject to a process of verification and standardisation. This was to ensure that what had been accepted for scoring responses was consistent across all 67 surveys and to take into account feedback received both from donors and independent reviewers.

Box 2. Approach to assessing and scoring FOIA quality

The Global RTI Rating scores the strength of the legal framework in guaranteeing the right to information in a country. Using a 61-indicator survey, the legislation is graded on a 150-point scale. This has been adapted to the 100-point scale used in the index. Ideally, adapting the 150-scale to our 100 point score would entail dividing the scale evenly into thirds (33.33=1–50; 66.66=51–100; and 100=101–150). However, this does not capture the diversity of the RTI Rating, because at the time of writing, no FOIA has scored 1–39 or 136–150 on the RTI scale, meaning that much of the substantive difference among legislation was lost by simply dividing the scale evenly into thirds.

To resolve this, the three-point scale was altered by reducing the range of the '66.66' scoring option and increasing the ranges of the '33.33' and '100' options (0=no legislation; 33.33=1–60; 66.66=61–90; and 100=91–150). Using this scale allowed for greater diversity in the results while maintaining a replicable scoring system that rewarded objective progress. Though scoring donors on a relative scale was considered, given that both the Aid Transparency Index and the RTI Rating score donors based on objective measures, it was not suitable to score organisations based on their performance relative to other organisations for this indicator alone.

As the RTI Rating covers FOI legislation only, this meant there was a data gap for non-bilateral donors with disclosure policies. Publish What You Fund therefore developed a second three point scale, guided by the principle that, while non-bilateral donors may not be legally obliged to disclose their information, many of them have disclosure policies and that these should be taken into consideration, rather than having a data gap or awarding them an average score for this indicator.

The scoring system used for disclosure policies is a cumulative measure of three key indicators. If a donor's policy has all three, 100 is scored, if a donor's disclosure policy has none of the three, or no disclosure policy at all, it scores 0. The indicators are:
1) **Presumption of disclosure:** To score for this indicator, a disclosure policy must have a specific clause that states disclosure as the rule, thereby requiring a compelling reason for non-disclosure (33.33 points).
2) **Limitations on commercially sensitive and third party information:** To score on this indicator, non-disclosure clauses related to these matters must be (a) defined clearly, (b) not include the presumption of confidentiality, and (c) be subject to a harm test and a public interest override (33.33 points).
3) **Limitations on Internal Deliberations:** To score for this indicator, non-disclosure clauses related to such deliberations must be (a) defined clearly and (b) subject to a harm test and a public interest override (33.33 points).

While relatively simple, this indicator reflects international best practice in maximising the right to information with the acknowledgement that donors are required not to disclose certain types of information.

---

[14] Finland and Spain are not included in this list of 28 IATI publishers. Although they both publish IATI data, it was not taken into consideration for the purposes of the Index as the data is historic. Current IATI data is only taken into consideration if it accounts for 20% or more of the organisation's country programmable aid budget.

Accessing the data

The complete dataset for the 2013 Index, including the analysis and the full history of the survey review process can be downloaded from the Index website: http://ati.publishwhatyoufund.org.

Updated results of the automated tests run on donors' IATI XML data will be available via the Aid Transparency Tracker from November 2013: http://tracker.publishwhatyoufund.org/. The automated tests will be run at minimum on a weekly basis.

If you would like to know more about the interpreting the Index datasets or the results of the automated IATI tests, please contact: 2013tracker@publishwhatyoufund.org

Section 5. Comparing 2012 and 2013 results

There have been substantial improvements to the methodology, which means it is not possible to compare absolute scores in 2013 with absolute scores in previous years. Taking into account the publication format gives a more accurate picture of aid transparency. In 2012, organisations would have had either 0% or 100% of the score for an indicator regardless of format. In 2013, for 22 indicators, publishing in IATI XML format can score between 50% and 100%, while publishing a PDF can score only 16.67%. So an organisation that may have scored 100% for an indicator in 2012 may only score 16.67% in 2013 without changing its practice, due to the change in scoring method. The new, more nuanced methodology will be used in future years, making it possible to compare absolute scores going forward.

The set of organisations included in the Index changes slightly year on year. Therefore the ranking of 72 organisations in 2012 is not fully comparable with the ranking of 67 organisations in 2013. It is possible to compare individual indicators however; such as whether a higher proportion of organisations are now publishing annual reports or forward budgets.

The performance of each organisation will affect the ranking of every other organisation, so a change in rank may not reflect a change in an organisation's own practice. However, it is likely that a large move up the ranking reflects a genuine change in practice since 2012.

Trends over time and how we might identify them

In future years, it will be much easier to identify trends in aid transparency as the new methodology generates additional annual data. It will be possible to identify
- Whether there are general increases in aid transparency
- Whether more donors are publishing to more accessible formats
- Whether more information is being published to IATI, and what types
- Whether the quality of data published to IATI is improving

Section 6. Challenges, limitations and lessons learned

The methodology for the 2013 Index has been developed, taking into consideration the challenges and limitations faced in previous years and any lessons learned. The following issues remain:

Coverage

Although the 2013 Index includes 67 organisations, the coverage of aid providers is by no means comprehensive. Ideally, we would like to assess and rank all aid providers spending over USD 1 bn per annum, including countries or organisations with a total spend of USD 1 bn that is delivered by multiple agencies. For example, we would like to increase our coverage of UN agencies and U.S. government agencies and programmes that deliver foreign assistance.

A significant constraint is capacity within Publish What You Fund to collect, verify and assess large amounts of primary data and finding organisations or individuals with the required time and capacity to independently review the surveys. We have tried to address the issue of coverage by including more than one agency for large donors with multiple agencies delivering ODA (for example, the EC, France, Germany, Japan, UK, U.S. and UN). The dataset, methodology and data collection platform are open and free for others to use. We encourage other organisations and researchers to further expand this coverage and focus on donors, sectors or countries that they are particularly interested in; for example, all donors operating in fragile states or all donors providing funding to the health sector or climate finance. We welcome opportunities to discuss how the Index methodology can be useful for other organisations' research projects and ideas for potential collaboration.

Representative nature of an organisation
The Index covers lead agencies of different donor countries or groups. We received feedback from some donors that we should not be considering agencies separately, but should rather consider that donor as a whole. We opted to maintain the disaggregation of agencies in 2013.[15] As a result the Index reflects the transparency of only those organisations that have been assessed. These results are not a particularly good proxy for the whole of the donor's aid transparency. Consequently the agency or organisation under assessment is always specified. The ranking is also made on the basis of agencies rather than countries. We have attempted to address this challenge to some extent by including multiple agencies for large donors with multiple agencies delivering significant amounts of ODA.

Exemptions
Exemptions are not addressed in this Index. We recognise that there are often legitimate reasons for excluding specific information items (or sometimes entire projects) from publication where publishing such information may cause harm. However, we do not accept that certain organisations should not be measured for certain indicators; rather all organisations covered by this Index should publish to all indicators with exclusions or redactions as necessary. The principle we have adopted is that exclusions should be transparently stated, and should be at a low enough level to allow them to be challenged where they do not appear to be warranted, while at the same time ensuring the purpose of legitimate exclusions is not compromised. For instance, if contracts contain commercially sensitive information, we would still expect the contract to be published with redactions and the reasons for those redactions.

---

[15] See p.4 in Section 1 for more on the selection of multiple agencies from the same donor country or group.

The IATI standard allows for exemptions as long as the reasons for exemptions are stated in an exclusions policy document. However, stating exemptions for specific projects is currently not possible within the existing standard. We will work with donors to propose an extension to address the issue of project-specific exemptions in a future upgrade of the IATI standard.

Difficult indicators

Some indicators have been subject to particular scrutiny in 2013 to ensure that we are being fair to all donors included the Index and that we are not duplicating any indicators.

Forward budgets

In previous years, a full three years of forward visibility was required in order to score on the total organisation budget and disaggregated budget indicators. This has been amended in 2013 as in now a graduated score based on the number of years (up to three years) for which organisations are publishing budget information. This allows some credit to donors that publish some forward budget information, albeit not for the full three years.

Each year ahead is worth one third of the total possible score for the indicator. Aggregate budgets are treated the same as a one year forward looking, i.e. a lump sum budget for 2011–2015 is treated the same as a one year budget for 2013. If a donor publishes a budget for 2013 and then a lump sum budget for 2014–2015, then the budget is considered to be two years forward looking. In addition to the number of years, scores are also graduated based on the format in which the information is published. The final score is then (x/3) for years forward – and then multiplied by the format score (see details of scoring approach in Section 2). The start and end date for forward budgets are calculated based on donors' fiscal years. Budgets need to run up to a minimum of December 2015 to score for 'three years forward'. Organisations at the end of their fixed budget cycles and therefore without a published budget for the next three years do not receive points for this indicator.

IFIs and DFIs do not have budgets allocated to them as traditional aid agencies do. In many cases, total budgets are established annually, once total financial figures of all investments are taken into account. However, they do have projected total spend figures that they sometimes publish. If published, these projected figures are accepted for this indicator. Thematic budgets are accepted for the disaggregated budgets indicator for organisations that do not organise themselves by countries. Projected figures disaggregated along thematic and sectoral priorities, at a similar level of detail to their total organisation budgets, are accepted.

Audit

When reviewing the methodology for 2013, it was agreed that this indicator would be scored based on how accessible the information is. This decision was taken on the understanding that audit would be included in the next scheduled upgrade to the IATI code list, due for approval in June 2013. However, the upgrade was delayed and the new code was not approved before data collection ended. Publish What You Fund learnt of the delay late in the Index cycle when it was too late to change the scoring methodology, but decided it would be unfair to take the new audit code into account until it has formally been approved, even though some donors had started using it. If all donors publishing audits through IATI or elsewhere were awarded the full score for this indicator in 2013, it would mean that the scores would not be comparable with scores in future years. It was therefore decided that all donors publishing audits will be scored the same in the 2013 Index (50 points), regardless of how accessible the information is. In future years, scores for this indicator will take accessibility into account.

Implementation schedules

In previous years, engagement with the International Aid Transparency Initiative was used to measure an organisation's overall commitment to aid transparency. In 2013, donors' schedules for implementing the IATI component of the common standard were analysed in order to provide a comparative overview of donors' plans to implement the Busan commitments within the agreed timeline.

The schedules are assessed on three key criteria:
1) Intention to publish to IATI
2) Publication approach, i.e. the frequency of their publication and the licence under which the information is or will be published
3) Coverage of fields of the IATI standard

The full details of the scoring approach can be found in the 'Plan' section of the Aid Transparency Tracker: http://tracker.publishwhatyoufund.org/plan/about/.

Several challenges were faced in completing this analysis**.** While there is an agreed template for the common standard implementation schedules, several different versions of the template exist, with donors adding to this complexity by modifying it, changing options, and adding and deleting rows – in total, 11 different versions have been used and had to be supported by the application.[16] This created difficulties in analysing the information and necessitated considerable interpretation to ensure consistency and comparability across the schedules. It was also evident that donors' have different approaches to completing the schedule. Some have taken a conservative approach, by leaving much of the schedule blank (e.g. Poland). Others have potentially understated the ambition of some of their own agencies (by not specifying those which *can* publish certain fields), where information fields are not feasible from *all* of their agencies (e.g. the U.S.). Donors have made liberal use of the "not applicable" option. This option is certainly valid in several data fields – those fields that are only sometimes applicable to organisations publishing to IATI have been excluded from the scoring and final analysis. However, some donors have stated that fields such as results, conditions and even activity budgets are "not applicable", though rarely with any explanation.

We can deduce that donors have chosen "not applicable" in such cases for three broad reasons:
- **Where information is available but seen as redundant or repetitive.** In situations where the organisation's business model defines the answer (e.g. for "tied aid status", where tying under DAC definitions is not possible), those organisations do not always realise the utility of completing the field (which is necessary for a complete dataset on tying across donors, sectors and countries).
- **Misinterpretation.** Where the meaning of the field has been misinterpreted (e.g. implementing organisations). For example, some donors excluded funding organisation, even though the funding organisation is (in almost all cases) simply that donor.
- **In error.** Donors often used "not applicable" when a more accurate status would have been "not publishing now".

There is also some confusion about certain data fields or groups of fields, especially "participating organisation" – implementing, funding, extending and accountable – and between "other activity identifiers" and "related activities". More generally, the schedules do not distinguish whether the organisation intends to implement specific fields according to the IATI approach (e.g. timely and in the IATI XML format), on account of the overlap between some CRS and IATI fields.

---

[16] The agreed template is available from the OECD website: http://www.oecd.org/dac/aid-architecture/acommonstandard.htm.

We will work with the IATI Secretariat and the OECD on improving the template and guidance provided for completing it. We encourage donors to revise and re-submit implementation schedules to accurately reflect the current status of their publication and their future plans so that the analysis can be updated to be a more accurate reflection of donors' publication plans.

Scoring all organisations on all indicators

As in previous years, it was decided to score all organisations on all indicators and rank them accordingly. All of these organisations – bilateral agencies, IFIs, multilateral institutions – are worth assessing together as they are influential providers with an explicit development or poverty reduction mandate, mostly represent official external financing and all have an impact on recipient countries and actors. They should, therefore, be held to a common set of standards, within or without "official development assistance" flows. Not all donors have or collect all the information that we are looking for and so they cannot make it available.

We recognise that not all the indicators used in the Index are a direct fit with an organisation's particular modus operandi. To address this, the scoring guidelines for certain indicators have been amended to accept equivalent documents or information. Annex 1 lists the equivalent documents that are considered to serve similar purposes to those set out for each indicator and therefore accepted for scoring responses.

Challenges of survey data collection

In previous years, finding information on donors' aid activities presented a challenge particularly for those donors who had poorly designed or hard-to-navigate websites. This issue has been addressed to some extent in 2013 by taking into account donors' IATI XML publication and automating its assessment. This means that for 28 of the 67 donors included in 2013, finding information on aid activities and checking the comprehensiveness of publication is a relatively straightforward process. However, for organisations that do not publish information in IATI XML, data collection continues to be done using a survey and involves looking at organisations' websites exhaustively and checking any related websites where necessary. In some cases, the information may be published but not easily available using the menu or search functions on an organisation's website or database. Time constraints mean that our researchers will search for information up to a reasonable point but if the information appears to be unavailable, will score the indicator as zero.

If our researchers have not found a piece of information, the organisations being assessed have the opportunity to address this while reviewing the survey data. They can provide links to the information directly in order for it to be assessed and scored. The survey is also shared with an independent reviewer for verification and to check that information hasn't been misunderstood or incorrectly scored. This approach to completing the surveys helps ensure that the availability of current information is reflected as accurately as possible, even though the process of finding it may not always be easy.

Representative nature of activities

It is difficult to ascertain how representative the activities assessed in the survey are. The Index methodology continues to be constrained by the fact that, for most donors, it is not possible to randomly sample typical projects. Precisely because the information is usually either not published systematically, or else is only available as unstructured data, it is difficult to calculate what a "typical" project is. There are two ways of approaching this challenge: 1) To look at all published projects for that donor and try to calculate the average based on the information they make publicly available; or 2) to ask the donor to clarify what an average size project is and provide the details for how this figure has been calculated. Option 1 would create an unfeasible increase in the resource intensity of each survey – when multiplied

by the number of donors now included in the Index, it would make the process impossible. Option 2 would not provide independently verifiable data, and there is a risk that responses would not be received from all donors, meaning that two different methodologies would have to be used for activity selection. Although the methodology used is not ideal, of the options available, it strikes the right balance where information is not available in structured formats.

Limits on cross checking 'always' scores at the activity level and comprehensiveness of activity-level data

Scores for activity-level indicators for organisations publishing information in IATI XML are calculated based on the percentage of activities that pass data quality tests underlying each indicator. This process is automated and therefore researchers are not required to sample other activities to determine whether or not information is consistently, i.e. 'always', published as they are with the survey data. Information on activities published in IATI XML is subject to a more rigorous assessment, as the tests used to determine comprehensiveness of publication are driven by the schema used in the common standard.

There are limits on cross-checking comprehensiveness of publication in other formats. For this manually collected data, the process relies on several steps to determine whether information at the activity level is consistently published. All surveys are completed using information pertaining to the recipient country receiving the largest amount of aid by value from that donor agency. In 2013, the value of aid to recipients was determined using 2011 OECD DAC CRS figures. If this information was not available in the CRS then the largest recipient was determined using the latest annual report for the agency or related ministry. To establish that information is consistently published at the activity level, a minimum of five activities are selected within the largest recipient country or thematic sector (if the donor agency organises itself along thematic areas or sectors rather than by countries). While checking and verifying data, organisations are asked to confirm if the responses are representative as a whole.

If it is stated that the project information published is for 'case studies', 'some projects' or 'selected projects' then it is assumed that this information is published only 'sometimes' and the organisation is scored zero for that indicator.

We have always acknowledged that this approach cannot give a true picture of the amount of information being published at activity level. The ultimate constraint is not being able to identify all current activities being delivered to all countries or sectors. Without that information being provided in a well-structured format, it is impossible to randomly sample for an 'average' country and an 'average' project. The approach taken is therefore a purposive sampling approach. We recognise that this may introduce positive bias, as it seems more likely that donors will publish the most information for their largest recipient, but this has been a deliberate decision. Arguably, it is more important that funds are transparent when flows are larger. The aim is not to try to 'catch out' donors. Selecting at random a smaller recipient country could introduce negative bias, and as the flows assessed would represent a much smaller proportion of the donor's total, it would reveal less about that donor's overall approach to aid transparency.

Organisations that do not participate in the review process

Three donor organisations – Bulgaria, Greece and Italy – did not to respond to our request to review the survey results. Belgium, Brazil, UK Ministry of Defence and U.S. Department of Defense all replied but declined to comment. All donor organisations are invited to review the initial survey findings and to provide feedback on any information that may have been missed or interpreted incorrectly. All surveys go through a process of verification and standardisation to ensure that what has been accepted for scoring responses is consistent across all 67 organisations, taking into account the feedback received from donors and independent reviewers. For organisations that did not participate in the review process, it is possible that information that was not easily discoverable on their websites or databases has not been taken into account for their final assessment.

Challenges of automating IATI data quality assessment

The Aid Transparency Tracker is a new and complex piece of software. For the first time in 2013, a portion of the data collection for the Index was automated through the Tracker's data quality tool. This is the first tool of its kind to assess the quality of data under any spending standard (not just aid data). Naturally, there have been challenges in implementing this new methodology and several lessons learned for improvements in future years.

Designing data quality tests

Data quality tests have been designed to assess the availability, comprehensiveness and comparability of aid information and to determine whether an organisation's IATI data conforms to the IATI standard appropriately. As described in Section 2, the majority of the tests have been derived directly from the IATI schemas which provide formats for reporting data on various fields to the IATI Registry. Some additional tests have been designed to check that data published in IATI XML is presented in a manner which allows for comparison across organisations. Technical reviewers and donors were asked to provide feedback on the tests before and during the data collection process.

Several methodological changes were made to the data quality tests in response to the feedback received. The feedback suggested that where possible and reasonably practicable, donors should not be penalised for not publishing information where it should not be expected to be published. For example, evaluation documents should not be expected to exist for projects which are not yet completed. These nuances were incorporated into the methodology by altering the tests to return results based on other related elements in the data. For example, based on activity status codes to only look at activities at least in the implementation stage; or aid type codes to look only at budget support activities.

Tests for two indicators were particularly difficult to design:

1) **Disaggregated budgets**

Disaggregated budgets are scored for each of the three years ahead for which they are available. This is assessed as the value of all recipient country budgets available for the relevant year as a percentage of 50% of the average of Country Programmable Aid (CPA)[17], multiplied by the total budget for the relevant year. If the relevant year is not available, the current year is used instead.

The first year must have an end date of at least 145 days forward of the date on which tests ran.[18] The second year must be 365 days later, and the third year a further 730 days forward. The points available are distributed equally among the three years, so one year forward gets 33%; two years forward gets 66%; and three years forward gets 100%.

For example, for an organisation with a total budget of USD 1,000 the total country spend per year required to receive the full score is USD 213.60. If the following figures on annual spend are found in an organisation's IATI files:

---

[17] Calculated as 21.36% based on OECD DAC 2011 data.

[18] In order to score the maximum points on the forward budget indicators, budgets need to run up to a minimum of December 2015. The number of days used in the tests help ensure that budgets that are mid-cycle are still captured but that they run up to the required end date of 31 December 2013, 2014 and 2015 to score the points for each year.

- Total country budgets in Year 1: USD 300 (as this over USD 213.60, the organisation scores 100% for the first year)
- Total country budgets in Year 2: USD 150 (as this is 70% of USD 213.60, the organisation scores 70% for the second year)
- Total country budgets in Year 3: USD 0 => (the organisation scores 0% for the third year)

Then the total score the organisation receives is (100+70+0)/3 = 57%.

This means that the scoring approaching for this indicator is rather generous (and perhaps too lenient) as most donor organisations are likely to allocate more than 21.36% of their overall organisation budget as CPA. However, it also means that an organisation that does not publish at least a total budget for the current year does not score for disaggregated budgets even if the latter are provided in the organisation's IATI feed. We accept that this methodology is not perfect and welcome suggestions for making further improvements to this test.

2) **Country strategy papers**

Country strategy papers are defined as available if, for each recipient country budget published, there is an equivalent country strategy paper available. Scoring on the country strategy indicator is therefore conditional upon publishing current year budgets for each recipient country. Designing a test for this indicator proved to be difficult given the structure of the IATI standard and the fact that country strategy papers cannot be identified as being related to specific countries in the IATI standard except by comparing text strings. Publish What You Fund has made a proposal in the past to improve the standard to address this issue. We will revisit this in future and welcome feedback on how links between country budgets and country strategies might be improved.

Ensuring documents published as links in IATI meet the criteria set out in the scoring guidelines for indicators

It is possible to add organisation documents such as annual reports, allocation policies and procurement guidelines, and related documents for an activity such as contracts, budget documents, evaluations, etc. in order to provide a wider context for an activity. This makes them easier to locate and identify than documents available just on the organisation's website, as they have been categorised according to a common standard; hence they are scored more highly in the Index.

However, it is difficult to verify the quality of each document linked in an organisation's IATI file. The number of documents that would require individual checking is prohibitive (especially for donors reporting thousands of activities in their IATI files). In 2013, random spot checks were made to ensure that documents met the criteria defined in the scoring guidelines. In future years we may consider a more adopting a more systematic and robust procedure for conducting such checks.

Clarifying the methodology of the automated assessment to donors and partner organisations

Explaining the process for automatically collecting and assessing IATI XML data proved challenging. Indicator scoring guidelines and details of the tests underlying the automated assessment were made available on Publish What You Fund's website and the Tracker during data collection. However, not all organisations were clear on how the scores from the automated tests would be amalgamated with those from the survey. We provided clarifications to donors and CSOs, including meeting several in person both prior to and during the data collection period. Based on feedback from donors, we recognise that the description of the methodology needs further simplification and communication of decisions on tests and indicators must be done in a more systematic manner in 2014, particularly to allow donors to understand the gaps in their data and identify areas of improvement. We also recognise that the Index is used by diverse groups of organisations and individuals for their research and advocacy purposes and therefore a more simplified description of the methodology would be useful for the interpretation of results and use of the information presented in the Index. We welcome suggestions on how this may be done.

Section 7. Future iterations of the Index

The evolution in the Index methodology follows the commitments made by donors to using a common standard for publishing their aid information in an open and timely manner and allows us to complete an annual stock take of the progress made by various donor organisations.

The new scoring approach allows for a more accurate reflection of donors' publication practices compared to previous years. However, we recognise that the new methodology may require some refinement, particularly the automated component used to assess the quality of IATI XML data, which was tested for the first time in 2013. We also aim to make further improvements to the Aid Transparency Tracker, both in terms of technical sophistication and visual presentation.

A key priority will be to improve the data quality tests to address some of the challenges described in Section 6. In particular, we will revisit the tests used for measuring country strategy papers and disaggregated budgets. We would also like to better align the indicators used in the Index and the elements of the IATI standard. For the 2013 Index, we tried to maintain consistency with the language used in previous years, to clarify that only a few indicators have changed since 2012 and to ensure that the Index vocabulary is accessible to those unfamiliar with the IATI standard. In future years, as more donors start publishing to IATI as per plans laid out in their implementation schedules, we will consider making the Index vocabulary more consistent with that of the IATI standard.

In 2013, IATI XML data published on organisation websites was accepted from some donors that were unable to register their IATI XML data with the Registry by the 31 July data collection deadline. However, in the 2014 Index, registering data with the IATI Registry will be a criterion on which donors will be assessed, given that the discoverability of IATI data, and the fact that it is accessible through a machine-readable list of the locations of the files from different publishers, is an important aspect of the accessibility of IATI data (in addition to the structure of the files themselves).

The methodology used for assessing donor organisations' implementation schedules may also need re-thinking, particularly the weighting of elements and the approach to assessing delivery against implementation dates specified. Certain indicators definitions may also be revisited to reflect norms and best practices related to disclosure of information, for e.g. on contracts or results.

It is anticipated that data collection and analysis will become easier in future years as more donors publish to IATI, automating a large amount of the data collection. This may allow for the inclusion of an increased number of donors in future iterations. We would also like to consider extending our assessment to include more Development Finance Institutions and/or providers of south-south cooperation, either as part of the annual Index process or in separate publications that focus on the specific practices of these donors and the challenges they face in enhancing their transparency.

Finally, data collection may begin earlier in 2014 based on feedback received from donor organisations and survey partners on the timeline.

We welcome feedback and comments on further improvements and in response to the challenges outlined in Section 6. Please send suggestions to: 2013tracker@publishwhatyoufund.org.

Annex 1: Indicator definitions

Table 5: Definitions used for the 39 Index indicators

Sub-group	Indicator	Survey Question	Definition	Additional definitions and notes
Commitment level				
Commitment	1. Quality of FOI legislation	Quality of Freedom of Information Act (FOIA) or disclosure policy	The definition used in the Global RTI Rating is that it has to be a law in the strict sense, it must include the right of access to information, this right has to be enforceable and there must be complaint, court and high court appeal possibilities. Decrees are included if they meet the same standards. In addition, the FOIA must be in use for at least the executive part of the government; therefore, FOIAs which are only adopted, approved or still in draft form are not counted.	For multilateral donors, international finance institutions (IFIs) and private foundations, a disclosure or transparency policy is accepted as equivalent to a FOIA. Publish What You Fund completes an assessment of the quality of these disclosure policies based on the overarching approach taken in the Global RTI Rating.
	2. Implementation schedules	Quality of Implementation Schedules	The Busan agreement required donor schedules for implementing the common standard to be published by December 2012. Publish What You Fund carried out an assessment of the schedules completed by donors and submitted to the OECD common standard implementation website in March 2013. Schedules are scored on the level of ambition shown by the donors in implementing the IATI component of the common standard.	The complete assessment can be found on Publish What You Fund's Aid Transparency Tracker website.

IATI implementation schedules are also accepted. |
| | 3. Accessibility | Does this organisation promote access and use of its aid information? | The overall accessibility of aid information through the organisations' portals, project databases or searchable data sources. These are scored using three criteria: 1) the portal allows free, bulk export of data; 2) it contains detailed disaggregated data; 3) the data is published under an open licence. | Data sources are the organisations' own aid portals, publicly accessible databases or websites – accessed in that order. The same data source is used for all three checks. For example, if the aid portal does not state that the data is published under an open licence, this will not be checked elsewhere on the organisation's project database or website. If the organisation's website is the data source then it cannot score on the "free bulk export" criterion.

If a portal allows bulk export through its API but not through its web-user interface, this is accepted as allowing free, bulk export of data. |

Sub-group	Indicator	Survey Question	Definition	Additional definitions and notes
Publication – organisation level				
Planning	4. Strategy	Does this organisation publish an overarching strategy document?	An overarching strategy document explains the general approach and policies of the organisation towards international development. This should be forward looking.	For organisations whose primary mandate is not development, documents clarifying their overarching development strategy are accepted. This information needs to be forward looking.
	5. Annual report	Does this organisation publish an annual report?	Annual reports outline basic (normally aggregate) information about how aid was spent in the previous year, broken down by sector and/or country. This should be backward looking. Annual reports which are up to date within their regular cycle, i.e. the organisation publishes an annual report a year behind, the most recent document within this time frame are accepted.	To score for this indicator, the annual report needs to include details of where the organisation is spending its resources and the information needs to be forward-looking, i.e. cover current activity period.
	6. Allocation policy	Does this organisation publish its aid allocation policy and procedure?	Aid allocation policies and procedures are the detailed policy and procedure documents by which the organisation chooses where to spend its resources, i.e. on which countries or themes rather than others. Relatively general documents or web pages outlining which countries, themes and institutions the agency will fund are accepted, as long as this is forward-looking and not wholly retrospective.	For organisations such as IFIs and private foundations which do not have an "aid allocation" policy, equivalent documents to such a policy are accepted; for example, "investment strategy/policy" or "grant-making policy".
	7. Procurement policy	Does this organisation publish its procurement procedures?	An organisation's procurement procedures explain the process used to tender and contract (invite bids for) goods and services. This must fully explain the criteria on which decisions are made, and could be in a single procurement policy document or attached to each tender.	For IFIs which are often demand-driven, this is understood as their investment policy. For private foundations, this is their grant making policy.
	8. Strategy (country)	Does this organisation publish the country strategy paper for this recipient country?	A country strategy paper sets out the organisation's planned approach and activities in the recipient country. For it to be accepted it needs to be a detailed document, rather than just a paragraph on the organisation's website.	For organisations such as IFIs and vertical funds which may not have country-level strategies, mid-level documents between organisation and activity-level are accepted, e.g. thematic or sectoral level documents.

Sub-group	Indicator	Survey Question	Definition	Additional definitions and notes
Financial	9. Total organisation budget	Does this organisation publish the total organisation budget per year for the next three years, up to 2015?	The total organisation budget is the total amount that the organisation will be allocated by the government or its funders per year for the next three years. Unlike in previous years, this year, graduated scores are awarded on the basis of the number of years (up to three years) for which organisations are publishing budget information. Each year ahead is worth one third of the total possible score for this indicator. Aggregate budgets of between 2–3 years will be scored the same as 1 year forward budgets. This is money going to the organisation and can be indicative.	IFIs and DFIs do not have budgets allocated to them as traditional aid agencies do. In many cases, total budgets are established annually, once total financial figures of all investments are taken into account. However, they do have projected total spend figures that they sometimes publish. If published, these projected figures are accepted for this indicator. Similarly, for private foundations and humanitarian funders, indicative figures of available grants are accepted.
	10. Disaggregated budget	Does this organisation publish their annual forward planning budget for assistance to different countries and institutions per year for the next three years, up to 2015?	The organisation's annual forward planning budget for assistance is the disaggregated budget that the organisation or agency will spend on different countries, programmes and institutions per year, for at least the next three years. The figure could be indicative. A new graduated scoring approach is used for this indicator in 2013. Scores are awarded on the basis of the number of years (up to three years) for which organisations are publishing budget information. Each year ahead is worth 33.33 points out of a total possible score of 100. Aggregate budgets of between 2–3 years will be scored the same as 1 year forward budgets.	Both country budgets or thematic budgets are accepted for organisations that do organise themselves by countries. Projected figures disaggregated along thematic and sectoral priorities, at a near similar level of detail to their total organisation budgets are accepted. IFIs and DFIs sometimes publish "road maps" which contain this information. The start and end date for forward budgets are calculated based on donors' fiscal years. Budgets need to run up to a minimum of December 2015 to score for 'three years forward'. Organisations at the end of their fixed budget cycles and therefore without a published budget for the next three years do not receive points for this indicator.
	11. Audit	Does this organisation publish an annual audit of its aid programmes?	The organisation's annual audit of its activities is an official inspection of the accounts and activities of this organisation, typically by an independent body. Audits up to date with regular audit cycles are accepted, i.e. if the organisation publishes biennial audits, the most recent document within this time frame is accepted.	When reviewing the methodology for 2013, it was agreed that this indicator would be scored based on how accessible the information is. However, due to delays with the upgrade of the IATI code list, it would be unfair to take the new audit code into account in 2013. This means that all donors publishing audits are scored the same in the 2013 Index, regardless of how accessible the information is. For more on this see footnote 9.

Sub-group	Indicator	Survey Question	Definition	Additional definitions and notes
Publication – activity level				
Basic activity information	12. Implementer	Does this organisation publish which organisation implements the activity?	The implementer of the activity is the organisation which is principally responsible for delivering this activity.	This information may not be available in all cases due to "legitimate exclusions". For example, humanitarian agencies may not be able to reveal who the implementing agencies are due to security reasons. Such exclusions are accepted but need to be explicitly stated (in order to distinguish these from cases of simple omission).
	13. Unique ID	Does this organisation publish a unique activity identifier?	The activity identifier is a unique reference ID for the activity, e.g. a project number. It allows an activity to be referred to and searched for by a code, which can be used to retrieve the project from a database or filing system.	The project ID must be stated clearly on the page. It is not sufficient if it is only stated in the URL. It must be numeric or alpha-numeric.
	14. Title	Does this organisation publish the title of the activity?	The title of the activity is the name of the activity. This is preferably the formal name of the activity, but does not have to be. The title needs to be complete with any abbreviations or acronyms explained.	
	15. Description	Does this organisation publish a description of the activity?	The description of the activity is a descriptive text, longer than the title, explaining what the activity is. Sometimes it is just a short sentence but could also be more detailed. Either is accepted.	The description of the activity needs to contain a minimum of 10 words in order to be considered a description rather than just a title.
	16. Planned dates	Does this organisation publish the planned start and end dates?	The planned dates are the dates that the activity is scheduled to start and end on. If there are one set of dates but they are not explicitly planned or actual dates, given that these are for activities which are current (i.e. being implemented at the time of data collection) it is assumed that they are planned dates.	Both month and year are required to score on this indicator in recognition of recipient countries needing to be able to map activities to their own financial year rather than the calendar year.
	17. Actual dates	Does this organisation publish the actual start and end dates? (If they are not explicitly stated as actual dates then it is assumed that they are planned dates.)	These are the dates that the activity actually started (and ended on, if the activity has finished). If there is only one set of dates but they are not explicitly stated as planned or actual dates, then it is assumed they are planned dates. Actual dates are accepted where specific events occurred, for example the date the project/programme agreement is signed, a board presentation or an appraisal date.	Both month and year are required to score on this indicator in recognition of recipient countries needing to be able to map activities to their own financial year rather than the calendar year.

Sub-group	Indicator	Survey Question	Definition	Additional definitions and notes
	18. Current status	Does this organisation publish the current status of the aid activity (e.g. in pipe line, implementation, completion, post-completion or cancelled)?	This shows whether the activity is currently under design, being implemented, has finished or has been cancelled.	
	19. Contact details	Are contact details provided for the activity?	This shows who can be contacted in relation to this activity. This does not have to be the contact information for an individual or project manager and could refer to a central contact or information desk. Contacts for either the funding organisation or the implementing organisation were accepted. This has to be stated alongside the activity or on an obvious "contact us" link alongside the activity.	
Classifications	20. Collaboration type	Does this organisation publish the "Collaboration Type", i.e. whether the activity is funded bilaterally or multilaterally, as a contribution to NGOs, to Public-Private Partnerships, or as multilateral outflow?	The collaboration type shows how the activity is funded – whether directly from one government to another (bilaterally), through institutions such as the World Bank or UN (multilaterally), or otherwise. This needs to be explicitly stated. To be accepted, responses need to be stated per activity, or once in a country strategy paper or a clear place on the website, if there is only one collaboration type for the whole organisation, e.g. "all aid is funded bilaterally".	There are a number of equivalent responses relevant for IFIs and DFIs. Statements such as "We work exclusively with the private sector" published anywhere on the website count towards publishing collaboration type in the web format.
	21. Flow type	Does this organisation publish the "Flow Type", i.e. whether the activity is categorised as Official Development Assistance (ODA), Other Official Flows (OOF), climate finance or anything else?	The flow type shows whether the organisation states this activity counts as ODA, OOF, climate finance or any other type of flow. This has to be explicitly stated per activity, or once in a country strategy paper or a single place on the organisation's website if there is only one flow type for all activities, e.g. "all aid is ODA".	

Sub-group	Indicator	Survey Question	Definition	Additional definitions and notes
	22. Aid type	Does this organisation publish the type of aid given (e.g. budget support, pooled funds, project-type interventions, experts, scholarships, debt relief, administrative costs)?	The type of aid shows whether the activity is classed as budget support, a project, technical assistance, debt relief, administrative costs, and so on. This needs to be explicitly stated per activity, or once in a country strategy paper or on a clear place on the organisation's website if there is only one aid type for the whole organisation, e.g. "all aid is project-type interventions".	The advisory services business line/type of intervention (investment climate, public-private partnership, etc), can be seen as broadly equivalent.

For IFIs and DFIs, it needs to be clearly stated if there are any eligibility requirements for contracts based on country of origin. Statements clarifying business line/ intervention type published anywhere on the website count towards publishing aid type in the web format. |
| | 23. Finance type | Does this organisation publish the type of finance given (e.g. grant, loan, export credit, debt relief)? | The type of finance shows whether the activity is a grant, loan, export credit or debt relief. This needs to be explicitly stated per activity, or once in a country strategy paper or clearly on the organisation's website if there is only one finance type for the whole organisation, e.g. "all aid is grants". | Investment type (loan, equity, etc.) can be interpreted as equivalent.

Statements clarifying investment type published anywhere on the website count towards publishing finance type in the web format. |
| | 24. Sectors | Does this organisation publish the specific areas or "sectors" of the recipient's economic or social development that the activity intends to foster, e.g. education, health and infrastructure? | The sectors of the activity explain whether this is, for example, a health or education project. It does not count if it is just mentioned incidentally within the title, description, etc. It needs to be stated separately and explicitly. | |
| | 25. Sub-national location | Does this organisation publish the sub-national geographic location for this activity? | The sub-national geographic location is information about where the activity is located within a country. This may be a province or city, or it could be geo-coded (whereby the precise longitude and latitude is published). It needs to be stated separately and explicitly. | For activities that are relevant at a country or regional level, information on the location where the funds are sent to will be accepted for this indicator. For example, capital city for a country, or location information of the implementing organisation. This includes private sector investment, loans or debt relief payments, where the location of the relevant bank or organisation is accepted. |

Sub-group	Indicator	Survey Question	Definition	Additional definitions and notes
	26. Tied aid status	Does this organisation publish whether the aid is tied or not?	The tied aid status shows whether the organisation states that this activity counts as "tied" (procurement is restricted to the donor organisation country) or "untied" (open procurement). Specifying location requirements in activity documents such as procurement policies or tenders is accepted as publishing tied aid status.	For national investment agencies, an explicit statement demonstrating their aid is not tied is required. For IFIs and DFIs, investment codes clarifying their position are accepted.
Related documents	27. Memorandum of Understanding	Is the Memorandum of Understanding published?	A Memorandum of Understanding (MoU) is a document which details the agreement usually between the organisation and recipient government for the provision of aid in the country.	Some non-traditional donors do not sign MoUs, so jointly developed documents governing the relationship between the organisation and the recipient are accepted as equivalent, e.g. investment codes, partnership agreements and country strategy papers developed in conjunction with recipient governments.
	28. Evaluations	Are evaluation documents published for all completed activities in this recipient country?	Evaluation documents consider what the activity achieved, whether the intended objectives were met, what the major factors influencing the achievement or non-achievement of the objectives were and an assessment of the impact, effect and value of the activity. This information may be on a specific evaluation section of the organisation's website. If the activity under assessment is not completed but evaluation documents are available for other completed activities, the organisation can score for this indicator.	Not all organisations carry out evaluations for all of their activities. Organisations can score on this indicator as long as they publish evaluations within their regular evaluation cycles, i.e. the organisation publishes country evaluations every three years, the most recent documents within this time frame are accepted.
	29. Objectives	Are the objectives or purposes of the activity published?	The objectives or purposes of the activity are those that the activity intends to achieve.	
	30. Budget docs	Is the budget of the activity published?	This is a specific budget detailing what the intended spending is for the different lines of the individual activity. It is often a document published on the organisation's website. Budget documents cannot simply be at the country level. If an activity budget is included in a larger country-level document, it is only accepted if the budget for the activity is broken down line by line.	Overall activity cost are accepted as the budget for IFIs, DFIs, private foundations and humanitarian agencies. For organisations where such information might be considered commercially sensitive, documents with redactions are accepted but the reason for the redactions needs to be explicitly stated.

Sub-group	Indicator	Survey Question	Definition	Additional definitions and notes
	31. Contracts	Is the contract for the activity published?	The individual contract(s) which is signed with a company, organisation or individual that provides goods and services for the activity. This could be on a procurement section of the organisation's website, on a separate website or on a central government procurement website. Contract documents cannot simply be at the country-level. If an activity contract is included in a larger country-level document, it is only accepted if the contract mentions the activity specifically and in detail. Basic information about the activity contract is accepted if it contains three of the following five information items: awardee, amount, overview of services being provided, start/end dates, unique reference to original tender documents.	This indicator is retained for all organisations in the Index. In cases where organisations consider such information to be commercially sensitive, sections within the contract can be redacted but the reason for the redactions needs to be explicitly stated. Due to the difficulty in checking contracts manually, rather than looking for the specific activity and the contract linked to it, a review of the organisation's overall contracts will be completed to check that the database is comprehensive and that the contracts contain three of the five information items listed. For vertical funds, equivalent documents are accepted, such as approved country proposals or agreements between the recipient and the funder.
	32. Tenders	Does this organisation publish all tenders?	Tenders are the individual contracts or proposals that have been put out to invite bids from companies or organisations that want to provide goods and services for an activity. They may be on a separate website, possibly on a central government procurement website.	Investment codes or policies for IFIs and DFIs are accepted. For private foundations, calls for grant submissions are accepted. For humanitarian agencies, documents that provide guidance on securing funding are accepted. Due to the difficulty with manually finding tenders linked to current activities, rather than looking for the specific tender, a review of the organisation's overall tenders process will be completed to check it is publishing them consistently.
Financial	33. Overall cost	Does this organisation provide an overall financial cost / amount of this activity?	The overall financial cost or amount is a summary total financial sum for the activity.	
	34. Planned expenditures	Does this organisation provide details of planned expenditures for this activity?	Individual planned expenditures must be related to individual activities but are generally high level commitments rather than a detailed breakdown of the activity budget. This information is unlikely to be made available if the organisation does not publish to IATI.	For organisations for whom this may be deemed as commercially sensitive information, total estimated cost of fund/grant/loan amount is accepted or sections within the document can be redacted. The reason for the redactions needs to be explicitly stated.

Sub-group	Indicator	Survey Question	Definition	Additional definitions and notes
	35. Actual expenditures	Does this organisation provide transaction-level details of individual actual financial disbursements / expenditures for this activity?	Individual actual financial disbursements must be related to individual activities and must be on a per-transaction basis. Each activity is likely to have several transactions. This information is unlikely to be made available if the organisation does not publish to IATI.	While such information might be considered to be commercially sensitive by some organisations, Publish What You Fund's view is that actual expenditure information is no longer sensitive once the money has been spent. Hence all organisations are scored on this indicator. For IFIs and DFIs, the total fund/loan amount is accepted but details of the loan repayment costs and related charges can be redacted. The reason for the redactions needs to be explicitly stated.
	36. Budget ID	Does this organisation provide information about the activity that can link the activity to the recipient government's relevant budget classifications?	The budget classification is a way of linking the activity to the recipient country government's own budget codes. There are two parts to this indicator. The administrative classification can either be provided as the budget codes themselves, or as a common code that can map from a donor organisation's detailed purpose codes to the recipient country's functional or administrative budget classifications. In addition, the economic classification provides the percentage of the budget that is capital versus current expenditure. This information will not be made available if the organisation does not publish to IATI.	This indicator is retained for all organisations in the Index. The budget identifier helps to explain aid flows in the context of the recipient government's own budget. It does not relate only to those flows that are direct to the government ("on budget"), but also to other flows which may relate to the government's own budget. In cases where the organisation is only providing private sector investment, budget classifications are still possible. Such activities could, for example, be classified as current expenditure under the microfinance and financial services function.
Performance	37. Results	Are results, outcomes and outputs published for all completed activities in this recipient country?	The results show whether activities achieved their intended outputs in accordance with the stated goals or plans. This information often refers to logframes and results chains and may be within a specific results or evaluation section of the organisation's website.	

Sub-group	Indicator	Survey Question	Definition	Additional definitions and notes
	38. Impact appraisals	Are pre-project impact appraisals published?	Pre-project impact appraisals explain the totality of positive and negative, primary and secondary effects expected to be produced by a development intervention. Environmental impact assessments as well as impact assessments which explain what objectives the project itself intends to provide are accepted.	IFIs and DFIs tend only to publish impact appraisals if regulations require them to, but given the link they have to the eventual impact and results of the activity, all organisations included in the Index are scored on this indicator. For loans or private sector investment, risk assessments and the fiscal objectives detailed in the loan document are accepted. These need to be sufficiently detailed and include any criteria used to assess eligibility for receiving the loan. Humanitarian Implementation Plans (HIPs) and project plans are accepted for humanitarian agencies.
	39. Conditions	Are the terms and conditions attached to the activity published?	The terms and conditions of the activity may also be referred to as benchmarks, priors, or involve words such as "subject to...". They are specific to an individual activity and explain what the recipient must do in order to be eligible for the funds to be released. The conditions should include loan repayment terms if the activity is financed by a loan.	For IFIs and DFIs, this includes loan repayment conditions or special terms and conditions. In cases where the loan repayment terms are considered commercially sensitive, this information can be redacted. The reason for the redactions needs to be explicitly stated. For private foundations, as well as humanitarian organisations, statements setting out what the grant can be spent on are accepted.

Annex 2: Data quality tests

The data quality analysis in the 2013 Index automatically assesses the quality of data released in the IATI XML format. Both organisation and activity files are tested.

Outline of data quality test methodology
The automated analysis works as follows:

For activity files:
- Packages are automatically attached to specific organisations included in the Index. It would be desirable to do this by using the IATI identifier provided by the IATI Registry for that organisation's packages. However this is not possible because:
  - In some cases, the IATI identifier provided on the organisation's IATI Registry publisher account was incorrect.
  - In many other cases, the IATI identifier was left blank.
  - Some of the organisations included in the Index do not have their own publisher account on the Registry, but are included in a single publisher account with other organisations. In these cases, all relevant packages are attached to each of the publisher, and only the activities containing information relevant to a specific publisher are then tested.
- Each activity in each package is tested by running a series of tests. These are then aggregated up to create total scores for each test in each package; once for all data, and once to include only those activities which are defined as "current".
- The tests are then aggregated up into indicators for the single organisation.

For organisation files:
- Packages are automatically attached to specific organisations included in the Index.
- Each package is then tested by running a series of tests, which are then aggregated up into indicators for that organisation.

Tests

At the publication level, each of the indicators in the 2013 Index is automatically assessed by running one or more tests. The specific test expressions are below.

FoxPath

The tests are written in FoxPath, a language that was developed specifically for the Aid Transparency Tracker, but which should have wider applicability. The aim was to develop a human-readable test based on XPath, which could then be parsed into any programming language and then used to test XML files.

The following abbreviations are used in this section:
- L is the name of a list (e.g. a codelist)
- N is a number
- T is a type
- X is an XPath string
- V is a string (or value)

The following formats are used in the 2013 Index tests:
- X exists?
- X exists N times?
- X or X exists?
- X has more than N characters?

The following formats are not used in the 2013 Index, but are supported:
- only one of X or X exists?
- X is a T?
- X sum to N?
- X is in list L?

Formats

The tests are flexible but must conform to a specific format. The available formats could fairly easily be expanded on. Each of the tests returns a pass, fail or error (if for some reason something unexpected happened). Errors do not count against a publisher; total scores for each test for each package are composed of **(pass/pass+fail) x100**.

Conditions

Certain conditions restrict whether a test is run. Any conditions can be found in brackets at the end of the test. These are of the format:
- if X is at least N
- if X or X is not V
- if X is at least N and (if X or X is not V)
- if X is at least N and (if X or X is at least N)

If the condition is not passed, then the test does not count either as a pass or a fail.

The tests were derived programmatically from the IATI XML schema in the first instance to test for the existence of each element that had a relevant indicator in the 2013 Index. A few additional tests were incorporated in order to ensure that the data would be useful – for example, titles must have a minimum character length in order to be meaningful.

Following donor feedback regarding the tests, further modifications were made to reduce the extent to which donors would be penalised for not publishing information that would be logically impossible for them to publish. For example, evaluations should not be expected to exist until a project has closed, so the existence of this document is only tested if an activity is in the completion stage or later.

Table 6: Tests used on IATI XML format data

Indicator	Test expression	Test name	Conditions
Organisation level			
4. Organisation strategy	document-link/category[@code='B02'] exists?	Strategy	
5. Annual report	document-link/category[@code='B01'] exists?	Annual report	
6. Allocation policy	document-link/category[@code='B04'] exists?	Allocation policy	
7. Procurement policy	document-link/category[@code='B05'] exists?	Procurement policy	
8. Country strategy	See page 48		
9. Total budget	See page 48		
10. Disaggregated budget	See page 48		
11. Audit	document-link/category[@code='B06'] exists?	Audit	
Activity level			
12. Implementer	participating-org[@role='Implementing'] exists (if activity-status/@code is at least 2)?	Implementing organisation	At least implementation
13. Unique ID	iati-identifier exists?	Unique IATI Identifier	
14. Title	title/text() exists?	Title	
14. Title	title/text() has more than 10 characters?	Title, more than 10 chars	
15. Description	description/text() exists?	Description	
15. Description	description/text() has more than 40 characters?	Description, more than 40 chars	
16. Planned dates	activity-date[@type='start-planned'] exists?	Activity date planned start date	
16. Planned dates	activity-date[@type='end-planned'] exists?	Activity date planned end date	
17. Actual dates	activity-date[@type='start-actual'] exists (if activity-status/@code is at least 2)?	Activity date actual start date	At least implementation
17. Actual dates	activity-date[@type='end-actual'] exists (if activity-status/@code is at least 3)?	Activity date actual end date	At least completion
18. Current Status	activity-status exists?	Activity status	
18. Current Status	activity-status exists 1 time?	Activity status, only once	
19. Contact details	contact-info exists?	Contact information for the activity	
20. Collaboration Type	collaboration-type exists (if activity-status/@code is at least 2)?	Collaboration type	At least implementation
21. Flow Type	default-flow-type or transaction/flow-type exists (if activity-status/@code is at least 2)?	Flow type	At least implementation
22. Aid Type	default-aid-type or transaction/aid-type exists (if activity-status/@code is at least 2)?	Aid type	At least implementation
23. Finance Type	default-finance-type or transaction/finance-type exists (if activity-status/@code is at least 2)?	Finance type	At least implementation

24. Sector	sector/@code exists?	Sector, code	
24. Sector	sector exists?	Sector	
25. Sub-national location	location exists (if activity-status/@code is at least 2)?	Location (sub-national)	At least implementation
25. Sub-national location	location/coordinates exists (if activity-status/@code is at least 2)?	Location (sub-national) coordinates	At least implementation
26. Tied Aid Status	default-tied-status or transaction/tied-status exists (if activity-status/@code is at least 2)?	Tied aid status	At least implementation
27. MoU	document-link/category[@code='A09'] exists (if activity-status/@code is at least 2 and (default-aid-type or transaction/aid-type is not C01))?	Document - Memorandum of understanding document	At least implementation, and not project aid
28. Evaluations	document-link/category[@code='A07'] exists (if activity-status/@code is at least 3)?	Document - Review of project performance and evaluation document	At least completion
29. Objectives	document-link/category[@code='A02'] exists (if activity-status/@code is at least 2)?	Document - Objectives / Purpose of activity document	At least implementation
30. Budget Docs	document-link/category[@code='A05'] exists (if activity-status/@code is at least 2 and (default-aid-type or transaction/aid-type is not A01))?	Document - Budget document	At least implementation, and not budget support
31. Contracts	document-link/category[@code='A06'] exists (if activity-status/@code is at least 2 and (default-aid-type or transaction/aid-type is not A01))?	Document - Summary information about contract document	At least implementation, and not budget support
31. Contracts	document-link/category[@code='A11'] exists (if activity-status/@code is at least 2 and (default-aid-type or transaction/aid-type is not A01))?	Document - Contract	At least implementation, and not budget support
32. Tenders	document-link/category[@code='A10'] exists (if activity-status/@code is at least 2 and (default-aid-type or transaction/aid-type is not A01))?	Document - Tender	At least implementation, and not budget support
33. Overall cost	budget exists (if activity-status/@code is at least 2)?	Budget	At least implementation
34. Planned expenditure	transaction/transaction-type[@code='C'] exists (if activity-status/@code is at least 2)?	Commitments	At least implementation
35. Actual expenditure	transaction/transaction-type[@code='D'] or transaction/transaction-type[@code='E'] exists (if activity-status/@code is at least 2)?	Disbursements or Expenditure	At least implementation
36. Budget Identifier	country-budget exists (if activity-status/@code is at least 2 and (default-aid-type or transaction/aid-type is not A01))?	Budget identifier, administrative/functional classification	At least implementation, and not budget support
36. Budget Identifier	capital-spend exists (if activity-status/@code is at least 2 and (default-aid-type or transaction/aid-type is not A01))?	Budget identifier, economic classification	At least implementation, and not budget support
37. Results	result/indicator or result/title exists (if activity-status/@code is at least 2)?	Result	At least implementation
37. Results	document-link/category[@code='A08'] exists (if activity-status/@code is at least 3)?	Document - Results, outcomes and outputs document	At least completion
38. Impact Appraisals	document-link/category[@code='A01'] exists (if activity-status/@code is at least 2)?	Document - Pre- and post-project impact appraisal	At least implementation
39. Conditions	conditions exists (if activity-status/@code is at least 2)?	Conditions	At least implementation
39. Conditions	document-link/category[@code='A04'] exists (if activity-status/@code is at least 2)?	Document - Conditions document	At least implementation

Test on indicators 8, 9 and 10

The following tests were more complicated to design because they rely on comparing text strings or they require cross-referencing with other IATI fields. Publish What You Fund welcomes feedback on these tests.

Country strategies (indicator 8): For each recipient country for which there is a current budget, we look to see whether a country strategy paper is published. Given the way that the IATI standard is currently structured in this area, the tests are somewhat complicated in order to try and capture as much information as possible.

For each country, we look in the title of each country strategy paper for:
a) the name of the country, using the same name as provided in the recipient country budget;
b) the name of the country, using a "basic" list of countries based on the ISO country codes list.

Where a country strategy paper uses in its title a name that is not used in the recipient country budget, and that is also not a standard version (e.g. Viet Nam vs Vietnam), the tests may on occasions fail to pick up those countries. The tests appear to be picking up almost all countries, and in 2013, manual checks have been made to ensure this is the case to the extent possible. We will be engaging with the IATI Technical Advisory Group on how to improve the Standard so that country strategy papers are better coded in the future.

Total budget (indicator 9): We look to see whether there is a total budget one, two and three years forward. The first year must have an end date of at least 145 days forward of the date on which tests ran.[19] The second year must be 365 days later, and the third year a further 730 days forward. The points available are distributed equally among the three years, so one year forward gets 33%; two years forward gets 66%; and three years forward gets 100%.

Disaggregated budget (indicator 10): We add up the value of the donor's various country budgets for each of the next three years, and calculate the percentage compared to a fraction of the donor's total budget figure. The fraction of the total budget figure is the 50th percentile of the proportion of donors' spending that is allocated by country, according to the 2012 DAC Country Programmable Aid data. We used the same fraction for all donors (21.36%). As above, the total points available are distributed equally among the three years.

For example, total budget: USD 1,000
Total country spend per year required for 100% score: USD 213.60

Total country budgets in Year 1: USD 300 => over USD 213.60, so 100% score
Total country budgets in Year 2: USD 150 => 70% of USD 213.60, so 70% score
Total country budgets in Year 3: USD 0 => 0% of USD 213.60, so 0% score

Total data quality score: (100+70+0)/3 = 57%

---

[19] In order to score the maximum points on the forward budget indicators, budgets need to run up to a minimum of December 2015. The number of days used in the tests help ensure that budgets that are mid-cycle are still captured but that they run up to the required end date of 31 December 2013, 2014 and 2015 to score the points for each year.