

# 2018 Aid Transparency Index

## Technical Paper



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# Introduction

Publish What You Fund has been tracking and monitoring the progress of donors to make their aid and development finance transparent since 2011 via the [Aid Transparency Index](#). The assessment is the only independent measure of aid transparency among the world's leading aid and development finance organisations.

The objectives of the upcoming Aid Transparency Index are:

- To assess the state of aid transparency among the world's largest donor organisations
- To track and encourage progress and facilitate peer learning, while holding donors to account
- To raise awareness of transparency and open data standards at the national, regional and international level, building on existing open data standards like the International Aid Transparency Initiative (IATI).

At the launch of the 2016 Index, Publish What You Fund announced it would review the methodology before the next publication. The objectives were to determine the most useful data for potential users across the development sector and beyond, and make sure that the Index rewards its publication. Based on consultations with potential data users, it sought to raise the bar on data published in the IATI Standard to encourage it to be both useful and used.

At the same time, the review offered the opportunity to respond to additional feedback received from publishers and users of data on how to make the methodology even more robust. For details of the methodology review process, the changes discussed and implemented, as well as for more general information about the Index over the years, see the 2018 Aid Transparency Index Guidelines and relevant blogs.<sup>1</sup>

This technical paper sets out the approach used to compile the 2018 Aid Transparency Index. It includes all of the modifications implemented as a result of the methodology review, and provides further details on:

- The indicators and components of aid transparency
- The process of data collection
- The weighting and scoring systems
- Details on the automated tests applied during data collection.

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<sup>1</sup> See blogs: [www.publishwhatyoufund.org/publish-what-you-fund-launches-new-index-data-quality-tool-and-technical-consultation](http://www.publishwhatyoufund.org/publish-what-you-fund-launches-new-index-data-quality-tool-and-technical-consultation), [www.publishwhatyoufund.org/aid-transparency-index-update-methodology-review](http://www.publishwhatyoufund.org/aid-transparency-index-update-methodology-review), [www.publishwhatyoufund.org/aid-transparency-index-needs-you](http://www.publishwhatyoufund.org/aid-transparency-index-needs-you) and [www.publishwhatyoufund.org/reviewing-methodology-aid-transparency-index](http://www.publishwhatyoufund.org/reviewing-methodology-aid-transparency-index)

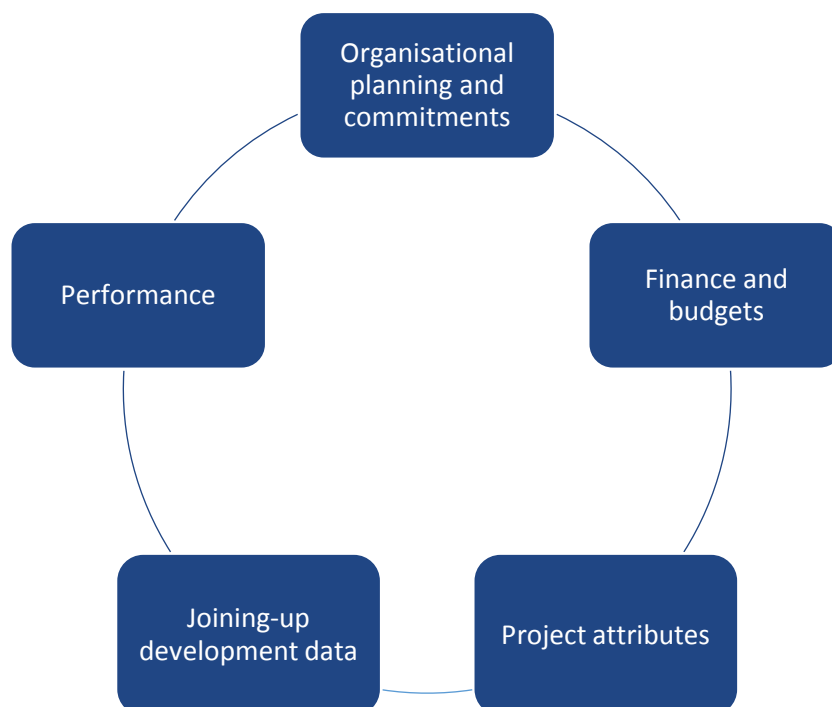
# 1.0 Components and indicators of the Aid Transparency Index

## 1.1 Components

The Index is structured around five components of aid transparency:

- **Organisation commitments and planning** refers to any aid transparency commitments an organisation has made, alongside any planning documents published by them or their parent organisations (including national governments) where applicable.
- **Finance and budgets** refers to data published, which allows anyone else to follow the money; from the total budget of a given organisation down to individual transactions for each development activity.
- **Project attributes** refers to descriptive, non-financial data on development activities. This includes project titles and descriptions, as well as information needed for project monitoring such as sub-national locations or sectors.
- **Joining-up development data** refers to the diverse nature of flows, activities and actors within the development sector and the need for the data to be linked and connected to provide a full picture for the user.
- **Performance** refers to data and documents that are essential to assess whether a project is or has achieved its development objectives for example, reviews and evaluations.

### The Components of the Aid Transparency Index



## 1.2 Indicators

The Aid Transparency Index uses 35 indicators to assess an organisation's aid transparency. The indicators have been selected in response to needs expressed by a range of development stakeholders and using the information types agreed in the International Aid Transparency Initiative (IATI) Standard.

In addition, an organisation's overall commitment to aid transparency is measured by the existence of Freedom of Information (FOI) legislation or disclosure policies, and its efforts to promote access to, use and re-use of its information, through the assessment of data portals.

The full list of indicators and definitions is available at the end of this document in Annex 1. This list provides a definition and criteria for each indicator.

# 2.0 Data sources, data collection and validation process

## 2.1 Data sources

### Data collected from the IATI Registry

Data published by different organisations on the [IATI Registry](#) is available in one central location and in the same open machine-readable format. This allows data to be processed and analysed faster and more easily, and for large volumes of data to be compared and analysed. IATI publishers "register" their IATI XML data, providing links to the original data source – which remains on a donor's own website – and other useful metadata. For the Index, only IATI XML data published to the IATI Registry will be taken into account and scored accordingly. See the scoring approach on page 8 for further details.

### Other official and publicly available sources

For those indicators for which no IATI data can be found, information is gathered from what is published online by each organisation – either on their website or national platforms, such as the [US Foreign Assistance Dashboard](#) and the [EU Aid Explorer](#). The sources of information must be easily accessible from the organisation's website.

For organisations that publish information to multiple databases or websites, information from all sources is accepted. For example, data for the European Commission's (EC) 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), as well as to IATI. All three sources are accepted. If there are differences between the three information sources, priority is given to the most recently published information in the most accessible format.

## Secondary sources

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.<sup>2</sup> This has been adapted to a three-point framework for the purposes of the Index. A second scale was developed in 2012 to score disclosure policies for non-bilateral organisations.

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 account, rather than having a data gap or awarding them an average score for this indicator. For more details on the RTI Rating, see box 2 on p.13.

## 2.2 Data collection steps

All organisations' data will be collected in two stages. First, their IATI data will be run through the Aid Transparency Tracker, which conducts automated tests on data published to the IATI Registry. Second, data is collected via a manual survey for indicators that are either not published to the IATI Registry or do not pass the tracker tests.

### Stage 1

#### Collecting IATI data through the Aid Transparency Tracker (“tracker”)

The Aid Transparency Tracker runs automated tests on all data published by an organisation to the IATI Registry.<sup>3</sup> These tests are applied to all indicators except the FOIA and Accessibility indicators (see definitions pp. 24-25). This exercise returns preliminary results that are displayed on the organisation's individual tracker page. This page is only accessible to the organisation, Publish What You Fund and a third party assessor. This allows an organisation to respond to the preliminary assessment by publishing more or better data. The same tests are re-run on a regular basis throughout the data collection period and unweighted scores are updated accordingly. Planning for these updates is communicated directly to donors throughout the data collection period.

#### Manually checking and sampling IATI data and documents

In addition to these automated tests, manual checks and sampling are conducted by Publish What You Fund staff on a number of indicators published in the IATI Standard. The purpose is to ensure that the information published for these 16 indicators is what it should be and encourages the publication of high quality information to the Registry.

Manual checks and sampling are conducted twice: first, as part of the initial assessment; second, at the end of data collection. The results of the first round of manual checks and sampling are shared with the donor organisation, giving them the chance to fix any issues. After data collection has closed, Publish What You Fund will notify donors of sampling results in order that any data errors can be fixed. However, improvements to this data will not be taken into account for the final Index results.

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<sup>2</sup> 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/country-data/>

<sup>3</sup> Link to be released when data collection begins in Q4 2017

### **Manual checks**

For five indicators relating to organisational planning, Publish What You Fund's team will manually check that the documents published on the IATI Registry meet both the requirements of the IATI Standard and the Index indicator definition.<sup>4</sup> A single document is expected for each of the following indicators:

- Strategy
- Annual report
- Allocation policy
- Procurement policy
- Audit

For individual projects and operations, 11 indicators are sampled to manually verify that the information provided meets the required criteria and definition against which they are being scored. Sampling is conducted on 20 current projects and operations. A minimum of ten project documents or data need to pass sampling to be scored as IATI data. These indicators are:

- Country strategy or Memorandum of Understanding (MoU)
- Project budget documents
- Project Procurement
- Conditions
- Objectives
- Pre-project impact appraisals
- Review and evaluations
- Results
- Titles
- Descriptions
- Sub-national locations

For four of these indicators two sub-elements are verified as part of the sampling process. These are:

- Conditions:
  - Conditions data
  - Conditions document
- Results:
  - Results data
  - Results document
- Sub-national locations:
  - Sub-national location data (coordinates or point)
  - Sub-national location (narrative)
- Project procurement:
  - Contract documents
  - Tenders

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<sup>4</sup> See Annex 1

## **Stage 2**

### **Collecting data not found on the IATI Registry through the manual survey**

Second, data is collected via a manual survey for indicators that are either not published to the IATI Registry or do not pass the tracker tests. This information is collected manually and entered onto the donor page on the tracker.

All manual surveys are completed using information relating to the country receiving the largest amount of aid by value from the development organisation. The value of aid to recipients is determined by the most recent 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 organisation or related ministry.

To establish that information is consistently, i.e. “always”, published for individual projects or operations, a minimum of five activities are selected within the largest recipient country or thematic sector (if the organisation structures its work along thematic areas or sectors rather than by countries).

If less than five activities represent the organisation’s total spend in its largest recipient country, information is cross-referenced against four other randomly selected activities in other recipient countries. For country/sector strategy or MoU, the information is cross-checked for four other randomly selected countries in addition to the largest recipient country to establish that the information is “always” published.

## **2.3 Validation process**

There is a defined data collection period of approximately three months for the Aid Transparency Index. This is to ensure that organisations are compared fairly based on information collected during the same time period. Once data has been collected for all organisations included in the Index, the initial assessments are shared with donors and independent reviewers for comments. They can provide updates and corrections as necessary, and Publish What You Fund encourages organisations to utilise the tracker feedback to improve their data.

The assessment remains available until the end of data collection and is updated regularly throughout this period. This approach 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. For organisations that do not participate in the review process, it is possible that information that is not easily discoverable on their websites or databases has not been included in their final assessment.

The final set of IATI data is automatically collected shortly after the end of the data collection period, so any improvements or changes to an organisation’s IATI data during that period can be reflected in the final dataset used to compile the Index.

After the end of data collection, all surveys are subject to a process of verification and standardisation conducted by Publish What You Fund’s research team. This is to ensure



that scoring is consistent across all surveys and considers relevant feedback received both from donor organisations and independent reviewers. Publish What You Fund makes final decisions on the assessments.

Based on their overall performance in the Index, organisations are ranked and grouped across five scoring categories as follows:

<b>Very good</b>	<b>80 – 100 %</b>
<b>Good</b>	<b>60 – 79 %</b>
<b>Fair</b>	<b>40 – 59%</b>
<b>Poor</b>	<b>20 – 39%</b>
<b>Very poor</b>	<b>0 – 19%</b>

## 2.4 Data Quality Tester

Publish What You Fund has developed the Data Quality Tester<sup>5</sup> to meet the needs of organisations who want to assess the quality of their IATI data before publishing it, and/or assess their data against the new methodology. This self-assessment tool is available to donors all-year round and is a useful guide to test the quality of new data before it gets published to the IATI Registry.

## 3.0 Scoring approach

All indicators can score a maximum of 100 points but a graduated scoring methodology is applied to some of them, based on format, accessibility and/or number of years for which the information is made available (see Box 1 below).

### 3.1 Details of scoring approach

#### Current data

Data must be current for an organisation to be able to score on each indicator. For purposes of the Index, “current” is defined as published within the 12-months immediately preceding the end of the data collection period. For example, data collection for the 2016 Index ended on 15<sup>th</sup> January 2016, so “current” information was published between 15<sup>th</sup> January 2015 and 15<sup>th</sup> January 2016.

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<sup>5</sup> Use the free, open source Data Quality Tester at: <http://dataqualitytester.publishwhatyoufund.org/> (updated Index methodology to go live in July 2017)

Information published before this period is not accepted as current and information published after the close of data collection cannot be considered in the assessment. For IATI data we have a specific test, see current data test p.17). For manual surveys, 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.

All indicators can score a maximum of 100 points. The scoring approach reflects a graduated system whereby the total possible score an organisation can achieve on each indicator is scaled depending on format, accessibility and/or number of years for which the information is made available.

For all indicators that are “**graduated on format**”, the information is scored as follows:

- If published as a PDF = 16.67 points
- If published on a website = 33.33 points
- If published in a machine-readable format (CSV, XLSX, etc.) = 50.00 points
- If published in IATI XML = 50-100 points depending on data quality and frequency.

#### **Box 1. What is machine-readable data and why is it scored highly?**

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 (XLSX, CSV) are machine-readable formats. Data in traditional word-processed documents, HTML and PDF files are easily read by humans but are difficult for machines to interpret.

Publishing data in a structured, machine-readable open format allows activities of different organisations to be quickly collected and compared. By contrast, comparing activities across multiple organisations or countries would require searching multiple websites and aggregating information published in different PDF files. This difference is reflected in the Index scoring, whereby organisations can get more points on indicators published in machine-readable formats. Data published in the IATI Standard, the only open standard for aid and development finance data, scores highest, followed by data published in other machine-readable formats, then websites and finally PDF files.

Documents are scored on accessibility: for example, an annual report published in PDF is much the same as an annual report published on a webpage, but including a link to this report in an organisation’s IATI file makes it easier to locate and identify.

For indicators relating to organisation planning (e.g. country strategies, audits, FOIA) that are “**graduated on accessibility**”:

- Information published to the IATI Registry is awarded the full score for the indicator
- Information published in all other formats is awarded 50 points out of a possible 100.

These indicators relate to organisation documents, which may be provided in IATI in the form of links to documents held on an official public website. Critically, they must specify the correct document code from the IATI 'Organisation Documents Codelist'. This makes them easier to locate and identify as they have been categorised according to a common standard; hence they are scored more highly.

For indicators on individual projects or operations that are “**graduated on accessibility**”:

- Information published to the IATI Registry can score 50–100 points per indicator based on the quality and frequency 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 both format and the number of years**” for which information is published.

- Publishing a budget for 2017 counts as one year forward looking, 2018 as two years and 2019 as three years
- Aggregate budgets are treated the same as a one-year forward-looking budget, i.e. an aggregate budget for 2015–2017 is treated the same as a one-year budget for 2016.

If an organisation publishes a budget for 2016 and then an aggregate budget for 2017–2018, then the budget is considered to be two years forward looking. The scores are graduated as follows (where \* = multiply and / = divide):

- PDF =  $16.67 * y/3$  (where y is the number of years, up to a maximum of three, for which forward looking budget information is published)
- Website =  $33.33 * y/3$
- Machine-readable =  $50.00 * y/3$
- IATI XML = 50–100 (depending on data quality and frequency) \*  $y/3$
- Aggregate budgets of between 2–3 years are scored the same as one-year forward budgets.

The scoring of IATI data for two indicators is also “**graduated on the proportion of countries**” in which an organisation is active and for which the required information is provided.

- **Disaggregated budgets:** when published in the IATI Standard, the scoring is based on the proportion of budgets published for countries where an organisation is active – or will be – for the next three years.
- **Country strategy – MoUs:** when published in the IATI Standard, the scoring is based on the proportion of countries where a given organisation is active and for which a country strategy or MoU is provided.

Further details on the tests are provided pp. 51–52.

**Table 1. Scoring approach for all indicators**

Component	Indicator	Scoring Approach
Organisational planning and commitments	1. Quality of FOI legislation	Scored on the Right To Information (RTI) Rating. The complete approach to assessing and scoring FOIA and disclosure policies is outlined in box 2 on p.13.
	2. Accessibility (database/data portal)	Based on three criteria: allows free bulk export of data; provides disaggregated, detailed data on activities; and data is released under an open licence.
	3. Strategy	Graduated based on accessibility
	4. Annual report	Graduated based on accessibility
	5. Allocation policy	Graduated based on accessibility
	6. Procurement policy	Graduated based on accessibility
	7. Strategy (country/sector) or MoU	Graduated based on accessibility and proportion of countries in which an organisation is active
	8. Audit	Graduated based on accessibility
Finance and budgets	9. Total organisation budget	Graduated based on format and number of years for which data is provided
	10. Disaggregated budget	Graduated based on format, number of years for which data is provided as well as proportion of countries in which organisation is active
	11. Project budget	Graduated based on format

<b>Component</b>	<b>Indicator</b>	<b>Scoring Approach</b>
	12. Project budget documents	Graduated based on accessibility
	13. Commitments	Graduated based on format
	14. Disbursements & expenditures	Graduated based on format
	15. Capital spend	Graduated based on format
Project attributes	16. Title	Graduated based on format
	17. Description	Graduated based on format
	18. Planned dates	Graduated based on format
	19. Actual dates	Graduated based on format
	20. Current status	Graduated based on format
	21. Contact details	Graduated based on format
	22. Sectors	Graduated based on format
	23. Sub-national location	Graduated based on format
	24. Implementer	Graduated based on format
	25. Unique ID	Graduated based on format

Component	Indicator	Scoring Approach
Joining-up development data	26. Flow type	Graduated based on format
	27. Aid type	Graduated based on format
	28. Finance type	Graduated based on format
	29. Tied aid status	Graduated based on format
	30. Conditions	Graduated based on accessibility
	31. Project procurement	Graduated based on accessibility
Performance	32. Objectives	Graduated based on accessibility
	33. Impact appraisals	Graduated based on accessibility
	34. Reviews and Evaluations	Graduated based on accessibility
	35. Results	Graduated based on format

**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, only one FOIA has scored 1-39 or 136-150 on the RTI scale, meaning that much of the substantive difference among legislation is lost by simply dividing the scale evenly into thirds.

To resolve this, the three-point scale has been 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 allows for greater diversity in the results, while maintaining a replicable scoring system that rewards objective progress. Though scoring donors on a relative scale was considered, given that both the Index and the RTI Rating score donors based on objective measures, it is 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 means there is a data gap for non-bilateral donors with disclosure policies. Publish What You Fund has therefore developed a second three-point scale. It recognises 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. This is preferable to 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, it scores 100. If a donor's disclosure policy has none of the three, or no disclosure policy at all, it scores 0. The indicators are:

- **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).
- **Limitations on commercially sensitive and third party information and internal deliberations:** To score on this indicator, non-disclosure clauses related to these matters must be (a) defined clearly, (b) be subject to a harm test, and (c) be subject to a public interest override (33.33 points). To score on this indicator all three sub-criteria must be met.
- **Independent appeals process:** To score for this indicator, non-disclosure clauses must include an independent appeals process and the appeals body must include individuals that are independent from the organisation (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.

Note that in previous years, the limitations on third party information and internal deliberations were listed as separate criteria and appeals were assessed as part of the public interest override clause within each of these. The simplification in the grouping of criteria was made based on advice received from FOI experts in FOI legislation.

## 3.2 Scoring through the manual survey

As detailed on p. 5, data is collected via a manual survey for indicators that are either not published to the IATI Registry or do not pass the tracker tests. Only information that is found to be “always” published is scored in the Index, with a maximum of 50 points depending on format. Information that is published inconsistently or only for some activities is recorded as ‘sometimes’ published but not scored.

For a given indicator, 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.

For aid information to be comparable across donors and recipient countries and for it to be useful to different users, it needs to be consistently (i.e., always) published across a given organisation’s entire portfolio. Allocating points for information that is “sometimes published” would result in over-rewarding organisations given the small sample of activities chosen for assessment. Information that is sporadically collected and made available should be improved upon. For data that does not appear to be collected or published at all, systems or processes need to be put in place to do so.

The organisations that do not publish information in the IATI Standard have their data collected via manual website checks. In some cases, the information may be published but not easily available using the menu or search functions on a website or database. Publish What You Fund’s researchers will search for information but if it appears to be unavailable, will score the indicator as zero.

If our researchers cannot find a piece of information, the organisations can address this during the data collection period by providing direct links to the information (see section 2.3 on p. 7).

## 3.3 Defining and measuring the quality of IATI data

The quality of IATI XML data is assessed by running a series of tests on all activity and organisation data files published to the IATI Registry. 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. 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.

These tests are compatible with versions of the IATI Standard v2.02. At the time of writing, IATI Standard v2.03 was in the [consultation phase](#), so it was not possible to ensure compatibility. Publish What You Fund will however feed into the consultation and adapt as necessary for future iterations of the Index.



Data quality is determined by the percentage of an organisation's total current activities published to the IATI Registry that passes the data quality tests for a given indicator. For each indicator, organisations are awarded 50 out of 100 points for having at least one "pass" result on the data quality tests and the remaining 50 points based on data quality and frequency of publication.

A current project or operation meets at least one of the following criteria:

- Is in the implementation phase (e.g. with activity status 2)
- Has planned or actual end dates within the previous 12 months
- Has disbursement or expenditure transaction dates within the previous 12 months.<sup>6</sup>

The tests return a "pass" or "fail" result for each activity (or organisation file depending on the indicator being measured) included in an organisation's data files that meet the current data requirement. A complete list of the tests run against data published to the IATI Registry for the Index is available in Annex 2. These tests were developed in an open consultation with Index peer reviewers and current IATI publishers. We welcome feedback on them.<sup>7</sup>

### 3.4 Defining and measuring frequency of IATI data

Frequency refers to how often an organisation publishes information on its development activities to the IATI Registry. For indicators on individual projects or operations, IATI publishers are awarded the first 50 points for at least one "pass" result on the data quality tests and the remaining 50 based on the coverage and frequency of publication.

Publishing monthly allows an organisation to achieve the maximum indicator score of 100 points; publishing quarterly up to 95 points; and publishing less than quarterly up to 75 points.

**Example:** An organisation that publishes current data to the IATI Registry every quarter, with 80% of that current data passing the indicator tests, would receive the following score for that indicator:  $50 + (80 \times 0.9) / 2 = 86$  points. If the organisation publishes monthly, it receives a score of  $50 + (80 \times 1.0) / 2 = 90$  points.

The frequency of publication is calculated based on the IATI Dashboard methodology. Details of the methodology and the frequency of publication for existing publishers can be found at: <http://dashboard.iatistandard.org/timeliness.html>

Note that only IATI data is scored on frequency. Publishing information to IATI allows an organisation to score more points than publishing information in other formats. This is because there are clear machine-readable logs of when data is changed, and therefore it

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<sup>6</sup> Projects or operations that finish more than 12-months prior to the end of data collection but are still receiving loan or interest repayments are therefore excluded from the tests.

<sup>7</sup> Publish What You Fund ran a public consultation on the tests for the new methodology in April 2017. We always welcome feedback and comments on further improvements. More information is available at: <https://github.com/pwyf/2017-technical-consultation/issues>. Please note that users needed to register on GitHub in order to comment on the tests; registration is free of charge.

is possible to assess frequency. This is usually not possible for data published in other formats because the information is not always time-stamped.

## 4.0 Weighting approach

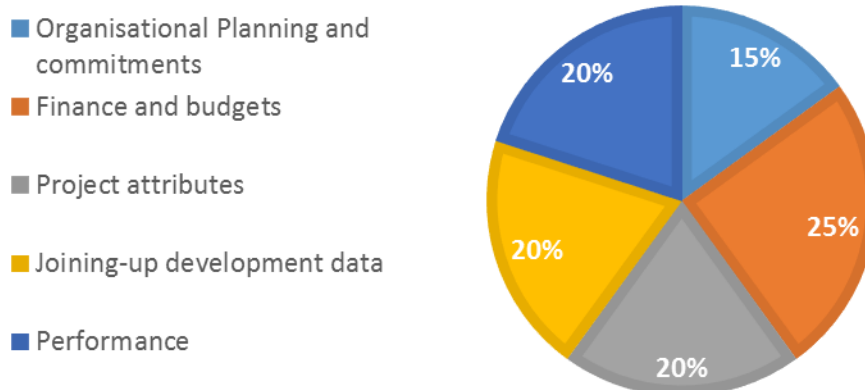
As described in Section 3, the format of a donor's publication, together with the weight ascribed to individual indicators, determine its overall performance in the Index.

Indicator weights are determined by the component to which a given indicator belongs and the priorities identified by potential data users from donors, governments and civil society organisations. As in previous years, commitments to aid transparency and organisation planning information remain important. However, information on individual development projects covered by the other four Index components is critical in order for information to be useful to partner country governments, civil society and other stakeholders. Weightings attached to components and indicators reflect these gaps and needs.

### 4.1 Components weights

Organisation planning and commitments to aid transparency account for 15% of the overall weight. Finance and budgets account for 25% of the overall weight. Project attributes, Joining-up development data and Performance are equally split and each account for 20% of the overall weight.

**Chart 1. Distribution of weight across Index components**



## 4.2 Indicator weights

Each of the 35 indicators adds up to a total percentage of 100. Each indicator differs in weight related to its respective component and to also reflect data gaps and priorities identified by potential data users from donors to governments and civil society organisations.

**Table 2: Indicator weights**

Component	Indicator	Weightings
Organisational planning and commitments	FOIA	1.875
	Accessibility	1.875
	Organisation strategy	1.875
	Annual report	1.875
	Allocation policy	1.875
	Audit	1.875
	Procurement policy	1.875
	Country or sector strategy & MoU*	1.875
Finance and budgets	Total organisation budget	4.17
	Disaggregated budget	4.17
	Project Budget	3.33
	Project Budget documents	3.33
	Commitments	3.33
	Disbursements and expenditure	3.33
	Capital spend	3.33

Project attributes	Title	1
	Descriptions	1
	Planned dates	1
	Actual dates	1
	Current status	1
	Contact details	1
	Sectors	3.5
	Sub-national location*	3.5
	Implementer	3.5
	Unique ID	3.5
Joining-up development data	Flow type	3.33
	Aid type	3.33
	Finance type	3.33
	Tied aid status	3.33
	Conditions	3.33
	Project procurement*	3.33
Performance	Objectives	5
	Impact appraisal	5
	Reviews and Evaluations	5
	Results *	5

For indicators marked with an asterisk (\*), two separate elements are expected:

- **Country/sector strategy or MoU**  
Either a strategy or an MoU will be accepted if the information it contains meets the established criteria and definition (see p. 27).
- **Procurement**  
The publication of both contracts and tenders is expected for individual projects or operations. Greater emphasis is put on the publication of contracts accounting for 75% of the indicator's weight (contracts account for 2.49% of the total indicator weight, tenders account for 0.84%). The total weight of the procurement indicator is 3.33%. This is also true for all other indicators included in the Joining-up development data component (see p. 36).
- **Sub-national locations**  
When published in the IATI format, two elements are expected. First, the sub-national location should be specified in the description of the project or operation. Second, geo-coordinates must be provided to map the activity. These two elements are equally weighted to form the total weight of the sub-national indicator.
- **Results**  
When this indicator is published in the IATI format, two elements are expected. First, results data can be published using the IATI Standard. Second, results documents, providing additional information, can be published along with each project or operation.

For all 35 indicators, definitions and notes are provided in the Annex at the end of this document, along with the different automated tests that define data that will be accepted to form the Aid Transparency Index.

## 5.0 Challenges, limitations and lessons learnt

The methodology used for the Aid Transparency Index has been developed in close consultation with development experts, taking into consideration the challenges and limitations faced in previous years and any lessons learnt. The Index nevertheless has limitations that Publish What You Fund acknowledges and invites the wider community to discuss, and provide feedback and suggestions on ways to improve, where possible.

### 5.1 Scoring all organisations on all indicators

As in previous years, all organisations are scored on all indicators. Publish What You Fund has looked carefully at how the methodology could take different models into account, but ultimately concluded that it is not possible to exclude certain indicators from some organisations and still maintain a consistent application of the methodology.

Organisations – bilateral agencies, international financial institutions (IFIs), multilateral institutions, foundations – are worth assessing together as they are influential providers with an explicit development or poverty reduction mandate. They mostly represent official external financing and all have an impact on recipient countries and actors. They are, therefore, held to a common set of standards, within or without “official development assistance” flows.

Publish What You Fund, however, recognises that not all indicators are a direct fit with an organisation’s particular modus operandi. To address this, the definitions 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.

## 5.2 Nature and extent of aid and development finance flows captured in the Index

The Index is designed to apply to a variety of aid and development stakeholders that operate in both the private and public sectors. It is designed to assess all types of official aid and development finance. In principle, the Index is designed to cover Official Development Finance (ODF) as defined by the OECD’s Development Assistance Committee (DAC).<sup>8</sup> However, it can also measure the transparency of some other select flows, such as regional, south-south and triangular cooperation.

Organisations included in the Index are ultimately responsible for the publication of the entirety of their portfolio as best practice. However, in the absence of a measurement of visibility – understood as the proportion of a donor’s total portfolio available in the IATI Standard – the Index scores cannot reflect the extent to which a given donors’ aid and development finance activities published in the IATI Standard are representative of that organisation’s entire portfolio.<sup>9</sup> Organisations are assessed based on the data they make available on the IATI Registry as well as through other publicly official sources.

## 5.3 Exemptions

The only exemption to publication addressed in the Aid Transparency Index tests relates to administrative costs. Administrative costs are related to expenses incurred in controlling or directing an organisation and have been defined as being outside of the scope of certain indicators used in the Index which focuses on aid and development finance.

Indicators for which administrative costs will be excluded are:

- Sub-national locations

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<sup>8</sup> The definition of OOF can be found here: <https://data.oecd.org/drf/other-official-flows-oof.htm>

<sup>9</sup> See the 2016 technical paper here: [www.publishwhatyoufund.org/wp-content/uploads/2016/12/2016-Aid-Transparency-Index-Technical-paper.pdf](http://www.publishwhatyoufund.org/wp-content/uploads/2016/12/2016-Aid-Transparency-Index-Technical-paper.pdf)

- Performance: pre-project impact appraisals; objectives; reviews and evaluations and results.
- Capital spend
- Project procurement
- Project Budget
- Project Budget documents

Other exemptions are not addressed in the Index. We recognise that there are often legitimate reasons for excluding specific information (or sometimes entire projects) from publication where it may cause material and/or direct harm. However, we do not accept that some organisations should not be measured against these indicators; rather all organisations should publish to all indicators with exclusions or redactions as necessary.

The principle we have adopted is that exclusions should be transparently stated at the time of publishing. These exclusions should nevertheless remain exceptions and should relate to specific types of information, to allow them to be challenged where they do not appear to be warranted, whilst still ensuring the purpose of legitimate exclusions is not compromised. For instance, if contracts contain commercially sensitive information, Publish What You Fund would still expect the contract to be published with redactions and the reasons for those redactions provided, including an explanation as to why publishing the information will cause material and/or direct harm.

The IATI Standard allows for exemptions if the reasons are stated in an exclusions policy document. However, stating exemptions for specific projects is currently not possible within the existing Standard. Donors can contact the IATI Secretariat directly to address the issue of project-specific exemptions in a future upgrade of the IATI Standard.

## 5.4 Limitations of the manual survey

A number of donors still do not publish comprehensive data on individual projects or operations, or do so in an unstructured format. This makes it impossible to get a sense of how representative and comprehensive the data is that is collected through the manual survey. There are still limits to cross-checking comprehensiveness (i.e. if information is “always”, “sometimes” or “not published”) of publication in formats other than the IATI Standard (see p.7).

Therefore, the data collection process for the manual survey takes a purposive sampling approach. This means data is sampled for an organisation’s largest recipient country. Publish What You Fund recognises that this approach may not be free from bias but is likely to produce more consistent data than a random sampling approach, which might for example include countries where there are few activities to sample.

## 6.0 Challenges of automating IATI data quality assessment

The Aid Transparency Tracker is used to run data tests for donors that publish to the IATI Registry and is a complex piece of software. Naturally, there are some challenges when automating the testing of data across different organisations and we are continuing to learn lessons and have made improvements. The full list of tests is available in Annex 2.

### 6.1 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. The majority of the tests have been derived directly from the IATI schemas, which provide a common format for reporting data to the IATI Registry. Some additional tests have been designed to check that data published to IATI is presented in a manner that allows for comparison across organisations.

Based on the feedback received in the 2016-17 methodology review, several methodological changes were made to the data quality tests in order to improve the quality of the automated assessment of IATI data. Information on the public consultation, the feedback received and Publish What You Fund's responses are available at: <https://github.com/pwyf/2017-technical-consultation/issues>

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

Explaining the process for automatically collecting and assessing IATI XML data is challenging. Indicator scoring guidelines and details of the tests underlying the automated assessment are made available on Publish What You Fund's website and the tracker during data collection. Cross-references have also been included in the indicator guidelines so publishers can see which element of IATI the tests are being run for each indicator.

Publish What You Fund is happy to provide clarifications to donors and CSOs on how scores from the automated tests are amalgamated with those from the survey, particularly so that donors can understand the gaps in their data and identify areas of improvement.



# Annex 1 - Indicator definitions

**Table 3: Definitions used for the 35 indicators**

Indicator	Survey question	Definition	Additional definitions and notes
<b>Organisational planning and commitments</b>			
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 compliant, 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. 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 can be the organisations' own aid portals, publicly accessible databases or websites - accessed in that order. The portal or database must include information on current activities for the countries or sectors the organisation is working in rather than just one individual country/sector or a selected group. It should contain information on at least five of the activity-level indicators, at

Indicator	Survey question	Definition	Additional definitions and notes
			<p>least one of which should cover financial information.</p> <p>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 is not 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.</p> <p>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.</p> <p>Note that raw IATI files are not accepted for this indicator as the underlying principle behind it is to assess what organisations are doing to promote access and use of their aid information. Information published to the IATI Registry is taken into account for the publication indicators.</p>
3. Organisation strategy	Does this organisation publish an overarching strategy document?	<p>An overarching strategy document explains the general approach and policies of the organisation towards international development. This should be forward looking.</p> <p>The IATI reference for this indicator is: Institutional strategy paper (document code = B02).</p>	For organisations whose primary mandate is not development, a document clarifying its overarching development strategy is accepted. This information needs to be forward looking.

Indicator	Survey question	Definition	Additional definitions and notes
4. Annual report	Does this organisation publish an annual report?	<p>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.</p> <p>Annual reports that 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.</p> <p>The IATI reference for this indicator is: Annual report (document code = B01).</p>	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 cover current activity period.
5. Allocation policy	Does this organisation publish its aid allocation policy?	<p>Aid allocation policies are the detailed policy documents by which the organisation chooses where to spend its resources, i.e. on particular countries or themes. 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.</p> <p>The IATI reference for this indicator is: Aid allocation policy (document code = B04).</p>	For organisations such as IFIs and private foundations, which do not have an “aid allocation” policy, equivalent documents are accepted; for example, “investment strategy/policy” or “grant-making policy”.
6. 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,	For IFIs, which are often demand-driven, this is understood as their investment policy. For private foundations, this is their grant making policy.

Indicator	Survey question	Definition	Additional definitions and notes
		<p>and could be in a single procurement policy document or attached to each tender.</p> <p>The IATI reference for this indicator is: Procurement policy and procedure (document code = B05).</p>	<p>For organisations that do not undertake procurement related to aid projects (e.g. if procurement is undertaken by grantees or other implementing agencies), a statement explicitly clarifying this is required, as well as the overall policy for procuring goods and services at the headquarter level.</p>
<p>7. Strategy (country/ sector) &amp; Memoranda of Understanding</p>	<p>Does this organisation publish the country strategy paper or memoranda of understanding for this recipient country?</p>	<p>For this indicator country strategies and MoU's are taken together. A country or sector strategy will be accepted. Where one cannot be found, an MoU signed by the donor organisation and recipient country government will be accepted.</p> <p>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.</p> <p>The IATI reference for this indicator is: Country strategy paper (document code = B03).</p> <p>A Memorandum of Understanding (MoU) is a document that details the agreement usually between the organisation and recipient government for the provision of aid in the country.</p> <p>The IATI reference for this indicator is: Memorandum of Understanding (document code = B13 or A09).</p>	<p>For organisations such as IFIs, philanthropic organisations 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.</p> <p>If the organisation follows the strategy of a parent or related organisation, a statement clarifying this is needed on the website along with a link to the relevant strategy document. Similarly, if the organisation supports a country-led or developed strategy, this must be explicitly stated on the website and the link to the relevant strategy document needs to be provided.</p> <p>Some organisations 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 or partnership/country agreements that have been developed in conjunction with recipient governments, agreements with implementing partners or with grantees.</p>

Indicator	Survey question	Definition	Additional definitions and notes
8. Audit	Does this organisation publish an annual audit of its aid programmes?	<p>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.</p> <p>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.</p> <p>The IATI reference for this indicator is: Institutional audit report (document code = B06).</p>	<p>A formally approved audit of annual accounts is required to score on this indicator. Audits conducted by official government agencies such as State Audit Offices or Controller General Reports are accepted for this indicator.</p>
9. Total organisation budget	Does this organisation publish the total organisation budget per year for the next three years?	<p>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. This is money going to the organisation and can be indicative. Aggregate budgets of between 2-3 years are scored the same as 1-year forward budgets.</p> <p>The IATI reference for this indicator is: Annual forward planning budget (total-budget)</p>	<p>IFIs and DFIs do not have budgets allocated to them as traditional donor 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.</p> <p>Similarly, for private foundations and humanitarian agencies, indicative figures of available funds are accepted.</p>

Indicator	Survey question	Definition	Additional definitions and notes
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?	<p>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 where it will be active, for at least the next three years. The figure could be indicative.</p> <p>Aggregate budgets of between 2-3 years are scored the same as 1-year forward budgets.</p> <p>The IATI reference for this indicator is: Annual forward planning budgets for recipient countries (recipient-country-budget).</p>	<p>Both country budgets and thematic budgets are accepted for organisations that prioritise their work by countries. Projected figures disaggregated along thematic and sectoral priorities, at a near similar level of detail to total organisation budgets are accepted. IFIs and DFIs sometimes publish "road maps", which contain this information.</p> <p>For information collected via the manual survey, the start and end date for forward budgets are calculated based on each organisation's fiscal year. Organisations at the end of their fixed budget cycles who do not have a published budget for the next three years do not receive points for this indicator.</p> <p>Forward Spending Survey data reported to the OECD DAC is taken into account only if it is available for the specific organisation under assessment.</p>
11. Project budget documents	Is the budget of the activity published?	<p>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.</p> <p>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.</p>	<p>For organisations where budget documents might be considered commercially sensitive, documents with redactions of the commercially sensitive pieces of information are accepted. These must include the specific reasons for the redactions and must clarify why the information is commercially sensitive and would cause material and direct harm if published.</p>

Indicator	Survey question	Definition	Additional definitions and notes
		<p>The IATI reference for this indicator is: Budget (document code = A05).</p>	
<p>12. Project budget</p>	<p>Does this organisation provide a breakdown of the budget of the activity by year and/or quarter?</p>	<p>The budget of the activity is the breakdown of the total financial commitment to the activity into forward-looking annual and quarterly chunks.</p> <p>The IATI reference for this indicator is: Budget or Planned Disbursement.</p>	<p>For organisations where this may be deemed as commercially sensitive information, total estimated cost of fund/grant/loan amount is accepted or sections within a document can be redacted. The specific reasons for the redactions need to be explicitly stated in detail and must clarify why the information is commercially sensitive and would cause material and direct harm if published.</p> <p>This indicator is more rigorously measured for IATI publishers (information published to IATI is scored higher than information published in other formats). Providing an annual forward budget allows an IATI publisher to score up to half the total available data quality points, while providing a quarterly forward-looking budget enables them to score the remaining half. This change has been made in recognition of recipient countries needing to be able to map activities to their own financial year rather than the calendar year.</p> <p>Note: The difference between indicators 11 and 12 is that indicator 11 requires the overall activity budget to be broken down by individual line items for the activity. To score on indicator 12, the funds allocated to the activity must be broken down by year and</p>

Indicator	Survey question	Definition	Additional definitions and notes
			<p>quarter for at least the next year ahead. Spending by individual line items is not required. For the manual survey, if the required information for both indicators 11 and 12 is available in a single document, it can be considered for both indicators.</p>
13. Commitments	<p>Does this organisation provide details of the overall financial commitment made to the activity?</p>	<p>This refers to the financial commitment for the activity as a whole for the lifetime of the activity. This is generally a high level commitment rather than a detailed breakdown of the activity budget.</p> <p>The IATI reference for this indicator is: Transaction (transaction type = commitment).</p>	
14. Disbursements & expenditures	<p>Does this organisation provide transaction-level details of individual actual financial disbursements / expenditures for this activity?</p>	<p>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.</p> <p>The IATI reference for this indicator is: Transaction (transaction type = disbursement and expenditure).</p>	<p>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 less sensitive once the money has been spent. Hence all organisations are scored on this indicator. For IFIs and DFIs, the total fund/loan amount spent is accepted and details of the loan repayment costs and related charges can be redacted. The specific reasons for the redactions need to be explicitly stated in detail and must clarify why the information is commercially sensitive and would cause material and direct harm if published.</p>



Indicator	Survey question	Definition	Additional definitions and notes
15. Capital spend	Does this organisation provide information about the proportion of the activity that is capital expenditure?	<p>This indicator captures the percentage of the total commitment allocated to or planned for capital expenditure. Content must be a positive decimal number between 0 and 100, with no percentage sign.</p> <p>The definition of capital expenditure follows the IMF GFS definition approved by <a href="#">WP Stat in February 2016</a>. Capital spending is generally defined as physical assets with a useful life of more than one year. But it also includes capital improvements or the rehabilitation of physical assets that enhance or extend the useful life of the asset (as distinct from repair or maintenance, which assures that the asset is functional for its planned life). Capital includes all aspects of design and construction that are required to make the asset operational.</p> <p>The IATI reference for this indicator is: capital spend.</p>	<p>This element of the indicator is retained for all organisations.</p> <p>Differentiating between expenditure on consumption or investment in capital is of critical importance for recipient country governments in macroeconomic management and in short- and long-term growth strategy.<sup>10</sup></p>

<sup>10</sup> Moon, S., Mills, Z., 2010. Practical approaches to the aid effectiveness agenda: evidence in aligning aid information with recipient country budgets. [pdf] London: Overseas Development Institute and Publish What You Fund. Available at: <https://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/5874.pdf> [Accessed 06 June 2017].

Indicator	Survey question	Definition	Additional definitions and notes
<b>Project characteristics</b>			
16. Title	Does this organisation publish the title of the activity?	<p>The title of the activity is its name. This is preferably the formal name of the activity, but does not have to be.</p> <p>The title needs to be complete with any abbreviations or acronyms explained.</p>	Titles need to contain at least 10 characters.
17. 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.	<p>The description of the activity needs to contain a minimum of 80 characters in order to be considered a description rather than just a title.</p> <p>For child activities that sit underneath a main activity (parent-child), the description might be the most relevant place to explain the relationship between the parent and child activities. For example, explaining how and why the activity has been broken up in a certain way.</p>
18. Planned dates	Does this organisation publish the planned start and end dates?	<p>The planned dates are the dates that the activity is scheduled to start and end on. If there is 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.</p> <p>The IATI reference for this indicator is: Activity date (activity date type = start-planned and end-planned).</p>	<p>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.</p> <p>If the activity has started or has finished, the original planned start and end dates must be retained in addition to the actual dates in order to score on this indicator.</p>

Indicator	Survey question	Definition	Additional definitions and notes
19. Actual dates	<p>Does this organisation publish the actual start and end dates?</p> <p>(If they are not explicitly stated as actual dates then it is assumed that they are planned dates.)</p>	<p>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.</p> <p>Actual dates are accepted where specific events occurred, e.g. the date the project/programme agreement is signed, a board presentation or an appraisal date.</p> <p>The IATI reference for this indicator is: Activity date (activity date type = start-actual and end-actual).</p>	<p>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.</p>
20. Current status	<p>Does this organisation publish the current status of the aid activity (e.g. in pipe line, implementation, completion, post-completion or cancelled)?</p>	<p>This shows whether the activity is currently under design, being implemented, has finished or has been cancelled.</p> <p>The IATI reference for this indicator is: Activity status.</p>	
21. Contact details	<p>Are contact details provided for the activity?</p>	<p>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.</p> <p>This has to be stated alongside the activity or on</p>	

Indicator	Survey question	Definition	Additional definitions and notes
		<p>an obvious “contact us” link alongside the activity.</p>	
22. Implementer	<p>Does this organisation publish which organisation implements the activity?</p>	<p>The implementer of the activity is the organisation that is principally responsible for delivering it.</p> <p>The IATI reference for this indicator is: Implementing organisation (participating-org role = implementing).</p>	<p>This information may not be available in all cases due to “legitimate exclusions”.</p> <p>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).</p>
23. Unique ID	<p>Does this organisation publish a unique activity identifier?</p>	<p>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.</p> <p>The IATI reference for this indicator is: IATI identifier.</p>	<p>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.</p>
24. Sectors	<p>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 or infrastructure?</p>	<p>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.</p>	<p>If projects are presented by sector on an organisation’s website, it must be clearly stated whether the organisation works only in those sectors that are listed.</p>

Indicator	Survey question	Definition	Additional definitions and notes
25. Sub-national location	Does this organisation publish the sub-national geographic location for this activity?	<p>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.</p> <p>The IATI reference for this indicator is: Location.</p>	<p>For activities that are relevant at a country or regional level, information on the location where the funds are sent to or where the recipient is located are all accepted for this indicator.</p> <p>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.</p>
<b>Joining-up beyond aid</b>			
26. 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), private grants, private market flows, non-flows (e.g. GNI) or any other flows?	The flow type shows whether the organisation states that 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 in a single place on the organisation’s website if there is only one flow type for all activities, e.g. “all aid is ODA”, or “we only provide private grants”.	
27. Aid type	Does this organisation publish the type of aid given (e.g. budget support, pooled funds, project-type interventions, experts, scholarships, debt relief, or	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	<p>The advisory services business line/type of intervention (investment climate, public-private partnership, etc.), can be seen as broadly equivalent.</p> <p>Statements clarifying business line/intervention type published anywhere on the organisation’s website count towards publishing aid type in the web format.</p>

Indicator	Survey question	Definition	Additional definitions and notes
	administrative costs)?	there is only one aid type for the whole organisation, e.g. "all aid is project-type interventions".	
28. 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.
29. 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.  The IATI reference for this indicator is: Default tied status.	For organisations' lending directly to 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. For private foundations, grant-making policies are accepted. If these are not available, the organisation's procurement policy must clearly state if there are any eligibility requirements for contracts based on country of origin.
30. 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.	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 in detail and must clarify why the

Indicator	Survey question	Definition	Additional definitions and notes
		<p>The conditions should include loan repayment terms if the activity is financed by a loan.</p> <p>The IATI references for this indicator are: Conditions and/or Conditions document (document code = A04).</p>	<p>information is commercially sensitive and would cause material and direct harm if published.</p> <p>For private foundations and humanitarian agencies, statements setting out what the grant can be spent on are accepted.</p> <p>Templates for general terms and conditions are not accepted for scoring this indicator. If there are no policy, performance or fiduciary conditions associated with an activity, this must be explicitly stated.</p>
31. Project procurement	Contracts: Is the contract for the activity published?	<p>The individual contract(s) 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.</p> <p>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.</p> <p>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</p>	<p>This indicator is retained for all organisations. 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.</p> <p>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 is completed in line with the organisation's procurement policy.</p> <p>For vertical funds, equivalent documents are accepted, such as approved country proposals or agreements between the recipient and the funder.</p>

Indicator	Survey question	Definition	Additional definitions and notes
		<p>reference to original tender documents.</p> <p>The IATI reference for this indicator is: Contract (document code = A11 or A06).</p>	
	<p>Tenders: Does this organisation publish all tenders?</p>	<p>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.</p> <p>The IATI reference for this indicator is: Tender (document code = A10).</p>	<p>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.</p> <p>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 calls for tenders is completed to check it is publishing them consistently and in-line with their procurement policy.</p> <p>For organisations that do not issue tenders related to aid projects (e.g. if procurement is undertaken by grantees or other implementing agencies), a statement explicitly clarifying this is required.</p>
<b>Performance</b>			
32. Objectives	Are the objectives or purposes of the activity published?	<p>The objectives or purposes of the activity are those that the activity intends to achieve.</p> <p>The IATI reference for this indicator is: Objectives /</p>	The objectives need to include the detailed description of the activity, the target sector/group and expected outcomes.



Indicator	Survey question	Definition	Additional definitions and notes
		<p>Purpose of activity (document code = A02) or Description (description type = 2).</p>	
<p>33. Pre-project impact appraisals</p>	<p>Are pre-project impact appraisals published?</p>	<p>Pre-project impact appraisals explain the totality of positive and negative, primary and secondary effects expected to be produced by a development intervention.</p> <p>Environmental impact assessments as well as impact assessments that explain what objectives the project itself intends to provide are accepted.</p> <p>The IATI reference for this indicator is: Pre and post-project impact appraisal (document code = A01).</p>	<p>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 are scored on this indicator.</p> <p>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.</p> <p>Humanitarian Implementation Plans (HIPs) and project plans are accepted for humanitarian agencies.</p>
<p>34. Review and evaluation</p>	<p>Are evaluation documents or reviews published for all completed activities in this recipient country?</p>	<p>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.</p> <p>If the activity under assessment is not completed but evaluation</p>	<p>Not all organisations carry out formal evaluations for all of their activities.</p> <p>Organisations can score on this indicator as long as they publish review documents that meet the definition of the indicator.</p>

Indicator	Survey question	Definition	Additional definitions and notes
		<p>or review documents are available for other completed activities, these will be accepted.</p> <p>The IATI reference for this indicator is: Review of project performance and evaluation (document code = A07).</p>	
35. Results	Are results, outcomes and outputs published for all completed activities in this recipient country?	<p>The results show whether activities achieved their intended outputs in accordance with the stated goals or plans. This information often refers to log frames and results chains and may be within a specific results or evaluation section of the organisation's website.</p> <p>The IATI references for this indicator are: Result and/or Results, outcomes and outputs (Document code = A08).</p>	Both current and completed activities are considered for this indicator. If the activity is ongoing then the expected results should be available. If the activity has ended then the actual results should be available within 12-months of ending.

## Annex 2 - Data quality tests

### Tests

Data that is published to the IATI Registry is automatically assessed by running one or more tests for each of the publication indicators. The specific test expressions are listed in Table 4.

The tests were derived programmatically from the IATI schema in the first instance, to test that each element with a relevant indicator in the Index exists. Additional tests were incorporated in order to ensure that the data is useful – for example, titles below a minimum character length are not considered to be meaningful.

Tests are expressed in the [Gherkin language](#) and can be run directly in Python using the [BDD-Tester](#). Alternatively, the [Data Quality Tester](#) provides a web interface for testing individual IATI XML files.

**Table 4: Test definitions**

<b>Organisation strategy</b>	`document-link/category[@code="B02"]` should be present
<b>Annual report</b>	`document-link/category[@code="B01"]` should be present
<b>Allocation policy</b>	`document-link/category[@code="B04"]` should be present
<b>Audit</b>	`document-link/category[@code="B06"]` should be present
<b>Procurement policy</b>	`document-link/category[@code="B05"]` should be present
<b>Country strategy or Memorandum of Understanding</b>	See 'More complex tests' section
<b>Total organisation budget</b>	See 'More complex tests' section
<b>Disaggregated budget</b>	See 'More complex tests' section

<p><b>Project Budget</b></p>	<p>For each current activity,  if `activity-status/@code` is one of (2, 3, 4)  and ( `activity-date[@type="3"]/@iso-date` is at least 6 months ahead  or `activity-date[@type="4"]/@iso-date` is at least 6 months ahead)  and `default-aid-tye/@code` is not G01  then `budget` should be available forward annually  or `planned-disbursement` should be available forward annually</p> <p>For each current activity,  if `activity-status/@code` is one of (2, 3, 4)  and ( `activity-date[@type="3"]/@iso-date` is at least 6 months ahead  or `activity-date[@type="4"]/@iso-date` is at least 6 months ahead)  and `default-aid-tye/@code` is not G01  then `budget` should be available forward quarterly  or `planned-disbursement` should be available forward quarterly</p>
<p><b>Project Budget documents</b></p>	<p>For each current activity,  if `activity-status/@code` is one of (2, 3, 4)  and `default-aid-type/@code` is not A01  and `default-aid-type/@code` is not A02  and `transaction/aid-type/@code` is not A01  and `transaction/aid-type/@code` is not A02  and `default-aid-type/@code` is not G01  then `document-link/category[@code="A05"]` should be present</p>
<p><b>Commitments</b></p>	<p>For each current activity,  if `activity-status/@code` is one of (2, 3, 4)  then `transaction/transaction-type[@code="2"]` should be present</p>
<p><b>Disbursements and expenditures</b></p>	<p>For each current activity,  if `activity-status/@code` is one of (2, 3, 4)  then  `transaction/transaction-type[@code="3"]` should be present  or  `transaction/transaction-type[@code="4"]` should be present</p>

<p><b>Procurement</b></p>	<p>For each current activity,  if `activity-status/@code` is one of (2, 3, 4)  and `default-aid-type/@code` is not A01  and `default-aid-type/@code` is not A02  and `transaction/aid-type/@code` is not A01  and `transaction/aid-type/@code` is not A02  and `default-aid-type/@code` is not G01  then `document-link/category[@code="A10"]` should be present</p> <p>For each current activity,  if `activity-status/@code` is one of (2, 3, 4)  and `default-aid-type/@code` is not A01  and `default-aid-type/@code` is not A02  and `transaction/aid-type/@code` is not A01  and `transaction/aid-type/@code` is not A02  and `default-aid-type/@code` is not G01  then `document-link/category[@code="A06"]` should be present  or `document-link/category[@code="A11"]` should be present</p>
<p><b>Title</b></p>	<p>For each current activity,  `title/narrative/text()` should be present</p> <p>For each current activity,  `title/narrative/text()` should have at least 10 characters</p>
<p><b>Description</b></p>	<p>For each current activity,  `description/narrative/text()` should be present</p> <p>For each current activity,  `description/narrative/text()` should have at least 80 characters</p>
<p><b>Planned Dates</b></p>	<p>For every current activity,  activity-date[@type="1"] should be present</p> <p>For every current activity,  activity-date[@type="3"] should be present</p>

<b>Actual Dates</b>	<p>For every current activity, if `activity-status/@code` is one of (2, 3, 4) `activity-date[@type="2"]` should be present</p> <p>if `activity-status/@code` is one of (3, 4) `activity-date[@type="4"]` should be present</p>
<b>Current Status</b>	<p>For each current activity, `activity-status` should be present</p> <p>For each current activity, `activity-status/@code` should be on the ActivityStatus codelist</p>
<b>Contact Details</b>	<p>For each current activity, `contact-info` should be present</p>
<b>Sectors</b>	<p>For each current activity, `sector` should be present or `transaction/sector` should be present</p> <p>For each current activity, at least one `sector[not(@vocabulary)]/@code   sector[@vocabulary="1"]/@code   transaction/sector[@vocabulary="1"]/@code   transaction/sector[not(@vocabulary)]/@code` should be on the Sector codelist</p>
<b>Sub-national location</b>	<p>For each current activity, if `activity-status/@code` is one of (2, 3, 4) and `recipient-region/@code` is not 998 and `sector/@code` is not 91010 then `location` should be present</p> <p>For each current activity, if `activity-status/@code` is one of (2, 3, 4) and `recipient-region/@code` is not 998 then `location/point` should be present</p>

<p><b>Unique ID</b></p>	<p>For each current activity,  `iatl-identifier` should be present</p> <p>For each current activity,  either:  `iatl-identifier/text()`  should start with `reporting-org/@ref`  or  `iatl-identifier/text()`  should start with `other-identifier[@type="B1"]/@ref`</p>
<p><b>Implementer</b></p>	<p>For each current activity,  if `activity-status/@code` is one of (2, 3, 4)  then participating-org[@role="4"] should be present</p>
<p><b>Flow Type</b></p>	<p>For each current activity,  if `activity-status/@code` is one of (2, 3, 4)  then `default-flow-type` should be present  or `transaction/flow-type` should be present</p> <p>For each current activity,  if `activity-status/@code` is one of (2, 3, 4)  then at least one `default-flow-type/@code` should be on  the FlowType codelist  or at least one `transaction/flow-type/@code` should be  on the FlowType codelist</p>
<p><b>Aid Type</b></p>	<p>For each current activity,  if `activity-status/@code` is one of (2, 3, 4)  then `default-aid-type` should be present  or `transaction/aid-type` should be present</p> <p>For each current activity,  if `activity-status/@code` is one of (2, 3, 4)  then at least one `default-aid-type/@code` should be on  the AidType codelist  or at least one `transaction/aid-type/@code` should be on  the AidType codelist</p>

<b>Finance Type</b>	<p>For each current activity, if `activity-status/@code` is one of (2, 3, 4) then `default-finance-type` should be present or `transaction/finance-type` should be present</p> <p>For each current activity, if `activity-status/@code` is one of (2, 3, 4) then at least one `default-finance-type/@code` should be on the FinanceType codelist or at least one `transaction/finance-type/@code` should be on the FinanceType codelist</p>
<b>Tied Aid Status</b>	<p>For each current activity, if `activity-status/@code` is one of (2, 3, 4) then `default-tied-status` should be present or `transaction/tied-status` should be present</p> <p>For each current activity, if `activity-status/@code` is one of (2, 3, 4) then at least one `default-tied-status/@code` should be on the TiedStatus codelist or at least one `transaction/tied-status/@code` should be on the TiedStatus codelist</p>
<b>Conditions</b>	<p>For each current activity, if `activity-status/@code` is one of (2, 3, 4) then `conditions` should be present</p> <p>if `activity-status/@code` is one of (2, 3, 4) then `document-link/category[@code="A04"]` should be present</p>
<b>Budget identifier</b>	<p>For each current activity, if `activity-status/@code` is one of (2, 3, 4) and `default-aid-type/@code` is not A01 and `default-aid-type/@code` is not A02 and `transaction/aid-type/@code` is not A01 and `transaction/aid-type/@code` is not A02 and `default-aid-type/@code` is not G01 then `capital-spend` should be present</p>
<b>Objectives</b>	<p>For each current activity, if `activity-status/@code` is one of (2, 3, 4) and `default-aid-type/@code` is not G01 then `document-link/category[@code="A02"]` should be present or `description[@type="2"]` should be present</p>



<b>Impact appraisals</b>	For each current activity, if `activity-status/@code` is one of (2, 3, 4) and `default-aid-type/@code` is not G01 then `document-link/category[@code="A01"]` should be present
<b>Evaluations</b>	For each current activity, if `activity-status/@code` is one of (3, 4) and `default-aid-type/@code` is not G01 then `document-link/category[@code="A07"]` should be present
<b>Results</b>	For each current activity, if `activity-status/@code` is one of (2, 3, 4) and `default-aid-type/@code` is not G01 then `result` should be present  For each current activity, if `activity-status/@code` is one of (2, 3, 4) and `default-aid-type/@code` is not G01 then `document-link/category[@code="A08"]` should be present

### More complex tests

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 strategy or MoU

A donor is expected to publish either a country strategy or a MoU for each recipient country relating to their current activities. We look for a country strategy paper (B03), country-level MoU (B13) or MoU (A09) for each of these recipient countries.

For organisation-level documents, we determine the recipient country for these documents by first checking the 'recipient-country' code for the 'document-link'. If this is not present, we attempt to extract a country name from the document title. For activity-level documents, we check the 'recipient-country' code of the activity.

Points are awarded for the proportion of recipient countries that have an associated country strategy or MoU.

### Example

If a donor has current activities in Senegal and Liberia, we expect a country strategy or MoU for both. If the donor provides a country strategy (B03) for Senegal, but no organisation-level documents for Liberia, then we check activities where the recipient-country is Liberia. If we do not find an MoU (A09) then the score for the indicator will be  $(1/2) = 50\%$ , because the requisite documents were only provided for one of the two recipient countries.

## Total organisation budget

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 230 days forward from the last date on which the tests are run. The second year must be 365 days later, and the third year a further 365 days later. The points available are distributed equally among the three years, so one year forward gets 33.33 points; two years forward gets 66.66 points; and three years gets 100 points.

For example: If data collection were to end on 2014-06-01, the following would score full points:

```
<total-budget>
  <period-start iso-date="2014-01-01" />
  <period-end iso-date="2014-12-31" />
  <value currency="USD" value-date="2014-01-01">250000000</value>
</total-budget>
<total-budget>
  <period-start iso-date="2015-01-01" />
  <period-end iso-date="2015-12-31" />
  <value currency="USD" value-date="2014-01-01">300000000</value>
</total-budget>
<total-budget>
  <period-start iso-date="2016-01-01" />
  <period-end iso-date="2016-12-31" />
  <value currency="USD" value-date="2014-01-01">350000000</value>
</total-budget>
```

## Disaggregated budget

We determine the list of recipient countries where we would expect a country budget from the recipient countries of the donor's current activities. For each of these recipient countries, we then look for annual forward 'recipient-country-budgets' for three years forward. Points are awarded for the proportion of recipient countries that have a forward country budget, split evenly for each of the three forward years.

### Example

If a donor has current activities in Senegal and Liberia, we expect forward budgets in both countries for the next three years. If there are forward budget for both countries for two years and a forward budget for Senegal for the third year, the score would be  $(1/3 * 2/2) + (1/3 * 2/2) + (1/3 * 1/2)$