Schweizerische Eidgenossenschaft
Confédération suisse
Confederazione Svizzera
Confederaziun svizra

Federal Department of Foreign Affairs FDFA

Swiss Agency for Development and Cooperation SDC
Quality Assurance

SDC Guidelines on the Use of Aggregated Reference Indicators

for Reporting and Monitoring the Dispatch 2017-2020

Annexes:
1. List of Aggregated Reference Indicators (ARIs)
2. Shareweb Links to Thematic Networks and Thematic Reference Indicators

Documents mentioned in the text can be found in the SDC Field Handbook.

Imprint

Current version	October 2016
Editor	Quality Assurance
Contact	dezaqualitaetssicherung@eda.admin.ch
Language versions available	English, French, Spanish
Replaces version of	n/a (new document)
Last minor changes	April 2019
SDC reference document type	B (normative)

SDC Guidelines on the Use of Aggregated Reference Indicators
for reporting and monitoring the Dispatch 2017-2020

---

1. Background

1.1   As per current practice, monitoring the Dispatch 2017-2020 will continue to be based on the Annual Reports of country programmes, global programmes, Swiss NGO contributions and CCMs. The present Guidelines set the requirements for enhanced Reporting on the Dispatch including for external communication purposes.

1.2   The political reporting of the results achieved in the 2013-16 Dispatch confirmed the relevance of using selected indicators in order to communicate aggregated achievements on an institutional level. Until now, the results have been documented in the Annual Reports based on a very large diversity of indicators. The advantage is that the indicators chosen were based on the given contexts and demonstrate well the specific achievements, while allowing a maximum of flexibility in implementing a strategy. A disadvantage is that these indicators did not facilitate communicating of the results of SDC across different situations.

1.3   The preparation and political discussion of the 2017 – 2020 Dispatch has shown the growing importance of reporting comprehensively and convincingly on aggregated corporate results achieved through Swiss support, to sustain parliament and broad public support for international cooperation in view of securing the finances needed to carry out our work.

1.4   Based on these premises, SDC Directorate decided in May 2016 to complement the indicators used so far in the Results Frameworks of Cooperation Strategies and Global Programmes, with mandatory Aggregated Reference Indicators (ARIs). ARIs will allow communicating on selected achievements, across a wide range of situations, countries, themes and institutions in which SDC intervenes. ARIs therefore serve for communication and reporting needs, while overall attention should be maintained on the effectiveness of SDC efforts and on the outcomes which guide our work.

1.5   Target group: These guidelines address all SDC staff members contributing to monitor the Dispatch 2017-2020, which includes staff preparing, assessing or approving cooperation strategies, strategic and CCM frameworks and their respective annual reports, and staff reporting on the Dispatch.

2. Definition and use of ARIs

2.1   ARIs allow to assess outcomes and outputs achieved with SDC support, which contribute to the 10 Effectiveness goals in conjunction to the Swiss thematic priorities defined in the Dispatch 2017 – 2020. They should be collected with little additional effort and be relatively easily quantifiable. They represent a selected and limited part of SDC's results and supplement other existing indicators. ARIs provide a link between the Dispatch 2017-2020 and the results to be achieved by partner countries and SDC programmes. The latter results are a mix of both quantitative and qualitative outcomes. They are situation-specific and capture the effects of our interventions, resulting in changes of peoples' lives and partner institutions. These guide our work and are monitored to steer our programmes.

2.2   ARIs are based on years of experience of SDC thematic networks. The Focal
       Points/networks reviewed the indicators reported so far and, with the Quality
       Assurance (QA) Network, selected a few which meet the criteria above and are linked
       to the SDGs. The choice was further consolidated with QA and E+C and the Deputy
       Heads of SDC Domains. It is likely that most ARIs will remain relevant beyond the
       validity of the Dispatch 2017 – 2020.

2.3   The ARIs do not replace but complement the thematic reference and context-specific
       indicators which are outcome-oriented and provide a deeper and broader set of results.

Figure 1: The use of indicators in Result Frameworks

Indicators	Utilisation
Aggregated Reference Indicators (ARI)	Mandatory if a strategy covers the respective thematic area and if relevant
Thematic reference indicators for Conflict and Human Rights	Mandatory if a Cooperation Strategy covers a state categorised as fragile[1]
Thematic reference indicators (outcome oriented)	Voluntary but recommended if a strategy covers the respective thematic area
Specific country and thematic indicators (outcome oriented)	According to the context, adapted to the local require-ments

2.4   The list of ARIs in the annex of these Guidelines is binding. This list is to be examined
       carefully, taking into consideration each theme which is either included or touches upon
       the Results Framework of a given Country Strategy (CS) or medium-term strategy of a
       global programme. It is important to examine the whole list as several ARIs address
       transversal themes or concern more than one theme. For each theme, the ARIs should
       be selected if they are relevant and make sense in the concerned situation. ARIs are to
       be included in all Result Frameworks coming into effect between January 2016 and
       December 2019. If the Concept Note of the CS was already approved by SDC
       Directorate in the course of 2016 (or even 2015), ARIs have to be included, either by
       replacing a foreseen similar indicator, or by complementing the list.

2.5   The list of ARIs is complemented with so called Indicator Sheets. These have been
       prepared by the thematic responsible staff to provide more details to assist in choosing
       the ARI, and in collecting and reporting results (e.g. measurement unit, methods of
       data collection, disaggregation).

2.6   To monitor the Dispatch, the period covered is 1st July 2016 to July 2019. The first
       annual report containing ARI results will be presented in fall 2017, the last in fall 2019.
       For each ARI result presented, the duration of the reporting period should be specified
       (e. g. from January 2017 to June 2017).

2.7   In cases of programmes or projects covering more than one country (e.g. regional or
       global projects/programmes and programmes supported by SDC Institutional
       Partnerships), the countries concerned by the ARI reported need to be also specified.
       This enables reporting on the number of countries benefitting from Swiss support on
       the topic covered by the ARI.

---

[1] Link

2.8   Results pertaining to people benefitting from interventions should be disaggregated according to gender. The list of ARIs and the Indicator Sheets specify whenever further disaggregation is required (e.g. by age groups).

2.9   Care must taken not to double count: e.g. people who gained access to services covers those who newly started using these during the period specified and do not include the population who was already using these before.

2.10   All ARIs relate to results achieved through SDC or Swiss support, thanks to projects or programmes financed by Switzerland.

2.11   Important: ARIs serve the objective of communication and complement the outcome monitoring that is well established through the monitoring and reporting of Result Frameworks. Outcome monitoring remains top priority at SDC.

3. Responsibilities

3.1   Project data should be collected directly by the implementing partner. It is suggested to be pragmatic about data collection and use a transparent method.

3.2   The SCO/embassy in charge and the global programmes integrate ARIs in their strategies and report yearly on the results achieved, including the ARIs.

3.3   The geographic divisions prepare annually a synthesis of results presented in the Annual Reports of the countries they cover (based on ARIs and outcome indicators). This will provide a consolidated picture of results achieved in the region.
The Heads of Division in charge of a theme (Themenverantwortliche) and their staff (focal points/ thematic programme officers) subsequently compile the results reflected in the syntheses of the Divisions and complement these with results from thematic programmes and projects under their direct responsibility (e.g. Global Programmes), so that all results achieved on a given theme can be presented. The respective QA officer in each Staff Unit (QS Stab) further compiles the information results of the concerned Domain.

3.4   The E+C section is in charge of compiling the information related to the annual reporting of the Dispatch and, in 2019, to monitor the progress, to report and communicate about the achievements made.

3.5   The thematic FP and networks are in charge of thematic quality and provide support with regard to the ARI Indicator Sheets. The FP and the respective Division Head set up and update their list of Thematic reference indicators (outcome oriented). SDC programmes are encouraged to make use of these, as they provide help and inspiration for both qualitative and quantitative indicators deemed very relevant thematically (instead of reinventing the wheel). If they are widely applied, they will also contribute to establishing a results base across a range of situations which will further strengthen our reporting.

3.6   Annex 2 provides the web links to the sharewebs of the thematic networks and the lists of Thematic reference indicators.

3.7   The QA section and QA network provide methodological guidance and support in monitoring the Dispatch and the use of ARIs. The Guidelines and the mandatory list of ARIs are under the responsibility of the QA section as approved by SDC Directorate.

Annexes

1. List of Aggregated Reference Indicators (ARIs)
2. Shareweb links to Thematic Networks and Thematic reference indicators

Monitoring (2016-2019) of the Federal Dispatch 2017 – 2020: Aggregated Reference Indicators (ARI)

Priority themes of Dispatch 2017 - 2020	Aggregated Reference Indicator ARI	ARI	Indicator sheet Thematic responsibility	Contribution SDG
Climate change and environment	**Global challenges - Climate Change policies** yy international norms, global policies and political processes developed in the field of climate change	CC1	Global challenges - Climate Change polici Focal Point Climate Change & Environment	7 AFFORDABLE AND CLEAN ENERGY 13 CLIMATE ACTION
Climate change and environment	**Access to resources – Forests** yy forest related policies, laws, strategies and plans developed at national level	CC2	Access to resources - Forests CC2.pdf Focal Point Climate Change & Environment	15 LIFE ON LAND
Climate change and environment	**Access to Energy** yy energy related policies, laws, strategies and plans developed at national level	CC4	Access to Energy CC4.pdf Focal Point Climate Change & Environment	7 AFFORDABLE AND CLEAN ENERGY
Food security and nutrition	**Global challenges - Food security and nutrition policies** yy international norms, global policies and political processes developed in the field of food security and nutrition	FS1	Global challenges - Food security and nut Focal Point Agriculture & Food Security	2 ZERO HUNGER 3 GOOD HEALTH AND WELL-BEING
Food security and nutrition	**Access to resources – Land** yy land related policies, laws, strategies and plans developed at national level	FS2	Access to resources - Land FS2.pdf Focal Point Agriculture & Food Security	2 ZERO HUNGER 13 CLIMATE ACTION

Food security and nutrition	**Access to resources – Nutrition** yy nutrition relevant policies, laws, strategies and plans developed at national level	FS3	Access to resources - Nutrition FS3.pdf Focal Point Agriculture & Food Security	
Food security and nutrition	**Basic services – Agriculture productivity** xyx annual yield increase for a specific crop (kg/ha) and for specific livestock (kg or l /animal) by yy small farmers supported (M/F)	FS4	Basic services - Agriculture productivi Focal Point Agriculture & Food Security	
Food security and nutrition	**Access to resources – Biodiversity** yy biodiversity related policies, laws, strategies and plans developed at national level	FS5	Access to resources - Biodiversity FS5.pdf Focal Point Agriculture & Food Security	
Water	**Global challenges – Water policies** yy international norms, global policies and political processes developed in the field of water	W1	Global challenges - Water policies W1.pd Focal Point Water	
Water	**Access to resources – Water** yy water related policies, laws, strategies and plans developed at national level	W2	Access to resources - Water W2.pdf Focal Point Water	
Water	**Basic services – Water** yy people (M/F) gained new access to safe and affordable drinking water	W3	Basic services - Water W3.pdf Focal Point Water	

Water	**Basic services – Sanitation** yy people (M/F) gained new access to adequate and equitable sanitation and hygiene	**W4**	Basic services - Sanitation W4.pdf Focal Point Water	
Migration	**Global challenges - Migration and Development** yy international norms, global policies and political processes developed in the field of migration and development	**M1**	Global challenges - Migration and Develop Focal Point Migration	
Health	**Global challenges – Health** yy international norms, global policies and political processes developed in the field of health	**H1**	Global challenges - Health H1.pdf Focal Point Health	
Health	**Basic services – Health systems** yy number of births attended by skilled health personnel	**H2**	Basic services - Health systems H2.pd Focal Point Health	
Health	**Basic services – Health education** yy people reached through health education activities related to the prevention of non-communicable diseases	**H3**	Basic services - Health education H3. Focal Point Health	
Basic education and vocational skills development	**Basic services – Basic education and vocational skills development** yy children (< 15 yrs) and xx persons >15 yrs gained access to quality basic education (M/F). Out of these, zy children (9-15 yrs) and zx persons > 15 yrs received basic education combined with vocational skills development (M/F)	**EV1**	Basic services - Education and vocati Education Regional Advisor / Focal Point e+i	

Basic education and vocational skills development	**Basic services – Basic education and vocational skills development personnel and teachers** yy educational personnel and teachers trained (M/F) xx vocational skills development personnel and teachers trained (M/F)	EV2	[PDF] Basic services – Basic education and vocatic [Education Regional Advisor](#)	4 QUALITY EDUCATION / 8 DECENT WORK AND ECONOMIC GROWTH
Basic education and vocational kills development + Employment and economic development	**Basic services - Vocational Skills Development and employment** xx youth (15-24 yrs) and yy adults (>24 yrs) (M/F) gained access to improved vocational skills. Out of these, zx youth and zy adults (M/F) received vocational skills training combined with basic education on the one hand, and on the other hand wx youth and wy adults (M/F) gained access to gainful employment or self-employment	EV3	[PDF] Basic services - Vocational Skills Deve [Education Regional Advisor / Focal Point e+i](#)	4 QUALITY EDUCATION / 8 DECENT WORK AND ECONOMIC GROWTH
Employment and economic development	**Economic development – Income** yy people (M/F) with increased income in a) Agriculture: crop cultivation and livestock farming, and b) Small and middle size enterprises (SME)	E1	[PDF] Economic development - Incom [Focal Point e+i](#)	8 DECENT WORK AND ECONOMIC GROWTH
Employment and economic development	**Economic development - Financial inclusion** yy persons (M/F) gained access to and make use of formal financial service (savings, insurance, loan, leasing, payment and transfer services, etc.)	E2	[PDF] Economic development - Financ [Focal Point e+i](#)	8 DECENT WORK AND ECONOMIC GROWTH
Peacebuilding, conflict prevention and promotion of human rights	**Fragile contexts – Empowerment / Participation** yy persons (M/F) from vulnerable groups empowered to participate in relevant peace, development and political processes	F1	[PDF] Fragile contexts - Empowerment Particip [Focal Point Conflict & Human Rights](#)	16 PEACE, JUSTICE AND STRONG INSTITUTIONS
Peacebuilding, conflict prevention and promotion of human rights	**Fragile contexts – Inclusion** yy persons (M/F) benefit from programmes to reduce discrimination, marginalization, and exclusion	F2	[PDF] Fragile contexts - Inclusion F2.pdf [Focal Point Conflict & Human Rights](#)	16 PEACE, JUSTICE AND STRONG INSTITUTIONS
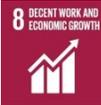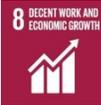
Peacebuilding, conflict prevention and promotion of human rights	**Fragile contexts - Access to Mineral resources** yy mineral resources related policies, laws, strategies and plans developed at national level	F3	 Fragile contexts - Access to Mineral res Senior Policy Adviser PCD, Division Analysis & Politics	
Peacebuilding, conflict prevention and promotion of human rights	**Human rights – Policies** yy of initiatives, policies and political processes developed in the field of human rights	HR1	 Human rights - Policies HR1.pdf Focal Point Conflict & Human Rights	
Peacebuilding, conflict prevention and promotion of human rights	**Human rights – Rights based approach** yy of public or civil society organisations (NGOs, trade unions or other associations) that contribute to governmental dialogue and respect about human rights obligations	HR2	 Human rights - Rights based approach Focal Point Conflict & Human Rights	
Peacebuilding, conflict prevention and promotion of human rights	**Human rights – Rule of law / access to justice** yy of persons (M/F) whose human rights have been better respected directly or indirectly	HR3	 Human rights - Rule of law, access to just Focal Point Conflict & Human Rights	
Gender equality	**Gender - Sexual and Gender Based Violence** yy persons (M/F) - subjected to physical, sexual or psychological violence - having received psychosocial, medical and/or legal support	G1	 Gender - Sexual and Gender Based Violenc Focal Point Gender	
Gender equality	**Gender – Time saving for women** yy women and girls are saving an average of zz hours per day of their time spent for domestic chores	G2	 Gender - time saving for women G2.pdf Focal Point Gender	

Gender equality	**Gender – Representation of women** yy municipal governments with at least 30% representation of women	G3	Gender - representation of wo [Focal Point Gender](#)	5 GENDER EQUALITY
Governance	**Governance - Citizen participation** yy local authorities informed zz citizens transparently, involving them in decision-making-processes and considering their interests in local development and budget plans. Among the local authorities, xyz take specific measures for balanced participation and consideration of interests of women and vulnerable groups	GO1	Governance - Citizen participation GO1.pdf [Focal Point Democratisation, Decentralisation and Local Governance](#)	16 PEACE, JUSTICE AND STRONG INSTITUTIONS
Governance	**Governance - Budget resources** yy supported local authorities which have benefitted from increased budget resources: yy1 due to formula and rule based fiscal transfer schemes, yy2 due to local tax income and private investments	GO2	Governance - Budget resources GO2.pdf [Focal Point Democratisation, Decentralisation and Local Governance](#)	16 PEACE, JUSTICE AND STRONG INSTITUTIONS · 17 PARTNERSHIPS FOR THE GOALS
Governance	**Governance – Illicit financial flows: capacities** yy governmental institutions and civil society organizations with strengthened capacities in preventing corruption, money laundering and tax evasion	GO3	Governance - Illicit financial flows_ capac Senior Policy Adviser PCD, Division Analysis & Politics	16 PEACE, JUSTICE AND STRONG INSTITUTIONS · 17 PARTNERSHIPS FOR THE GOALS
Governance	**Governance - Illicit financial flows: accountability** yy supported processes for increased accountability in the field of illicit financial flows	GO4	Governance - Illicit financial flows_ accou Senior Policy Adviser PCD, Division Analysis & Politics	16 PEACE, JUSTICE AND STRONG INSTITUTIONS · 17 PARTNERSHIPS FOR THE GOALS
Protection, Disaster Risk Reduction, Sexual Gender Based Violence	**Humanitarian system – Reforms** yy international norms, global policies and political processes related to the humanitarian system developed	HA1	Humanitarian system - Reforms HA1.pdf Head Multilateral HA	11 SUSTAINABLE CITIES AND COMMUNITIES · 17 PARTNERSHIPS FOR THE GOALS

Protection, Sexual Gender Based Violence, Water, Sanitation, Hygiene	**Humanitarian aid - Emergency situation** yy persons (M/F) reached in emergency situations	HA2	Humanitarian aid - Emergency situation I QA Staff HA	
Protection, Sexual Gender Based Violence, Water, Sanitation, Hygiene	**Humanitarian aid - Reconstruction and rehabilitation** yy persons (M/F) assisted with reconstruction and rehabilitation support	HA3	Humanitarian aid - Reconstruction and re QA Staff HA	
Protection of affected population	**Humanitarian aid - Protection of vulnerable persons** yy persons (M/F) reached by xx1 organisations that contribute to the reduction of violence (including forced displacement)	HA4	Humanitarian aid - Protection vulnerable Focal Point Protection	
Disaster risk reduction (DRR)	**Humanitarian aid - DRR measures** yy persons (M/F) benefitting from locally implemented DRR measures	HA5	Humanitarian aid - DRR measures HA5.p Focal Point Disaster Risk Reduction	
Disaster risk reduction (DRR)	**Humanitarian aid - DRR management system** xx governmental entities have adapted/modernized/established their disaster risk management system in line with the Sendai framework and related to it, yy persons have built their capacity in disaster risk management	HA6	Humanitarian aid - DRR management sys Focal Point Disaster Risk Reduction	

Shareweb links to Thematic Networks and Thematic reference indicators

Gender Shareweb

English / French / Spanish

Shareweb Health

https://www.shareweb.ch/site/Health/CUG/Shared%20Documents/Indicators/Reference%20indicators%20for%20the%20monitoring%20of%20the%20Dispatch.pdf

e+i Shareweb

Private Sector Development:
https://www.shareweb.ch/site/EI/Pages/PSD/PSD-Reference-Indicators.aspx

Financial Sector Development:
https://www.shareweb.ch/site/EI/Pages/FSD/FSD-Reference-Indicators.aspx

Vocation Skills Development (Berufsbildung):
https://www.shareweb.ch/site/EI/Pages/VSD/VSD-Reference-Indicators.aspx

Shareweb Education

https://www.shareweb.ch/site/Education/Pages/content/Pages.aspx?smartid=876&item1=Reference

Shareweb Democratisation, Decentralisation and Local Governance

https://www.shareweb.ch/site/DDLGN/toolsandservices/monitoring_Governance/SitePages/Home.aspx

Conflict and Human Rights Shareweb

https://group.eda.admin.ch/group/Conflict-and-Human-Rights-Working-Groups/cooperationstrategies1/Documents/H2N%20-%202017-03-16%20-%20ARIs%20and%20CHRRis_RON.pdf

Poverty Wellbeing Shareweb

https://www.shareweb.ch/site/Poverty-Wellbeing/addressing-poverty-in-practice/outcome-reference-indicators

Shareweb Migration

https://www.shareweb.ch/site/Migration/about-the-network-overview/sdc-and-migration/reference-indicators

Shareweb Agriculture & Food Security

https://www.shareweb.ch/site/Agriculture-and-Food-Security/sdc-context-overview/reference-indicators

Shareweb Disaster Risk Reduction

https://www.shareweb.ch/site/Disaster-Resilience/resources/library