



## MINI-TOOLKIT FOR ADDRESSING GOVERNANCE AS A TRANSVERSAL THEME IN PROJECTS / DOMAINS OF SDC

### What is the idea behind this Mini-Toolkit?

The integration of governance as a transversal into the operations of SDC is based on the following five principles: accountability, transparency, participation, non-discrimination, and efficiency. SDC is convinced that addressing these governance principles in a given development context is a mean to achieve better and tangible outcomes.

The present document complements SDC's implementation guide for governance as a transversal theme<sup>1</sup> and provides hands-on tools for practitioners who are about to design a new development intervention (or review an ongoing intervention). This Mini-Toolkit is therefore meant primarily for the implementing organizations of projects mandated / supported by SDC. The idea is that among the five governance principles two or maximum three principles that are of particular relevance for the project or the domain (and its environment) are identified at the outset of a given project and then operationalized.

The responsible national program officer at the Swiss Cooperation Office (SCO) shall support the implementing organization and their partners in applying the tools provided in this document when planning (or reviewing) a project.

### When to use the practice guide?

The guide shall be used during the following moments of a project cycle:

a) At the planning stage of the project (inception phase):

- To describe the main governance problems in the project / domain environment with regard to the following two aspects:
  - the project institutional set up: please go through all governance principles
  - the content of the project and its environment: please consider only 2 - max 3 principles→ **use Tool 1 "List with Guiding Questions"**
- To identify potential solutions or entry points for addressing / overcoming the identified governance problems as part of the project  
→ **use Tool 2 "Matrix GOV TT"**
- To translate these solutions/entry points into concrete measures that the project will take to promote the identified principles and make them explicit in the logframe (outcomes, activities, indicators, risks/constraints/challenges)
- For the national program officer at SCO: to fill in the checklist when finalizing the credit proposal to show to what extent the project is addressing governance transversally  
→ **use Tool 3 "GOV TT Checklist" (not compulsory)**

b) When reviewing the project at a given moment:

- Fill in the last three columns of the second table in  
→ **Tool 2 "Matrix GOV TT"**
- Make sure that tool 2 is also used during external reviews.

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<sup>1</sup> Governance as a transversal theme: an implementation guide, SDC 2007, Berne

## Tool 1 List with Guiding Questions (by types of intervention)

There are two aspects to be looked at:

- The content of the project and its environment: here please choose 2 – max 3 of the most relevant principles
- The institutional set-up of the project: here please consider all five governance principles

*Illustration: if your project is a mandate, consider only the first column. If your project is a SWAP, consider only the fourth column, etc.*

### 1. Content of the project and its environment

This list of questions shall help you to identify:

- Which governance problem(s) the project is facing and is able to address?
- Which intervention(s) are needed to solve the identified problem(s)?
- What are the changes that the intervention(s) is expected to induce?

Question number	Types of intervention				
	Mandate	Contribution	Core contribution	Sector budget support	Sector
	<b>Accountability (and supervision)</b>				
1.1	Does the project identify mechanisms of checks-and-balances in the system?	Does the project identify mechanisms of checks-and-balances in the system?	Does the organization identify mechanisms of checks-and-balances in the system?	Does the supported reform process tackle mechanisms of checks-and-balances in the system?	Does the sector strategy tackle mechanisms of checks-and-balances in the system?
1.2	Does the project promote mechanisms of checks-and-balances in the system?	Does the project promote mechanisms of checks-and-balances in the system?	Does the organization promote mechanisms of checks-and-balances in the system?	Does the supported reform process promote changes in the checks-and-balances mechanisms in the system?	Does the reform supported promote changes in the checks-and-balances mechanisms in the system?
1.3	Does the demand (if any) for checks-and-balances come from the society at large, from	Does the demand (if any) for checks-and-balances come from the society at large, from	Does the demand (if any) for checks-and-balances come from the society at large, from	Does the demand (if any) for checks-and-balances come from the society at large, from	Does the demand (if any) for checks-and-balances come from the society at large, from

	the government, or from the donors?	the government, or from donors?	the government, or from donors?	the government, or from donors?	the government, or from donors?
1.4	Is corruption a risk for the project? If yes, what type of corruption (bribe, fake/wrong tender procedures, nepotism, influence peddling, etc.)? Does the project want to address it?	Is corruption a risk for the project? If yes, what type of corruption (bribe, fake/wrong tender procedures, nepotism, influence peddling, etc.)? Does the project want to address it?	Is corruption a risk for the mandate of the organization? What type of corruption (bribe, fake/wrong tender procedures, nepotism, influence peddling, etc.)? Does the organization have the necessary means to address it?	Is corruption a risk for the reform process? What type of corruption (bribe, fake/wrong tender procedures, nepotism, influence peddling, etc.)? Does the reform process address it?	Is corruption a risk for the sector? What type of corruption (bribe, fake/wrong tender procedures, nepotism, influence peddling, etc.)? Does the government and the donors strategy address it?
<b>Transparency (and access to information)</b>					
1.5	Do local stakeholders involved in the project (eg local government) report sufficiently on their actions and decisions to their communities?	Do local stakeholders involved in the project (eg local government) report sufficiently on their actions and decisions to their communities?	Do local stakeholders involved in the activities promoted/supported by the organization (eg local government) report sufficiently on their actions and decisions to their communities?	Do stakeholders involved in the reform process report sufficiently on their actions and decisions to their communities?	Do stakeholders involved in the reform process report sufficiently on their actions and decisions to their communities?
1.6	What are the means for the population to access relevant information?	What are the means for the population to access relevant information?	What are the means for the population to access relevant information?	What are the means for the population to access relevant information?	What are the means for the population to access relevant information?
<b>Participation</b>					
1.7	What are the constraints facing project beneficiaries in accessing services and resources?	What are the constraints facing project beneficiaries in accessing services and resources?	What are the constraints in accessing services, resources for beneficiaries of the activities supported by the organization?	What are the constraints in accessing services, resources for citizens?	What are the constraints in accessing services, resources for citizens?
1.8	---	---	---	Who takes part in the reform process and the	Who takes part in the sector dialog? For what

				sector dialog? For what purpose?	purpose?
1.9	How to ensure ownership of the project by local stakeholders?	How to ensure ownership of the project by local stakeholders?	---	---	---
1.10	Is participation organized in accordance with the legal framework and taking into account the legitimate role division between the various actors?	Is participation organized in accordance with the legal framework and taking into account the legitimate role division between the various actors?	Is participation organized in accordance with the legal framework and taking into account the legitimate role division between the various actors?		
<b>Non-discrimination / equity</b>					
1.11	Does the project collect gender disaggregated data (re beneficiaries)?	Does the organization foresee gender disaggregated data provision (re beneficiaries)?	Does the organization foresee gender disaggregated data provision (re beneficiaries)?	Does the line ministry foresee gender disaggregated data provision (re staff and beneficiaries)?	Does the line ministry foresee gender disaggregated data provision (re staff and beneficiaries)?
1.12	Are minority groups explicitly taken into account (as stakeholders, as beneficiaries) in the design and implementation of the project?	Are minority groups explicitly taken into account (as stakeholders, as beneficiaries) in the design and implementation of the project?	Are minority groups explicitly taken into account (as stakeholders, as beneficiaries) in the mandate of the organization?	Are minority groups explicitly taken into account (as stakeholders, as beneficiaries) in the design and implementation of the reform process?	Are minority groups explicitly taken into account (as stakeholders, as beneficiaries) in the sector interventions?
1.13	Are specific needs of those groups taken into account during the project planning?	Are specific needs of those groups taken into account during the project planning?	Are specific needs of those groups taken into account during the planning of activities of the organization?	Are specific needs of those groups taken into account during the reform process?	Are specific needs of those groups taken into account in the sector interventions?
1.14	What are the criteria for	What are the criteria for	What are the criteria for	How are the various	How are the various

	choosing a specific geographical coverage?	choosing a specific geographical coverage?	choosing a specific geographical coverage?	geographical areas of the country covered by the reform? According to which criteria?	geographical areas of the country covered by the sector interventions? According to which criteria?
1.15	Are there discrimination mechanisms against certain decision-makers in the environment of the project?	Are there discrimination mechanisms against certain decision-makers in the environment of the project?	Are there discrimination mechanisms against certain decision-makers in the environment of the organization?	Are there discrimination mechanisms against certain decision-makers involved?	Are there discrimination mechanisms against certain decision-makers?
1.16	Are specific groups excluded from the project? If yes, why?	Are specific groups excluded from the project? If yes, why?	Are specific groups excluded from the activities of the organization? If yes, why?	Are specific groups excluded from the reform process ? If yes, why?	Are specific groups excluded from the sector interventions? If yes, why?
	<b>Efficiency</b>				
1.17	Are the planned outcomes foreseen in the project realistic with regard to the various constraints (eg financial, political, capacities) at stake?	Are the planned outcomes in the project realistic with regard to the various constraints at stake?	Are the planned outcomes for the activities carried out by the organization realistic with regard to the various constraints at stake?	Are sector level outputs realistically foreseen and sufficient as regard scaling-up and system change?	Are sector level outputs realistically foreseen and sufficient as regard scaling-up and system change?
1.18	At which government level does the project intervene? For what purpose? Are the various roles of those government levels taken into account?	At which government level does the project intervene? For what purpose? Are the various roles of those government levels taken into account?	At which government level does the activities carried out by the organization intervene? For what purpose? Are the various roles of those government levels taken into account?	What are the various government layers responsible for in the sector? Are the roles clearly defined ?	What are the various government layers responsible for in the sector? Are the roles clearly defined?
1.19	Does the project create parallel structures at the	Does the project create parallel structures at the	Does the activities carried out by the	---	---

	expense of existing government ones? If yes, why?	expense of existing government ones? If yes, why?	organization create parallel structures at the expense of existing government ones? If yes, why?		
1.20	Does the project address the lack of capacities/skills in the system? Is it seen as a set of punctual interventions or as a long-term systemic change?	Does the project address the lack of capacities/skills in the system? Is it seen as a set of punctual interventions or as a long-term systemic change?	Do the activities carried out by the organization address the lack of capacities/skills in the system? Is it seen as a set of punctual interventions or as a long-term systemic change?	Does the sector reform address the lack of capacities/skills in the system? Is it seen as a set of punctual interventions or as a long-term systemic change?	Does the sector reform address the lack of capacities/skills in the system? Is it seen as a set of punctual interventions or as a long-term systemic change?

## 2. Institutional set-up of the project

Question number	Types of intervention				
	Mandate	Contribution	Core contribution	Sector budget support (SWAP)	Sector
	<b>Accountability</b>				
2.1	Is the project accountable towards its beneficiaries regarding outcomes and accounts? How?	Is the project accountable towards its beneficiaries regarding outcomes and accounts? How?	Is the organization accountable towards its beneficiaries regarding outcomes and accounts? How?	Is the government accountable towards the population regarding outcomes and accounts? How?	Is the government accountable towards the population regarding outcomes and accounts? How?
2.2	---	What are the accountability channels of the project towards the donor group at large regarding outcomes and accounts?	What are the accountability channels of the organization towards the donor group at large regarding outcomes and accounts?	What are the accountability channels of the government towards the donor group at large regarding outcomes and accounts?	What are the accountability channels of the government towards the donor group at large regarding outcomes and accounts?

2.3	---	---	---	What are the accountability channels of the government towards the Parliament?	What are the accountability channels of the government towards the Parliament?
2.4	What role do local stakeholders, incl. beneficiaries, play in monitoring and evaluating project results?	What role do local stakeholders, incl. beneficiaries, play in monitoring and evaluating project results?	What role do local stakeholders, incl. beneficiaries, play in monitoring and evaluating the organization's results?	What role do local stakeholders, incl. beneficiaries, play in monitoring and evaluating the government sector results?	What role do local stakeholders, incl. beneficiaries, play in monitoring and evaluation of the government sector results?
2.5	How is internal decision-making organized in the project?	How is internal decision-making organized in the project?	How is internal decision-making organized in the organization?	How is internal decision-making organized in the line ministry?	How is internal decision-making organized in the sector?
<b>Transparency</b>					
2.6	What information is given about the project by the involved stakeholders? How can citizens access this information?	What information is given about the project by the involved stakeholders? How can citizens access this information?	What information is given about the organization's activities by the involved stakeholders? How can citizens access this information?	What information is given about the sector by the government? How can citizens access this information?	What information is given about the sector by the government? How can citizens access this information?
2.7	How is internal-decision making documented in the project?	How is internal-decision making documented in the project?	How is internal-decision making documented in the organization?	How is internal-decision making documented in the line ministry?	How is internal-decision making documented in the sector?
2.8	Which stakeholders are involved in the monitoring of project fund management?	Which stakeholders are involved in the monitoring of project fund management?	Which stakeholders are involved in the monitoring of the fund management of the organization?	Which stakeholders are associated in funds management of the Swap?	Which stakeholders are associated in funds management of the various sector entities?
2.9	Are incentives (per-diems, topping-ups) for local stakeholders (if	Are incentives for local stakeholders (if any) in line with local legislation	Are incentives for local stakeholders (if any) in line with local legislation	Are incentives for government officials (if any) in line with local	Are incentives for government officials (if any) in line with local

	any) in line with local legislation and made transparent?	and made transparent?	and made transparent?	legislation and made transparent?	legislation and made transparent?
	<b>Participation</b>				
2.10	Which kind of participation is the project promoting: informing, consulting, participatory decision-making?	Which kind of participation is the project promoting: informing, consulting, participatory decision-making?	Which level of participation is aimed at in the organization: informing, consulting, participatory decision-making?	Which level of participation is aimed at in the line ministry: informing, consulting, participatory decision-making?	Which level of participation is aimed at in the sector: informing, consulting, participatory decision-making?
2.11	Which stakeholders are involved in the project (authorities, beneficiaries, others)? For which kind of activities (planning, steering, etc) and for what purpose?	Which stakeholders are involved in the project (authorities, beneficiaries, others)? For which kind of activities (planning, steering, etc) and for what purpose?	Which stakeholders are involved in the organization (authorities, beneficiaries, others)? For which kind of activities (planning, steering, etc) and for what purpose?	Which stakeholders are involved in the sector (authorities, beneficiaries, others)? For which kind of activities (planning, steering, etc) and for what purpose?	Which stakeholders are involved in the sector (authorities, beneficiaries, others)? For which kind of activities (planning, steering, etc) and for what purpose?
	<b>Non- discrimination / equity</b>				
2.12	Are representatives of minority groups included in the project staff?	To what extent are representatives of minority groups included in the project staff?	Are representatives of minority groups included in the project staff?	How are minority groups represented in the line ministry staff?	How are minority groups represented in the government staff?
2.13	Are there bottlenecks that impede certain decision-makers to take decisions within the project? Why?	Are there bottlenecks that impede certain decision-makers to take decisions within the project? Why?	Are there bottlenecks that impede certain decision-makers to take decisions within the organization? Why?	Are there bottlenecks that impede the line ministry to take decisions (eg vis-à-vis Ministry of Finance)? Why?	Are there bottlenecks that impede certain decision-makers (ie line ministry) to take decisions? Why?
2.14	Have underlying power relationships been considered and duly taken into account?	To what extent have underlying power relationships been considered? To what	Have underlying power relationships been considered within the organization and duly	Have underlying power relationships been considered? To what extent does the	Have underlying power relationships been considered? To what extent does the

		extent does the environment give us a leeway to influence them?	taken into account?	environment give us a leeway to influence them?	environment give us a leeway to influence them?
2.15	Is project staff gender-sensitive and gender-balanced?	To what extent is project staff gender-sensitive and gender-balanced? How far can we influence that?	Is the staff of the organization gender-sensitive and gender-balanced?	To what extent is government staff gender-sensitive and gender-balanced? How far can we influence that?	To what extent is government staff gender-sensitive and gender-balanced? How far can we influence that?
	<b>Efficiency</b>				
2.16	Are financial means of the project adequate for reaching the intended outcomes (reality check)?	Are financial means of the project (both SDC's contribution and other resources) adequate for reaching the intended outcomes (reality check)?	Are financial means of the organization adequate for reaching the intended outcomes (reality check)?	Are financial means available for the sector adequate for reaching the intended outcomes (reality check)?	Are financial means for the sector adequate for reaching the intended outcomes (reality check)?
2.17	Is there a good balance between long-term process-related activities and "quick-win" tangible activities?	Is there a good balance between long-term process-related activities and "quick-win" tangible activities?	Is there a good balance between long-term process-related activities and "quick-win" tangible activities carried out by the organization?	Are long-term processes activities of the sector strategy put in reasonable ratio to quick-win concrete results?	Are long-term processes activities of the sector strategy put in reasonable ratio to quick-win concrete results?
2.18	---	Are joint donor reviews foreseen?	Are joint donor reviews foreseen?	Are joint donor reviews foreseen?	Are joint donor reviews foreseen?
2.19	Does the staff of the project have the required skills to achieve the set objectives?	Does the staff of the project have the required skills to achieve the set objectives?	Does the staff of the organization have the required skills to achieve the set objectives?	How do you assess the level of skills of the government staff?	How do you assess the level of skills of the government staff?

**Tool 2 Matrix GOV TT (with a fictive example)**

project planning (inception phase)

project review

Principle	Problems descriptions	Consequences	Solutions / entry points	SDC influence power /other donors	Deadline	Review : have solutions/entry points born fruits ?	New measures to be taken during the year	Impact on the project
<i>Accountability</i>	<i>The government doesn't inform the population about the results of the health sector reform</i>	<i>The population is not made aware of health issues and has no control. The government is not put under pressure and it doesn't strive for achieving the best results</i>	<ol style="list-style-type: none"> <li>1. Policy dialogue between donors and government.</li> <li>2. Set-up of social audits mechanisms.</li> </ol>	<ol style="list-style-type: none"> <li>1.SDC needs other donors to exert a meaningful influence.</li> <li>2.Can be done in SDC health projects.</li> </ol>	<ol style="list-style-type: none"> <li>1.Long term</li> <li>2.New phase of the projects</li> </ol>	<ol style="list-style-type: none"> <li>1. No result. Pressure is too low, donors not ready to put pressure, government not ready to change.</li> <li>2. Social audits have been introduced in the project, stakeholders trained.</li> </ol>	<ol style="list-style-type: none"> <li>1. Nothing</li> <li>2. First social audits round will be rolled out.</li> </ol>	<ol style="list-style-type: none"> <li>1. Goal of the project is too ambitious. Need to redefine it.</li> <li>2. Better impact in terms of holding government accountable for results.</li> </ol>

### Tool 3 GOV TT Checklist

**Name of Project (credit proposal) and F-Number** \_\_\_\_\_

#### 1. Key questions Governance transversal

	yes	no
<p><b>A: Rationale of Project</b></p> <ul style="list-style-type: none"> <li>• Has the realization of one or two governance principles been selected as key for the project?</li> <li>• Are governance issues, in relation to those principles, explicitly addressed in the objectives of the project, in its justification or rationale?</li> <li>• Does the project include a specific governance goal?</li> </ul> <p>In case of no, please explain why:</p>		
Comments:		
<p><b>B. Design and Planning: The project refers to governance problems and solutions</b></p> <ul style="list-style-type: none"> <li>• Were governance issues identified during the planning phase and design of the activity?</li> <li>• Are solutions to those issues provided in the logframe (in the form of output, activities)?</li> <li>• Have risks been identified in the logframe?</li> </ul> <p>In case of no, please explain why:</p>		
Comments:		
<p><b>C. Monitoring/Evaluation – the monitoring system include governance dimensions</b></p> <ul style="list-style-type: none"> <li>• Have output indicators been developed that refer to the identified governance issues?</li> <li>• Have outcome indicators been established that refer to the identified governance issues?</li> <li>• Does the reporting system explicitly include the “matrix GOV TT”?</li> </ul> <p>In case of no, please explain why:</p>		
Comments:		
<p><b>D: Governance transversal institutional compliance</b></p> <ul style="list-style-type: none"> <li>• Have institutional mechanisms been incorporated to facilitate and monitor the quality and the execution of governance mainstreaming?</li> <li>• Does the project include a specific budget allocation for institutionalizing governance (for training of staff, capacity building, studies)?</li> <li>• Does the project include a specific budget allocation for governance related activities?</li> </ul> <p>In case of no, please explain why:</p>		
Comments:		

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**2. Rough summary of governance principles addressed in the project**

*A: commitment/targeted outcome,*

*B: expected side-effect,*

*C: not at all*

<b>The Project explicitly promotes the following governance principles and dimensions:</b>				
	<b>Issue</b>	<b>A</b>	<b>B</b>	<b>C</b>
<input type="checkbox"/>	<b>Transparency</b>			
	<b>Accountability</b>			
	<b>Anti-corruption</b>			
<input type="checkbox"/>	<b>Efficiency</b>			
<input type="checkbox"/>	<b>Non-discrimination / Social inclusion / Equity</b>			
<input type="checkbox"/>	<b>Participation</b>			
	<b>Systemic changes</b>			
	<b>Political Economy Analysis</b>			