

付録資料 5 : 本調査の実施方針、枠組み等

SCOPE OF WORK TIMOR-LESTE COUNTRY STUDY ON NON PROJECT ASSISTANCE

I. Background

A developing country's economic and political environment determines what type of assistance best fits its needs. For example, when USAID designs an aid program it identifies development constraints such as low literacy, poor health or inadequate transportation and works with host country institutions to design appropriate development interventions such as training, technical assistance, construction or the provision of needed commodities. In addition to determining what type of assistance a country requires, a donor also needs to identify the best way to deliver assistance.

Donors can deliver aid in one of two ways: project assistance and/or non project assistance (NPA). Project assistance directly funds specific projects whereas non project assistance involves the transfer of foreign exchange resources to a host country government. NPA may take several forms, including General Budget Support (GBS), Sector Program Assistance, Sector Wide Approach (SWAp), Policy Reform Cash Transfers, loan guarantees, endowments, Commodity Import Programs, food aid, or debt relief. General Budget Support, the most common form of NPA, is commonly linked to conditions which may include a program agreed upon by the host government and donors, and evidence that the recipient government is able to manage money.

This evaluation will focus on the NPA experience of Timor-Leste. The primary objective of this study is to determine whether NPA serves as an effective mechanism for delivering aid and, if so, the factors that contribute to its success. This study will also identify the country conditions that contribute to or hinder the success of different NPA approaches.

II. Discussion

A. The Case for Non Project Assistance

Previous research has determined that non project assistance (also referred to as program assistance) may be appropriate when a country has a sound financial management system, budget execution capacity, planning and staff capability, and is committed to a development strategy (such as a poverty reduction strategy or development plan). Typically, the host country and donors should agree both on priorities and expected results, and assistance is linked to performance. This is especially relevant when there is an Annual Plan which outlines past performance and future expectations.

Proponents of non project assistance have argued that it lowers transaction costs, leads to better donor coordination, greater host country ownership, government accountability and capacity, improved public financial management, and strengthened local institutions. It also permits the country and donors to monitor strategic outcomes and assure transparency.

B. Drawbacks of Non Project Assistance

Though NPA has many advantages, it is not appropriate in all cases. Developing countries may lack the necessary prerequisites for successful NPA. Additionally, because developing countries often have weak monitoring and evaluation, and audit agencies, corruption and misappropriation of funds as well as fungibility may become a serious problem. Furthermore, if expected results are not achieved by the government, donors may delay disbursements making it difficult for the government to plan and execute programs. Another common difficulty is that some forms of NPA, such as general budget support, deal primarily with finance ministries, and do not encourage participation by Parliament, the

private sector, civil society, and non-governmental donors. This may result in greater centralization of resources which can potentially harm local, grassroots development.

III. Objectives of the Study

This study will review Timor-Leste’s experience with NPA and determine whether NPA has been an effective and appropriate method of disbursing aid there. This issue will be evaluated from the perspectives of the donors, the GOTL and overall impact of the assistance. Assuming NPA is effective in the Timor-Leste context, the factors that contributed its success will be examined.

Specifically, four questions will be addressed:

1. What was the rationale for selecting NPA and why were specific NPA modalities selected?
2. Why were specific conditions and policies incorporated into the NPA design?
3. What issues related to planning, financial management, and implementation, have arisen in Timor-Leste’s NPA?
4. How effective and appropriate has NPA been in Timor-Leste?

IV. Methodology

The primary method of collecting relevant information will be through extensive interviews with Timor-Leste government officials, United States government officials, and bilateral and multilateral donors, as well as a review of publicly available resources. Interviews will be conducted in Dili and, where appropriate, in Washington DC. A series of illustrative questions designed to address these issues is presented in the Appendix.

V. Level of Effort by USAID for Timor-Leste Field Study

Activity	Expertise	LOE (days)*
Conceptual and Eval. Design	Completed by DEI/ESPA	
Country Brief Data Collection	Sr-level Analyst	15
In-country logistics	Foreign National Adm. Assistant	25
Country Field Analysis	Foreign National Sr.-level Analyst	21
Country Field Analysis	Sr-level Analyst	21
Country Field Analysis	Sr.-level Analyst	21
Country Field Analysis	Senior-level Team Leader	21
Final Report Preparation	Sr-Level Analyst	10
Final Report Preparation	Sr. Analyst	10
Final Report Preparation	Sr.-level Analyst	10
Final Report Preparation	Sr.-level Team Leader	10

* Assumes three 6-day work weeks and 4 travel days

VI. Deliverables:

A. General Outline for the Deliverable

This report should have an executive summary, a table of contents and include an annex listing resources consulted, persons interviewed and organizations visited.

It is expected that the main body of the study will take the following form:

- I. Brief History of NPA in Timor-Leste *3 pages*
- II. The Impact of NPA Programs in Timor-Leste *3 pages*
- III. Dissecting the NPA Programs *12 pages*
 - Appropriateness of the designs (objectives, instruments, project component, management)
 - Program implementation (donor and GOTL) strengths and weaknesses
 - Financial management of the programs
- IV. The choice of NPA instrument in hindsight *3 pages*
- V. Conclusion *3 pages*

It will include findings, conclusions and lessons learned from the experience in Timor-Leste which may be useful in the design of future non project assistance programs.

B. Timetable

1. A draft report will be submitted no later than October 12, 2004 to USAID/PPC/DEI which will review it over ten working days.
2. A final report which addresses the questions Section II above and incorporates comments and suggestions from USAID staff will be submitted within ten working days after the draft is reviewed.

Scope of Work Appendix – Illustrative Questions

A. Selection of NPA Mode

1. How did country circumstances affect the selection of specific modes?
2. What modes of non project assistance have been used and what was the rationale for selecting specific modes?
3. How much has been disbursed under each mode and how have the funds been used?
4. Were assistance modalities used to support sectors? If so, how were the sectors selected?
5. How did donors collaborate when establishing NPA?
6. What implications does the use of NPA modes have on the way donors usually do business (e.g. personnel requirements, logistics)?
7. What is required of the GOTL in order to implement NPA?

B. Conditionality and Policies

1. What conditionalities and policy dialogue have been linked to the NPA?
2. Has the government of Timor-Leste (GOTL) accepted the conditionalities?
3. How is the policy dialogue carried-out, and what are the issues?
4. Does the GOTL take ownership of the policy issues and agree with the actions needed?
5. Have donors worked together to agree on conditionalities and policies? If so, how?
6. What determines the sequencing of policy issues?

C. Planning, financial management and implementation of the NPA

1. Are critical development issues (i.e. child survival, HIV/AIDS, education, democracy, governance, civil society, private sector development, trade, investment) included in Timor-Leste's National Development Plan?
2. How do donors and the GOTL plan what supporting assistance is necessary?
3. What proportion of GOTL programs are funded by donor financing what proportion is funded with GOTL revenues? Are the funds intermingled and how are they accounted for?
4. Does the GOTL have staff with appropriate financial management and budget capabilities to implement NPA programs? What skills are needed and is TA being provided to develop the skills?
5. What audit and financial controls are in place?
6. What is the level of financial transparency? Are there appropriate indicators to measure whether or not there is corruption or misappropriation of funds?
7. What are the strengths and weaknesses of the GOTL in managing and implementing program assistance?
8. Are the flows of resources from donors consistent and predictable? If not, what measures can be taken to enhance the predictability of aid resource flow?
9. Does the GOTL have the technical skills to manage a broad range of development programs? How will transition occur from the UNTAET to the GOTL?
10. What is the role of technical assistance in facilitating the transition of the program management to the GOTL? How do donors and the GOTL determine what technical assistance is needed?

D. Effectiveness and Appropriateness of NPA in Timor-Leste

1. What were the benefits and drawbacks of specific NPA approaches?
2. Which country conditions contributed to the success of NPA?
3. Have the modalities of NPA been appropriate for delivering donor assistance in Timor-Leste?

4. How do the GOTL and donors monitor and evaluate the results of program assistance and is it effective according to those criteria? How is country commitment measured? How is the impact of assistance on standards of living measured?
5. Do GOTL organizations effectively deliver services to the people? Do they work with NGOs?
6. How is the GOTL encouraging private sector development?
7. As donor revenues diminish, how will these revenues be replaced and over what time period?