

## Annual Members' Assembly 1 - 2 December 2020

### Paper 4: Budget and Annual Work Plan 2021

#### Purpose of the paper

This paper sets out the principles applied by the Board and Secretariat guiding the process of work planning for 2021 (referred to as IATI Financial Year 8). It provides a high level overview of the workstreams and activities, showing both links to the Strategic Plan and activities that are ongoing or deferred from 2020 to be carried out in 2021.

In line with IATI Standard Operating Procedure 4.5.1 (Version 7), it is the responsibility of the Board to ***develop and present work plans and budgets that support strategic priorities approved by the Members' Assembly.***

Members are requested to approve the direction of travel presented here and authorise the Board to work with the Secretariat to finalise the 2021 work plan.

#### Process of developing work plan and budget

With the approval of the Strategic Plan 2020-2025 at the Members' Assembly 2019, the Secretariat met face-to-face in late 2019 to undertake a prioritisation exercise and set out an implementation framework for the five year period. Having identified key focus areas together with members during the 2019 Members' Assembly, the Secretariat determined where there were dependencies and set up the five year plan using a Gantt Chart.

In transitioning from 2020 to 2021, the Secretariat has carefully mapped those activities that are ongoing (such as maintenance or hosting of different technical tools) or regular support activities (such as advisory support to the Board) using activity IDs from 2020 in the 2021 work plan, so that budget allocations could also be tracked if carried over from one year into the next.

For consistency, the Secretariat has continued to use the same structure of workstreams for 2021; these are: **1. Partner Country Support; 2. Improve the Quality of IATI data; 3. Promote Systematic Data Use; 4. Consolidate Technical Core; 5. Strengthen the IATI Community; 6. Communications; 7. Outreach and Engagement; 8. Institutional Arrangements.**

Based on the activities to be undertaken over the coming year, the Secretariat entities examined staffing requirements based on upcoming priorities, and determined in the process which of the three Consortium entities was best placed to deliver particular services most efficiently and cost effectively, and where external support through consultancies or other contract modalities were more appropriate.

## Overview per workstream

### 1. Partner Country Support

Strategic objectives for 2021 include working with data users from national governments to identify and address systemic issues with the quality of published data, building our understanding of defined user needs through in-depth studies with selected partner countries and being clear about the extent to which IATI data can meet those needs. The Strategic Plan also seeks to renew capacity-building efforts, ensuring these are available to sub-national levels of government and civil society.

2021 will build upon initial research on data needs and barriers to use by partner country stakeholders undertaken in 2020, working directly with partner country governments and through work commissioned by the Data Use Working Group. The Secretariat will ensure research findings are used to systematically inform the work across the Secretariat, whether relevant to developing or changing data access tools, prioritisation of data quality work, consultations on Standard guidance, etc. Specific activities will include pilot work with 1-2 partner country governments and their donors to promote import of data into AIMS; developing training materials for an interim data access prototype (Excel-based solution).

#### ***Partner Country Support 2021 Budget***

<b>Activities</b>	<b>Personnel</b>	<b>Total</b>
\$50,500	\$143,116 (in-kind contribution included \$25,798)	\$193,616

### 2. Improve the Quality of IATI data

From the Strategic Plan, objectives identified for 2021 include developing feedback mechanisms so users can alert publishers to issues with their data; establishing a set of metrics that strengthen IATI's Dashboard to stimulate improved quality of publishing and greater ease of use of data; working intensively with publishers to assist them with increasing coverage, improving frequency of publication and including all necessary strategic elements in their data; working with the community to address challenges of donor harmonisation, and renewing advocacy efforts with our key publishers seeking their commitments for internal investment in making data quality improvements.

The Secretariat has developed a detailed implementation plan for addressing data quality issues that will achieve these objectives. With the Validator launched in 2020, no further activity costs are foreseen this year, however, capacity for providing support to publishers is increased with the addition of a new Business and Data Analyst post. Activities include following up on the 2020 research on feedback mechanisms to enable users to provide feedback to publishers on data issues; developing a new methodology for measuring data quality, and feeding into the development of a new Data Quality Index (see Results Framework) and Publishing Statistics. The Secretariat will provide direct support to publishers, encouraging and assisting them to use the new Validator, and proactively engaging with them to fix their data. Board leads will be supported in discussions around harmonisation of donor publishing requirements, ensuring that IATI Standard guidelines are being followed. A strategy is to be developed on bridging the gap between current publisher practices and needs of a broad range of data users. The Secretariat will use the new IATI

Connect platform to conduct consultations with the IATI Community to continually update publishing guidance with topics driven by user needs.

**Data Quality 2021 Budget**

Activities	Personnel	Total
\$0	\$218,551 (in-kind contribution included \$12,899)	\$218,551

### 3. Promote Systematic Data Use

From the Strategic Plan, data use objectives for 2021 are to ensure all users can access data by improving existing tools such as the IATI datastore as well as d-portal.org or its successor, and invest in new tools that deliver data in the formats and levels of detail users need. Furthermore, investment will be made in identifying real use cases and challenges, promoting a demand-led approach to improving data quality by establishing direct feedback loops between data users and data publishers.

This workstream covers activities implemented by the Secretariat directly, as well as those in support of the Data Use Working Group. The DUWG in turn manages a Data Use Fund originally established in 2017 at \$250,000 and replenished annually. Delays in delivery in 2020 due to capacity will be addressed through increased staff time supporting DUWG work (separate presentation to be provided on DUWG activities and replenishment during the Members’ Assembly 2020 plenary).

New Secretariat activities in 2021 will include developing a set of key user requirements for future data use tools, and increasing direct support to different user groups to access, analyse and use IATI data. Ongoing work will include developing guidance materials for data access and use, based on the 2020 gap analysis.

**Data Use 2021 Budget**

Activities	Personnel	Total
\$218,200	\$254,328 (in-kind contribution included \$12,899)	\$472,528

### 4. Consolidate Technical Core

The Secretariat’s work in 2021 will build upon the foundations laid in 2020 which were to review, consolidate, streamline and maintain IATI’s technical tools and core products, determining which of these need to be in-house and which ones out-sourced, to ensure that our technical infrastructure is fit for the achievement of IATI’s strategic objectives. Consolidating the technical core is not an end in itself but serves to support objectives around Data Quality (Work intensively with publishers to assist them with increasing coverage, improving frequency of publication and including all necessary strategic elements in their data; Renew advocacy efforts with our key publishers seeking their commitments for internal investment in making data quality improvements) as well as Data Use (ensure all

users can access data by improving existing tools, and invest in new tools that deliver data in the formats and levels of detail users need).

The Secretariat’s work for 2021 is guided by recommendations approved by the Board following the June 2020 technical stocktake, with the primary among these being to move towards an integrated technical infrastructure. In addition to costs of ongoing hosting, server, maintenance and improvements to in-house (Validator) and external tools (Registry, Datastore, d-portal), the Secretariat’s technical team will undertake the following activities. Propose, design and build a new API Gateway as a fundamental component of the new technical architecture; continue work on publishing tool options, with User Experience research leading to an options paper for the Board to decide on an IATI publishing tool; develop a policy for hosting publishers’ XML files, which will then allow the Secretariat to articulate the value of storing historical data in preparation for a wider consultation on this at the end of 2021/early 2022; consult with the community on designing a new publishing statistics methodology based on user needs, Another key piece of work in 2021 will be on the Semantic Data Layer, a new curated dataset that will make IATI data easier to access and use for those who do not use XML. This will involve a User Experience project to research what is required and allow us to propose designs for approval later in 2021.

**Technical Core 2021 Budget**

<b>Activities</b>	<b>Personnel</b>	<b>Total</b>
\$307,000	\$681,123 (in-kind contribution included \$12,899)	\$988,123

## 5. Strengthen the IATI Community

The Strategic Plan has set out the following objectives which the Secretariat will focus on in 2021: Managing Communities of Practice (COPs) once established and ensuring knowledge generated by these groups is captured and preserved in shared spaces promoting transparency, openness and learning; Support IATI Communities of Practice using multiple approaches including regional meetings, webinars and online spaces to amplify reach, paying particular attention to reaching partner country communities and going beyond central government to reach civil society and other development and humanitarian actors; Trialing a new type of main event on the IATI calendar, in place of past TAG events, to bring together the whole IATI Community; Strengthen and empower the IATI community to provide advice on adjustments to the Standard that benefit IATI collectively.

At the 2019 Members’ Assembly members approved the shift from the previous Technical Advisory Group approach to a new approach that would strengthen peer learning, knowledge sharing, engagement and broader consultation with more diverse user groups through the establishment of Communities of Practice, with formal Working Groups as a new mechanism to provide advice to the Board and members on specific matters, whether technical or institutional. With the cancellation of so many opportunities for face-to-face interaction at in-person events in 2020, the Secretariat has worked diligently to establish strategy, policies and platforms that will allow the achievement of these objectives for as long as travel restrictions remain a factor.

The new IATI Connect platform launched in November 2020 has established the infrastructure for this work and in 2021 the Secretariat will build communities and shift discussions previously siloed in the *Discuss* forum to make them accessible to wider groups of stakeholders. A robust strategy approved by the Board in 2020 for building IATI Communities of Practice identified the need for ongoing community management to ensure the COPs remain healthy and vibrant, and this work will be staffed by a full time Community Manager (on-board).

The pilot community event (“IATI Expo”) foreseen for 2020 was rescheduled with budget carried over for this activity; the Board has agreed that planning should proceed for this to take place in 2021. Logistical planning is underway with parallel tracks for in-person or virtual events, and a Working Group will soon get started to help shape the substance of that event. Themed “Mini-Expos” will be held in quarters 1 and 3 of 2021, with themes to be determined.

Linking Outreach, Community and Partner Country workstreams, the work plan also includes a focus on developing and expanding the IATI community, and especially on strengthening engagement with country-level partners (government, civil society, etc) and reflecting their needs in IATI tools and processes.

***IATI Community 2021 Budget***

<b>Activities</b>	<b>Personnel</b>	<b>Total</b>
\$486,200	\$293,806 (in-kind contribution included \$51,597)	\$780,006

**6. Communications**

The strategic objective for communications is to focus on improving the overall user experience of IATI including by promoting d-portal.org or successor tools, using the IATI website as a starting point, with clear signposts and explanations for existing and new users to quickly understand what IATI is and find the information, tools and guidance they need.

While much work promoting the initiative through the web is ongoing (such as writing regular newsletters, bulletins, news stories and other content) and will continue in 2021, a number of activities will be stepped up, including developing a new kind of annual report as a flagship communications product coinciding with the first year of the Strategic Plan. This is proposed as an opportunity to increase awareness of IATI’s work in this year when face-to-face events are not possible. Having developed a new Speakers Kit and service offer to meet presentation requests in 2020, these will be supported in 2021. With the support of members, the Secretariat will work to build a stock of user stories showing impact of IATI data use and showcase these through the website. A thorough review and refresh of the website will be undertaken to ensure consistency and coherence across IATI’s tools and products.

***Communications 2021 Budget***

<b>Activities</b>	<b>Personnel</b>	<b>Total</b>
\$127,000	\$266,494 (in-kind contribution included \$12,899)	\$393,494

## 7. Outreach and Engagement

The Board has approved a robust new Outreach and Engagement Strategy in 2020 which will be implemented and monitored. Specific activities foreseen for 2021 include targeted outreach to new partners based on Strategic Plan focus areas including the humanitarian community, partners from the Global South, and strategically important networks (such as the Bern Network). Leveraging UNDP's expansive country office network, the Secretariat will develop an information package specifically to support partner countries to engage with IATI, and targeted messaging for advocacy with Grand Bargain signatories. An IATI representative will be present at all meetings of relevant data standards to work towards increased interoperability, and 1-2 high level political champions will be mobilised to advocate for IATI alongside the Governing Board. A forward-looking strategy will be drafted and implemented outlining how IATI will advocate for publishers to improve the data they publish, and encourage key publishers to make internal investments to improve data quality.

### ***Outreach and Engagement 2021 Budget***

<b>Activities</b>	<b>Personnel</b>	<b>Total</b>
\$25,000	\$183,140 (in-kind contribution included \$58,262)	\$208,140

## 8. Institutional Arrangements

This workstream covers ongoing work of financial management, operational support across the three consortium members; support to Board and MA meetings, training and capacity-building for the Secretariat and Board; logistical and substantive support to Working Groups, and monitoring of the Results Framework of the Strategic Plan. In 2021 the Board wishes to set up a Working Group to take forward a number of institutional questions together with members, preparing for a mid-term review of the Strategic Plan and other pending items (separate paper and presentation at the MA).

As part of its responsibility to members, the Board will continue to scan the external financial landscape for COVID-19 related trends that may impact IATI's income, and advise members accordingly.

### ***Institutional Arrangements 2021 Budget***

<b>Activities</b>	<b>Personnel</b>	<b>Total</b>
\$155,239	\$347,479 (in-kind contribution included \$104,055)	\$502,718

## Year 8 (2021) Budget overview

The following table includes the costs of management overheads and represent the overall envelope of the 2021 budget. Detailed costs and quarterly breakdown have been shared with the Board for its close review.

Summary: Activity / workstream		Summary: Personnel / workstream	
1. Partner country analysis and support	\$50,500	1. Partner country analysis and support	\$117,318
2. Improve the Quality of IATI Data	\$0	2. Improve the Quality of IATI Data	\$205,652
3. Promote Systematic Data Use	\$218,200	3. Promote Systematic Data Use	\$241,429
4. Consolidate Technical Core	\$307,000	4. Consolidate Technical Core	\$668,224
5. Strengthen the IATI Community	\$486,200	5. Strengthen the IATI Community	\$242,210
6. Communications	\$127,000	6. Communications	\$253,595
7. Outreach	\$25,000	7. Outreach	\$124,878
8. Institutional Arrangements	\$155,239	8. Institutional Arrangements	\$243,424
	\$1,369,139		\$2,096,730
<b>Total Activities</b>	<b>\$1,369,139</b>	<b>Total personnel</b>	<b>\$2,096,730</b>
		<b>Total in kind</b>	<b>\$291,308</b>
		Total management fee 8%	\$172,165
		UNOPS 1%	\$24,288
		Annual budget with in-kind	\$3,953,630
		<b>Annual budget without in-kind</b>	<b>\$3,662,322</b>
<b>Reserve (Contingency, 15% of Y6 annual budget) for Y7 implementation</b>	<b>\$631,249</b>	<b>TOTAL annual budget with contingency reserve</b>	<b>\$4,293,571</b>

Comparing the 2020 and 2021 budgets, the following observations can be made:

- Activity budget has decreased by \$257,762 in 2021;
- Personnel budget has increased by \$361,820;
- In-kind contribution has decreased by \$13,619;
- The management fee has increased by \$9,825;
- As a result of the above changes, the overall budget for Y8 is higher than the Y7 by the amount of \$113,885.

The budget represents a shift to reducing activities and increasing personnel to allow the Secretariat to achieve what we would otherwise have intended through travel and other currently restricted activities.

The Board is satisfied that the proposed budget is covered by income, and prudent management will ensure the initiative remains in good financial standing throughout 2021 and beyond. The contingency fund representing 15% of the annual budget in the year it was established has not been drawn down in 2020, and remains intact to be carried over into 2021 and managed according to the guidelines set out in the Standard Operating Procedures (4.6).

The Board therefore recommends that members agree the overall proposed budget and work plan, enabling the Board to finalise and publish the final version in early 2021.