



Extractive Industries
Transparency Initiative

EITI REQUIREMENT 1.5

Establishing an EITI work plan

Guidance Note

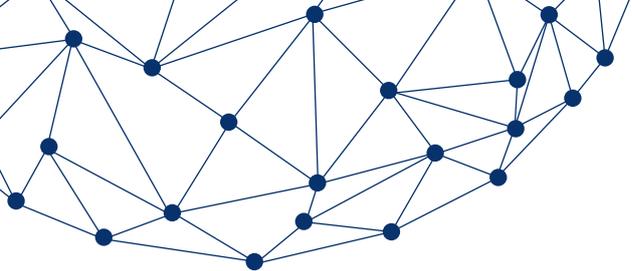


January 2022

This note has been issued by the EITI International Secretariat to provide guidance to implementing countries on meeting the requirements in the EITI Standard. Readers are advised to refer to the EITI Standard directly, and to contact the International Secretariat to seek further clarification.

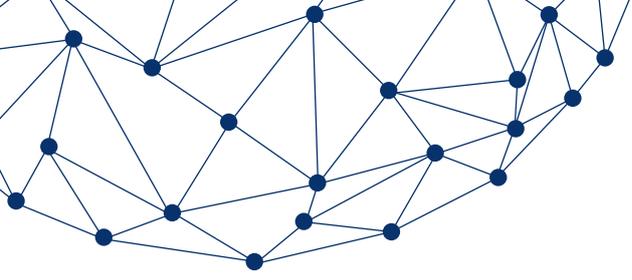
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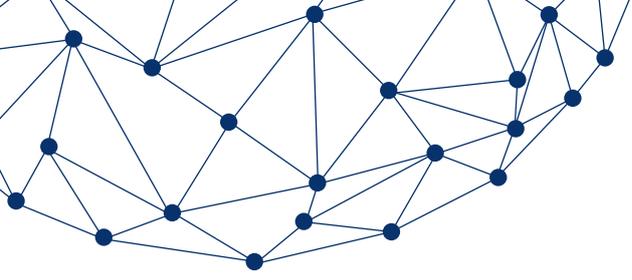
Executive summary

The EITI work plan forms the foundation for all EITI activities in implementing countries and ensures that they are targeted to deliver the results desired by stakeholders. Based on the EITI Standard and EITI Principles, the multi-stakeholder group (MSG) should consult with stakeholders and review ongoing disclosure practice and national priorities to identify appropriate activities and results for EITI implementation. This process should link EITI implementation to key national priorities for the extractive industries and produce a work plan that can be actively used to strengthen implementation activities, document results and increase the impact of EITI implementation on national resource governance.

Requirement 1.5 of the EITI Standard sets out requirements for the contents of work plans. This note explains how this requirement can be implemented in more detail and proposes a five-step approach for how a work plan could be elaborated: (1) Organise and prepare, (2) Map and consult to identify priority issues, (3) Define objectives, activities, and scope (4) Approve and disseminate the work plan, and (5) Monitor and review. The note draws from experiences in national work planning and provides examples and suggestions for further reading.

Overview of steps

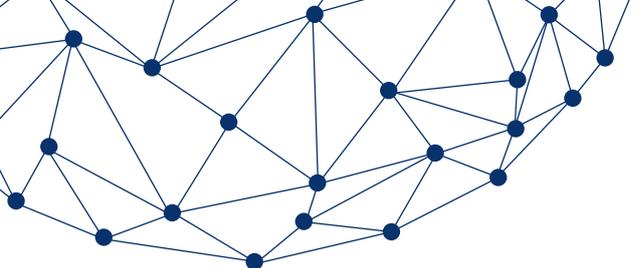
Steps	Key considerations	Examples
Step 1: Organise and prepare	<ul style="list-style-type: none"> Who is responsible for work planning? How much time and what resources will be needed to produce a robust work plan? Who are the key stakeholders to consult and how can their views be captured? 	<ul style="list-style-type: none"> Colombia
Step 2: Identify priority issues	<ul style="list-style-type: none"> What are the weak points in existing disclosure and implementation practice? What are the national priorities for the extractive industries? Who are the key stakeholders to include in developing the work plan and how should they be consulted? How are current disclosure practices and national priorities understood by stakeholders? 	<ul style="list-style-type: none"> Albania Democratic Republic of the Congo Indonesia Mauritania Nigeria Papua New Guinea Suriname
Step 3: Define objectives, activities and scope	<ul style="list-style-type: none"> Which activities will directly contribute to work plan objectives and other aspects of resource governance required by the EITI Standard? How can activities and results be articulated as measurable and time-bound? Do activities in the work plan clearly identify costs, funding sources, and responsibilities? Does the work plan clearly communicate a timetable for implementation, including specific plans for communication and dissemination? 	<ul style="list-style-type: none"> Democratic Republic of the Congo Senegal Zambia
Step 4: Endorse and disseminate the work plan	<ul style="list-style-type: none"> What are key issues to consider in making workplans more accessible (e.g. local languages, technological literacy, access to media)? How can stakeholders provide feedback to the work plan during implementation? What alternative formats might increase the utility and accessibility of the work plan? 	<ul style="list-style-type: none"> Indonesia Philippines
Step 5: Monitor and review	<ul style="list-style-type: none"> How often should the work plan be reviewed and who should be responsible for this? Is there scope to add a monitoring framework, and what benefits would this add? How can a review of the work plan help MSGs to adapt and improve activities during implementation? How will the review of the work plan inform future work planning? 	<ul style="list-style-type: none"> Armenia Senegal Ukraine



Benefits of a work plan

Developing an inclusive and results-oriented work plan can have the following benefits:

- 1. Secure buy-in from key stakeholders and clarify the objectives of the EITI at the national level.** Formulating activities in relation to stakeholder priorities and describing how the EITI contributes to fulfilling these objectives can help build support for EITI implementation and ensure that the EITI is relevant and coherent with other efforts.
- 2. Coordinate and secure funding.** By clearly listing the outputs of the EITI's work in a given period and how they link to the national priorities, the work plan is key to securing funding. A work plan would indicate both the amount needed and what party will cover the cost. Therefore, it can be a useful tool to coordinate funding efforts between the government and, if applicable, development partners.
- 3. Develop a coherent plan with time-bound activities.** A work plan will indicate key deliverables and responsible entities for the deliverables. It can support the national secretariat and MSG in planning meetings and activities to ensure the deliverables are met, including recommendations from EITI reporting and Validation.
- 4. Monitor, evaluate and learn.** A work plan with clear deliverables, linked to outcomes and objectives, tracks the delivery of key milestones over time. A work plan can be supplemented by a monitoring, evaluation and learning framework that spans over several years (see [Step 5](#)).
- 5. Hold the EITI accountable.** The work plan is adopted by the MSG and is a public document. It thus holds the MSG and the national secretariat accountable to their wider stakeholders. The work plan also includes the key obstacles for successful implementation and steps to overcome them.



Requirement 1.5

The underlining objective of this requirement is to ensure that the annual planning for EITI implementation supports implementation of national priorities for the extractive industries while laying out realistic activities that are the outcome of consultations with the broader government, industry and civil society constituencies. The annual EITI work plan should be a key accountability document for the MSG vis-à-vis broader constituencies and the public.¹

The multi-stakeholder group is required to maintain a current work plan, fully costed and aligned with the reporting and Validation deadlines established by the EITI Board. The work plan **must**:

- a) Set EITI implementation objectives that are linked to the EITI Principles and requirements and reflect national priorities for the extractive industries. The multi-stakeholder group should address the steps needed to mainstream EITI implementation in company and government systems. Multi-stakeholder groups are encouraged to explore innovative approaches to extending EITI implementation to inform public debate about natural resource governance and encourage high standards of transparency and accountability in public life, government operations and in business.
- b) Reflect the results of consultations with key stakeholders and be endorsed by the multi-stakeholder group.
- c) Include measurable and time bound activities to achieve the agreed objectives. The scope of EITI implementation should be tailored to contribute to the desired objectives that have been identified during the consultation process. The work plan must:
 - i. Assess and outline plans to address any potential capacity constraints in government agencies, companies and civil society that may be an obstacle to effective EITI implementation.
 - ii. Address the scope of EITI implementation, including plans for strengthening systematic disclosures and addressing technical aspects of reporting, such as comprehensiveness and data reliability (4.1 and 4.9).
 - iii. Identify and outline plans to address any potential legal or regulatory obstacles to EITI implementation, including, if applicable, any plans to incorporate the EITI Requirements within national legislation or regulation.

> continues on page 8

¹ EITI (2021), *Validation Guide*, <https://eiti.org/document/2021-eiti-validation-guide#req15>.

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- iv. Outline the multi-stakeholder group's plans for implementing the recommendations from EITI implementation and Validation.
- v. Outline plans for disclosing contracts in accordance with Requirement 2.4(b) and beneficial ownership information in accordance with Requirement 2.5(c)-(f), including milestones and deadlines.
- d) Identify domestic and external sources of funding and technical assistance where appropriate in order to ensure timely implementation of the agreed work plan.
- e) Be made widely available to the public, for example published on the national EITI website and/or other relevant ministry and agency websites, in print media or in places that are easily accessible to the public.
- f) Be reviewed and updated annually. In reviewing the work plan, the multi-stakeholder group should consider extending the detail and scope of EITI implementation. In accordance with Requirement 1.4 (b), the multi-stakeholder group is required to document its discussions and decisions.
- g) Include a timetable for implementation that is aligned with the deadlines established by the EITI Board (section 4 – EITI Board oversight of EITI implementation) and that takes into account administrative requirements such as procurement processes and funding.

How to implement Requirement 1.5



Step 1 **Organise and prepare**

Developing a results-oriented work plan which reflects views from key stakeholders requires time and effort, but has important benefits related to stakeholder engagement, learning and accountability, as described at the beginning of this Guidance Note. To organise and prepare the work planning process, MSGs could consider the following steps:

- 1. Identify who will be responsible for developing the work plan.** Many MSGs appoint an ad hoc working group or assign this work to an MSG Standing Committee to conduct consultations, prepare documents and facilitate MSG discussion and endorsement of the work plan. Such groups should be composed of members of the national secretariat and at least one representative of each MSG stakeholder group.

MSGs may also want to consider using independent consultants to support work plan development. This is an opportunity to bring diversity of background and expertise within the MSG. The EITI International Secretariat can suggest consultants with appropriate capacity and expertise, who can help to design and coordinate processes for developing a work plan.

- 2. Plan and communicate appropriate timeframes.** Developing a robust work plan can be time consuming and require several workshops and consultations to arrive at agreement. It is not unusual that these processes can take several months. Plan accordingly when allocating time and resources to the work planning process, and ensure that development and approval of the work plan is aligned with budget and funding cycles for the MSG.

CASE STUDY

Colombia

Structuring and planning the work planning process

Colombia's 2020-2023 work plan was developed through a three-step process and presents a plan and specific roles to carry out consultations:

1. A technical subgroup of the MSG consulted MSG members to assess current governance and disclosure practice in the extractives sector and to develop trend scenarios.
2. Stakeholder related to extractive mining activities but not represented on the MSG were consulted to identify their needs and perspectives in relation to EITI implementation.
3. The MSG Technical Secretariat reviewed the results from steps 1 and 2, to identify possible modes of implementation, including activities with specific lines of responsibility.

Source: *EITI Colombia (2020)*, Plan de Acción Nacional 2020 – 2023, <https://eiti.org/document/colombia-20202023-work-plan>.



Step 2

Identify priority issues

For the EITI to be an effective intervention, it must be relevant. EITI implementation must demonstrate how it contributes to existing goals and efforts and meets specific needs to strengthen natural resource governance. This should begin with a review of existing disclosures and disclosure gaps relative to the EITI Standard, followed by a broad and inclusive consultation with stakeholders to identify national priorities in the extractive sector. This information can then be used to define the overall objectives for the EITI work plan.

1. **Review current disclosure and implementation practice.**

A review of existing disclosures can help to identify weak points and bottlenecks that should be addressed in the work plan. It can also be important to identify what types of data are and are not systematically disclosed and where this can be strengthened. MSGs may use the Transparency template as a tool to for this mapping, which will also help MSGs to prepare for annual reporting and Validation processes.²

Recommendations from previous Validations and EITI reporting can also provide insight on weaknesses or gaps in disclosure and implementation. In addition to this preparatory mapping,

2 The Validation model templates are available at <https://eiti.org/document/2021-validation-model-templates>.

MSGs could consider conducting a [systematic disclosure mapping](#), [feasibility study](#) and thematic scoping studies to inform these discussions, and including such efforts as a specific activity in work plans.

2. **Review national priorities.** A review of current disclosure practices should be complemented by review of national priorities related to extractive sector governance. Several sources can be helpful in identifying national priorities. Though an exhaustive mapping might not be feasible, MSGs may consider consulting the following sources to inform this review:
 - Government (national and subnational) policies or strategies for the extractive sector, public debates about issues in the extractive sector, and analysis and research undertaken by government, media, NGOs, companies or other institutions.
 - Existing reform efforts aimed at improving extractive sector governance in the country, and how the EITI may be linked operationally or financially to these efforts.
 - International commitments, for example to international development banks and institutions, or other multi-stakeholder initiatives such as the Open Government Partnership (OGP).
 - Recent external reports and studies on the sector conducted by civil society, industry or international development actors such as the World Bank or IMF.

The national priorities identified in this exercise might reflect specific aspects of resource governance in the EITI Standard, such as contract transparency (Requirement 2.4) or beneficial ownership disclosure (Requirement 2.5). National priorities might also include long-term national objectives related to the energy transition, the national investment climate, or the resilience of government systems for revenue collection. The relevance of such issues for EITI implementation can be clarified in consultations with stakeholders.

CASE STUDY**Suriname**
Aligning the work plan with national priorities

Suriname's 2019-2020 work plan describes several national policy issues that inform the formulation of the work plan's objectives and activities. This includes national development plans endorsed by parliament, relevant legislation, ministerial engagement with international financial institutions, and lessons learned from implementation and review. The work plan's activities are preceded by a review of results and progress on each activity from the preceding work plan, providing an opportunity to link ongoing work across annual work plans, and how those relate to national priorities.

Source: EITI-SR (2018), EITI Suriname (EITI-SR) Work Plan, <https://eiti.org/document/suriname-20192020-work-plan>.

3. Identify key stakeholders and stakeholder groups.

Stakeholder consultations are an essential foundation for EITI work plans and can increase their legitimacy and impact. The first and core point of consultation is often situated within the MSG. However, all key stakeholders might not be represented on the MSG so it is important for each constituency on the MSGs to establish and maintain consultation channels with external constituency representatives.

It may also be helpful to consider what other groups are important to consult, including highly impacted groups, such as women's rights organisations and marginalised communities. To do so, consider recommendations and findings from Validations or EITI Reports and feedback from dissemination activities, as well as literature on the social impacts of the extractive industries in the country, gender analyses or human rights reports that address issues such as structural inequality or discrimination against relevant stakeholder groups. This consideration will help the MSG provide a national priority-led work plan that accounts for the communities affected by the sector.

In addition to considering affected stakeholders, consultations should engage stakeholders that support EITI implementation, particularly when they play a role in the systematic disclosure and use of extractives data. Submitting the work plan for consultation to a wider range of stakeholders (including development partners) may also be key to ensuring that the EITI does not operate in a silo, and that information collection is not duplicated (e.g. reporting on legal owners of extractive companies).

Taking the steps above helps stakeholders have real influence on work planning. MSGs may also consider how they can communicate this feedback process to stakeholders in a way that builds legitimacy and engagement for meaningful EITI implementation.

CASE STUDY

Indonesia Stakeholder engagement planning

Indonesia has complemented its work plan with a dedicated “Stakeholder Engagement Plan” to facilitate mainstreaming efforts by the Indonesian MSG. This includes specific tools for planning stakeholder engagement, such as the “importance and influence matrix” presented below.

Figure 1. Potential Interest and Influence of Key Stakeholders



Source: Republic of Indonesia (2021), Stakeholder Engagement Plan,
<https://www.esdm.go.id/assets/media/content/content-eiti-stakeholder-engagement-plan.pdf>.

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4. Identify appropriate mechanisms for consultations.

Consultation mechanisms may include national or regional workshops, an active and open invitation to all citizens through national and local media, or specific consultations with relevant ministries, organisations, networks or coalitions. MSGs may also consider the following aspects:

- **Online or offline:** Depending on national context and accessibility, consider whether consultations should be held online to be more accessible to stakeholders that may not be able to travel, or whose participation might be limited by restrictions related to the COVID-19 pandemic. MSGs could consider using mobile and social media platforms to engage more remote groups.
- **Real-time dialogue or open mailbox:** Convening stakeholders for in-person or virtual discussion can allow for productive dialogue and exchange, but it can also limit the number of stakeholders who are able to contribute meaningfully. Having an open period where stakeholders can submit inputs to a post address, email address or online survey can increase the number and quality of inputs.
- **Timeframes:** Consultations should be designed so that stakeholders have enough time to familiarise themselves with the EITI process and make meaningful contributions. This means giving advance notice of scheduled consultations and ensuring that the period for open comment is long enough to allow for maximum participation (e.g. two weeks).
- **Co-create:** Ask stakeholders what they would like to see prioritised in the work plan. Ensure that consultations give an opportunity to provide inputs relating to priorities for EITI implementation in the coming year. It may also be helpful to ask stakeholders about how they would want to access and use EITI data and information. This could help the MSG understand how to increase the potential for public debate and use of data in accordance with Requirement 7 and as reported in the Outcomes and impact template for EITI Validation.
- **Feedback:** Consultations should also provide information about how the inputs received will feed into the EITI work plan. This means sharing consultation results with participants and informing them about how consultations led to work plan changes. This can be achieved through specific consultations, or regular monitoring processes as described in [Step 5](#).

There is no single perfect format for stakeholder consultations, and the best solution is likely a combination of the options above. In determining the platforms and mechanisms for consultations, MSGs should ensure that these are communicated to all relevant stakeholders with advance notice and clear instructions on how to participate. Keeping platforms open for continued input during work plan implementation will also help to strengthen stakeholder engagement and the legitimacy of EITI implementation.

TOOL**Survey template to identify national priorities and EITI objectives**

The EITI International Secretariat developed a model survey to help countries identify national priorities and objectives for EITI implementation. The survey can be used to gather views from MSG members and wider stakeholders on the challenges of the sector, and what they think should be the focus areas of the EITI. The responses can serve as a starting point of a workshop series. The survey questions can be changed. An Office 365 license is required to use the tool.

Access and copy the model survey at <https://bit.ly/WP-priorities-survey>.

CASE STUDY**Democratic Republic of the Congo
Review processes for work planning**

The DRC's 2018-2021 was based on rigorous process of review and consultation. This began with two self-assessment processes in which the MSG looked at their implementation in accordance with the EITI Standard and identified gaps. These assessments supported additional analysis and recommendations from independent consultants. The joint inputs were used to convene a workshop, in which stakeholders reviewed and prioritised activities, linking them to national priorities.

Source: ITIE-RDC (2018), Plan de travail triennal (PTT) 2018-2021, <https://eiti.org/document/20182021-work-plan-democratic-republic-of-congo>.

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5. **Define national priorities and work plan objectives.** The EITI Standard requires work plans to include objectives that are linked to the EITI Principles³ and reflect national priorities for the extractive industries.

The process of selecting and defining objectives for the work plan should be grounded in stakeholder consultations, a mapping of disclosures and a review of national priorities that have already been undertaken. MSGs may also wish to emphasise systematic disclosure of EITI information, issues raised in recommendations from Validation and reporting or feasibility studies, or objectives related to overcoming constraints or obstacles to EITI implementation.

Objectives for the EITI work plan should be concise and specific. They should reflect what EITI implementation can reasonably be expected to achieve or contribute to in the period covered by that work plan. Objectives will thus be less ambitious than the national priorities to which they are related. Having a small number of objectives (five or less) may make it easier to plan activities and achieve results.

When formulating objectives, it can be helpful to describe how they link to national or stakeholder priorities or identify weaknesses in systematic disclosure and EITI implementation. Consider complementing the objectives with a short narrative explaining these connections. Objectives may also link to more specific outcomes that are prioritised by specific stakeholders.

3 EITI (2003), "The EITI Principles", <https://eiti.org/document/eiti-principles>.

CASE STUDY

Albania

Targeting systematic disclosure to support institutional outcomes

Albania's 2016-2019 work plan features mainstreaming and systematic disclosure as a key objective. This objective is aligned with national strategies for digitalisation and e-governance as well as the national open data policy and open data portal. The objective is rationalised as supporting a variety of institutional outcomes, including “to ensure timeliness, data quality, reuse and cost effectiveness.”

Source: EITI Albania (2017), EITI Albania Work Plan 2016 – 2019, <https://eiti.org/document/albania-eiti-20162019-work-plan>.

CASE STUDY

Papua New Guinea

Framing and linking work plan objectives

The Papua New Guinea 2021 work plan is organised around five distinct objectives:

1. Ensuring a well-established and fully functional national secretariat office and MSG;
2. Show the extractive industries' contribution (both direct and indirect) to the PNG economy;
3. Improve public understanding of extractive sector management;
4. Strengthen revenue generation and collection that is consistent with government policy setting and national development priorities;
5. Endeavor to fully implement PNGEITI Report recommendations as directed by Cabinet.

Each of these objectives is presented with a rationale linking to national priorities, a short description of related governance challenges, and a set of activities that are measurable, time-bound, costed and designed specifically to achieve that objective.

Source: PNGEITI (2020), Papua New Guinea Extractive Industries Transparency Initiative 2021 Work plan, <https://eiti.org/document/papua-new-guinea-eiti-2021-work-plan>.

CASE STUDY**Nigeria**
Aligning the work plan to national priorities

Nigeria's 2019 narrative work plan identifies nine work plan objectives reflecting four strategic goals for EITI implementation for 2017 to 2019. These are based on three core national priorities for Nigeria: Corporate governance and anti-corruption, economic diversification and sustainable economic development.

This framing helps the Nigeria EITI work plan to draw a clear link between implementation activities for that year and high-level national priorities, as illustrated below:

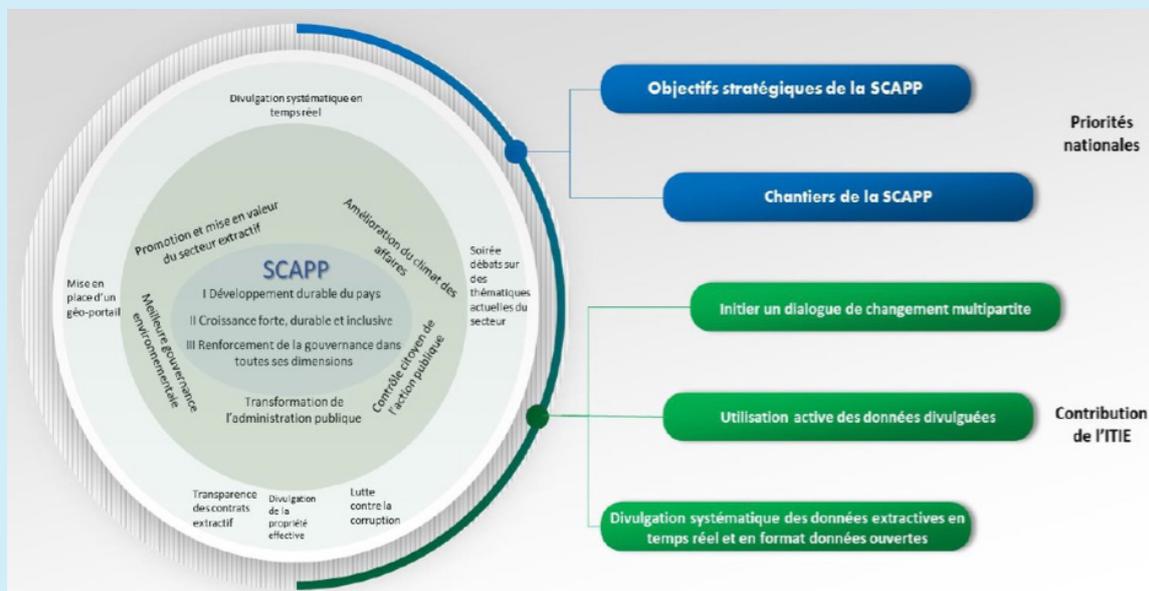
National priority	Corporate governance and anti-corruption
Long term EITI strategic goal	Strategic Goal 1: Deepen openness in the extractive sector through timely audits and other impactful studies
Work plan objective	Achieve regular audits reporting of the extractive industries sector, automate NEITI data gathering process and implementation of remediation issues from the audit.
Activity	Scoping study for 2017 Oil and Gas Audit and template review for Oil and Gas Report

Source: Nigeria EITI (2018), NEITI Country 2019 Work Plan, <https://eiti.org/document/neiti-2019-work-plan>.

CASE STUDY

Mauritania**Presenting the relationship between different goals and priorities**

To conceptualise the complex relationships between different national priorities and objectives relevant to EITI and work planning, the Mauritania 2021 work plan visualises how EITI outputs align with national priorities to shape the context for achieving Mauritania's national development goals.



Source: ITIE Mauritanie (2021), Plan d'action 2021 et système de suivi et évaluation du Comité national de l'ITIE Mauritanie, <https://eiti.org/document/mauritania-2021-work-plan>.



Step 3

Define work plan objectives, activities and scope

According to the EITI Standard, the work plan must “include measurable and time-bound activities to achieve the agreed objectives. The scope of EITI implementation should be tailored to contribute to the desired outcomes and impact that have been identified during the consultation process.” (EITI Requirement 1.5.c).

- 1. Identify activities that will contribute to the work plan objectives.** Sometimes it will be obvious which activities are necessary to achieve objectives in the EITI work plan. In most cases, undertaking an EITI Report would fall under this category. This will not always be the case, however, and identifying appropriate activities to achieve work plan objectives might require strategic discussion or brainstorming with stakeholders. This can be incorporated into the stakeholder consultations described above or conducted by MSG working groups.
- 2. Identify activities that will address other issues required by the EITI Standard.** In addition to activities directly addressing work plan objectives, work plans should include activities that respond to specific issues required by the EITI Standard, including:
 - Activities to strengthen systematic disclosures and technical aspects of disclosures, such as comprehensiveness and data reliability (Requirements 4.1 and 4.9);
 - Activities to reflect frontier and crosscutting themes, such as anti-corruption, energy transition and domestic resource mobilisation;
 - Activities to increase the disclosure of contracts in accordance with Requirement 2.4 and beneficial ownership information in accordance with Requirement 2.5, including milestones and deadlines that might be captured in a beneficial ownership disclosure roadmap;⁴
 - Plans for communicating and disseminating EITI data, with special attention to subnational data, that take into account various levels of access, especially by women, minority and other potentially marginalised groups (Requirements 7.1 and 7.2). These are discussed further in [Step 5](#); and

4 See EITI (2016), *Guidance Note: EITI Requirement 2.5 (planning for beneficial ownership disclosure)* <https://eiti.org/document/guidance-note-eiti-requirement-25-planning-for-beneficial-ownership-disclosure>, and “Advisory checklist for EITI beneficial ownership roadmap”, https://eiti.org/sites/default/files/documents/advisory_checklist_for_eiti_beneficial_ownership_roadmap.pdf.

- Activities to overcome capacity constraints in government agencies, companies and civil society (expertise, data gaps, capacity, finances, legal, administrative) that may affect implementation of the work plan (Requirement 1.5.c.i).

CASE STUDY

Zambia**Linking activities, indicators and impacts**

One of the four objectives in Zambia's 2021-2022 work plan is to "support routine systematic disclosures of comprehensive and reliable EITI information by Government and Mining Companies." As with all objectives in the work plan, this objective is presented together with intermediate outcomes related to changes of performance and capacity, and multiple outputs, each of which are supported by multiple activities, as shown for the outputs 3 and 4 below:

Ultimate outcome	Improved government reform resulting in increased mainstreaming of information on the extractives	
Intermediate outcomes	Improved compliance with the EITI Standard and EITI Requirements	
Immediate outcomes	Strengthen ZEITI to implement and meet EITI Requirements	
Output	3.0 – ZEITI internal training and skills development	4.0 – Gender mainstreaming and training
Activities	3.1 – ZEITI Secretariat online training leadership, organisational management, software and communications 3.2 – ZEITI Secretariat fundraising and proposal writing 3.3 – ZEC-ZEITI Secretariat training: Mine life cycle/ASM life cycle/petroleum 3.5 – ZEC-ZEITI Secretariat training: Mining taxation 3.6 – ZEC-ZEITI Secretariat training: Other to be identified	4.1 – Oxfam gender awareness raising and training 4.2 – Webinar roundtable on gender dynamics for MSG 4.3 – Development of gender policy/strategy 4.4 – Implement gender policy/strategy

Source: Zambia EITI (2021), Zambia EITI Work Plan 2021-2022, <https://eiti.org/document/zambia-eiti-workplan-20212022>.

3. **Define activities in a way that is measurable and time-bound.** One effective way of ensuring this is to apply the SMART criteria (Specific, Measurable, Achievable, Relevant, Time-bound).⁵ Most importantly, each activity should have a timeframe for implementation. The timeframe should consider the deadlines established by the EITI Board for producing EITI Reports, annual activity reports and Validation. In developing the timetable, the MSGs should also consider administrative requirements such as procurement processes and funding. Work plans should also estimate the cost of each activity and how they will be funded. As a dynamic document, MSGs have and can revise work plan activities where necessary (e.g. to respond to challenges brought by the COVID-19 pandemic).

It is also important to consider assigning responsibilities to relevant stakeholders for each activity. This may, in some cases, require involvement of stakeholders beyond those represented on the MSG (e.g. activities related to beneficial ownership disclosure), and consultation with such stakeholders might be necessary. In some countries, an assessment of integrating multi-stakeholder consultation and oversight into existing representative bodies may be useful.⁶ Equally important, MSGs should consider frequently assessing the feasibility (i.e. financial, capacity) and impact (i.e. timing, opportunity, needs) of work plans activities and revise these where necessary (e.g. to respond to challenges brought by the COVID-19 pandemic). This will help ensure a good balance between consistency and redundancy.

4. Identify appropriate targets for activities. Consider what kinds of results might follow from activities and define measurable and time-bound indicators for when those results should be achieved. This will help to monitor the work plan and strengthen its implementation. Also, consider who benefits from these activities, and whether they are inclusive and gender-responsive⁷, where relevant.

5 There are many sources of online information regarding the SMART criteria. For a presentation in the context of EITI implementation, see GIZ (2017), *Monitoring and Evaluation (M&E) of EITI Implementation - Guideline*, <https://eiti.org/document/monitoring-evaluation-me-of-eiti-implementation-guideline>.

6 See EITI (2021), *Guidance Note: EITI Requirements 1.4 (multi-stakeholder groups)*, <https://eiti.org/document/guidance-note-eiti-requirement-14-multistakeholder-groups>.

7 Gender-responsiveness refers to outcomes that reflect an understanding of gender roles and inequalities and which make an effort to encourage equal participation and equal and fair distribution of benefits. Gender responsiveness is accomplished through gender analysis and gender inclusiveness. For more information, see UNDP (2015), *Gender Responsive National Communications Toolkit*, <https://www.undp.org/publications/gender-responsive-national-communications>.

When identifying targets, MSGs could consider the relationship between activities, work plan objectives, and national priorities using a logical framework approach. This involves considering the sequence and causal relationships between inputs and activities, outputs, outcomes and impacts.

EXAMPLE

Linking work plan activities to inputs, outputs, outcomes and impacts

The table below exemplifies these links in a results chain in the first column. The second column notes how they might be reflected in national priorities, work plan results and work plan activities. The third column illustrates how this was conceptualised in Senegal's 2021 work plan.

Link in the results chain	Level of results	Articulation in Senegal's 2021 Work Plan*
Impacts: Long-term changes to social systems and quality of life	National priorities	Impact: The effectiveness of good governance and transparency in management of the extractive industries
Outcomes: Changes to policy, behaviour, beliefs	Work plan results	Effect: Operationalisation of transparency mechanisms, with a view to establishing optimal governance
		Immediate result: Better knowledge of the extractive sector by citizens
Outputs: Documents, workshops, media	Work plan results and activities	Output: Creation of an environment conducive to transparency in extractives governance by strengthening access to information, the impetus for reforms and capacity building of actors
Inputs: Activities, workflows, outreach	Work plan activities	Activity: Implement the EITI process in Senegal

*Source: Comité national ITIE Senegal (2021), Plan de travail et budget annuel 2021, <https://eiti.org/document/senegal-2021-work-plan>.

EITI REQUIREMENT 1.5

Establishing an EITI work plan
Guidance Note

5. Write a narrative text to present the work plan.

Once objectives and activities are decided, a smaller MSG subcommittee or working group may be tasked with drafting the narrative work plan to make it more accessible and operationally useful. This work should clearly represent the objectives, scope, activities and targets described above, in a manner that is easily accessible for stakeholders. Additionally, it is important to ensure that several other components required by the EITI Standard are included:

- A description of **who was involved** in the consultative and review processes in [Step 1](#), and how stakeholder views and priorities were considered.
- A list of **sources** reviewed to identify national priorities, including links to sources.
- An overview of domestic and external **sources of funding** and technical assistance where appropriate in order to ensure timely implementation of the agreed work plan. This should include funding for specific activities as described in [Step 3](#), but also more general funding for MSG operations and EITI implementation.
- A description of specific **plans for disseminating and monitoring** the work plan as described in [Steps 5 and 6](#) below.
- A **timetable** for implementation that is aligned with the deadlines established by the EITI Board in accordance with Section 4 of the EITI Standard, and that takes into account administrative requirements such as procurement processes and funding.

CASE STUDY

Democratic Republic of the Congo Presenting a complete and actionable work plan

The DRC's 2018-2021 work plan has two parts:

- A narrative which describes the process in which the work plan was developed. It also presents the work plan objectives, and the activities and risks that were associated with each. This provides context and legitimacy for the logical framework that follows.
- A logical framework, which presents each activity in a table alongside corresponding objectives, expected results, responsible parties, timeframes, costs and funding sources.

Source: ITIE-RDC (2018), Plan de travail triennal (PTT) 2018-2021, <https://eiti.org/document/20182021-work-plan-democratic-republic-of-congo>.



Step 4 Endorse and disseminate the work plan

1. **Endorse the work plan.** Once a final draft of the work plan is prepared, it must be endorsed by the MSG (Requirement 1.5.b).
2. **Disseminate to maximise accessibility and feedback.**
The MSG should make the work plan widely available to the public, as required by the EITI Standard. This may include publishing the work plan on the national EITI website and/or other relevant ministry and agency websites, or in print media or other places that are easily accessible to the public, and sharing it with those consulted. Ideally, the most appropriate places for dissemination will have been identified during stakeholder consultations. Specific measures to publicise the work plan should be identified, taking into consideration:
 - Whether the work plan should be translated and printed in local languages;
 - Whether the work plan can be graphically represented to be easier to read and understood;
 - What combination of print or online formats is necessary to ensure accessibility, in cases where there is limited internet access and media literacy;
 - Specific mechanisms or communication channels through which stakeholders can provide feedback or input to the work plan during implementation.

The MSG may wish to consider alternative or complementary formats and platforms for the work plan that make it easy to use, monitor and revise. This may involve the use of spreadsheets, tables, Gantt charts or other formats.

CASE STUDY

The Philippines Publishing work plans and progress matrices online

The [Philippines EITI](https://pheiiti.dof.gov.ph/) (PH-EITI) website presents current and past work plans, together with progress matrices that track implementation of work plan activities on a running basis. The 2021 work plan also contains a detailed narrative description of how the work plan was elaborated and explains the issues that PH-EITI aims to address, the rationale behind the objectives, the planned activities, and how the different elements of the EITI process link to other reform efforts.

Source: PH-EITI (2021), "PH-EITI Work Plans", <https://pheiiti.dof.gov.ph/work-plan/>.

CASE STUDY**Indonesia**
Stakeholder engagement planning

Indonesia's Stakeholder Engagement Plan (SEP) is designed to facilitate mainstreaming efforts by Indonesia's MSG. This includes dedicated activities to secure feedback on the EITI work plan, and the SEP is presented as "a living document [that will be] periodically updated during project implementation to reflect any adjustment made based on the changing contextual factors or new information related to the stakeholder engagement."

Source: Republic of Indonesia (2021), Stakeholder Engagement Plan,
<https://www.esdm.go.id/assets/media/content/content-eiti-stakeholder-engagement-plan.pdf>.

**Step 5**
Monitor and review

The work plan is a living document, which should be reviewed and updated frequently to make it a useful management tool, and to anchor its legitimacy and usefulness as an accountability tool for stakeholders.

1. **Establish a schedule for review.** The work plan must be reviewed and updated annually according to Requirement 1.5.f. Many countries also align new work plans with budgetary processes. Regardless of the planning cycle, a work plan must be reviewed at least once per year, and MSGs are advised to consider more regular updates and revisions. The MSG could, for example, agree to briefly revisit the work plan during each of its quarterly meetings to take stock of progress.

Revising the work plan is also essential to reflect lessons learned and integrate the recommendations for improvement by Independent Administrators or Validation reports. It may be helpful to update the work plan following the publication of the EITI Report and Validation.

CASE STUDY

Armenia

Quarterly progress reporting to stakeholders

The Armenia EITI MSG prepares quarterly progress reports describing the implementation of activities set forth in the workplan. Stakeholders consulted during the Validation process described these reports as useful tools to track progress and adjust activities if needed.

Sources: Armenia EITI (2021), EITI Annual and Quarterly Reports, <https://www.eiti.am/en/Quarterly-annual-reports>; EITI International Secretariat (2020), Validation of Armenia, https://eiti.org/system/files/documents/armenia_validation_2019_initial_assessment_march_2020.pdf.

2. **Consider developing a monitoring, evaluation and learning framework.** MSGs may wish to consider developing a more regular framework for monitoring, evaluating and learning (MEL) from implementation of the EITI work plan. Having a robust and specific MEL framework can help MSGs to adapt work plans and activities during implementation, improving the results of implementation and making it easier to communicate the EITI's impact. A strong MEL framework can also boost credibility with national and international partners and donors.

Developing an MEL framework may require relatively little effort if work plans are conceptualised with strong links between activities and outcomes, and if they incorporate measurable and time-bound indicators as described in [Step 3](#).

TOOL

Guideline for Monitoring and Evaluation (M&E) of EITI Implementation

GIZ has produced a guideline that seeks to complement EITI guidance that covers aspects of monitoring and evaluation (M&E). It offers a practical overview of many of the issues highlighted in this Guidance Note, and practical, step-by-step guidance for how to develop an M&E framework, such as measures to build agreement on definitions, processes and resource management, including suggestions for workshops and data collection.

Source: GIZ (2017), *Monitoring and Evaluation (M&E) of EITI Implementation – Guideline*, <https://eiti.org/document/monitoring-evaluation-me-of-eiti-implementation-guideline>.

CASE STUDY

Senegal Integrating monitoring and evaluation into work planning

Senegal’s 2021 work plan includes the implementation of a monitoring and evaluation process to be managed by a technical commission dedicated to capacity building and M&E. This involves the regular review of key performance indicators included in the work plan’s logistical framework, and the use of several tools to track and report on progress, including dashboard indicators, a monitoring-evaluation matrix, and the release of a progress report twice annually. The commission is further mandated to consult stakeholders beyond the MSG when assessing and reporting on progress, including the involvement of parliamentarians and women’s groups. This is planned according to weekly, quarterly, bi-annual and annual activities.

Source: Comité national ITIE Senegal (2021), Plan de travail et budget annuel 2021, <https://eiti.org/document/senegal-2021-eiti-work-plan>.

CASE STUDY

Ukraine Building M&E into work planning

Ukraine’s 2021 work plan is presented in the form of a logistical framework. It includes instructions for monitoring activities to be executed by the national secretariat or other responsible parties every two months and specifies that implementation progress will be discussed at each MSG meeting.

The work plan builds on Ukraine’s dedicated M&E framework which distinguishes between evaluation activities focused on impacts and outcomes, and monitoring activities focused on the same. The framework also includes a monitoring table to track progress over time, shown below.

Category	#	Indicator	Type/Unit of Measurement	Baseline Level (2013)	Level of 2018	Level of 2019	Data Collection Methods/Sources	Frequency
A. EITI governance and administration	2.1	Donor contribution / state contribution to the EITI implementation (monetary and non-monetary)	% of contribution	95% / 5%	85% / 15%	80% / 20%	Expert discussion / Counting	Annually
	2.2	Time allocation of the EITI Secretariat staff	Man-days	0	22 working days per month*12*5 persons = 1320	22 working days per month*12*4 persons = 1056	Counting	Annually
B.1. Higher level of	2.3	Timely publication of the EITI Report	Yes / No	n/a	No	No	Date of publication	Annually
	2.4	Number of corrective actions based on the validation results	Number of corrective actions	n/a	8	8	The EITI Board decision	Validation frequency
	2.5	More available datasets on the extractive industries	% of information from open data sets for preparation of the EITI Report	n/a	20 %	20 %	Open databases	Annually

Source: UAEITI (2021), Ukraine EITI 2021 work plan, <https://eiti.org/document/ukraine-eiti-2021-work-plan>; UAEITI (2020), Monitoring and Evaluation System for the Extractive Industries Transparency Initiative of Ukraine, <https://eiti.org.ua/en/documents/monitoring-and-evaluation-system-for-uaeiti/>.

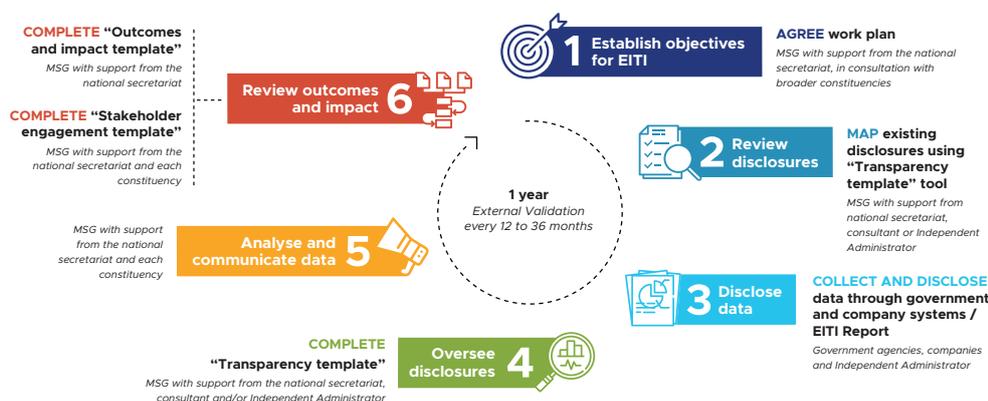
3. **Devote time to meaningful and inclusive reflection.** Whether work plans are reviewed annually, more regularly, or as part of a structured MEL process, MSGs and national secretariats are encouraged to convene a broad collection of stakeholders and allocate sufficient time to review and reflect on how the work plan has been implemented. Some useful questions to prompt reflection might include:
- Which results were achieved?
 - Which results were not achieved, and why not?
 - What could have been done differently?
 - Were the assumptions correct about how activities would contribute to specific results, to contribute to work plan objectives and national priorities?
 - What could be done differently now, and in the next work plan?
 - What are the activities that we carry over to the next year?
 - Were any positive results achieved that were not described in the work plan?

MSGs and national secretariats may also wish to use the Outcomes and Impacts template when reviewing work plans. Doing so can help to prepare for Validation processes, and provide a useful format to structure review processes.⁸

4. **Ensure that review informs subsequent work planning.** The outcomes of review processes should be captured in such a way that they can be reviewed in future work planning, as described in [Step 2](#). It might be helpful to think of the review process as the link between successive work plans in the EITI annual disclosure cycle, illustrated below.

Annual disclosure cycle

Maximising and evaluating impact of EITI disclosures



8 The EITI Validation model templates are available at <https://eiti.org/document/2021-validation-model-templates>.

EITI REQUIREMENT 1.5

Establishing an EITI work plan

Guidance Note

To ensure that work plan review feeds directly into later work planning processes, it may be helpful to produce public statements or documents summarising the work plan review process. MSGs may also wish to consider regularly publishing a logical framework (logframe) or spreadsheets that are produced during MEL processes. The EITI International Secretariat can support in facilitating a review and planning workshop for work plans.

Further resources

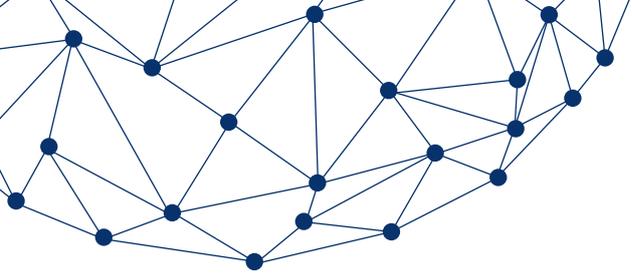
- EITI (2021), “2021 Validation model templates”, <https://eiti.org/document/2021-validation-model-templates>.
- EITI (2021), *Guidance Note: EITI Requirement 1.4 (multi-stakeholder groups)*, <https://eiti.org/document/guidance-note-eiti-requirement-14-multistakeholder-groups>.
- EITI (2016), *Guidance Note: EITI Requirement 7.3, 7.4 and 1.5*, <https://eiti.org/document/guidance-note-eiti-requirement-73-74-15>.
- GIZ (2017), *Monitoring and Evaluation (M&E) of EITI Implementation – Guideline*, <https://eiti.org/document/monitoring-evaluation-me-of-eiti-implementation-guideline>.
- UN Development Programme (2015), *Gender Responsive National Communications Toolkit*, <https://www.undp.org/publications/gender-responsive-national-communications>.



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Annexe A: Narrative EITI work plan template

This template suggests a format and key pieces of information for an EITI work plan. For additional guidance, please review the [Guidance Note: Requirement 1.5](#) on establishing an EITI work plan.

This template may be downloaded as a Word document from the EITI website at: <https://eiti.org/document/guidance-note-eiti-requirement-15>.

<Country> <year> EITI Work Plan

1. Background and context

The multi-stakeholder group (MSG) is required to:

- Maintain a current work plan that is reviewed and updated annually;
- Reflect the results of consultations with key stakeholders and be endorsed by the MSG.

The MSG may also wish to:

- Describe the EITI for stakeholders that might not be familiar;
- Describe national implementation of EITI to date, including references to any gaps or weak points in practice identified during work planning;
- Describe the stakeholder consultation process that supported development of the work plan. Who was consulted and why? How were consultations held and why?

2. National priorities and governance of the extractive industries

The MSG is required to:

- Set EITI implementation objectives that are linked to the EITI Principles and reflect national priorities for the extractive industries.

The MSG may also wish to:

- Describe how national priorities were identified during work planning, including a description of the sources from which those priorities were identified;
- Describe the relationship between EITI implementation and other initiatives focused on governance of the extractive industries, including national initiatives or initiatives led by international actors.

3. Activities

The MSG is required to:

- Address the steps needed to mainstream EITI implementation in company and government systems;
- Include measurable and time-bound activities to achieve the agreed objectives;
- Assess and outline plans to address any potential capacity constraints in government agencies, companies and civil society that may be an obstacle to effective EITI implementation;
- Address the scope of EITI implementation, including plans for strengthening systematic disclosures and addressing technical aspects of reporting, such as comprehensiveness and data reliability (Requirements 4.1 and 4.9);
- Identify and outline plans to address any potential legal or regulatory obstacles to EITI implementation, including, if applicable, any plans to incorporate the EITI Requirements within national legislation or regulation;
- Outline the MSG's plans for implementing the recommendations from EITI implementation and Validation;
- Outline plans for disclosing contracts in accordance with Requirement 2.4.b and beneficial ownership information in accordance with Requirement 2.5.c-f, including milestones and deadlines.

The MSG may also wish to:

- Ensure that the activities and results proposed in the work plan adhere to the SMART criteria (Specific, Measurable, Achievable, Relevant, Time-bound);¹
- Use a results chain or logical framework to describe the relationship between activities, their desired results, and the achievement of long-term outcomes and impacts;
- Assign roles and responsible parties for each activity.

¹ There are many sources of online information regarding the SMART criteria. For a presentation in the context of EITI implementation, see the GIZ Guideline on *Monitoring and Evaluation (M&E) of EITI Implementation* at <https://eiti.org/document/monitoring-evaluation-me-of-eiti-implementation-guideline>.

4. Budget and funding

The MSG is required to:

- To maintain a current and fully costed work plan.
- Identify domestic and external sources of funding and technical assistance where appropriate in order to ensure timely implementation of the agreed work plan.

The MSG may wish to:

- Include costs and funding sources for each individual activity in the activity matrix (see Annexe B), and describe the implications of those funding sources;
- Discuss how the domestic and external sources of funding and technical assistance might affect timely implementation of the work plan.

5. Dissemination and communication

The MSG is required to:

- Ensure that EITI disclosures be made widely available to the public, for example published on the national EITI website and/or other relevant ministry and agency websites, in print media or in places that are easily accessible to the public.

The MSG is encouraged to:

- Explore innovative approaches to extending EITI implementation to inform public debate about natural resource governance and encourage high standards of transparency and accountability in public life, government operations and in business.

The MSG may wish to:

- Consider obstacles related to language, digital literacy or technology access, that might limit the ability of stakeholders to access to the work plan;
- Inform stakeholders that were consulted as part of work planning about how their input was incorporated in the work plan;
- Describe how consultation mechanisms will be used to maintain ongoing engagement with stakeholders, including regular review and feedback on the work plan and its implementation.

6. Monitoring and review

The MSG is required to:

- Review and update the work plan annually. In reviewing the work plan, the MSG should consider extending the detail and scope of EITI implementation. In accordance with Requirement 1.4.b, the MSG is required to document its discussions and decisions.

The MSG may also wish to:

- Establish a regular schedule for review, including specific roles and responsibilities for members or committees of the MSG;
- Establish a monitoring and evaluation (M&E) framework to be applied continuously during implementation (potentially using the columns provided in Annexe B);
- Consider how review processes can be as inclusive as the consultations that supported work planning;
- Consider how to document review processes in a way that will make the conclusions useful when developing future work plans.

7. Milestones and timelines

The MSG is required to:

- Include a timetable for implementation that is aligned with the deadlines established by the EITI Board (as per Section 4 of the EITI Standard) and that takes into account administrative requirements such as procurement processes and funding.

The MSG may wish to:

- Align the implementation schedule with national budgeting processes;
- Consider alternative formats, such as Gantt charts or visual timelines;
- Integrate the timetable for work plan implementation into the M&E framework described above.

MSG approval

Date

MSG signature(s)