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THIRD ANNUAL CONFERENCE ON PROGRAM EVALUATION:  
NEW PARADIGMS FOR EVALUATING  
DIPLOMACY IN THE 21ST CENTURY  
June 8-9, 2010

Evaluating Partnerships Track

PowerPoint presentation from workshop on  
Implementation of Paris Declaration by USG Foreign Assistance  
Organizations

Session transcript:

<http://www.state.gov/s/d/rm/rls/rm/2010/148044.htm>

# The Paris Declaration

## Phase II Evaluation

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# Background

- February, 2005: Paris High Level Forum on Aid Effectiveness
- More than 100 signatories—from donor and developing-country governments, multilateral donor agencies, regional development banks and international agencies—endorsed the [Paris Declaration on Aid Effectiveness](#).
- The Paris Declaration represented a broad consensus among the international community about how to make aid more effective. At its heart was the commitment to help developing-country governments formulate and implement their own national development plans, according to their own national priorities, using, wherever possible, their own planning and implementation systems.

# Agreed Principles

- **Ownership:** Developing countries must lead their own development policies and strategies, and manage their own development work on the ground. This is essential if aid is to contribute to truly sustainable development. Donors must support developing countries in building up their capacity to exercise this kind of leadership by strengthening local expertise, institutions and management systems. The target set by the Paris Declaration is for three-quarters of developing countries to have their own national development strategies by 2010.
- **Alignment:** Donors must line up their aid firmly behind the priorities outlined in developing countries' national development strategies. Wherever possible, they must use local institutions and procedures for managing aid in order to build sustainable structures. In Paris, donors committed to make more use of developing countries' procedures for public financial management, accounting, auditing, procurement and monitoring. Where these systems are not strong enough to manage aid effectively, donors promised to help strengthen them. They also promised to improve the predictability of aid, to halve the amount of aid that is not disbursed in the year for which it is scheduled, and to continue to "untie" their aid from any obligation that it be spent on donor-country goods and services.
- **Harmonisation:** Donors must coordinate their development work better amongst themselves to avoid duplication and high transaction costs for poor countries. In the Paris Declaration, they committed to coordinate better at the country level to ease the strain on recipient governments, for example by reducing the large numbers of duplicative field missions. They agreed on a target of providing two-thirds of all their aid via so-called "programm based approaches" by 2010. This means aid is pooled in support of a particular strategy led by a recipient country—a national health plan for example—rather than fragmented into multiple individual projects.
- **Managing for results:** All parties in the aid relationship must place more focus on the end result of aid, the tangible difference it makes in poor people's lives. They must develop better tools and systems to measure this impact. The target set by the Paris Declaration is for a one-third reduction by 2010 in the proportion of developing countries without solid performance assessment frameworks to measure the impact of aid.
- **Mutual accountability:** Donors and developing countries must account more transparently to each other for their use of aid funds, and to their citizens and parliaments for the impact of their aid. The Paris Declaration says all countries must have procedures in place by 2010 to report back openly on their development results.

# Accra High Level Forum

- The Third High Level Forum on Aid Effectiveness (HLF-3) was held in Accra, Ghana from September 2-4, 2008
- The Accra meeting was different from its predecessors in that developing countries played a more active role in the preparations and the agenda. Some 80 developing countries took part in the regional preparatory events. Fifty-four developing countries participated in the OECD's 2008 Survey of progress against the Paris Declaration targets. Civil society is also increasingly involved in discussions of aid effectiveness; globally, more than 300 civil society groups, including grass roots groups, were involved in consultations in the lead-up to the Accra meeting.
- On the third day of the Forum, ministers endorsed the [Accra Agenda for Action \(AAA\)](#). This ministerial statement has been developed with support from a multi-national consensus group working under the auspices of the OECD's [Working Party on Aid Effectiveness](#). Attention is focused on stepping up progress towards the commitments outlined in the Paris Declaration by committing signatories to accelerating the pace of change by focusing on key areas that should enable them to meet the 2010 targets agreed in Paris. Drawing on evidence from the latest evaluations, the 2006 and 2008 Surveys on Monitoring the Paris Declaration and on in-depth contributions from developing countries, the AAA identifies three main areas where progress towards reform is still too slow.
- **1. Country ownership.** The Accra Agenda for Action says developing-country governments still need to take stronger leadership of their own development policies and engage further with their parliaments and citizens in shaping them. Donors must commit to supporting them by respecting countries' priorities, investing in their human resources and institutions, making greater use of their systems to deliver aid, and further increasing the predictability of aid flows.
- **2. Building more effective and inclusive partnerships.** The Accra Agenda for Action aims to incorporate the contributions of all development players—middle-income countries, global funds, the private sector, civil society organisations—into more inclusive partnerships. The aim is for all the providers of aid to use the same principles and procedures, so that all their efforts are coherent and have greater impact on reducing poverty.
- **3. Achieving development results—and openly accounting for them.** The Accra Agenda for Action says the demonstration of impact must be placed more squarely at the heart of efforts to make aid more effective. There is a strong focus on helping developing countries to produce stronger national statistical and information systems to help them better monitor and evaluate impact. More than ever, citizens and taxpayers of all countries expect to see the tangible results of development efforts. In the AAA, developing countries commit to making their revenues, expenditures, budgets, procurements and audits public. Donors commit to disclosing regular and timely information on their aid flows.

# Next Steps

- The Accra Agenda for Action sets out a list of commitments for its signatories, building on those already agreed in the Paris Declaration. It asks the OECD's Working Party on Aid Effectiveness to continue monitoring progress on implementing the Paris Declaration and the Accra Agenda for Action and to report back to the Fourth High Level Forum on Aid Effectiveness in December 2011 in Seoul, Korea

# Why Evaluate the Paris Declaration?

- Evaluation is part of the Paris Declaration and reflects its principles.
- Accra Agenda for Action called specifically for an evaluation of the implementation, effects of PD.
- Add value to the monitoring of commitments and feed into the High Level Forums in 2008 (phase I) and 2011 ( phase II synthesis).
- What has been achieved and what has not – and why -will be a key questions at HLF 4.

# Phase II 'Architecture'

Based on the principles of the Paris Declaration: a joint evaluation comprising:

- Country level evaluations assessing results/outcomes
- Additional donor/agency HQ studies
- Supplementary studies with focus on results
- Synthesis report to be presented to 4th HLF

# Phase II Evaluation Model

## Two complementary foci:

### 1) Implementation focus (expanded Phase I): *How is the PD put into action?*

- More diverse set of countries + wider range of stakeholders
- HQ studies by donors not included in Phase I

### 2) Results focus: *What has changed?*

- Identify PD influence on development effectiveness (outcomes & results)

# Methodological Issues

## Challenges to evaluate the results:

- Brief time span since PD endorsed (March 2005)
- External influences make attribution difficult
- Demanding data requirements

## To handle these challenges the evaluation should:

- Have a balanced & sufficient sample of countries
- Have sufficient coverage of sectors and themes
- Produce information of good quality
- Apply Complementary methods
- Offer possibility of explanation and attribution

# Methodological Approach

## Therefore methods should include:

- Synthesis of existing evaluations, research and indicators
- Comparative in-depth case studies chosen to contain a good cross-section of common themes/sectors
- Longitudinal studies: backward looking to track PD-like (longer established) policies
- Targeted studies to 'supplement' country-based evaluations

# Managing the Evaluation

## Management Group responsible for:

- Developing the overall evaluation framework and
- Terms of Reference for Core Evaluation Team
- Coordinating and managing the evaluation process
- Guiding the component studies
- Developing and managing supplementary studies
- Producing synthesis of findings and recommendations
- Dissemination
- **Evaluation Secretariat** is at Danish Institute for International Studies

# US Role

- Member of International Reference Group (50 countries)
- Elected member of 6 country Core Management Group
- Conduct of a US Donor Study via contractor (work started in January 2010)
- US study is managed by Office of Director of US Foreign Assistance
- US study reference group includes: F, State, USAID, USDA, HHS, Treasury, MCC

Thank You

Contact Information:

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# **Design for USG Paris Declaration Case Study**

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Office of the Director of US Foreign Assistance

# Background

- Generic “Term of Reference” for Donors Studies
- TOR Focus on – Awareness, Commitment and Capacity Building in Headquarters
- Although not comprehensive, TOR provided foundation to develop a framework for USG Evaluation

# Challenges

- USG foreign assistance is being administered by over twenty four departments and agencies. All these agencies and organizations have their own policies, strategies and programs.
- While PD Evaluation exclusively focuses on development assistance, USG does not make a distinction between foreign and development assistance.
- The five principles of Paris Declaration are normative and can be operationalized differently. This creates methodological problems.

# Inter-Agency Focus

- We designed the study as a multi-agency evaluation to capture the varying policies, strategies and programs of the USG departments/agencies.
- We invited four USG departments/agencies which provide the largest bilateral foreign assistance. These are USAID, the State, HHR and MCC.

# Criteria for Selecting Smaller Donor Departments

- We also invited three additional agencies with relatively small portfolio of bilateral assistance, which meet the following criteria:
- (a) Have disbursed at least \$ 25 million of foreign assistance in FY 2008 (last year for which data are available)
- (b) Have designed and implemented long-term (minimum of an year duration) in-country assistance programs, and
- (c) Be willing to provide access to documents, studies and personnel (as informants in interviews or surveys).
- Three departments which offered to participate were Departments of Agriculture, Labor and Treasury.

# Reference Group and Coordination

- Reference group consisting of a representative from each of the above departments/agencies to guide the evaluation process.
- Each member of the reference group serves as the main point of contact for PD evaluation. Responsibilities include (a) facilitating contractor's access to the documents, senior staff and officials of the concerned agency/organization, (b) reviewing the drafts of member's agency/organization case study and secure the approval or comments of member's agency, and (c) reviewing the synthesis report and provide detailed comments to the evaluation Secretariat.
- The Office of the Director of Foreign Assistance took the responsibility for coordination.

# Conceptualizing Foreign Assistance

- Used the definition of foreign assistance given by Foreign Assistance Act of 1961, as amended:

Foreign assistance “...means any tangible or intangible item provided by the United States Government to a foreign country or international organization under this or any other Act, including but not limited to any training, service, or technical advice, any item of real, personal, or mixed property, any agricultural commodity, United States dollars, and any currencies of any foreign country which are owned by the United States.”

# Conceptualizing Foreign Assistance

- This definition is broader than the ODA definition which other donors use. However, it includes two major elements of ODA definition; first, the purpose is primarily to promote economic development and welfare in the recipient country and second the assistance should be given on a concessionary terms.
- The advantage of using this conceptualization is that it is not only consistent with OMB and Congressional requirements but also better captures the assistance provided for governance, democracy promotion and security.

# Multi-Case Study Design

- Multi-Case Study Design; Separate case studies will be prepared for each participating department/organization. The findings of the seven case studies will be synthesized in a comprehensive report.
- Both qualitative and quantitative methods will be used to gather data and information. These include review of documents, key informant interviews, and field surveys.

Thank You

Contact Information:

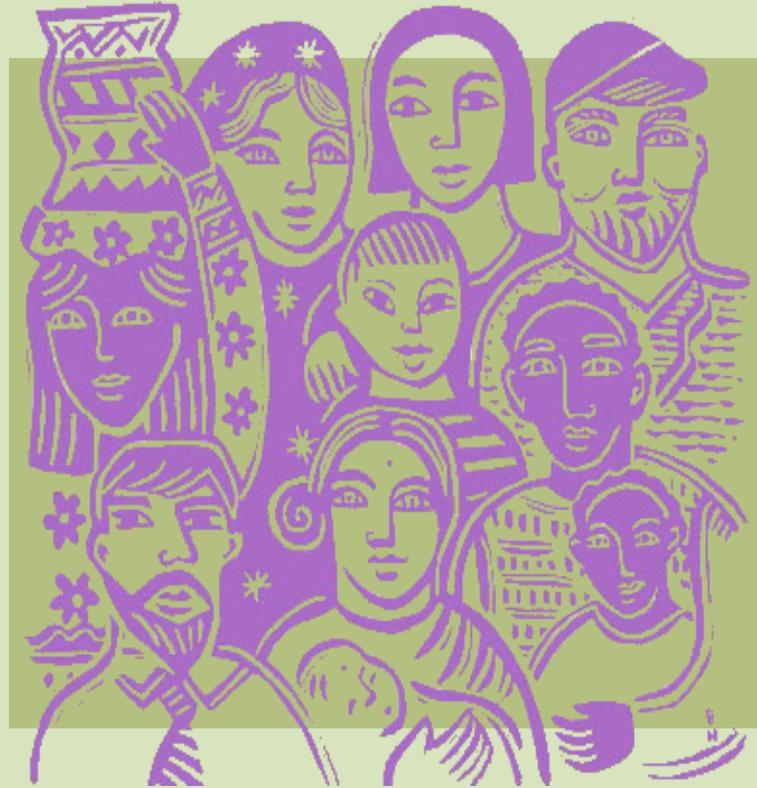
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# Paris Declaration Evaluation Prepared by: Social Impact, Inc.

SOCIAL IMPACT



# Scope of Work

## Commitment

- Examine awareness, knowledge, and commitment of USG to the PD principles as well as the extent to which there are underlying factors shaping the development of effective strategies for implementing the PD

## Capacity

- Extent to which the Knowledge, Commitment and Strategies, if any, developed by the USG have been transformed into operational principles and directives and staff capacity for implementation of the PD accords.
- SI will differentiate between those practices that are consistent with PD principles, and those which are directly attributable to the PD. It will also identify those USG policies and practices which either constrain or impede the adoption of the PD.



# Scope of Work

## Incentives and Disincentives

- Incentives and Disincentives for implementing the PD principles (Actual and perceived)

## General Discussion

- Analysis of the underlying causal factors “which have or are likely to affect” USG implementation of the PD.
- Lessons learned



# Evaluation Design and Methods

## Mixed Method combining

- Document review
- Time series analysis of budget
- Analysis of Agency program design and implementation procedures
- Structured Key Informant Interviews
- US Mission survey research
- Site visits to 5 -6 US Missions



# Case Studies and Team

- Conceptual Leadership: John Eriksson, Richard Blue and Ray Rist
- 7 Case Studies
  - Department of State: Richard Blue/Kelly Heindel
  - USAID: Jerry Hyman/Mathias Kjaer
  - MCC: Jim Fox
  - HHS: George Grob
  - DOT: Jim Fox
  - DOL: Jack Sullivan/Kelly Heindel
  - USDA: Cindy Clapp-Wincek/Morgan Holmes
  - OMB, US Congress, NGOs, NSC: Jack Sullivan



# USG Synthesis Report

- Comparative Analysis of Case Studies
- Integration of data from survey research and document review
- Analysis of Mission survey and interview data
- Report will highlight cross-agency findings, conclusions, and include policy and operational recommendations.



# Time Frame

- **Contract Award:** Jan 27 2010
- **Program Design and Methods paper:** Feb 9, 2010
- **Background Research:** March 2010
- **Interviews:** May to early June
- **Site Visits:** March through June
- **Mission Surveys:** June
- **Case Studies completed:** July 30, 2010
- **Synthesis completed:** Sept 15, 2010
- **Presentation to OECD/DAC:** October 2010



# Challenges

- PD is in the air, but not yet on the ground
- People in Washington are busy
- Transitional political environment (e.g. many political appointees have not been made yet)
- Comparing PD branded processes with “PD Like” processes.
- Dealing with very different bureaucratic cultures.
- Reducing bias



Thank You

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