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SWEDISH  
AGENCY FOR  
DEVELOPMENT  
EVALUATION

# Evaluation of Sweden's Implementation of the Paris Declaration



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Evaluation of Sweden's Implementation of the Paris Declaration

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## Preface

In 2005 the Paris Declaration was endorsed by partners representing a number of actors in the field of development cooperation. Aiming at strengthening partnerships and in order to make aid more effective and to maximise development results it was agreed to meet again in Accra in 2008. In Accra partners agreed on a High level meeting on aid effectiveness in 2011.

This evaluation report forms part of an ambition to present a background paper to the High level meeting in South Korea. Almost thirty donors and partner countries are contributing with national evaluation reports and these will be synthesised into a comprehensive OECD/DAC evaluation of the implementation of the Paris Declaration.

The Swedish Agency for Development Evaluation (SADEV), as an autonomous agency carrying out independent evaluations of Swedish international development cooperation, considered it important to contribute to the international evaluation by reporting on the implementation of the Paris Declaration by Sweden.

The report focuses on the implementation of the Paris Declaration by Sida, and thus does not cover all Swedish development cooperation. It was written by Robert Keller, Sara Ulväng Flygare and Lennart Widell. However, many people have contributed to this report and SADEV would like to thank everyone involved: staff at Sida; the Swedish Ministry for Foreign Affairs (MFA); as well as a number of Swedish government agencies and civil society organisations. Special thanks go to the Swedish reference group with members from MFA and Sida, as well as to the staff of the coordinating Secretariat for the evaluation. The reference group also had a specific role in assuring quality of the evaluation.

Karlstad, January 2011

*Gunilla Törnqvist*  
Director General

# Executive summary

## **Purpose and background**

As part of the agreement on the Paris Declaration on Aid Effectiveness 2005, an international monitoring and evaluation mechanism was introduced. At the meeting in Accra, where the Accra Agenda for Action was endorsed, the first phase of the evaluation was completed. Later the same year phase two was launched. This phase of the evaluation included 28 country evaluations and seven head-quarter studies on the implementation of the Paris Declaration. The findings from phase one and phase two respectively will be synthesised and reported at the High Level Forum in South Korea November-December 2011.

This evaluation is one of the seven head-quarter studies that together with the country evaluations and a number of special studies will form the synthesis report.

## **Methodology**

The evaluation deals with the Swedish implementation of the Paris Agenda, not with its effects. It is focused on Swedish bilateral development cooperation through Sida's headquarters. It should, however, be noted that the degree of delegation to embassies is high.

The Swedish cooperation through multilateral channels – approximately half of Swedish development cooperation – is mentioned but not analysed. Primary data has been collected through review of documents, interviews and a questionnaire. The analysis is of a qualitative rather than quantitative character.

## **Overall conclusions**

The Paris Declaration and the Accra Agenda for Action are two crucial agreements, which when implemented, increase the effectiveness of development cooperation as tools in achieving development results. It is equally clear that the Paris Declaration and the Accra Agenda for Action cannot be applied uniformly in all countries with which Sweden is a partner in development. Contexts do matter. The principles contained in the Paris Declaration do not carry the same weight in all countries. In some countries, non-alignment is a deliberate choice given the political conditions in that country. This may also change over time. The practical application of the Paris agenda and the Accra Agenda for Action, therefore, needs to be constantly revised and updated as contexts change.

## Key lessons

It is not possible to give a firm answer to whether recent changes in Swedish development cooperation have also been a result of the Paris Declaration as many of the elements of the Declaration were already present in Swedish development cooperation before 2005.

The Swedish Government has incorporated much of the Paris Declaration in steering and policy documents and Sweden has been highly active in advancing the aid effectiveness agenda internationally.

The progress of implementation has varied between contexts and sectors. Sweden has a long tradition of emphasising national *ownership* and the status in this area seems to be good.

In relation to *alignment* there has been progress in respect to several indicators.

The progress and status in relation to *harmonisation* is satisfactory, and this seems to be the principle in which most achievements have been made.

Despite a number of initiatives from Sida and Swedish government/Ministry for Foreign Affairs much still remains to do in implementing *managing for results*.

Hardly any signs of progress are found in terms of *mutual accountability*<sup>1</sup>, and the practical implications of this principle are not well understood.

The fundamental principles of the Paris Declaration generally enjoy strong support and commitment at all levels of Swedish development cooperation.

Capacity raising measures have been taken and the quality of for example training and guidelines appears to be high.

There are practically no specific incentives, neither at individual nor organisational level, to facilitate the implementation of the Paris Declaration. What drives the implementation process, apart from formal steering and strong signals by Government, is rather the commitment of individuals to contribute to better and more effective aid, as well as a belief that the Paris Declaration can be a part of this endeavour.

The practical application of the Paris Declaration and the Accra Agenda for Action needs to be constantly revised and updated as contexts change.

## Key recommendations

Based on the observations and conclusions in this report, the Government, the Government Offices/Ministry for Foreign Affairs and Sida are recommended to address the following issues.

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<sup>1</sup> Although a reportedly higher degree of predictability due to longer-term commitments might be a sign of progress

**The Government is recommended to:**

*advance* the aid effectiveness agenda both internationally and at country level, and, recognising different contexts, operationalise the Paris Declaration and Accra Agenda for Action;

*maintain* reporting to Parliament on results of international development cooperation, with emphasis on challenges and opportunities to improve aid effectiveness;

*communicate* efforts on “Managing for Results” and “Results Based Management”; and

*clarify* the applicability of Paris/Accra in fragile and conflict/post conflict states, Eastern European countries and so called Category 4 countries.

**The Government Offices/Ministry for Foreign Affairs and Sida are recommended to:**

*advance* the aid effectiveness agenda both internationally and at country level, and, recognising different contexts, operationalise the Paris Declaration and Accra Agenda for Action;

*maintain* the dialogue between the Government Offices/Ministry for Foreign Affairs and Sida in line with the Joint Action Plan, to facilitate further implementation of the agenda;

*enhance* the system for competence development in a way that maximises knowledge sharing and learning between headquarters and embassies;

*include*, in training programmes, training modules covering aid effectiveness, coordination and negotiation in complex environments;

*ensure* that staff, both at headquarters and embassies, deepen the experience and expert knowledge of Public Sector Management in a developing country context; and

*enhance* and increase the use of skills of local staff.

**The Government Offices/Ministry for Foreign Affairs is recommended to:**

*communicate* the Paris Declaration and the Accra Agenda for Action, as an instrument for advancing the aid effectiveness agenda;

*communicate* the relations between the five principles of the Paris Declaration, as well as the meaning and practical implication of each principle, in particular the principles of “Managing for Results” and “Mutual Accountability”;

*ensure* that results frameworks are useful and easy to understand;

*develop* means to enable the public, civil society organizations, academics and politicians to better understand how Sweden is delivering aid according to the effectiveness agenda; and

*communicate* the difference and relationship between the policy for global development and international development cooperation.

**Sida is recommended to:**

*seize* the opportunity when reorganising Sida to provide the necessary conditions and resources for implementation of the aid effectiveness agenda;

*ensure* knowledge and understanding among staff of the Swedish governance model;

*ensure* understanding of the Paris Declaration and Accra Agenda for Action, including the preconditions for implementing the Declaration and Agenda in a particular context; and

*invest* in competencies, including negotiating skills, knowledge of different aid modalities, public sector management, and sector competencies.

## Acronyms

AAA	Accra Agenda for Action
AE	Aid Efficiency
CIVSAM	Sida's unit for cooperation with Civil Society
CSO	Civil Society Organization
DAC	Development Assistance Committee (OECD)
EU	European Union
GBS	General Budget Support
GNI	Gross National Income
MFA	Swedish Ministry for Foreign Affairs
OECD	Organization for Economic Co-operation and Development
PD	Paris Declaration
SBS	Sector Budget Support
SEK	Swedish Crowns
Sida	Swedish International Development Cooperation Agency
SWAP	Sector Wide Approach
UN	United Nations
UNAIDS	United Nations Programme on HIV and AIDS
UNFPA	United Nations Population Fund
UNICEF	United Nations Children Fund
UP	Department for Development Policy at Swedish MFA
USTYR	Department for Management and Methods in Development Cooperation at Swedish MFA



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# 1 Introduction

## 1.1 Background

At the second High Level Forum held in Paris in 2005 the Paris Declaration on Aid Effectiveness (Paris Declaration)<sup>2</sup> was endorsed by 52 donors/agencies and partner countries, and 30 other actors in the development cooperation field [United Nations (UN) and other multilateral agencies and non-governmental organisations].<sup>3</sup> The Declaration aims to strengthen partnerships between donor countries and countries receiving aid (partner countries) in order to make aid more effective and to maximise development results.

In 2008, the Paris Declaration was followed by the Accra Agenda for Action (AAA). The Agenda is based on the Paris Declaration, but builds upon it. It expresses a broader view of ownership and dialogue, stresses the need for strengthening capacity development in developing countries and addresses the role of civil society.

As part of the agreement, an international monitoring and evaluation mechanism to cover the implementation process was introduced. During 2006 and 2008 follow-ups were made of the indicators established in the Paris Declaration. In 2007 the Development Assistance Committee of the Organization for Economic Cooperation and Development (OECD/DAC) initiated an evaluation of the implementation of the Paris Declaration. The key lessons from phase one of the evaluation are presented in *Annex 1: Lessons learnt and recommendations from DAC evaluation, Phase 1*.

In 2009, seven donors decided to produce so called Head Quarter (HQ) Studies during the second phase, and twenty-two partner countries decided to produce Country-level evaluations. The results from all studies will be synthesised into one report to be presented at the High Level Forum on Aid Effectiveness in Korea, 2011; see *Annex 2: Excerpt from OECD generic Terms of Reference for Donor Head Quarter Studies, phase 2*. The High Level Forum is expected to take stock of what has been advanced since 2008, and set out a new framework for increasing the quality of aid in order to achieve the Millennium Development Goals by 2015.

## 1.2 Purpose

According to the generic Terms of Reference the emphasis in phase two is on “learning, by asking the twin questions: are we doing the right things and are we doing things right?” The series of studies will serve to:

“Deepen our understanding of the findings and results emerging from Monitoring Survey inputs.

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<sup>2</sup> The Paris Declaration: <http://www.oecd.org/dataoecd/30/63/43911948.pdf>.

<sup>3</sup> This section is based on the OECD/DAC generic Terms of Reference for the evaluation.

*Facilitate global learning on aid effectiveness through the evaluation processes and to facilitate more efficient implementation of the Paris Declaration.*

*Make specific recommendations to development agencies and to the global aid community for improving aid effectiveness.*

*Supplement and strengthen the basis for the main focus of the Phase 2 evaluation, a strong set of Country-level Evaluations<sup>3,4</sup>.*

Specific objectives of the Head Quarter Studies are to:

- *“Enable donors/agencies to clarify, improve and strengthen policies and practice consistent with the Paris Declaration in pursuit of aid effectiveness and development effectiveness.*
- *Highlight barriers and difficulties that may have limited the implementation of the Paris Declaration and its effects and impacts – and ways that these barriers and difficulties may be overcome.*
- *Enable sharing and exchange of experience among stakeholders, countries and partnerships so as to facilitate reflection, lesson-learning and policy improvement<sup>5</sup>”.*

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<sup>4</sup> See OECD Generic Terms of Reference for the Head Quarter Study, p. 5.

<sup>5</sup> Ibid.

## 2 Methodology and Limitations

### 2.1 Evaluation object

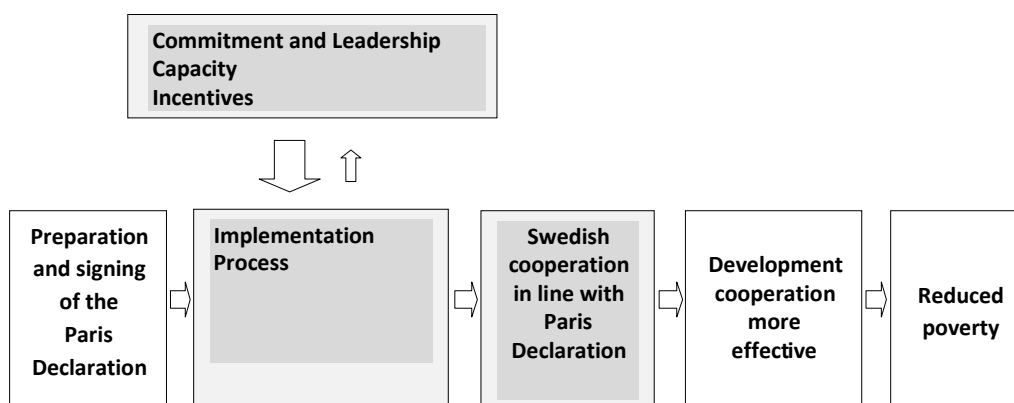
The evaluation object is the Swedish development cooperation with respect to the way in which the Paris Declaration has been implemented. Focus is on the Government and the Swedish Agency for International Development (Sida), as it is the main implementing agency of Swedish aid. However, the evaluation touches upon other organizations involved, in particular the Ministry for Foreign Affairs (MFA) in the Government Offices.

The evaluation is concerned with the evaluation criteria of effectiveness, i.e. the extent to which objectives were achieved. Focus is also on why objectives were or were not achieved. Therefore, the evaluation includes discussions about the quality, efficiency and relevance of action taken by Sweden.

### 2.2 Analytical model and report structure

The implementation process can be illustrated in a model as shown in Figure 2.2.1 below. This report discusses how Commitment and Leadership, Capacity and Incentives have affected the Implementation of the Paris Declaration and the Present Status of Implementation (the grey boxes in Figure 2.2.1).

Figure 2.2.1 Analytical model for Sweden's implementation of the Paris Declaration



The report starts with a discussion on the concept of implementation in Chapter 3. Chapter 4 contains an overview of the organisation of Swedish development cooperation, its goals and volumes. The factors influencing the implementation process of the Paris Declaration (Commitment and Leadership, Capacity, and Incentives) are analysed in Chapter 5.

Chapter 6 presents the status of implementation in relation to the Paris Declaration principles. Some identified possible conflicting objectives and interests are listed and

analysed separately in Chapter 7. Conclusions and recommendations follow in Chapter 8 and 9 respectively.

### 2.3 Delimitations

The evaluation deals with the Swedish implementation of the Paris Agenda, not with its effects. It is focused on Swedish bilateral development cooperation through Sida headquarters. It should, however, be noted that the degree of delegation to embassies is high.

The Swedish cooperation through multilateral channels – approximately half of Swedish development cooperation – is mentioned but not analysed. The generic Terms of Reference call for special attention being given to the health sector. This particular part is not included, because Swedish support to health is given mainly through multilateral channels.

The analyses cover the period 2005 to July 2010 and developments in this period. However, development prior to the signing of the Paris Declaration forms a background to the analyses. It should also be noted that a new ordinance for Sida was recently enacted<sup>6</sup> - the content of which is not reflected in this report.

The question of how Sweden has advanced the aid effectiveness agenda internationally is only briefly touched upon.

### 2.4 Data Collection

SADEV has used primary as well as secondary data for the evaluation.

#### *Primary Data*

Primary data has been collected through:

- A. Review of documents
- B. Interviews
- C. Questionnaire

SADEV has reviewed central documents in the management processes at MFA and Sida.

Personal interviews were carried out with 52 people listed in *Annex 3: List of interviewees*. The list includes staff at the MFA and Sida (including at the Swedish Embassies), representatives of civil society organisations, consultants, academics and others. The selection was intended to provide a variety of perspectives of the Swedish implementation of the Paris Declaration. Hence, the list of interviewees includes top management, middle management and operative staff, as well as people working in different country contexts, within different sectors and with responsibility for different issues. It should be noted that all interviewees are Swedish.

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<sup>6</sup> SFS 2010:1080.

A general interview guide was developed and adjusted to each interviewee. See *Annex 4: Question guide*. In most interviews two interviewers from SADEV participated. The interviews were transcribed immediately. This interview material, consisting of approximately 150 pages, was later systematically analysed, question by question, by the evaluation team.

The report includes some quotes from the interviews. These quotes may not always be verbatim, but are correct in terms of content.

A short questionnaire was sent out to 20 Swedish government agencies engaged in implementing Swedish development cooperation. The organizations were selected by using address lists for the network of government development cooperation agencies. Five agencies answered that the questionnaire was not relevant for them. Out of the remaining fifteen, twelve agencies responded. The questionnaire is found in *Annex 5: Questionnaire to Swedish Government Agencies and Private Companies*.

### *Secondary data*

SADEV has used secondary data from OECD, Sida and other sources, as well as studies and evaluations by external researchers and consultants. A list of literature and documents used is presented in *Annex 6: List of documents and literature*.

## **2.5 Evaluability**

DAC defines evaluability as the “*Extent to which an activity or a program can be evaluated in a reliable and credible fashion*”.<sup>7</sup>

The following main difficulties in evaluating the implementation of the Paris Declaration are identified:

- The Paris Declaration is comprehensive and complex, and also includes both a new mindset and special activities
- There is no uniform interpretation of the Paris Declaration
- The indicators are not easily measured; for example the DAC and Sida measurements differ considerably<sup>8</sup>
- The characteristics of the Declaration imply difficulties in getting fully valid answers in documents and from interviewees
- Difficulties in attributing<sup>9</sup> changes in development cooperation to the Paris Declaration, partly due to the fact that it reflected existing trends in Swedish development cooperation.

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<sup>7</sup> OECD/DAC Glossary of key terms in evaluation and Results Based Management.

<sup>8</sup> The results presented in the DAC Monitoring Surveys and in the Sida Annual Report are not comparable. Another issue is the fact that only results of Sweden's bilateral cooperation – not the cooperation through multilateral channels - is included in the follow-up. This means that for some countries and sectors - such as the health sector - a large part of the contribution is unaccounted for, which provides a skewed picture of Swedish accomplishment.

<sup>9</sup> Attribution is “the ascription of a causal link between observed (or expected to be observed) changes and a specific intervention.”

OECD: Glossary of Key Terms in Evaluation and Results Based Management.

In order to overcome certain methodological problems a large volume of data was collected, and when possible, triangulation was used comparing and combining the results from statistics, document/literature reviews, and interviews. SADEV has also constructed an analytical foundation based upon implementation theory.

The basis for assessments is by nature rather subjective. Consequently the assessments are also slightly subjective and have the character of qualitative rather than quantitative analyses.



## 3 Implementation

This chapter discusses the concept of implementation in general terms and highlights some features of the Paris Declaration with emphasis on implementation.

### 3.1 The Concept of Implementation

One of the more commonly used definitions of implementation is formulated by Mazmanian and Sabatier as follows:

*“Implementation is the carrying out of a basic policy decision, usually incorporated in a statute but which can also take the form of important executive orders in court decisions. Ideally, that decision identifies the problem(s) to be addressed, stipulates the objective(s) to be pursued, and in a variety of ways, ‘structures’ the implementation process”.*<sup>10</sup>

Implementation may be completed to a smaller or larger extent, and this is the *quantitative* aspect. Evert Vedung<sup>11</sup> discusses implementation based upon the concepts of implementation deficit and surplus. An implementation surplus means that the implementation has exceeded its targets while an implementation deficit means the opposite, i.e. the targets have not been met. Vedung and Klefbom give one example on implementation surplus from the 1987 Montreal Protocol on Substances that Deplete the Ozone Layer, where Sweden came to be a forerunner exceeding its environmental target.

However, the implementation may also be carried out at higher or lower levels of *quality*. For example, one of the Paris Declaration indicators concern joint analytical work. The extent of such work is measurable but analytical work may also be carried out in different ways, i.e. with different levels of quality. Similarly, while the percentage of aid provided as sector programme support is quantifiable, these sector programmes may be more or less well-prepared.

In Weiss and Brown's<sup>12</sup> study “Getting Countries to Comply with International Agreements”, they examine the implementation of five international environmental agreements in eight European countries. Based on weak or strong status for the two factors intention and capacity - similar to “commitment and leadership” and “capacity” used in this evaluation - they form a matrix showing suitable implementation strategies as is illustrated in Figure 3.1.1.

<sup>10</sup> Mazmanian, D.A and Musheno, M.C. (eds): (1983:20-1) Implementation and Public Policy.

<sup>11</sup> Vedung, Evert: The Enigma and implementation surplus.

<sup>12</sup> Weiss, Edith Brown & Jacobson, Harold K: Getting Countries to Comply with International Agreements, from Environment, July/August 1999.

Figure 3.1.1 Suitable implementation strategies for different situations

	Capacity		
	<b>strong</b>	<b>weak</b>	
Intention	<b>strong</b>	<i>Sunshine</i>	<i>Incentives</i>
	<b>weak</b>	<i>Sanctions</i> <i>Sunshine</i>	<i>Incentives</i> <i>Sanctions</i> <i>Sunshine</i>

The authors distinguish between three different implementation strategies to induce compliance with the agreement. The first strategy is the “sunshine strategy” based on the belief that an organisation has Capacity and Intention, and wants to maintain a good reputation. Sunshine measures include regular national reporting, peer scrutiny of reports, as well as media access and coverage to provide public awareness. The second approach is the “incentive approach” with moral or pecuniary incentives. The third approach is the “sanction strategy” based on sanctions and penalties. Different strategies fit different situations. In situations where the implementer has strong Intention and Capacity, the “sunshine” approach seems, as is pictured in the figure, to be the most effective.

In the literature on management of change, implementation processes have been studied with a focus on the strategy used for implementation. Dichotomised, there are two types of strategies. The “expert strategy” or “top down strategy” is characterised by the fact that the change is initiated, planned and implemented by experts. In the “learning strategy” or “bottom-up strategy” participation is the key word and the change is initiated, planned and implemented by a large part of the staff.<sup>13</sup>

Changes may be incremental, building on existing ideas, or based on radically new ideas. When changes are incremental, organizations adjust their performance by adding new knowledge to existing knowledge - so called single loop learning. Radical changes require a completely new way of thinking/learning - double loop learning<sup>14</sup>.

In his book “The Organization of Hypocrisy”, Nils Brunsson<sup>15</sup> distinguishes between three characteristics of organisations, which are helpful when studying implementation. He separates what the organization:

- “Talks” about
- Decides about
- Actually implements

<sup>13</sup> See for example political scientist Hjern, Benny: Implementation research: the link gone missing and management scholars Dilschmann, Angela et al: Lärandebok.

<sup>14</sup> Argyris, Chris: On Organisational learning.

<sup>15</sup> Brunsson, Nils: The Organization of Hypocrisy, p. 25.

In the Brunsson context this means that even if a person “talks” about something, he/she may take a totally different decision and also perform in an entirely different manner, in relation to the decision, as well as “talking”.

A person or an organization may also, according to Brunsson, separate aspects of a problem and communicate those aspects using different channels and messages. Brunsson calls this “decoupling.”<sup>16</sup>

In this evaluation, elements from the above theories will be used.

### 3.2 The Paris Declaration and Accra Agenda of Action

The Paris Declaration consists of five principles (ownership, alignment, harmonisation, managing for results, and mutual accountability), 56 commitments and 12 progress indicators. Some of the indicators apply to the partner country and others to the donors.

The Declaration is accompanied by a monitoring system with targets set and quantified for the year of 2010. Follow-ups have so far been made for 2005 and 2007. For several reasons it is difficult to report on results regarding the fulfilment of the indicators. Unclear definitions and difficulties in applying the indicators in practice have been mentioned as a problem. Whether the indicators measure the most important aspects of progress has also been the subject of discussion. The DAC monitoring surveys refer mostly to the indicators.

A word frequency count provides a certain indication of the focus of the Paris Declaration; see Table 3.2.1 Concepts mentioned in Paris Declaration/Accra Agenda for Action.

Table 3.2.1 Concepts mentioned in Paris Declaration/Accra Agenda for Action

<b>Concept</b>	<b>No. of times Mentioned</b>
Effectiveness	46
Result	34
Accountability	14
Poverty	12
Harmonisation	9
Ownership	9
Alignment	6
Change	7
Human right	2
Democracy	1
Learning	1

*Comment: The numbers refer to how many times concepts are mentioned in the text (headings excluded).*

<sup>16</sup> Brunsson, Nils: The organization of Hypocrisy, p. 7.

The Paris Declaration frequently refers to effectiveness and results but rarely to concepts such as Learning and Change, which are usually considered as markers for dynamic effectiveness.

Relating back to Section 3.1 The Concept of Implementation, the Paris Declaration in itself resembles a typical “sunshine strategy” based on principles of monitoring surveys (peer reviews) etc. but with neither real, incorporated incentives nor sanctions.

## 4 Contextual Factors

### 4.1 Organisational structure of Swedish Development Cooperation

The Swedish Parliament (Riksdag) decides on appropriations for development assistance, to Sida, the Nordic Africa Institute and the Folke Bernadotte Academy, as well as appropriations for the National Audit Office and SADEV.<sup>17</sup> The Government Offices handle part of the appropriation for development assistance.<sup>18</sup>

The Swedish government model is based on the Government itself, the Government Offices, and a number of agencies. Basically the Government decides on policies and strategies whereas agencies implement them. The Government manages the agencies through agency specific ordinances, annual letters of appropriation, specific government decisions, as well as through dialogue.

In Parliament, the Committee on Foreign Affairs handles development cooperation. The committee consists of 17 parliamentary members and their secretariat is manned by eight members of staff.<sup>19</sup>

Within the Government Offices, MFA is responsible for development cooperation with a special minister and permanent secretary appointed<sup>20</sup>. Responsibility is mainly shared between the Department for Management/Methods in Development Cooperation (USTYR), the Policy Department (UP), the Multilateral Department (MU) and the geographical departments handling all types of issues at regional/country levels. About 80 members of staff at MFA work full time with development cooperation. In addition, there is a substantial number of staff at the geographical departments who are involved in development cooperation. MU is operational in providing support to multilateral organisations.

Sida is governed by an ordinance decided by Government<sup>21</sup> stipulating that Sida should inter alia:

- Assist the Government in the preparation of policies, strategies and methods within development cooperation
- Implement strategies and the equivalent for various parts of the development cooperation, decided upon by the Government
- Internationally and nationally cooperate with, and give support to other stakeholders on issues in relation to the work by the agency.

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<sup>17</sup> The Swedish National Audit Office reports to Parliament.

<sup>18</sup> In addition a number of other government agencies are engaged in development cooperation with financing from Sida.

<sup>19</sup> Parliament itself implements a few programmes for parliamentary strengthening through Parliament's International Department.

<sup>20</sup> All major decisions are, according to the Swedish constitution, taken by Government collectively.

<sup>21</sup> SFS: 2008:1442, § 2. In August 2010 a new government ordinance for Sida came into force SFS 2010:1080.

In the annual letters of appropriation to Sida, additional goals, commitments and reporting requirements are stated.

In 2010, Sida employed 892 staff members of which 607 were based at its headquarters in Stockholm and 285 at Swedish embassies. Sida was reorganised in 2008. Three pillars (divisions) were formed: operations, policy and management. The process of decentralising responsibilities to the Swedish embassies was reinforced, and country teams (consisting of staff at headquarters and embassies) were established. The decentralisation of responsibilities extends to decisions on projects, which for all but very large projects are delegated to embassies.<sup>22</sup> The Swedish embassies in countries where Sweden undertakes development cooperation are most often integrated, meaning they are staffed by MFA and Sida. The embassy is headed by an ambassador, who delegates responsibility for development cooperation to a counsellor who is normally linked to Sida.

Civil society organisations are recognised as key actors in development cooperation. For this reason, a substantial part of Swedish development cooperation is implemented in collaboration with civil society organisations.

## 4.2 Goals for Swedish development cooperation

Following the presentation of the government bill “Shared Responsibility – Sweden’s Policy for Global Development”, the Swedish Parliament took decisions on international development cooperation and a coherence policy embracing all policy areas in 2003.<sup>23</sup> The specific objective for Sweden’s development cooperation adopted was: *“to contribute to an environment supportive of poor people’s own efforts to improve their quality of life”*. It was also decided that this goal should apply to cooperation with the countries of Central and Eastern Europe. In 2008, however, the goal for the reform cooperation in Eastern Europe *“strengthened democracy, equitable and sustainable development and closer ties to the EU and its basic values”*, was adopted.<sup>24</sup>

According to the Parliament decision in 2003 two perspectives are to permeate Sweden’s Policy for Global Development, and Swedish Development Cooperation: a rights perspective and the perspectives of the poor.

In 2006, the Government<sup>25</sup> expressed three “thematic priorities” for development cooperation valid for the four year government period:

- Democracy and human rights
- Environment and climate change
- Gender equality and the role of women in development.

<sup>22</sup> Based upon an organisational review, Sida announced a new organisational structure for the agency in August 2010.

<sup>23</sup> Government Bill 2002/03:122, bet. 2003/04:UU3, rskr. 2003/04:112. The overall objective of the policy on global development is “to contribute to equitable and sustainable global development”. This policy is often referred to as the coherence policy. It means that all policy areas (i.a. agriculture and trade policy) should contribute to the overall objective of the Policy for Global Development. This policy preceded the Paris Declaration by two years.

<sup>24</sup> Government Bill 2007/08:1.

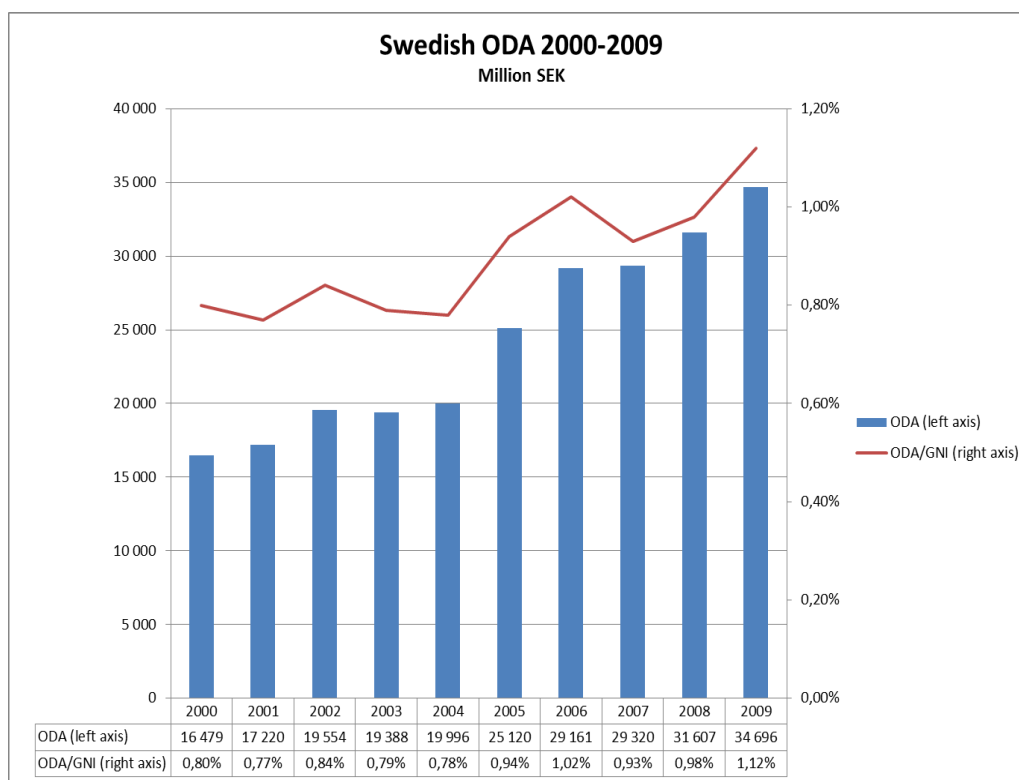
<sup>25</sup> Government Bill 2006/07:1.

As noted by OECD/DAC in the 2009 peer review<sup>26</sup> a clearer division of labour has been established between the MFA and Sida, and the Government introduces 12 new thematic policies that will gradually replace all sectoral and thematic policies.

### 4.3 Volumes of Swedish development aid

Swedish development aid for the year 2009 was 34.7 billion Swedish Crowns (SEK), which was equivalent to 1.12 % of the Gross National Income (GNI)<sup>27</sup>; see Figure 4.3.1. Aid through Sida amounted to about half of the volume, SEK 16.9 billion, equivalent to 2.2 billion US\$.<sup>28</sup> Out of the Swedish development aid, about two thirds are allocated to bilateral aid<sup>29</sup> and one third to multilateral aid.

Figure 4.3.1 Swedish ODA 2000-2009



Additional information on disbursements of Swedish aid is provided in *Annex 7: ODA through Sida – Selected Statistics on Sectors and Countries*.

<sup>26</sup> Peer Review of Sweden, OECD/DAC, 2009

<sup>27</sup> Figures as reported to DAC. The volume of Swedish development cooperation in the Government's budget is set at 1% of forecasted GNI for a particular year. Depending i.a. on actual GNI, this percentage might at year's end differ from the 1% target.

<sup>28</sup> Mid-year exchange rate for 2009.

<sup>29</sup> Including so called multi-bi.

## 5 Commitment and Leadership, Capacity and Incentives

This chapter discusses commitment and leadership, capacity and incentives in relation to the status and progress of the Swedish implementation of the Paris Declaration.

### 5.1 Commitment and Leadership

*Commitment* has been defined as “an agreement or pledge to do something in the future”.<sup>30</sup> It may also refer to devotion to something.

For Sweden to demonstrate leadership to other countries in implementing the Paris Declaration, leadership in its organisations (i.e. MFA and Sida) is fundamental.

*Leadership* has been defined as “the process of directing the behaviour of others towards the accomplishment of the organization’s goal (...) in other words translating plans into reality (...) more specifically entails activities such as formulating the organization’s mission, goals and strategies, explaining them to followers, giving orders and instructions to followers, deliberating them and supervising their work, taking steps to improve their performance (...) and dealing with conflicts”.<sup>31</sup>

The implementation of the Paris Declaration has been carried out by MFA and Sida using two different strategies:

- a classical *principal-agent* system between the Government and Sida with the Government as the directing principal and Sida as the implementing and reporting agent.
- a *joint action plan* elaborated by the Government and Sida, covering the period 2009-2011<sup>32</sup>.

#### 5.1.1 The principal-agent system for implementation

Figure 5.1.1 below illustrates the principal agent system for Swedish development co-operation.

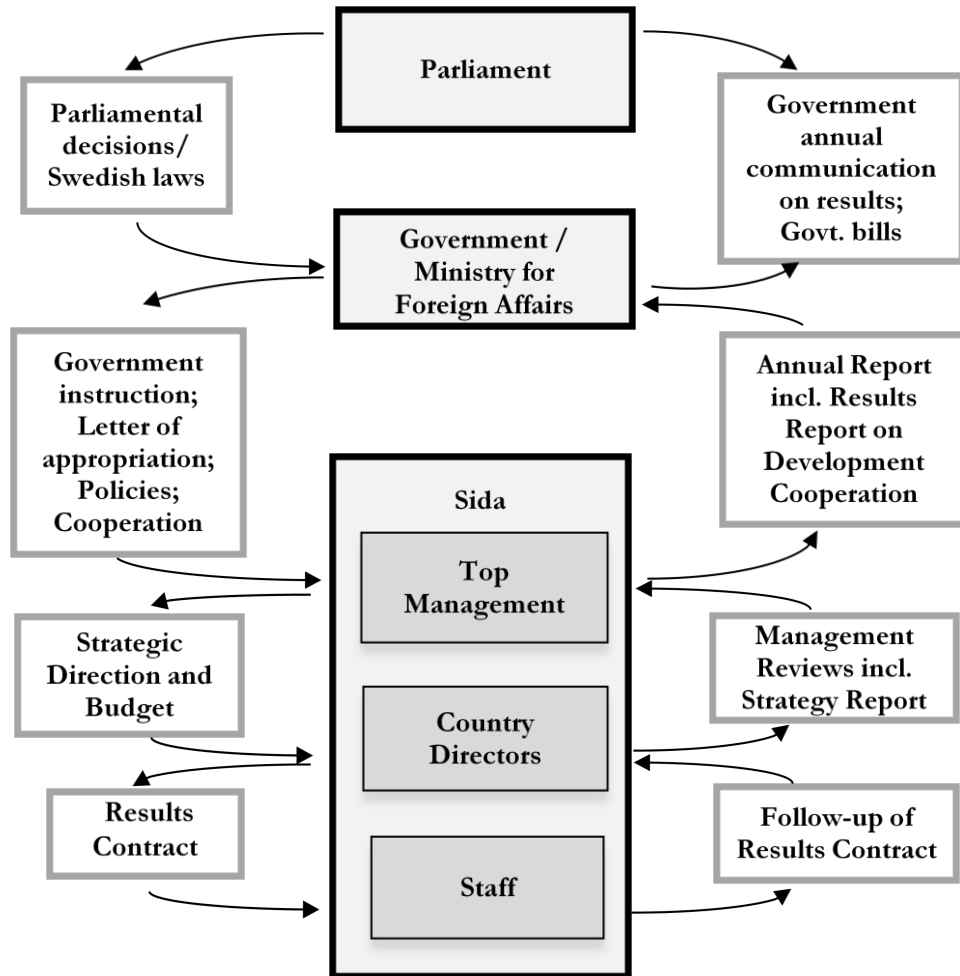
<sup>30</sup> Merriam Webster Online dictionary.

<sup>31</sup> Smit, PJ et al: Management Principles, p. 271-271. This evaluation deals with leadership in this section, as well as in section 6 on Sweden's implementation strategy.

<sup>32</sup> Action Plan on Aid Effectiveness, Regeringskansliet and Sida, 2009-06-29



Figure 5.1.1 The principal agent system in Sweden



The four relations for principles and agents are as follows:

	<b>Principal</b>	<b>Agent</b>
Loop 1	Parliament	Government
Loop 2	Government	Sida
Loop 3	Sida Top Management	Country Directors
Loop 4	Country Directors	Individual staff members

The analyses focus on whether

- the Paris Declaration is explicitly *mentioned* in the documents
- the content of the documents reflect the Declaration in *substance*
- Directives and the reports *match* each other
- Directives are *understood* by the agents and the reports *found satisfactory* by the principals

## Parliament – Government

Loop 1 is based on Parliamentary decisions and on bills and communications from Government to Parliament.

The Paris Declaration is explicitly mentioned in both bills – in particular in the Budget Bill - to Parliament and the Parliament's decisions. There seems to be a common understanding and approval of the Declaration, and there are no dissenting opinions on the government bills from the opposition parties. This reflects a tradition of relative political consensus in the area of international development cooperation.

June 2007: Strengthened results-based management in development cooperation was introduced by the Government.<sup>33</sup> An annual performance communication from Government to Parliament was introduced. This is the main instrument for reporting on results of Swedish development cooperation.

June 2009: The first Communication on the results of the development cooperation, covering the year 2008 was presented.<sup>34</sup> Commitments from the Paris Declaration such as the programme-based approach, aid modalities and harmonisation were included. One chapter was devoted to aid effectiveness and a discussion on the Paris Declaration indicators.

2010: New Communication on results was presented. It focused on the environment.<sup>35</sup>

## Government – Sida

In Loop 2 the formal decisions by Government directed specifically to Sida are the Ordinance<sup>36</sup> and the Annual Letters of Appropriation. In addition, the Government decides on inter alia Policies<sup>37</sup> on various issues on Development Cooperation, and on Strategies for budget lines and Strategies for Cooperation with Partner Countries.

The reporting from Sida to the Government is above all manifested in the Annual Report from Sida.

<sup>33</sup> Model for Strengthened Results-based Management in Development Cooperation, UD2007/22431/USTYR.

<sup>34</sup> Results in Development Cooperation 2008, Government Communication 2008/09:189.

<sup>35</sup> Biståndets resultat – tema miljö och klimat, Government Communication 2009/10:214.

<sup>36</sup> The latest is SFS 2010:1080.

<sup>37</sup> The policy plan stipulates twelve thematic policies to govern Swedish development cooperation. The very last of these policies are about to be finalized.

2006: Letter of appropriation requesting Sida to implement the Paris Declaration.<sup>38</sup> In following letters of appropriation Sida is requested to report on different aspects of the Paris Declaration and its implementation.

2006: Sida action plan for 2006-2007<sup>39</sup>. It included target areas and responsible units and focused on two aspects:

- (1) development of methods for implementation, for example guidelines for Programme Based Approaches, and
- (2) general awareness campaigns about the Paris Declaration

### *Country Cooperation Strategies*

Country cooperation strategies governing bilateral development cooperation are normally valid for a period of three to five years and are initiated and finally decided upon by Government.<sup>40</sup>

### *Advancing the aid effectiveness agenda*

The principles of the so-called Nordic Plus<sup>41</sup> initiative on aid effectiveness, in which Sweden was instrumental has influenced both the country cooperation strategies and subsequent international work on aid effectiveness. The Nordic Plus decided that each participating donor should strive to work according to a number of principles, one of them being to be active in a maximum of three sectors per partner country<sup>42</sup>. Zambia was one of the test-case countries for the Nordic Plus initiative, which could be one of the explanations for that particular country strategy being well in line with the Paris Declaration.

Sweden was also active in the preparation of the EU Code of Conduct on Complementarity and Division of Labour in Development Policy<sup>43</sup>, stressing i.a. harmonisation and alignment, and developing a format for joint financial agreements.

Sweden has also worked intensively with the concept of using of country systems for project support. During the Swedish Presidency of the EU Council in 2009 Sweden was the driving force behind what then became the EU Operational Framework.<sup>44</sup> One of the chapters of the Framework deals with Use of Country Systems, Capacity Development and Division of Labour. The fact that country systems should be used for project support and seen as the first option for all support is now part of the Cooperation Strategy Guidelines.<sup>45</sup>

### *Reporting*

<sup>38</sup> UD2005/67875/PLAN, UD2005/67876/GU, 2005-12-20.

<sup>39</sup> Sida action plan for increased aid effectiveness 2006-2008, Memo, Sida 2006-06-21.

<sup>40</sup> Guidelines for Country Cooperation Strategies, and supplements to or revisions of the Guidelines, have been adopted by the Government in 2005 (UD2005/24624/GU), 2007 (UD2007/25525/USTYR), 2008 (UD2008/12128/USTYR) and 2010 (UF2009/90457/USTYR).

<sup>41</sup> Denmark, Finland, Ireland, the Netherlands, Norway, Sweden and the United Kingdom

<sup>42</sup> Complementary Principles guiding the division of labour part of Joint Assistance Strategy processes, Nordic Plus (2005).

<sup>43</sup> Council conclusions 9558/07 15 May 2007.

<sup>44</sup> Council conclusions, 17 November 2009.

<sup>45</sup> Riktlinjer för samarbetsstrategier för det bilaterala utvecklingsarbetet, UD (Government's decision 2010-06-10)

The Communications to Parliament on the results of the development cooperation were based on information given by Sida (as annex to the Sida Annual Report) as well as information considered relevant compiled within the Government Offices. MFA and Sida are reported to have a dialogue on how to improve the reporting.

Government also recently presented a new programme for making the Swedish development cooperation transparent,<sup>46</sup> and Sida has formulated the guidelines *Getting it together – Strengthening transparency, accountability, participation and non-discrimination with communication methods*.<sup>47</sup>

2007: Detailed guidance by the Government on how to work results-based, and how to report on results in country cooperation strategies.<sup>48</sup> Requirement on the objectives and indicators that they should be SMART<sup>49</sup> and aligned with national development plans.

2009: All Swedish embassies responsible for development cooperation were asked to report specifically on the implementation of the Paris Declaration to both Sida and the MFA.

2010: New guidelines for country cooperation strategies<sup>50</sup> that govern their development, content, implementation and follow-up, were introduced. Follow-up should assess whether supported activities have led to results, in relation to the stated objectives. There is no requirement to trace or attribute results specifically to the Swedish support.

Explicit reference to the Paris Declaration is made in the *Government ordinance to Sida*, emphasising the importance of the Paris Declaration. The references to the Paris Declaration in the *letters of appropriation* were in the first years after 2005 somewhat vague and ad hoc. In 2008 – 2010 the Government letters of appropriation to Sida gave directions on strengthening the results-based management system at Sida, and the two most recent letters are much more distinct and strategic.

Over the years, the Government's intentions have been made clearer to Sida's Directors and staff.

In the appendix to the Annual Report, Sida presents and analyses the results of development cooperation. In the Annual Report for 2009, a special chapter is devoted to a request from Government to present and analyse the results for each of the Paris Declaration donor indicators. The fulfilment of the indicators is thoroughly analysed but the focus is on external explanatory factors (such as performance of donors and partners) and not on the role of the Swedish actors.

Some of SADEV's interviewees at Sida have mentioned that the Ministry has not been satisfied with Sida's reporting. The reports are said to be too descriptive and narrative even though progress has been made during the last few years. Following a

<sup>46</sup> MFA: Öppna biståndet – Genomförandeplanen.

<sup>47</sup> Sida, April 2010.

<sup>48</sup> UD2007/25525/USTYR.

<sup>49</sup> Specific, measurable, accepted, realistic, timed.

<sup>50</sup> UF2009/90457/USTYR.

request in the 2009 letter of appropriation<sup>51</sup>, Sida is about to complete the development of a uniform system of results based management, including a system for input monitoring and risk management. The system includes planning, implementation and reporting phases and is based on plans and reports from the field offices<sup>52</sup> and covers each project.

*The Paris Declaration in policies and country cooperation strategies*

SADEV has also reviewed five of the *policies* produced after the signing of the Paris Declaration. The way in which the Paris Declaration is reflected varies. The policy for democratic development and human rights in Swedish development cooperation, 2010-2014<sup>53</sup> explicitly discusses the five principles of the Paris Declaration in a rather detailed manner, while the policy for economic growth<sup>54</sup> explicitly refers to the Paris Declaration only once.

SADEV reviewed a sample of five *country cooperation strategies*, representing countries in the categories of long term cooperation, conflict/post-conflict and Eastern European states. Four of the five Paris declaration principles were discussed in a majority of the strategies whereas the fifth principle - on mutual accountability - was not discussed in any of them, see Chapter 6.<sup>55</sup>

The Sida reports on the implementation of each country strategy have, as a starting point, the situation in the partner country, and are thus based on statistics from the country. Even though standardised data are collected for example from the health sector SADEV's interviewees claim that the reliability of the data is a great problem.

### **Sida Top Management - Sida Country Directors**

Loop 3 involving Sida Top Management and Sida Team Directors starts with planning/budget instructions from top management. Since 2009 Sida has prepared a *three year Strategic Directions and Budget* covering the whole organisation. This document is broken down into a strategy for each partner country and is also followed by a one-year operational plan.

In Sida's Strategic Direction and Budget covering 2009 – 2011 it was stated that “*Sida shall be in the frontline in implementing the Paris Declaration*”<sup>56</sup>. Another paragraph emphasised that Sweden shall apply the Paris Declaration principles in each partner country.

Even though none of the five principles of the Paris Declaration was mentioned explicitly in the country strategies for the long term cooperation countries, there are

<sup>51</sup> UF2008/14589/USTYR, UF2008/14588/PLAN, 18 December 2008.

<sup>52</sup> Which in most cases are the Swedish Embassies, partly manned by Sida staff.

<sup>53</sup> Change for Freedom: Policy for democratic development and human rights in Swedish development cooperation, 2010-2014, Government Offices, January 2010.

<sup>54</sup> Policy for Economic Growth in Development Cooperation, Government Offices, February 2010

<sup>55</sup> However, mutual accountability is, according to Sida, discussed in the Joint Assistance Strategy for Zambia.

<sup>56</sup> Sida. Strategic Direction and Budget 2009-2011, Revision 2010-2011, p. 5.

discussions that bear on all of the principles with the exception of managing for results. References to pre-conditions for budget support and sector programme support, institutional development and anti-corruption measures are also discussed.<sup>57</sup> For the conflict/post conflict and East European countries there were only implicit references to the Declaration.

The reporting consists of *management reviews* from Country Directors. In September each year a *strategy report* is drawn up covering results in general as well as the Paris indicators. The reporting is carried out using a results matrix where targets and results for the indicators are measured.

As the governing system at Sida is under development it is at the moment difficult to judge how the information reported in loop 3 has been understood and used by Sida's Top Management.

### **Country Directors - Individual Staff Members**

Loop 4 involving Sida country directors and Sida staff, starts with a *results contract* agreed between the Director and the staff member. The results contract contains individual goals for a one-year planning period. The *reporting* is based on both written reports and individual oral follow-ups to the Director.

The system for results contracts introduced 2009 is new for Sida, and implies a new attitude to incentives at Sida. In the context of the Paris Declaration it is still difficult to judge to what extent it has affected the implementation of the Declaration.

It seems that the role of the Paris Declaration, the interpretation of Aid Effectiveness and its links to the overall goal, perspectives, priorities and challenges for Swedish Development cooperation, are unclear to many individuals.

### **Summary of observations for loops 1 - 4**

Initially, the focus on the Paris Declaration was weak but, the Declaration is now incorporated into the most important documents. The documents explicitly and implicitly refer to the Paris Declaration and its principles.

The decisions, directives and reports in loop 1 (Parliament and Government), loop 2 (Government and Sida) and 3 (Sida Top management and country directors) seem to be well-coordinated containing strong relations to the Declaration. The content of loop 4 (Sida country directors and staff) is more difficult to assess but seems to be more vague with fewer links to the Paris Declaration.

Focusing on the directive and the reporting phases separately, it should be noted that the directive steps, especially in regard to loops 2 and 3, are fairly congruent. The reporting side suffers from difficulties in defining and measuring results.

The idea is that if the five principles of the Paris Declaration are implemented aid effectiveness will improve. However, SADEV finds only limited discussion on the link between aid effectiveness and the five principles of the Paris Declaration in the documents analysed.

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<sup>57</sup> Sida: Strategic Direction and Budget 2009-2011, Revision 2010-2011, p. 10.

### 5.1.2 Joint Action Plan

According to SADEV's interviews, the MFA felt confident that Sida would proceed with the implementation of the Paris Declaration. However, after having received the results from the DAC Monitoring Surveys, the Ministry was less satisfied and felt concerned with the pace of the implementation. Sida, on the other hand, regarded the intentions of the Ministry as vague. As a consequence, the MFA initiated the formation of a project group in 2008 with representatives from both the Ministry and Sida with the aim of designing an action plan for the implementation of the Declaration. This is a type of "cooperation model" for implementation.<sup>58</sup> In 2009, MFA and Sida agreed on the Action Plan on Aid Effectiveness 2009-2011.<sup>59</sup> The plan contains clear responsibilities either shared by MFA and Sida, or to be assumed by one of the parties, and a follow-up mechanism with meetings twice a year.

The Action Plan is not a direct reflection of the Paris Declaration and is not directly structured around the principles of the Declaration. It is said to focus on areas which are of particular importance to reaching higher levels of aid effectiveness and areas where Sweden especially needs to improve its achievement level.<sup>60</sup> The targeted areas of the Action Plan are as follows:

- Increased use of partners' systems
- Increased volume of programme based approaches
- Increased predictability and responsibility for results
- Increased focus and reduction of number of efforts
- Increased joint analytical work and coordination of country visits
- Improved global cooperation with donors, particularly within EU
- Support to multilateral organizations to fulfil their commitments for aid effectiveness

The implementation design used is rather expert and top-down oriented with a small project group and minor sub-groups. However, as the message has spread, the design has become more of a participatory and learning design.

The design is broad based, i.e. implementation should be carried out for all countries and sectors. There is no focus on identifying forerunners to carry out pilot work. Evidence based processes for selecting good examples for implementation and for evaluating progress are thus lacking.

Work has been carried out separately by MFA and Sida but there have been joint follow-up meetings. According to SADEV's informants, staff members from MFA and Sida generally know each other well which facilitates work.

SADEV has reviewed the minutes of the latest follow-up meetings between the Ministry and Sida and found the discussions to be informative and constructive.

Although the Joint Action Plan was signed only two years ago progress can already be seen. Since the Plan holds priorities, contains specific instructions for different

<sup>58</sup> One interviewee says that "the Ministry deliberately chose not to use the principal-agent model and a formal decision by Government. Instead, by using the cooperation model, the Ministry wanted Sida to feel a sense of ownership over the project and the implementation"

<sup>59</sup> Signed by the Permanent Secretary of MFA and the Director General of Sida.

<sup>60</sup> Sida and MFA: Action Plan on Aid Effectiveness, p. 2.

country categories, measurable goals and a baseline and a review mechanism the Plan will be monitorable and holds potential to be a successful tool.

### 5.1.3 Observations

DAC noted in its latest Peer Review of Sweden, the high degree of commitment to the aid effectiveness agenda. They also noted that this was reflected in how Swedish development cooperation in partner countries was organised<sup>61</sup>.

Initially, the strategy of implementing the Paris Declaration was not particularly successful. Later on, this was addressed by sharpened requests from the Government and better reporting from Sida.

The joint Action Plan has, alongside with a sharpened principal-agent strategy, yielded positive results.

#### *Parliament Level*

The Paris Declaration has had the support of the Swedish Parliament, and has not been a major issue for debate.

#### *Government Level*

The formal commitment to the Paris Declaration is undoubtedly high. All government documents that SADEV has reviewed reflect a commitment to the Paris Declaration.

#### *Sida Management*

SADEV's interviewees generally described the Management commitment at Sida as rather low at the time of the signing of the Paris Declaration. The official commitment increased towards the end of the decade and Top Management seemed to be more committed than middle management. However, as an indicator of commitment of the Top Management, it should be noted that the Sida management board meetings have as of late allocated limited time to the Paris Declaration. Focus during the last few years has been on internal matters such as budget, staffing and reorganisation.

#### *Sida Staff*

Staff members working with development cooperation at Sida are generally extremely committed to their work.<sup>62</sup>

In 2005, when the Paris Declaration was launched, there was a certain resistance to the Declaration and some suggested that it would soon disappear. Today, it seems that most Sida staff is committed to the Paris Declaration.

In particular, there is a strong commitment regarding the five principles. However, many are also concerned by how the Paris Declaration is interpreted and implemented and some question the benefits of it in terms of effective aid. The actual

<sup>61</sup> Peer Review of Sweden, OECD/DAC, 2009

<sup>62</sup> Results from a survey to staff at Sida as part of the mid-term review of the new organization (Sida: *Resultat från organisationsmätning*, presentation).



possibilities of implementing the Declaration vary. Factors such as the partner's commitments, the character of the sector and country contexts may cause frustration.

Generally, commitment seems to be highest for staff working with long term cooperation countries. As the Paris Declaration is based mainly on experience in these countries it has been more challenging to apply the Declaration to the context of the other types of countries.

Commitment sometimes differs between MFA, Sida's headquarters, and the staff at the Swedish embassies. SADEV has, for example, come across situations where the embassy staff is heavily in favour of alignment, but where Sida's headquarters and the Ministry have shown less commitment. On the other hand, SADEV has seen cases where the embassies have been seriously sceptical to alignment and seen the staff at headquarters as "Paris fundamentalists", heavily favouring the implementation of the Declaration, no matter what the context.

#### *External actors*

SADEV's interviewees mention that they have felt no external pressure from other Swedish government agencies, researchers or Civil Society Organisations (CSOs) to implement the Paris Declaration. Instead, some informants mention pressure from mass media and "taxpayers", for example, to avoid corruption, which is supposed to have made Sweden more risk-averse. At the same time, many interviewees claim that it is difficult to explain the principles of the Paris Declaration to laymen, e.g. to explain what general budget support and sector programme support are, and why this is an effective way of managing development cooperation.

## **5.2 Capacity**

*Capacity* has been defined as "an overall concept for the conditions that must be in place, for example knowledge, competence, and effective and development-oriented organizations and institutional frameworks, in order to make development possible."<sup>63</sup>

#### *Resources - General*

Implementing the Paris Declaration requires extra resources for development work in the short term for training, producing new manuals and changing to new roles for staff. When implementation has been carried out, certain functions will probably require more resources (such as being the "lead" among donors) while others may require less (such as reporting from the activities).

To get a full picture of the workload, factors such as changes in aid modalities, methods, allocation to sectors and countries and new reporting requirements, should be taken into account.

A number of Sida interviewees say that there is a general increase in the workload at Sida and the same is true of MFA. One of the reasons is said to be stronger demand on quality controls and follow-ups. The answers to two questionnaires provide a somewhat different picture. On SADEV's question regarding whether the work load has increased during the ten last years at Sida, the average response is 3.26 on a four

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<sup>63</sup> Sida Policy for Capacity Development, p. 21.

point scale where four (4) means that respondents fully agree that there has been an increased work load and one (1) means “do not agree at all”.<sup>64</sup> The time to recover and reflect is according to Sida’s own questionnaire limited, but has increased slightly since 2006<sup>65</sup>.

The harmonisation work, particularly for the lead donor, creates a heavy work load. However, Sweden has only in a few cases supported the lead position with extra resources.

In addition, due to internal overspending, during the very last years, Sida has had to plan for a reduction of the number of staff, mainly at headquarters, and also to cut down on several internal activities including travelling.

### *Recruitment*

The Paris Declaration has increased the demand for higher and in some cases different types of competence. However, this has not fully affected the recruitment procedures at Sida. For example, SADEV reviewed a small sample of job advertisements for Sida controllers and country directors, which are important positions within the Paris Declaration context. It was observed that Sida still uses the same type of competence requirements for controllers and consequently tends to recruit the same category of controllers. However, for country directors, job advertisements indicate a change in competence requirements in line with the intentions of the Paris Declaration.

### *Training/Learning*

The general learning climate at Sida was partly analysed in a survey conducted among Sida’s staff in 2010<sup>66</sup>. On the question as to whether it is “natural to challenge and question established pattern of thoughts, working methods and routines” the average answer was 3.15 on a six (6) grade scale where six (6) indicates it is “most natural” and one (1) is “not at all natural”. This fits well with the opinion expressed by some of SADEV’s informants that Sida staff is very loyal to their mission and their colleagues.

Training in how to implement the Paris Declaration has been based on a mix of:

- Learning by doing/on the job-training
- Non-formal learning/training activities
- Formal learning/training activities

In 2009, Sida produced a strategy covering internal competence development.<sup>67</sup> However, for this particular purpose SADEV has not found any explicit policy or idea on how to combine different methods of training/learning.

According to SADEV’s respondents, *learning by doing*<sup>68</sup> seems to be the most important source of learning. It practically means “trial and error”. Several of SADEV’s interviewees claim that this way of learning works well when learning

<sup>64</sup> SADEV: Lär sig Sida mer än förr?, p. 36, question g.

<sup>65</sup> Sida: Resultat från organisationsmätning 2010, presentations.

<sup>66</sup> Sida: Strengthening the Reform Process, Sida Mid-Term Review.

<sup>67</sup> Sida: Sida’s Strategy for Competence Development 2009-2011.

<sup>68</sup> See for example SADEV: Lär sig Sida mer än förr?, p.32, question 25.

details, minor things - what in Section 3.1 was called single loop learning. However, it may take time and involve serious mistakes. As the staff turnover is high it means that once the field officer is ready to perform, it may be time to move on. As is shown in Table 5.2.1, the share of local programme officers at the embassies has increased sharply. They usually stay on the job much longer than Sida staff and could in principle be a guarantee for continuity.

For learning of radically new things such as the Paris Declaration in a local context, experience shows that learning by doing is not enough. Several interviewees at Sida think that they have been insufficiently trained.

Learning by doing has often been supplemented by support from Sida headquarters in the form of for example advice from the Department for Methodologies and Effectiveness. This type of *informal training* has been appreciated by staff.

Sweden has implemented a number of monitoring, follow-up activities, sometimes accompanied by the provision of advice. This seems to have functioned as an important, informal training.

Responsibility for Sida *formal training* is divided between the Team Competence at the Personnel Department (introduction courses) and specialised units like the Department for Methodologies and Effectiveness with responsibility for i.a. aid effectiveness courses. Internal training has also been organised by various departments at Sida.

At the MFA, USTYR has organised learning activities for the other departments involved, often in cooperation with the Department for Methodologies and Effectiveness at Sida. Regular courses and seminars linked to the Paris Declaration have been organised for MFA/Sida. This formal training has been relevant and the courses have, according to evaluations reviewed by SADEV, received very good feedback from participants. They have been general in character and it has only to a small extent been possible to tailor-make courses to cater to the various contexts in different countries. One of the reasons for this is the tightened resource situation. This is also generally verified in Sida's questionnaire to staff<sup>69</sup>.

There has, however, been a demand for more training, especially for the embassies, and also for a training strategy combining formal and non-formal activities with learning by doing.

### *Guidelines*

There are no guidelines at Sida exclusively dealing with the Paris Declaration or Aid Effectiveness. However, the following guidelines focus on issues related to the Paris Declaration and the Accra Agenda for Action:

- Public Financial Management<sup>70</sup>
- Programme Based Approaches<sup>71</sup>

<sup>69</sup> Sida: Resultat från organisationsmätning 2010.

<sup>70</sup> See for example Sida: Public Financial Management in Development Co-operation.

<sup>71</sup> See for example Sida: How to start working with a Programme-Based approach, Sida: Guidance on Programme-Based Approaches.

- Sector Wide Approach<sup>72</sup>

Some general guidelines also touch upon the Paris Declaration such as:

- Sida at Work (manual on the basic functioning of Sida<sup>73</sup>)
- Manual for Capacity Development<sup>74</sup>

At the MFA there are no special guidelines on the Paris Declaration. However, there are instructions on how to write certain documents, such as cooperation strategies, and today these emphasise the implementation of the Paris Declaration.

While the activities performed (courses, guidelines, etc.) appear to have been of high quality, SADEV finds that training and recruitment have not been used to the fullest extent strategically to implement the Paris Declaration.

### *Organisation*

The organisations, within both the MFA and Sida have changed during the last ten years.

From a Sida perspective, the division of the Department for Global Development at MFA into three new departments has sometimes been confusing as different messages have been given to Sida from the different departments of the Ministry.

According to staff interviews the formation in 2008 of the Country Teams created a number of teething problems but the system as such is appreciated and seems to be favourable to the implementation of the Paris Declaration. There has also been an increasing share of personnel in the field. The numbers of staff in Sweden and at Embassies are shown in Table 5.2.1.

Table 5.2.1 Staff at Sida and Embassies of Sweden

	2000		2005		2010	
	Number	%	Number	%	Number	%
Employees based in Sweden	578	79	595	71	607	68
Employees at Embassies (total)	155	21	238	29	285	32
Swedish programme officers at Swedish Embassies	118		143		165	
National programme officers at Swedish Embassies	37		95		120	
Total employees at Sida	733	100	833	100	892	100

Source: Sida statistics. Comment: Data for 2010 refer to March.

Still, taking the latest decentralisation into account, Sida remains in terms of number of personnel, in an international context, a “home based” organization. As an

<sup>72</sup> See for example Sida: Sector engagement in Programme Based Approaches, Sida: The Paris declaration in practice: A review of guiding documents in sector programmes.

<sup>73</sup> Sida: Sida at Work.

<sup>74</sup> Sida: Manual for Capacity Development.

example, the percentage of employees working at Sida's headquarters is, as shown above, 68 %, while the corresponding average figure for EU is 44 %<sup>75</sup>. However, the degree of delegation of authority to embassies is high. A presence in the partner country is believed to be positive for the implementation of the Paris Declaration.

### *Competence*

Competence in relation to the Paris Declaration may be divided into knowledge about the Declaration as such, and the competence to be able to work in accordance with the Declaration.

Sida staff currently has fairly good knowledge of the Paris Declaration, at least in general terms. However, the various commitments are not always known and there are also varying understandings of what the principles stand for (in particular managing for results and mutual accountability).

The Paris Declaration has entailed partly new working methods, and thus also, partly new competence requirements. According to SADEV's interviewees, there is a bigger emphasis on general analyses and negotiations and less "field contacts". Staff also takes on a new role when Sweden is the lead of the development partners. Examples of new competences that have become increasingly important are:

- Public Financial Management and Public Sector Management
- Dialogue and negotiations
- Knowledge about different aid modalities
- To act as "lead donor"

The interviews carried out indicate that there is a certain competence gap at Sida between ideal and actual competence. The size of the gap varies considerably between individuals and teams.

## **5.3 Incentives and disincentives**

*Incentive* is in most dictionaries defined as something that moves or influences the mind, incites or encourages to action or has a tendency to incite; a motive; spur or a stimulus.<sup>76</sup>

Incentives at government, agency and individual levels are discussed below.

### **5.3.1 Incentives at Government Offices Level**

There has been limited external pressure on Sweden to implement the Paris Declaration. The most important pressure has emanated from the results from DAC's Monitoring Surveys.

Interviewees mention that at country level there has been no international pressure from EU or other DAC-countries to implement the Paris Declaration. One of the

<sup>75</sup> The data for EU total is from EU/OECD: EU Donor Atlas 2006. However, the figures should be treated with caution as local staff is included in some countries reporting.

<sup>76</sup> Webster's New Twentieth Century Dictionary and the World Book Encyclopaedia Dictionary.

reasons for this may be that Sweden internationally and according to SADEV's informants is regarded as one of the strongest promoters of the implementation of the Paris Declaration. However, the DAC's Monitoring Surveys from 2006 and 2008, indicating surprisingly mixed results for Sweden, have been important incentives for moving forward. Furthermore, peer pressure at the international follow-up meetings is likely to have been another factor for change on the part of the Swedish Government.

Locally, when co-operating with partner countries and donors, a few interviewees have told SADEV that they have been influenced and pressured by other donors, for example in the Nordic Plus group and like-minded donors, when negotiating cooperation agreements.

### **5.3.2 Incentives at Sida Level**

There are no particular "incentives" for Sida as an agency to implement the Paris Declaration. As a government agency Sida is expected to implement the Government's policies.

### **5.3.3 Incentives at Individual Level**

For individuals, standard incentives in any employment situation are:

- Salary increase
- Career opportunities
- Training opportunities
- Interesting work
- Feedback from supervisors

Staff at Sida and MFA are of the opinion that their incentive systems are very limited, morally and pecuniarily. This refers to all types listed above. The most frequent answer to the question on what is your most important incentive is "to do a good job", which may be looked upon as commitment.

There are no explicit incentives directed towards implementing the Paris Declaration. Some of SADEV's interviewees mention that working in line with the Paris Declaration does not give any pecuniary benefits or benefit their careers. However, at the same time implementing sectoral and budget support as compared to managing projects seems to lend a certain status. Also, being "lead" amongst the donors, coordinating and representing the donors is said to lend status. As this seems to be a laborious task it may also work as a disincentive.

In 2009, Sida launched a system of results' contracts between employees and supervisors. However, according to the information given to SADEV, achievements linked to the Paris Declaration are usually not mentioned in these contracts.

Interviews clearly indicate that what drives most Sida staff to work in line with the Paris declaration is the wish to do a good job by implementing the Declaration, which supposedly contributes to better cooperation.

Meanwhile, individual interviews point to the existence of various potential disincentives:

- The principle of alignment in the Paris Declaration generally means taking higher risks while at the same time Sida staff is implicitly warned not to take these (high) risks
- Working according to the Paris Declaration may turn out to be very laborious, for example the harmonisation work
- The benefits of the Paris Declaration will usually be long-term while staff turnover is quite high at Sida.<sup>77</sup> The high turnover may be an incentive for staff to look for short term solutions instead of the long term solutions favoured by the Paris Declaration
- Working with individual projects also provides a certain influence and recognition
- Daily work has tended to become more analytical and administrative with fewer contacts with “the real world” (such contacts are often appreciated)
- As competence has changed, some feel that they are not qualified

#### 5.4 Civil Society Organizations<sup>78</sup>

In the Accra Agenda for Action, Civil Society Organizations (CSO) are recognised as actors for development and also as potential contributors to the aid effectiveness agenda.<sup>79</sup> In 2009 about SEK 1.3 billion of state funding - almost 8 % of Sida's budget - was used to support the development activities of Swedish CSOs. In addition, local, national, international and Swedish CSOs may also act as implementers of Sida financed country programs and receive funding directly. In total the contribution to civil society was estimated to be about 32 % of Sida's budget in 2009.

Internationally, Sweden has had a high profile with respect to aid effectiveness and civil society, not least in connection with AAA. Sweden is co-chairing the *Task Team on CSO Development Effectiveness and Enabling Environment* under the DAC Working Party on Aid Effectiveness. Sweden also contributed to drafting the Nordic Plus guidelines for support to local CSOs and is financially supporting the two CSO-networks on civil society development effectiveness: Open Forum for CSO Development Effectiveness and Better Aid.

The new policy for support to civil society in development cooperation was adopted by the Swedish Government in 2009. This policy underlines the importance of aid effectiveness, stressing harmonisation, local ownership, core and programme funding. The CSO-Strategy<sup>80</sup> and Sida's Instruction<sup>81</sup>, further defines what is expected of the Swedish CSO with regard to the aid effectiveness principles. Sida<sup>82</sup> considers Swedish CSOs able to work in accordance with the basic principles of the Paris Declaration and Accra Agenda for Action. Aid effectiveness is regularly up for discussion with the CSOs and much work has, for example, been put into improving managing for results.

<sup>77</sup> The external turnover for 2008 was 17 % while the internal rate within Sida was 28 %.

<sup>78</sup> The interviews on this section have been with Sida and three Swedish CSOs.

<sup>79</sup> Paragraphs 13 a-b and paragraph 20 are key paragraphs regarding CSO.

<sup>80</sup> Strategy for support via Swedish civil society organizations 2010-2014, Sida (2009).

<sup>81</sup> Sida's Instruction for Grants from the Appropriation Item *Support via Swedish Civil Society Organizations* (2010)

<sup>82</sup> Sida has a team for civil society (CIVSAM) cooperation.

The Swedish CSOs are generally positive to the fundamental principles of the Paris Declaration but there are different opinions about how these should be interpreted and implemented in a CSO context. Among the interviewed CSO-representatives, the capacity to work in line with the Paris declaration seems to vary with the size and resources of the organisation. There is also a certain hesitation, based on a fear that harmonisation will counteract pluralism and that insistence on programme approaches will exclude cooperation with weaker organisations.

The Swedish CSOs have not been very united as a group. However, larger CSOs have been active in the international aid effectiveness discourse through their networks. Also, a group of CSOs have recently taken the initiative to carry out a national consultation within the framework of the Open Forum process.

It seems as if neither Sida nor the Swedish CSOs have found a “modus vivendi” on the Paris Declaration, i.e. how to cooperate when implementing and applying the Declaration. Some CSOs feel uncertain in respect to what Sida really expects from them. Some also think that while Sida stresses the Paris Declaration, Sida’s instructions make it difficult to work according the Paris Declaration principles. Reportedly, there is a tension between local ownership and Sida’s requirements on results reporting. It has also been mentioned that there is a problem for CSOs to harmonise while the donor agencies have not yet fully harmonised. Sida is under the impression that rather few Swedish CSOs so far work systematically with the principles of aid effectiveness, but Sida recognises that the guiding documents, as the CSO-strategy and Sida instructions, were recently adopted, and that operationalisation takes time. Sida also believes that the CSOs could be more active in “driving” the aid effectiveness agenda, as prescribed in the Accra Agenda for Action and hence welcomes the initiative of the national Open Forum consultation.

## 5.5 Summary/Concluding remarks

The Swedish Government is both committed and ambitious regarding the Paris Declaration. Sida shares this commitment and ambition. The challenge is to continue to roll out a leadership and a management system throughout the organisations (MFA and Sida, both at headquarters and in the field) at all levels to continue implementation. This includes:

- Recruitment and training
- Reporting
- Encouraging discussions of relationship between Paris Declaration Implementation and aid effectiveness
- Acknowledge that a shift in the burden of coordination from partner countries to donors requires adequate resources

A summary of major activities/events in the international and Swedish implementation of the principles of the Paris Declaration is provided in Table 5.3.1.

**Table 5.3.1: Summary of major activities/events in the international and Swedish implementation of the principles of the Paris Declaration**

	2005	2006	2007	2008	2009	2010



<b>International</b>	<p>Paris Declaration on Aid Effectiveness .</p> <p>European Consensus on Development .</p> <p>DAC baseline on indicators set.</p>		<p>EU Code of Conduct on Complementarity and the Division of Labour in Development Cooperation.</p> <p>International Health Partnership (Global Compact, sector agreement on Health).</p> <p>OECD 2006 Survey on Monitoring the Paris Declaration published.</p> <p>OECD Evaluation on the Paris Declaration initiated.</p>	<p>Accra Agenda for Action.</p> <p>Nordic+ guidelines for delegated partnership.</p>	<p>EU Operational Framework on Aid Effectiveness.</p> <p>OECD 2008 Survey on Monitoring the Paris Declaration published.</p> <p>OECD/DAC WP-EFF restructured.</p>	<p>Dili Declaration on fragile states.</p> <p>Bogota statement on South-South Cooperation.</p>
<b>Sweden Government / Ministry for Foreign Affairs</b>		<p>Government sets targets for AE in Sida appropriation letter.</p>	<p>Government regulates on how to report on PD-indicators in Sida appropriation letter.</p> <p>Country focus mentioned in the budget bill.</p>	<p>Sector focus in the budget bill.</p> <p>New government guidelines for Sida, where PD is included..</p> <p>Complementing Guidelines for Cooperation Strategies taking PD into account.</p> <p>Revised instructions for the preparation of country strategies taking PD into account.</p> <p>Reinforced model for Results Based Management within Development Cooperation launched.</p> <p>Sweden co-chairing Round table 8 in Accra (Applying PD at the Sector Level and for CSOs).</p>	<p>Sweden is lead in INCAF. Sweden is also co-chair of the Task Team on Civil Society Development Effectiveness and Enabling Environment under WP-EFF. Active in the work on cluster B (Use of Country system, Public Financial management) and cluster A (Ownership).</p> <p>Launching of new thematic policies in which PD should be reflected.</p> <p>Document "Reporting Results" to Parliament where implementation of PD is reported in detail.</p> <p>Joint MFA/Sida-plan for action on Aid Effectiveness (2009-2011).</p>	<p>New Guidelines for Cooperation Strategies and forms in which AE principles are incorporated.</p> <p>New government guidelines for Sida.</p>
<b>Sida</b>	<b>Manual for Capacity Development</b>	<p>Sida's first action plan for AE. <b>2006-2008</b></p> <p>DESO Project on Sector Program Support 2006-09.</p>	<p>Internal Project on Management for Results.</p> <p>Production of Hand-book in Public Financial Management.</p>	<p>Launching of Sida's new organization.</p> <p>Sida guiding principles on Program Based Approaches.</p> <p>Guidelines on How to Start</p>	<p>Joint MFA/Sida-plan for action on Aid Effectiveness (2009-2011).</p> <p>AE and monitoring of PD-indicators incorporated in Sida's regular planning and follow-up</p>	<p>Sida's annual report contains detailed information on performance based on PD indicators.</p> <p>Getting it together; Strengthening transparency.</p>

		PD in Practice.		Working with a Programme Based Approach.	<p>procedures.</p> <p>Sida starts developing a new Manual, Sida at Work, taking PD into account.</p> <p>Report on Setting objectives on aid effectiveness, A summary of the process, conclusions and recommendations .</p>	<p>accountability, participation and non-discrimination with communication methods</p>
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## 6 Status in relation to the five principles of the Paris Declaration

The following summarises the status and progress of the Swedish implementation of the Paris Declaration as described in documents and perceived by interviewees. The summary is structured around the five principles of the Paris declaration.

### 6.1 Ownership

The Paris Declaration defines ownership as *“Partner countries exercise effective leadership over their development policies, and strategies and co-ordinate development actions”*. In paragraph 15 donors commit themselves to *“Respect partner country leadership and help strengthen their capacity to exercise it”*.

In the Accra Agenda for Action the concept was elaborated further, for example stating that partner governments *“will take stronger leadership of their own development policies and will engage with their parliaments and citizens in shaping those policies”*.

In the Paris Declaration there is no indicator for ownership related to the commitment of donors.

Partner country ownership is by definition the responsibility of the partner. Still, the donor may facilitate it by actually permitting partners to assume ownership and strengthen the partner in this role. This should be reflected in the dialogue between the donor and the partner. The donor can also refrain from putting ex-ante conditions on the disbursements of aid. Lastly, the donor may in practical work take ownership into account when analysing the preconditions for aid initiatives, etc.

Partner country ownership is by tradition cherished in Swedish development cooperation. It was, for example, analysed early on in the government commission from 1977, *Biståndspolitiska utredningen*<sup>83</sup>, in terms of the concept “Aid on the conditions of the receiver” (*“Bistånd på mottagarens villkor”*) and is highlighted in the Swedish Policy for Global Development.

<sup>83</sup> SOU: 1977:13, p. 232.

In the Government Bill 2002/2003:122 the Government reasoned:

*“The crucial importance of national policies and national ownership of the development process has now been realized. Development cooperation can support national policies, but cannot replace them. The measures taken within the framework of development cooperation must be based on the countries’ own poverty reduction or other national strategies. Sweden will continue to engage in ambitious and effective development cooperation with special emphasis on the poorest countries. To make this possible it is essential that the resources available for management of Sweden’s assistance are adequately adapted to allow effective administration of development cooperation, and to monitor and evaluate policy performance.”<sup>84</sup>*

In the Sida manual for capacity development from 2005<sup>85</sup>, the concept of ownership is discussed and divided into four components: ownership of resources, development processes, ideas and strategies, and lastly results. In the principal manual outlining how Sida operates - Sida at work – A Manual on Contribution Management the concept of ownership as such is not defined, but on the role of the cooperation partner it says: *“Being the owner of the programme/project, the cooperation partner is responsible for the design of the programme/project and should lead the preparatory work. As noted above, the delineation of tasks and responsibilities should be agreed with the partner at an early stage and be included in Sida’s in-depth preparation plan”<sup>86</sup>*

### *Interviews*

When SADEV asked interviewees what first comes into their mind when they hear the Paris Declaration many associated it with ownership, and ownership is a well-known concept amongst all interviewees.

Most interviewees claim that Sweden is ahead of other donors when it comes to ownership. A few expressed the opinion that partner countries are most often happy with Sweden and of the opinion that Sweden is a good listening partner.

However, to maintain the principle of ownership may, according to interviewees, be problematic in some situations, such as when the state is weak or fragmented or the partner’s interest in local ownership is weak; some of the European countries have not yet or just recently signed the Paris Declaration. National ownership may also imply internal conflicts between ministries and organisations in the partner country on the issue of “who is the owner?” For example, in some of SADEV’s interviews it was mentioned that the partner Ministry of Health had expressed concern about sector budget support, as the resources may be transferred to the general state budget. Some of SADEV’s interviewees also stated that even if the partner claims full ownership this is often exercised and driven by international experts within the ministries.

Interviews also reveal certain problems in the way Sweden handles ownership. Some interviewees pointed to the fact that Sweden sometimes, contradictory to the principle of ownership, supports and even promotes special initiatives, without

<sup>84</sup> Government Bill 2002/2003:122, pp 59-60.

<sup>85</sup> Sida: Manual for Capacity Development, 2005, p. 22 ff.

<sup>86</sup> Sida: Sida at work – A Manual on Contribution Management, 2005, p 24

consulting the partner. Examples given were in the areas of democracy, environment, abortion, and the rights of LGBT people<sup>87</sup>.

Also, some interviewees argue that the Government's policy for partner driven cooperation encourages Swedish government agencies to become involved, which may cause conflict with the principle of ownership.

In a recent report, the Swedish National Audit Office is critical of Sida's handling of ownership and states for example that "*Sida's assessment of ownership lacks concreteness and the role and demand of the users are seldom reflected in decision documents*" and "*the influence on the design of the support by the receiver is not clearly reflected*".<sup>88</sup>

#### *Main observations on status and progress*

Sweden has a long tradition of emphasising national ownership, and there are indications that Sweden is doing quite well in terms of respecting partner country leadership and helping strengthen partner country capacity to exercise it.

Threats to the ownership principle occur when Sweden sometimes pushes either for Swedish government agencies to play a role or for special topics, such as environment and democracy. There is a need for continued analyses and thought on the concept and better documentation on how it is handled in different countries, contexts and in relation to different policies, so that apparently possible conflicts of interests or principles are the results of deliberate choices.

## 6.2 Alignment

The Paris Declaration describes alignment as "*Donors base their overall support on partner countries national development strategies, institutions and procedures*".

In the Accra Agenda for Action the general observation is that "*evidence shows, however, that developing countries and donors are not on track*" and "*even where there are good-quality country systems, donors often do not use them*"<sup>89</sup>. The Accra Agenda for Action urges involved actors to make progress, but nothing new is added.

In Table 6.2.1 an overview of the status and progress of the Paris indicators for alignment is presented.

<sup>87</sup> Lesbian, gay, bisexual and transsexual

<sup>88</sup> Riksrevisionsverket (Swedish National Audit Office); Sidas stöd till utveckling av kapacitet i mottagarländernas statsförvaltning, RiR 2009:35, p.57.

<sup>89</sup> Accra Agenda for action, paragraph 15.

**Table 6.2.1 Status and change for DAC alignment indicators in Swedish Development cooperation**

Indicator	Changes from 2005-2007 and status compared to goals (according to DAC)	Status 2009 (according to Sida)
Aid flows accurately recorded in country budgets (Indicator 3).	Improvement, far from reaching target.	Goal still not reached for any partner categories.
Technical cooperation is aligned and co-ordinated (Indicator 4).*	Deterioration.	Goal still not reached for any partner categories.
Donors use country Public Financial Management Systems (Indicator 5a).*	Improvement, target reached.	Target reached for long term countries but not for fragile states and Eastern Europe.
Donors use country Procurement Systems (Indicator 5b).*	Improvement, far from reaching target.	Target reached for long term programme states but not for fragile states and Eastern Europe.
Donors avoid parallel implementation units (PIU) (Indicator 6).*	Improvement but far from reaching target.	Target not reached.
Aid is more predictable within the year it is scheduled (Indicator 7).	Improvement but far from reaching target.	Target not reached.
Aid is untied (Indicator 8.)	Target reached.	Target reached.
Use of common arrangements and procedures (Indicator 9).	Target not reached and deterioration.	Target not reached.

Source: DAC: 2006 and 2008 Surveys on monitoring the Paris Declaration, Sida Annual report for 2009.

\*= EU-target

As is shown in the table, Sweden had only reached the Paris target for a few of the indicators. However, if only countries with long term cooperation are examined the picture looks brighter and indicators were met for four or five of the indicators.

Alignment has been dealt with in a number of guidelines by Sida. These deal with for example Public Financial Management, Programme Based Approaches and Sector Wide Approach.

Sector programme support and general budget support (GBS) (part of Indicator 9 in Table 6.2.1) increased their share of the bilateral development cooperation between 2000 and 2005<sup>90</sup>. In 2005 GBS remained a small share of Swedish development cooperation. From 2005 up to 2010, the share remained at the same level.<sup>91</sup> At the same time Project support is still a common aid modality of the Swedish development cooperation through Sida.

<sup>90</sup> GBS as a share of Sida aid was roughly 2% in 2000, 5% in 2005 and remained at 5% in 2009

<sup>91</sup> As Sida has changed the method of classification it has not been possible to make any exact comparisons.

GBS shares can vary over time for reasons other than for example alignment or commitment to the Paris Declaration. For instance, in 2009 Sweden granted GBS in Burkina Faso, Mali, Mozambique and Tanzania. In 2009 Sweden withdrew its GBS to Uganda and temporarily withdrew it in Zambia for a number of reasons, including corruption and lack of respect for human rights.

A special issue relevant for the health sector, but also for other sectors, is the fact that Sweden finances a number of multilateral initiatives. Even though this type of support is programme based it is often used to finance projects in the partner countries.

### *Interviews*

The interviews reveal that alignment is regarded as technical and difficult. Several interviewees also told SADEV “*there are great possibilities to improve here*”.

Alignment is reflected in different parts of the planning/budget process. According to the interviewees, alignment during the budgeting, planning and execution phases has been less of a problem than during the follow-up (monitoring evaluation, audit) phase.

Several of the interviewees were of the opinion that the current country cooperation strategies include more detailed Swedish requirements, which could indicate limited alignment.

The reason for the relatively low share of budget support is, according to SADEV's interviewees, the Government's risk aversion taking poor local financial systems and corruption into account.

### *Main observations on status and progress*

There has been a positive development in relation to several indicators for alignment. However, progress in implementing GBS and sector budget support (SBS) is disappointing. It seems as if complicating issues such as corruption and political instability, if not taken sufficiently into account in the start-up phase, have hampered the implementation. Another issue is a perceived lack of functioning systems to align with.

The progress of alignment has been faster in the long term cooperation countries than in the conflict/post conflict and the Eastern European countries. Reasons may be Sweden's assessment of the political situation in the partner country, the partner's capacity and commitment to alignment, the existence of absence of national systems and also the role of the development cooperation. In fragile states, the state is generally weaker and the capacity to handle alignment limited. For some countries (i.a. Category 4), the limited extent of alignment is quite intentional, as these are countries that Sweden does not share the political agenda with.

The health sector and also the education sector show comparatively good progress whereas other sectors, such as infrastructure, are lagging behind. One reason may be the fact that the infrastructure commitments are often big investments and easy to

delimit as projects, or that much of the funding is channelled through one dominating channel.

### 6.3 Harmonisation

Harmonisation is specified in the Paris Declaration as *"Donors actions are more harmonised, transparent and collectively effective"* and the message is the same in the Accra Agenda for Action.

In the Paris Declaration there are three indicators on harmonisation applicable to donors.

**Table 6.3.1 Swedish fulfillment of DAC indicators for harmonization**

	<b>Change 2005-2007 and status 2007 (according to DAC)</b>	<b>Status 2009 (according to Sida)</b>
Use of common arrangements and procedures, e.g. joint financial arrangements, disbursement, monitoring, evaluating and reporting (indicator 9)	Target not achieved and deterioration.	Target not achieved.
Joint missions (indicator 10a).	Target not achieved and deterioration.	Target achieved for long term cooperation countries.
Joint analytical work (indicator 10 b).	Improvement, target almost achieved.	Target achieved for long term cooperation countries.

*Source: DAC: 2006 and 2008 Surveys on monitoring the Paris Declaration, Sida Annual report for 2009.*

According to DAC, the development for two of the indicators is unsatisfactory. However, according to the Sida measurements, targets are achieved for long term cooperation countries for two out of three indicators.

An underlying idea of harmonisation is to make aid more effective and also to reduce the workload for the partners. Thus harmonisation means for example that donors should harmonise processes, procedures, principles etc., and coordinate their plans and missions.

Most Sida long-term partner countries are now using Sector Wide Approaches (SWAPS) with a number of financiers. Sweden contributes to SWAPS in three countries: Zambia, Uganda and Bangladesh. All of the support started long before the signing of the Paris Declaration.

The development of sector concentration between 2006 and 2008 is investigated in a Swedish study and presented in Table 5.3.2 *Changes in the number of cooperation sectors 2006-2008*. The results verify the concentration trend.

**Table 6.3.2 Changes in the number of cooperation sectors 2006-2008**

<b>Category of countries</b>	<b>Countries with unchanged no. of sectors between 2006 and 2008</b>	<b>Countries with reduced no. of sectors</b>	<b>Countries with increased no of sectors</b>	<b>Total no. of countries</b>	<b>Average no. of sectors in 2008</b>



Long-term cooperation	7	5	0	12	6.5
Conflict/post-conflict	9	3	0	12	5.0
Eastern Europe	4	5	0	9	6.0.

Source: Odén, Bertil: *Country and sector focusing in the Swedish bilateral cooperation*, p. 72.

From 2007 to 2009 the number of Sida contributions was reduced by about 20 % while the average volume of one contribution has increased by about 30 %.

Harmonisation is well known by Swedish staff and a majority of SADEV's interviewees associated the Paris Declaration primarily with harmonisation. It is also the principle for which Swedish cooperation shows the most evident progress, according to SADEV's interviewees.

Many of SADEV's interviewees seem to interpret harmonisation as coordination and mention that harmonisation takes a great deal of time and is very laborious. Table 5:3:3 *Coordination meetings in the health sector in Zambia 2010* reflects the number of coordination meetings within the health sector SWAPS in Zambia.

**Table 6.3.3 Coordination meetings in the health sector in Zambia 2010**

Forum	No. of meetings	Average duration per meeting (hrs)	Average no. of participants
Annual consultative meetings	1	4	100
Sector advisory group meetings	2	3	100
Policy consultative meetings	9	3	35
Monitoring/ evaluation meeting	28	2	15
Technical working group meetings	72	1.5	10

Source: The table is a follow up of data from Chansa, Collins et al: *Exploring SWAp's contribution to the efficient allocation and use of resources in the health sector in Zambia*, p. 247. Time for preparations of the meetings is not included.

As Sweden is currently the "lead" of the health donor group in Zambia, an additional number of meetings could be added. Totally, approximately 80 % of the working time for the Swedish health officer is, according to a self-estimation, dedicated to harmonisation/coordination.

In SADEV's evaluation of Swedish cooperation with Zambia, it is noted that "... *no true assessment has been made concerning Sweden's extensive engagement in the donor coordination, the work processes used, and what resources a coordinator needs in order to complete the assigned tasks. A cost analysis should be conducted and then weighed against the benefit of the coordination given its present form. SADEV also raises the question of whether the embassy, with the existing available resources, is able to complete all tasks inherent to donor coordination leadership without provision of additional resources*".<sup>92</sup>

SADEV's interviewees sometimes find other donors difficult to cooperate with in the harmonisation process. Many of the non-governmental donors, active in the health

<sup>92</sup> SADEV: Resultaten av den svenska samarbetsstrategin för Zambia 2008 – 2011, p.12.

sector, as well as bilateral donors and several of the development banks, are said to be not very committed to harmonisation.

Sweden has also sometimes been criticised for being a difficult partner in the harmonisation process. This is said to be caused by the fact that Sweden is sometimes perceived as having its special “pet-projects” or far-reaching administrative regulations to take into account when signing joint agreements. Sweden also seems to have a higher degree of risk-aversion than many other donors, for example making the Swedish position more than averagely sceptical to budget support. A representative for one of the other donors expressed, according to one of SADEV's interviewees, this Swedish behaviour as “*too much of bilateral slag*”. Another interviewee said that “*Sweden likes harmonisation when other donors have to adjust to us*”.

The number of countries selected for Swedish long term cooperation was in 2007 reduced from 67 countries to 33. The phasing out process has started but has not been completed. The process of selecting countries for phasing out was, according to SADEV's informants, completed with limited consultations with other donors or partners. This can be seen to be in conflict with the harmonisation principle.

#### *Main observations on status and progress*

The status and progress are satisfactory according to indicators. SADEV's interviews indicate that this is the principle that has made most progress. However, a future increase in workload (coordination) for Sweden and partners is discouraging, and a possible threat to future development and harmonisation.

Furthermore, the status and progress of harmonisation differ considerably among Swedish partner countries, but it is difficult to find any trends. Harmonisation seems to be easier within European development cooperation, possibly thanks to agreements within the EU, such as the EU Code of Conduct<sup>93</sup> and EU Operational Framework.

The health sector seems to be one of the leading sectors in harmonisation.

Linked to harmonisation is the concentration of the Swedish development cooperation to fewer countries and sectors. Concentration generally facilitates harmonisation. There are fewer sectors to harmonise, which makes thing easier. With unchanged levels of staffing at the agency or mission there will be more human resources to handle the remaining sectors. However, it is no guarantee that it will result in improved harmonisation.

## **6.4 Managing for results**

In the Paris Declaration, Managing for results is defined as “*managing and implementing aid in a way that focuses on the desired results and uses information to improve decision-making*”. The Accra Agenda of Action strengthens the focus on managing for results.

There are no indicators for managing for results in regard to donors only, possibly reflecting that this is primarily a responsibility for both parties.

<sup>93</sup> Council conclusions 9558/07 15 May 2007.

Managing for results<sup>94</sup> is a concept that reflects the mutual interest between donors and cooperating partners in achieving results in partner countries. The results might be formulated at a highly aggregated level such as poverty reduction, or in terms of sectoral objectives in health for example. Development cooperation is one means of achieving these results. Managing for results requires relevant information on development outputs and impacts as well as efficient systems (at both ends) of handling resources.

On the other hand, results based management is a strategy and a tool to achieve efficiency in linking inputs to outputs in organisations and could therefore be the subject of development cooperation activities as an integral part of managing for results. Strengthening of, for example, national statistics offices may be an activity that would facilitate managing for results. Managing for results is closely linked to the other principles of the Paris Declaration: ownership, alignment, harmonisation and mutual accountability.

The strengthening of national statistics' offices and other organisations producing relevant statistics were the subject of Swedish development cooperation well before the Paris Declaration. Further, the strengthening of Public Financial Management systems has been the subject of Swedish development cooperation. These activities have been conducted as complements to budget support (or have preceded budget support).

The Swedish government has in recent years strongly emphasised the importance of results reporting. At Sida, during the last twenty years, there have been numerous initiatives to strengthen the results focus of the agency's work. The Policy for Global Development<sup>95</sup> discussed the need for both results based management and "managing by results" for increasing the effectiveness of development cooperation. In 2008, the Swedish Government adopted a model for a strengthened results based management for development cooperation (*modell för förstärkt resultat-styrning i utvecklingssamarbetet*), and Sida has been instructed to strengthen itself in this field.

However, SADEV has only seen limited signs (in documents and interviews), of progress with respect to the commitments actually stated in the Paris Declaration: commitments such as working together in a participatory approach to strengthen country capacities and demand for results based management, linking country programming and resources to results and align them with effective partner country performance networks; also relying as much as possible on partner countries' reporting and harmonising monitoring and reporting requirements.

### *Interviews*

Interviews at both Sida and MFA indicate frustration and disappointment that more has not occurred in this area. There are indeed efforts in the field to strengthen partner country capacity, using national reporting etc., but it remains unclear to what extent, and how successful they have been.

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<sup>94</sup> Sometimes the terms Managing for Development Results is used.

<sup>95</sup> Government Bill 2002/03:122, Committee Report 2003/04:UU3, Parliamentary Communication 2003/04:112.

*Observations on status and progress*

The Government emphasises that development cooperation must be able to show results. Lately, a number of initiatives to improve the systems for managing results have been taken by MFA and Sida. However, SADEV has seen limited evidence of progress in relation to the commitments made in the Paris Declaration.

## 6.5 Mutual accountability

In the Paris Declaration Mutual accountability is defined as "*donors and partners are accountable for development results*". Partner countries commit to strengthen the parliamentary role in national development strategies, and reinforce participatory approaches while donors commit to provide timely, transparent and comprehensive information on aid flows and donors, and partner countries are to jointly assess mutual progress in implementing agreed commitments on aid effectiveness.

In the Accra Agenda of Action the concept is broadened by also incorporating transparency as a special point on fighting corruption.

There is one indicator jointly shared by donors and partners: "*to jointly assess through existing and increasingly objective country level mechanisms mutual progress in implementing agreed commitments on aid effectiveness, inclusive the Partnership Commitments*".<sup>96</sup> There is no Paris indicator on mutual accountability only for donors.

*Interviews*

Mutual accountability is mentioned in the latest Guidelines for Cooperation Strategies from the year 2010.<sup>97</sup> However, none of the interviewees spontaneously associated the Paris Declaration with mutual accountability, and only a few were able to elaborate on the concept or to mention any initiatives taken by Sweden.

Some interviewees told SADEV that the change of focus from accountability to *mutual* accountability has created concern amongst staff. They have been used to requesting accountability from the partner, but are surprised to find that accountability is now also requested of them.

*Observations on status and progress*

Little progress of implementing mutual accountability can be seen. SADEV notes that accountability is not operationalised, e.g. there are no concrete processes on how to accomplish accountability and no explicit strategy on how to react when "things go wrong".

There is a clear link between the different designs of managing for results and accountability. If the focus is on Sida outputs, i.e. what Sida "produces" it is fairly easy to make the organization accountable for its performance. If, on the other hand, the focus is on effects, it is much more difficult to hold Sida accountable as many factors and actors contribute to both outcome and impact.

<sup>96</sup> OECD: Paris Declaration, paragraph 50.

<sup>97</sup> Riktlinjer för samarbetsstrategier för det bilaterala utvecklingsarbetet, UD (regeringsbeslut 2010-06-10).

*Country cooperation strategies*

Swedish cooperation with countries is formalised in three to five year cooperation strategies. SADEV reviewed a sample of five *country strategies* (Zambia, Cambodia, Sudan, Ukraine and Bolivia), representing countries for long term cooperation, conflict/post-conflict and Eastern European states. The results are shown in Table 6.5.1 which provides an overview of the mentioning of the five principles of the Paris declaration in the five country strategies.

Four of the five principles were discussed in a majority of the strategies whereas the fifth principle - on mutual accountability - was not discussed in any of the strategies.<sup>98</sup>

The Paris Declaration was more integrated into the cooperation strategy for Zambia compared to those for the other countries. This may be due to the fact that Zambia is a country receiving a considerable amount of foreign aid and in this respect a “typical” Paris Declaration country in which the government has promoted principles in line with the Paris Declaration. Also, the Nordic Plus initiative used Zambia as a case for the aid effectiveness agenda. Yet, SADEV believes that more could have been done to put focus on the Paris Declaration in the other country strategies.

Table 6.5.1 Are the principles of the Paris Declaration discussed?

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<sup>98</sup> However, mutual accountability is, according to Sida, discussed in the Joint Assistance Strategy for Zambia.

7	Owner-ship	Alignment	Harmonis-ation	Managing for results	Mutual ac-countabilit-y
Zambia	X	X	X	X	-
Cambodia	-	-	X	(X)	-
Bolivia	X	-	-	X	-
Sudan	(X)	X	-	-	-
Ukraine	X	X	X	X	-

*Comment: X = Yes, discussed, (X) = Discussed briefly or just presented, - = Not discussed*

## 7.1 Overall assessment of the Implementation of the Paris Declaration

The status and progress varies among partner countries and sectors. Generally, most progress has been made in the cooperation with long term cooperation countries while it has been more difficult to implement the Paris Declaration in conflict/post-conflict and Eastern European states. Countries where Sweden has been successful in implementing the Paris Declaration are, according to many interviewees, Mozambique and Tanzania. The progress of implementing the Paris declaration seems better in social sectors, such as health, than in other sectors.

Sweden has tended to look upon itself as a country quite advanced in the (formulation and) implementation of the Paris principles. However, the monitoring surveys in 2006 and 2008 found that Sweden had a rather average performance record.

There is no data to rank Sweden's position in 2010. However, as has been presented in earlier chapters, the position of Sida seems to have improved during the last few years. For some of the indicators, Sweden has achieved the target but generally Sweden is not over-performing, or using Vedung's terminology from Section 3.1 The Concept of Implementation - there is no implementation surplus.

The speed of implementation by MFA and Sida seems to have been slower during the first years, and gain speed later on. There should be a balance between the implementation status and pace of the different principles. It seems the Swedish implementation of the harmonisation principle has been faster in relation to the implementation of the four other principles. However, this may facilitate the implementation of the other principles. On the other hand, if donors become too strong, and harmonisation is strong whereas, for example, alignment is weak, the risk is, as one of SADEV's interviewees expressed it, that "donors gang up on the partner".

## 7.2 Will Sweden reach the Paris Declaration targets 2010?

At the end of 2009, Sida made an internal assessment of the possibilities of fulfilling the indicators of the Paris Declaration saying that *“the Paris Declaration is for natural reasons much more established in ‘long-term cooperation countries’... and also mostly adapted to this kind of context (low-income, rather ‘aid dependent’ environments with a large number of donors present). Hence these countries will have come a long way and are likely to have reached or surpassed the Paris Declaration targets for 2010... When analysing the targets set by country teams 2010-2012 one can note that teams predict that Paris Declaration targets on the indicators on predictability, coordinated missions and joint analytic work will be reached by 2010.*

*An analysis of the targets provided by country teams in Category 2 and 3 show that none of the Paris Declaration targets will be reached by 2010 and only the indicator on Parallel Implementation Units will be reached by 2012.”<sup>99</sup>*

SADEV finds that progress has been made during the very last few years in implementing the Paris Declaration, but as is noted above, Sweden will probably not achieve the targets, most especially not for conflict/post conflict and Eastern European states.

Sida employees may suffer from harmonisation fatigue. This is discussed in a travel report from Tanzania in 2010:

“Paris fatigue?”

Tanzania was one of the pioneers in redrawing the local aid architecture in line with Paris principles. A Joint Assistance Strategy (JAS) was developed, including a division of labour among Development Partners, a process which coincided with the adoption of Sweden’s present cooperation strategy. Sweden and several other Development Partners committed a larger share of their volumes in General Budget Support.

The local architecture is heavily formalised, perhaps even rigid, with some 30 working groups. There is little room for informal dialogue. Frustration over the reform pace and the lack of visible results in combating poverty has led to stagnation in the quality of the dialogue. If not a Paris hang-over, there is definitely a more sober attitude. This is not, nor should it be, a reflection of a more critical attitude towards General Budget Support versus other modalities, but a more general fatigue in the government-to-government cooperation”.<sup>100</sup>

<sup>99</sup> Sida: Setting objectives on aid effectiveness, p.10.

<sup>100</sup> Sida, Travel report from Tanzania in 2010.

## 8 Tensions, conflicts, coherence and communication gaps

The degree to which Sweden has implemented the Paris Declaration can also be explained by the existence of possible conflicting objectives and interests, some of them possibly inherent in the Declaration itself. Documents and interviews point to some possible tensions, conflicts of interests and problems of coherence, and are described in this chapter.

### 8.1 Paris Declaration and Results

The Swedish Government has emphasised the importance of demonstrating the results of Swedish development cooperation to Swedish taxpayers as well as to partner countries. The Government's model for strengthened results based management<sup>101</sup> calls for a systematic collection of information on the results of Swedish development cooperation and an assessment of these results in relation to established objectives.

Sida shall follow up aid interventions against objectives in regard to the level of output as well as effects in the short, medium and long term on an annual basis.<sup>102</sup> Sida staff feel that the Government requests more results data of higher quality. This has been interpreted as a demand by Government on Sida to be in a position to show results in relation to specific Swedish support.

In its peer review OECD also expresses that "*Sweden's field staff faces a delicate balancing act: promoting partner ownership and alignment whilst demanding reports on results to meet headquarters' requirements*".<sup>103</sup>

It should be noted that the possibilities of reporting on results vary widely because of i.a. different modalities and environments.

In the 2010 guidelines for country cooperation strategies, there are no requirements for tracing or attributing results specifically to the Swedish interventions, only on following up on results in the areas that Sweden supports.

### 8.2 Paris Declaration and Risk Taking/Anti-corruption

The Swedish Government has emphasised the importance of structure, financial control and anti-corruption, which are arguably important to effective aid. Meanwhile, the Paris Declaration practically says that more responsibility should be handed over to the partner countries. This is perceived as a conflict between the

<sup>101</sup> Modell för förstärkt resultatstyrning i utvecklingssamarbetet, 2008?

<sup>102</sup> Riktlinjer för samarbetsstrategier för det bilaterala utvecklingssamarbetet (2010-06-10)

<sup>103</sup> OECD: DAC Peer Review of Sweden p. 69.



Swedish Government's emphasis on control and anti-corruption and the practical implementation of the Paris Declaration - at least in the short term.

The emphasis on anti-corruption and reaction against misuse of funds has, according to interviews, made Sida more risk-averse. This causes frustration, and as one interviewee puts it: *"we are asked to hand over increased responsibility to the partner country, but if something goes wrong, we are still the ones that are blamed"*.

Thus some confusion remains as to partner country-led approaches in relation to handling of fiduciary risks.

### **8.3 Paris Declaration versus Swedish Values and Priorities**

An obvious conflict of interest arises when the government of a partner country has an agenda which does not coincide with the objectives and principles of Swedish aid. This becomes most clear in the cooperation with totalitarian states, where Sweden has refrained from working directly with the government in these states. In fact, in most of Sweden's partner countries there is a degree of democratic deficit.

The Swedish Government has established three broad thematic priorities: democracy and human rights; environment and climate change; and gender equality and the role of women in development. There is a risk that this could become an incentive to create targeted projects and programmes and a disincentive to engage in programme based approaches and budget support.

Regarding policy coherence, it is important to note that the Swedish Policy for Global Development (PGU) requires other policy areas to contribute to, or at least not work against, development objectives.

### **8.4 Paris Declaration and Principles for working with Fragile States and Humanitarian Assistance**

When working in certain contexts, Sweden also has to comply with the OECD/DAC Guidelines for Engagement in Fragile States and Situations and Principles for Good Humanitarian Donorship. In contrast to the Paris Declaration the Fragile States Guidelines emphasise context and calls for fast action, flexibility and taking advantage of "windows of opportunities". The Principles for Good Humanitarian Donorship include for example impartiality, neutrality and independence. Such principles may be difficult to reconcile with the Paris Declaration's call for country ownership, alignment to national systems, and the structures presupposed in the Paris Declaration (national development plans etc.)

## 9 Key Conclusions and Lessons

### *Introduction*

The Paris Declaration and the Accra Agenda for Action are two crucial agreements, which when implemented, increase the effectiveness of development cooperation as tools in achieving development results. It is equally clear that the Paris Declaration and the Accra Agenda for Action cannot be applied uniformly in all countries with which Sweden is a partner in development. Contexts do matter. The principles contained in the Paris Declaration do not carry the same weight in all countries. In some countries, non-alignment is a deliberate choice given the political conditions in the country. This may also change over time. The practical application of the Paris agenda and the Accra Agenda for Action, therefore, needs to be constantly revised and updated as contexts change.

### *Attribution*

It is not possible to give a firm answer to whether recent changes in Swedish development cooperation have also been a result of the Paris Declaration. Clearly, many of the elements of the Paris Declaration were already present in Swedish development cooperation before 2005. The re-organisation of Sida in 2008 may have facilitated implementation of the Paris Declaration, but the new organisation is not a result of the Declaration.

Nevertheless, the Paris Declaration gave the Swedish Government a firmer base for a re-direction of Swedish development cooperation. The achievement of an international consensus has also facilitated realisation of the principles. The Declaration has also, sometimes, resulted in pressure on Sweden from partner countries.

Interviews indicate that in particular the principle of alignment has been given a boost by the Paris Declaration. The principles of ownership and harmonisation were already quite firmly established, but were facilitated by the Declaration. Most people interviewed believe that measures to strengthen managing for results would have been taken by the Swedish Government independently of the Paris Declaration, something that is confirmed by the Government Bill 2002/03 Shared Responsibility – Sweden's Policy for Global Development. The Paris Declaration appears to have made little difference in relation to the mutual accountability principle.

### *Progress in the implementation of the Paris Declaration*

The Swedish Government has incorporated much of the Paris Declaration in steering and policy documents and Sweden has been highly active in advancing the aid effectiveness agenda internationally. However, monitoring reviews show that Sweden lags behind to a certain extent when it comes to practical implementation. With reference (see Section 3.1) to the distinction between what an organization *talks* about, *decides* about and actually *does*, Sweden seems to have talked a lot, has taken the

necessary decisions, but not yet managed to fully act on these decisions. After a somewhat slow start, implementation now appears to have sped up.

The progress of implementing the various commitments has varied between different country contexts. Implementation has gone further in traditional aid receiving countries than in fragile states and Eastern European countries where it has proven more difficult to implement the Paris Declaration. It should be observed that in recent years Sweden has increased its cooperation with fragile states. Therefore, the mix of countries between, on the one hand, countries with shared objectives and long-standing relationships receiving traditional aid, and on the other hand, fragile states or states with a democratic deficit, has implications regarding the extent and speed with which the principles of the Paris Declaration are implemented.

The progress of implementation also varies among sectors. It seems to have been more successful for some sectors such as health, while for example the infrastructure sector appears to have lagged behind.

Progress also varies with respect to different principles. Sweden has a long tradition of emphasising national *ownership* and the status here seems to be good. However, more could be done to analyse ownership and actively strengthen the partner country's capacity to exercise its ownership.

In relation to *alignment* there has been progress in respect to several indicators but the progress of implementing general budget and sector support is disappointing. Factors beyond Swedish control, such as weak systems to align with and a high risk of corruption, have influenced Swedish readiness to provide general budget support.

The progress and status in relation to *harmonisation* is satisfactory and interviews indicate that this is the principle for which most achievements can be seen. However, in terms of coordination in particular, an increased workload is discouraging and constitutes a threat to future progress.

A number of initiatives from Sida and Swedish government/MFA have been taken lately to improve the systems for *managing for results*, but much still remains to be done in terms of implementation. Swedish efforts have largely been characterised by the steering of the Swedish Government and reporting back, and less on the strengthening of country capacities as called for in the Paris Declaration. Different interpretations of the very concept of "Managing for Results" prevail.

SADEV has found almost no signs of progress in terms of *mutual accountability*<sup>104</sup>. Interviews indicate that the meaning and practical implications of this principle are not well understood.

As noted in Chapter 2 in this review, there is both a quantitative and a qualitative dimension of implementation. All in all, Swedish action appears to have been rather "careful". It has not been within the scope of this evaluation to make a qualitative assessment of the implementation but it is *possible* that a somewhat slow implementation of the Paris Declaration commitments has implied higher quality in

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<sup>104</sup> Although a reportedly higher degree of predictability due to longer-term commitments might be a sign of progress

its implementation (for example not getting involved in poorly prepared programme based approaches).

Apart from discussing how commitment and leadership, capacity and incentives may have influenced implementation, the report points to a number of possible conflicts of interests, which have not always been possible to reconcile, and therefore have led to problems of coherence.

### *Commitment & Leadership*

The fundamental principles of the Paris Declaration generally enjoy strong support at all levels of Swedish development cooperation. However, interviews indicate that the five principles are interpreted in somewhat different ways. Furthermore, attitudes are not uncritical. The need for adaptation to country contexts has been recognised by both the Government and Sida.

The Paris Declaration is reflected in the Government's formal steering of Swedish development cooperation. However, the regular "principal-agent" model of steering proved insufficient for effective implementation. The Government's original implementation strategy could be described as a typical "sunshine strategy" (see Section 3.1), assuming that Sida had both the necessary capacity and the right intentions, requiring neither any particular incentives, nor any sanctions. Later, the elaboration of a Joint Action Plan, involving both the Government Offices/MFA and Sida, contributed to a better dialogue between the two levels and facilitated further implementation.

Leadership is not only a question of formal steering but also of, for example, sending clear messages, establishing priorities, and providing the necessary conditions/resources for effective implementation. A large number of interviewees feel that the Government is sending double messages, and not always providing the adequate conditions for implementation.

Although impossible for SADEV to confirm, implementation is likely to have been affected by differences in the level of commitment within different teams and sectors as well as between different people. A question deserving future attention is what actually determines a personal or organizational commitment. Possible factors include understanding of the Paris Declaration, the preconditions for implementing the Declaration in a particular context, time, competence and incentives.

### *Capacity*

Capacity for the implementation of the Paris Declaration must be seen in a short term as well as a long term perspective.

In the short term, capacity raising measures are required to implement change (training, guidelines etc.). Such measures have been taken, and the quality of, for example, training and guidelines appears to have been high, but possibly not to a sufficient degree and strategically relevant enough.

It is not obvious how implementation of the various commitments impacts on the work load of donor countries. A higher degree of alignment, better harmonised aid etc. could be assumed to be labour-saving. However, the Paris Declaration has also

given rise to a number of new activities, such as strengthening national systems for implementation and results reporting, overseeing of budget support, dialogue and negotiation. In respect to harmonisation, the very idea has been to ease the burden of the partner countries and place it on the donors.

Development cooperation as dealt with in the Paris Declaration, requires in part new competences including negotiating skills, knowledge of different aid modalities and public financial management, in addition to competences in specific subject areas such as education and agriculture. It has not been possible to make a detailed competence assessment but interviews indicate that there is substantial variation in relevant competence among teams and individuals. Some positive development in the competence can be seen, yet much remains to be done.

The reorganisation of Sida in 2008, which included the formation of “Country Teams”, is likely to have facilitated the implementation of the Paris Declaration. However, the reorganisation as such may have drawn attention from “bigger” issues and impacted negatively on the Swedish implementation of the Paris Declaration.

#### *Incentives*

There are almost no specific incentives at the individual or organisational levels to facilitate the implementation of the Paris Declaration. What drives the implementation process, apart from formal steering and strong signals by Government, is rather the commitment of individuals to contribute to better and more effective aid, as well as a belief that the Paris Declaration can be a part of this endeavour.

Meanwhile, a number of disincentives are identified. Adjustment of development cooperation to the Paris Declaration requires a considerable amount of work, but the current staff rotation can mean that the person may not be there to reap future benefits. Another disincentive is that aligning and using national reporting systems implies higher risks.

## 10 Recommendations

Based on the observations and conclusions in this report, the Government, the Government Offices/MFA and Sida are recommended to address the following issues.

### **The Government is recommended to:**

*advance* the aid effectiveness agenda both internationally and at country level, and, recognising different contexts, operationalise the Paris Declaration and Accra Agenda for Action;

*maintain* reporting to Parliament on results of international development cooperation, with emphasis on challenges and opportunities to improve aid effectiveness;

*communicate* efforts on “Managing for Results” and “Results Based Management”;

*clarify* the applicability of Paris/Accra in fragile and conflict/post conflict states, Eastern European countries and so called Category 4 countries.

### **The Government Offices/MFA and Sida are recommended to:**

*advance* the aid effectiveness agenda both internationally and at country level, and, recognising different contexts, operationalise the Paris Declaration and Accra Agenda for Action;

*maintain* the dialogue between the Government Offices/MFA and Sida in line with the Joint Action Plan, to facilitate further implementation of the agenda;

*enhance* the system for competence development in a way that maximises knowledge sharing and learning between headquarters and embassies.

*include*, in training programmes, training modules covering aid effectiveness, coordination and negotiation in complex environments;

*ensure* that staff, both at headquarters and embassies, deepen the experience and expert knowledge of Public Sector Management in a developing country context; and

*enhance* and increase the use of skills of local staff.

### **The Government Offices/MFA is recommended to:**

*communicate* the Paris Declaration and the Accra Agenda for Action, as an instrument for advancing the aid effectiveness agenda;

*communicate* the relation among the five principles of the Paris Declaration, as well as the meaning and practical implication of each principle, in particular the principles of “Managing for Results” and “Mutual Accountability”;

*ensure* that results frameworks are useful and easy to understand;

*develop* means to enable the public, civil society organisations, academics and politicians to better understand how Sweden is delivering aid according to the effectiveness agenda; and

*communicate* the difference and relationship between the policy for global development and international development cooperation.

**Sida is recommended to:**

*seize* the opportunity when reorganising Sida to provide the necessary conditions and resources for implementation of the aid effectiveness agenda;

*ensure* knowledge and understanding among staff of the Swedish governance model;

*ensure* understanding of the Paris Declaration and Accra Agenda for Action, including the preconditions for implementing the Declaration and Agenda in a particular context; and

*invest* in competencies, including negotiating skills, knowledge of different aid modalities, public sector management, and sector competencies.

## Annex 1: Lessons learnt and recommendations from DAC evaluation, Phase 1

Phase one of the DAC evaluation of the implementation of the Paris Declaration took place between 2007 and 2008. The key lessons from Phase 1 were the following<sup>105</sup>:

1. “To counter the growing risks of bureaucratisation and “aid effectiveness fatigue” that many of the evaluations warn against, concrete measures are needed to re-energise and sustain high-level political engagement in the implementation of aid effectiveness reforms, both in countries and in Development Partner systems. Faster movement from rhetoric to action by both partner governments and donors is now crucial to retaining the Paris Declaration’s credibility.
2. Successful implementation of the Declaration’s reforms is much more likely in countries where understanding and involvement are extended beyond narrow circles of specialists, as has been shown in some promising advances in involving legislatures and civil society in both partner and donor countries. Within many countries, regional and local levels of government are also increasingly important actors and must be fully involved.
3. Other factors for successful implementation in countries often include the role of “champions” who ensure that the necessary capacity is deployed, and lead the vital drive to align aid with the country’s budgetary and accountability systems. Among donors, the changes in regulations and practices to delegate greater authority and capacity to field offices have been the most important enabling conditions for successful implementation.
4. Strengthening both the actual capacities of partner country systems to manage aid effectively, and the international recognition of those capacities where they already exist, are now key requirements for advancing the implementation of the Paris Declaration reforms. Using those systems, while accepting and managing the risks involved, is the best way that donors can help build both capacity and trust.
5. The integrated, balanced and reciprocal character of the full package of Paris Declaration commitments needs to be strongly re-affirmed and applied, and the Monitoring Survey and indicators placed in their proper perspective as part of the overall agenda.
6. To offset the image of the Paris Declaration as a “one size fits all” prescription for rigid compliance, there is a need to reiterate and demonstrate that its

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<sup>105</sup> Kabell Konsulting ApS: Evaluation of the implementation of the Paris Declaration, phase one, synthesis report, p. xiv.



guidance can and should be adapted to particular country circumstances, while also clarifying the features to be maintained in common.

The synthesis report recommends that Development Partner/donors<sup>106</sup>:

1. Update their legislatures and publics in 2008 on progress to date with aid effectiveness reforms, underlining the need and plans for further concrete changes to be implemented before 2010 to accept and support country leadership in aid implementation and greater donor harmonisation.
2. Before the end of 2008, announce their further detailed plans to delegate by 2010 to their field offices sufficient decision-making authority, appropriately skilled staff and other resources to support and participate fully in better-aligned and harmonised country-led cooperation.
3. Specify their concrete planned steps to improve, by 2010 at the latest, the timeliness, completeness and accuracy of their reporting and projections for aid flows to feed into the planning, budgeting and reporting cycles of partner countries, together with other donors. Make the necessary provisions for multi-year allocations, commitments, or firm projections.
4. Provide supplementary budgets, staffing and training up to 2010 to help their own programmes adjust for the transitional and new demands and transaction costs and learning needs that are being reported as major concerns in implementing the Paris agenda.
5. Allocate special resources (budgets and coordinated technical assistance) to support and reinforce countries' prioritised efforts to strengthen their own capacities to implement more effective cooperation. Work with partners to design and manage other interim means of implementation (such as project implementation units) so that they steadily enhance capacity and country ownership.

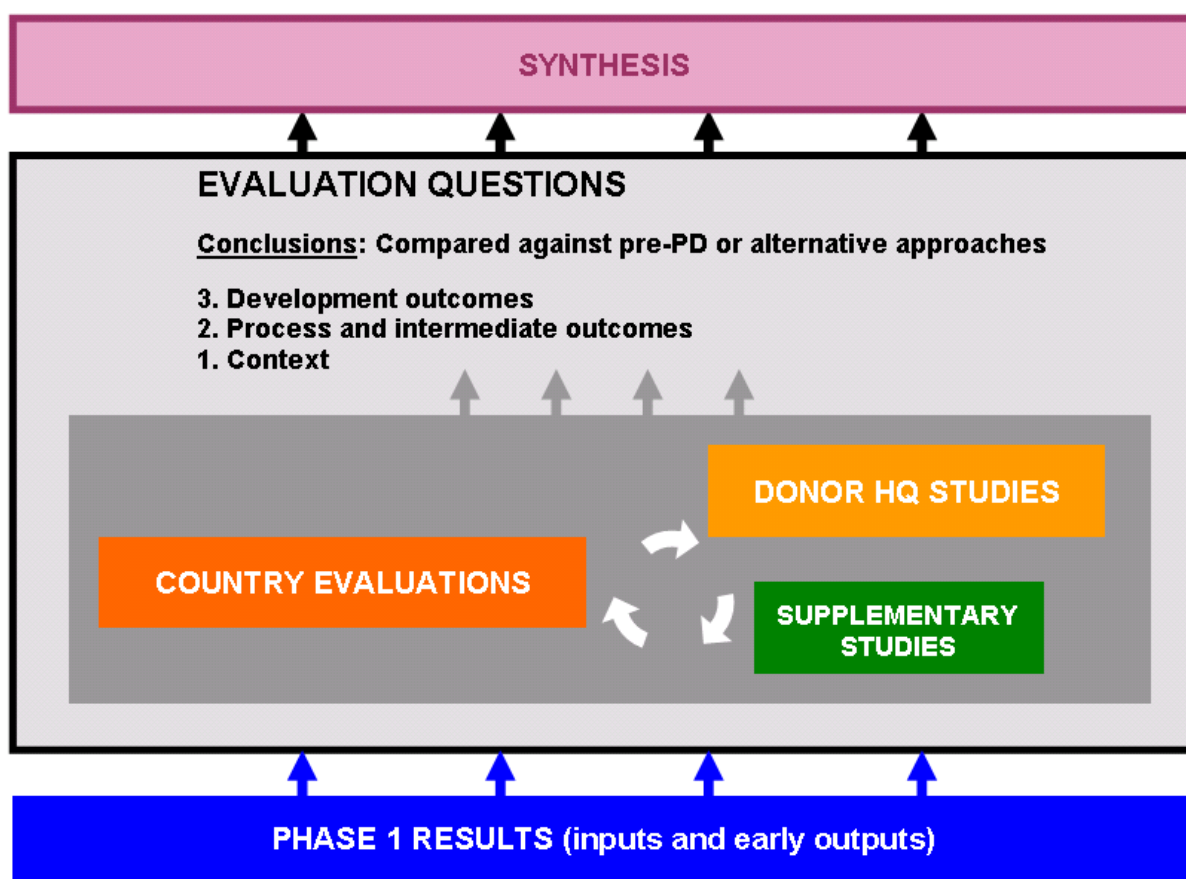
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<sup>106</sup> Kabell Konsulting ApS: Evaluation of the implementation of the Paris Declaration, phase one, synthesis report, p. xiv.

## Annex 2: Excerpt from OECD generic Terms of Reference for Donor Head Quarter Studies, phase 2<sup>107</sup>

5. The building blocks for the Phase 2 Evaluation are illustrated in the Figure below.

### Building blocks of the Paris Declaration Evaluation Synthesis



### 2. Donor/Agency HQ Studies: purpose and objectives

**8. Purpose:** The purpose of the Donor/Agency HQ Studies (hereafter “HQ Studies”), most of which have been conducted during Phase 1, has been to assess

<sup>107</sup> To avoid confusion, the imperfect term “donor” is used here as in both the Paris Declaration and Accra Agenda for Action; it denotes providers of Official Development Assistance, and sometimes other resources. The term “agencies” is also used to refer to some multilateral providers. The term “Donor/Agency HQ studies” is consistent with terms used in Phase 1; they are evaluations/studies carried out on the programmes of individual donors or agencies, at the level of headquarter policies and operations, but also drawing on the field perspectives of in-country offices.

what constitute better practices for Donor/Agency headquarters in implementing their Paris Declaration commitments in order to contribute to increased aid effectiveness. The emphasis is on learning, by asking the twin questions: are we doing the right things and are we doing things right? The series of studies, 11 in Phase 1 and an anticipated 7 new studies in Phase 2, with the possible addition of some factual updating of changes since the earlier Phase 1 studies, will serve:

- To deepen our understanding of the findings and results emerging from Monitoring Survey inputs;
- To facilitate global learning on aid effectiveness through the evaluation processes and to facilitate more efficient implementation of the Paris Declaration;
- To make specific recommendations to development agencies and to the global aid community for improving aid effectiveness;
- To supplement and strengthen the basis for the main focus of the Phase 2 evaluation, a strong set of Country-level Evaluations.

**9. Objectives:** Specific objectives of the HQ Studies include:

- To enable donors/agencies to clarify, improve and strengthen policies and practice consistent with the Paris Declaration in pursuit of aid effectiveness and development effectiveness.
- To highlight barriers and difficulties that may have limited the implementation of the Paris Declaration and its effects and impacts – and ways that these barriers and difficulties may be overcome.
- To enable sharing and exchange of experience among stakeholders, countries and partnerships so as to facilitate reflection, lesson-learning and policy improvement.

**10.** The Accra Agenda for Action further specified some of the Paris Declaration's commitments with the aim in particular of strengthening country ownership; building more inclusive partnerships; and sharpening the focus on development results. The Phase 2 evaluation will therefore pay particular attention to assessing implementation of these Accra commitments, which address the current concerns of many stakeholders. These Accra commitments should be reflected in the execution of the Donor/Agency HQ ToR to the extent possible.

### **3. Scope, Focus and Questions**

**11.** Since the endorsement of the Paris Declaration in March 2005, most agencies have made major efforts to implement the Paris Declaration within their organizations and communicate its importance to their staff. However, as the Evaluation of Phase 1 showed, these corporate commitments are not always matched by practices. Three explanatory dimensions – “enabling conditions” – that are key to shaping donor/agency behaviour were examined during Phase 1:

- a) Commitment to the Declaration principles,
- b) Capacity to implement it, and
- c) Incentives to do so.

These three dimensions continue to constitute the main focus and scope of the Donor/Agency HQ Studies in Phase 2.

**12.** While the focus on Phase 1 was on input, output and enabling conditions, the focus of the second phase of the evaluation is on development outcomes and effectiveness. These effects will, however, mainly be captured by the country evaluations. Therefore, as in the first phase, the focus of the HQ Studies conducted during the second phase will be on the input level, through the assessment of the enabling conditions: *commitment, capacity and incentives* in terms of their alignment to the Paris Declaration commitments. Some outputs will also be captured, inter alia, through assessing field office behaviour.

**13.** The three concepts were explained to some extent in the ToR for Phase 1. However, in the absence of clear and authoritative definitions, differences in understanding and interpretation of the concepts were identified as a weakness of Phase 1. In order to address this, and to build on the considerable intellectual investment made by some of the 11 donors/agencies in clarifying the concepts, the present ToR is providing the following guidance to understanding and applying the concepts, drawn from good practices in the Phase 1 studies:

### ***Commitment and Leadership***

**14.** Identified as key enabling factors in the Monitoring Survey and in Phase 1 of the evaluation, donor/agency commitment and leadership can be analyzed from several angles. A useful option used in some of the Phase 1 reports (see for example France<sup>108</sup>) is to address it at two levels, focusing on internal and external factors:

- Internal factors will depend on the specific agency context, but include for example impetus from the political level, strategic/policy influence, and operational implications.
- External factors include peer pressure, European Union (EU) Code of Conduct (for some), impetus or constraining factors from civil society, inter alia.

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<sup>108</sup> Evaluation de la mise en œuvre de la Déclaration de Paris par la France, Rapport Final – Version révisée

### *Capacities*

15. The German report introduces the useful distinction between institutional and systemic capacity<sup>109</sup>. The former lends itself to classic organizational analysis (see also Finland's report<sup>110</sup>), while the latter is based more on systems thinking and highlights the factors that support or constrain the implementation of the Paris Declaration Principles:

- Institutional capacity (such as information, knowledge, resources, training, procedures and guidance, institutional set-up including decentralization).
- Systemic capacity, i.e. factors that extend beyond the individual organization or organizations that are responsible for the donor country's aid programme (such as for example the status of an organization or the fact that a large number of agencies are involved).

### *Incentives and Disincentives*

16. This dimension can be understood at different levels and a range of different analytical perspectives are used in the Phase 1 reports. Several reports (the Dutch, Danish and New Zealand reports, for example) address incentives at the level of individual staff and at agency level. These and the UK report all raise the strong linkage with the agency's performance management system and results culture. The New Zealand report also includes political incentives, at the level of government. As many countries are increasingly thinking of development assistance as a policy coherence issue, i.e. a "whole of government" concern, and in view of the evaluation's formative nature, more information and evidence on this dimension would be useful and consistent with the Country Evaluations' focus on aid context.

17. It is therefore proposed to address incentives at three levels:

- At individual level: career, agency's performance management system, professional satisfaction/personal commitment, peer pressure;
- At agency level: domestic political pressure, international peer pressure, performance/disbursement obligations, resources, visibility, culture;
- At level of government: political incentives and policy coherence.

18. ***Evaluation Questions:*** As mentioned above, the HQ Studies will focus on learning by asking the twin questions: 'are we doing the right things?' (Relevance of the choices agencies have made to deliver on the Paris Declaration commitments) and 'are we doing things right?' (Effectiveness of the actions taken). The studies

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<sup>109</sup> The Paris Declaration: Evaluation of the Implementation of the Paris Declaration: Case Study of Germany, [http://www.diiis.dk/graphics/Subweb/paris\\_evaluation\\_web/files/pdf/original/BMZ-Ev032e\\_print\\_0508.pdf](http://www.diiis.dk/graphics/Subweb/paris_evaluation_web/files/pdf/original/BMZ-Ev032e_print_0508.pdf), page 56

<sup>110</sup> Evaluation of the Paris Declaration, the case of Finland, page 15

should in particular highlight examples of where potential obstacles to implementation of the Paris Declaration have been identified, how these have been overcome, and with what results (in terms of, for example, behaviour, “transaction costs”, aid modalities, division of labour etc.). While these outputs and outcomes will also be captured in country studies, it is envisaged that at a minimum, outputs will also be addressed through questions and evidence from the field level in the HQ Studies.

19. Given the above, the questions outlined below shall be taken as explorative starting points for the assessments.

### **Contextual factors**

20. One weakness of the reports in Phase 1 was the lack of clear and comparable analysis of the contextual factors. This is being addressed through specific questions at the country level, but it would be useful for donors/agencies too, to provide some comparable factual information and contextual analysis. In this respect it is proposed that the studies draw, inter alia, on annual reports, the latest Development Assistance Committee (DAC) Peer Review, and the Monitoring Survey to provide basic factual information on the following:

- Staff
- Budget
- Geographic spread of programme
- Multi/bilateral share, share provided to vertical funds, and aid modalities (project, programme, budget support, TA etc.)

Furthermore, it is proposed that the organizational structure be described, including the degree of de/centralization and the performance management system, along with existing Action Plans or policies and guidelines that are Paris Declaration related.

21. Specific analysis should be made on policy coherence. This should answer the following key questions:

- What is the range and sphere of direct influence of the Paris Declaration on government policies with implications for developing countries? (Aid and other policies such as policies affecting trade, climate change, global food security, environment, migration, security etc.) What have been the trends since 2005?
- Who are the key actors in the donor country (or constituency for multilateral agencies) who can take major decisions affecting aid, including decisions on priorities, activities, programmes and projects? What influence do the Paris Declaration and Accra Agenda for Action commitments have on them, in relation to their priorities and incentives?

- What are the most important national and international events that have affected the implementation of the Paris Declaration and Accra priorities, and how?

### **Assessing commitment and leadership**

- Has the implementation of the Paris Declaration affected donor/agency priority-setting for development cooperation? Have the roles of Donor/Agency HQ/field offices been adapted to the aid effectiveness agenda? How or if not, why not?
- How is the Paris Declaration owned at Donor/Agency HQ level (e.g. what strategic directions are given to staff by top management)? How is the Paris Declaration acknowledged at the governing body/parliamentary level and by civil society? What are the potential conflicts with other governmental institutions and political/ administrative systems, and what is being done to resolve these?
- Are donor/agencies content that they are fulfilling their Paris Declaration commitments, including implementation of the DAC Principles for Good Engagement in Fragile States? (Explain possible concerns and reasons for these.) Are there concerns linked to the relevance and coherence of the Paris Declaration commitments and indicators? Are there ways in which these might be overcome?

### **Assessing capacity**

- What is the level of staff knowledge and understanding about aid effectiveness and its operational implications, particularly in the field?
- Have specific instructions, guidelines, operational directives and evaluation criteria been disseminated to staff to stimulate implementation of the Paris Declaration implementation plan? Are the levels and skills of staff available to implement appropriate and adequate?
- How is delegated authority structured, and why? Have there been any changes to procedures to meet Paris Declaration commitments? Is the development co-operation organization/agency sufficiently decentralized (staff, resources, delegation of authority) to address field-based aid management in line with the Paris Declaration?

### **Assessing incentives**

- Are there specific incentives provided by the donor/agency – e.g. for recruitment, placement, performance assessment, promotion and training – for management and staff to comply with the Paris Declaration objectives of

ownership, harmonization, alignment, results orientation and mutual accountability?

- Are there any perceived disincentives, in respect of other donor/agency priorities (e.g. excessive pressures for disbursement)?

### **New additional questions**

**22.** The above were mostly questions included in the Phase 1 of the Evaluation. However, lessons from Phase 1, the commitments emphasized at Accra, as well as the country level evaluations and overarching evaluation framework for Phase 2, all call for some additional evaluation questions. In particular, the Country Evaluations ask questions that can be “mirrored” on the donor/agency side, so as to enhance the depth of the Phase 2 evaluation as evidence is provided from both levels. In order to be consistent with country level methodology, it is proposed to examine a number of intended outcomes identified in the Paris Declaration. Seven of the 11 intended outcomes relate specifically to donor/agency actions and the following questions are proposed:

- Has the Paris Declaration resulted in less duplication of efforts and rationalized, more cost effective donor/agency activities? It would in particular be relevant to look at Division of Labour and at the Monitoring Survey indicators 4, 9 and 10.
- Can more collaborative donor/agency behaviour and reformed and simplified policies and procedures be observed? Examples of delegated cooperation are highly relevant.
- To what extent has the donor/agency provided more predictable and multi-year commitments on aid flows? Has there been a change in the nature of conditionalities following Accra? Monitoring Survey indicator 7 provides some information.
- Is the level of delegation to field staff adequate to ensure effective aid administration? What prevents further delegation?
- What effects has the implementation of the Declaration had on the respective burdens of aid management falling on partner countries and donors/agencies, relative to the changing volumes and quality of aid and of the aid partnership itself? Are these effects likely to be transitional or long term?

**23.** There are also issues, highlighted under Phase 1, where a deepening of understanding is called for. Three such issues are:

- What is the main problem facing donors/agencies in fulfilling the Paris Declaration commitment to Managing for Development Results?



- What arrangements or mechanisms for Mutual Accountability have been in place and how well are they working? (See Phase 1 Synthesis Report for orientation.)
- What explains the lack of use of country systems even where these are considered relatively strong?

24. The Evaluation Framework for the Phase 2 evaluation and the Generic Country ToR include a framework for conclusions (see Box below) to which the HQ Studies will contribute information and analysis to answer these questions, in particular questions i), ii), iv), vi) and vii).

**i. What has been the relevance of the Paris Declaration and the ways it has been implemented to the challenges of aid effectiveness?**

**ii. To what extent has each of the five principles of the Paris Declaration been observed and implemented, and the Accra Agenda priorities reflected? Why? Have there been conflicts or trade-offs between them?**

**iii. What has the Paris Declaration achieved for aid effectiveness and development results? How significant are these contributions? How sustainable? Is there evidence of better ways to make aid more effective and contribute more to development results?**

**iv. What effects has the implementation of the Declaration had on the respective burdens of aid management falling on partner countries and donors, relative to the changing volumes and quality of aid and of the aid partnership itself? Are these effects likely to be transitional or long term?**

**v. What has been the added value of Paris Declaration-style development cooperation compared with the pre-Paris Declaration situation, and seen alongside other drivers of development in the country, other sources of development finance and development cooperation partners beyond those so far endorsing the Declaration?**

**vi. What are the key messages for a) national stakeholders, and b) donor countries and agencies?**

**vii. What are the key implications for aid effectiveness in the future taking account of new challenges and opportunities (e.g. climate change) and new actors and relationships?**

#### 4. Approach and Methods

25. **Rigour and Comparability:** The robustness of the approach and methodology for each study and its results will be ensured by:

- a) A consistent stance in the overall evaluation that does not assume attribution of results to the Paris Declaration, but rather takes a critical approach and examines both alternative explanations and an evolution of donor/agency practices pre-dating the Paris Declaration;
- b) A set of support mechanisms available to Study and Evaluation Coordinators, Reference Groups and teams, particularly from the Core Evaluation Team, both directly and through research resources and interactive internet facilities [see Section 6];
- c) Verification of evidence emerging through ongoing triangulation between the multiple data sources and methods employed;
- d) Step-by-step validation of evaluation results from the HQ Studies (with peer review among them encouraged) by the Core Evaluation Team, Donor/Agency Reference Groups, the Evaluation Secretariat and Management Group, possibly high level external reviewers, and the International Reference Group;
- e) Quality assurance processes that are built in to each component evaluation (as well as the preparation of the final Synthesis Report) – all should meet the DAC Evaluation Quality Standards or United Nations Evaluation Group (UNEG) Standards;
- f) Selection and contracting of Study and Evaluation Teams by established procedures, with protection for the independence and professional integrity of their work, and assuring that all are free of potential conflicts of interest;
- g) Using a set of agreed working definitions for key terms<sup>111</sup> to avoid confusion and inconsistent treatment.

**26. *Mixed Methods:*** Methods for pursuing the evaluations include:

- a) *Literature and documentation review* (policy documents, instructions, guidelines, annual plans);
- b) *Syntheses and meta-analyses of existing evidence* (i.e. secondary sources such as policy, evaluations and research);
- c) *Semi-structured interviews* and *focus groups* (key respondents at HQ level and relevant field staff, either by phone or video conference or through selected field visits);
- d) *Structured surveys and questionnaires focused on the embassies/country offices located in those of the countries which have volunteered to conduct a country level evaluation;*
- e) *Possible use of case studies, in particular a case study on the health sector as this will also be used in the country evaluations. Guidance to country teams for handling this will be available in March / April for further consideration as appropriate.*

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<sup>111</sup> A Glossary has been prepared as part of the guidance to the Phase 2 Evaluation.

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## Appendix A

### Draft Outline for Donor/Agency HQ Studies Reports

No outline was proposed during Phase 1, but it has proven useful to encourage a certain standardization to ensure full coverage of key evaluation questions and facilitate the synthesizing of findings. This outline is proposed as a “minimum” list of what the report should ideally contain.

#### Preface

#### Acknowledgement

#### Acronyms

#### Executive Summary (Max. 5 pp.)

- Purpose and background
- Overall conclusions (on common and country-specific questions)
- Key lessons (on common and country-specific questions)
- Key recommendations if applicable (on common and country-specific questions)

#### A. Introduction (Max. 4 pp.)

- The Paris Declaration and Accra Agenda for Action: Engagement of Donor/Agency X
- Purpose and scope of the Phase 2 Evaluation, including donor/agency specific questions
- Approach, methodology and limitations

#### B. Methodology and Limitations (Max. 2 pp.)

- Case study methodology
- Field level assessments

#### C. Donor/Agency HQ Findings (Max. 25 pp.)

##### *Contextual factors*

- Staff

- Budget
- Geographic spread of programme
- Multi/bilateral share, share provided to vertical funds, and aid modalities (project, programme, budget support, technical assistance etc.)
- Organizational structure, including decentralization
- Policy coherence

*Overall assessment*

*Short description of status and explanatory factors for progress or constraints to implementation of each of the principles:*

- Ownership
- Alignment
- Harmonization
- Managing for Development Results
- Mutual Accountability

*Assessing Commitment*

- Internal factors (political level, strategic level, operational level, monitoring and evaluation)
- External factors (peer pressure, EU Code of Conduct (for some), civil society)

*Assessing Capacities*

- Institutional capacity (such as information, knowledge, resources, training, procedures and guidance, institutional set-up including decentralization)
- Systemic capacity, i.e. factors that extend beyond the individual organization or organizations that are responsible for the donor country's aid programme (such as for example the status of an organization or the fact that a large number of agencies are involved)

*Assessing Incentives and Disincentives*

- For individuals (career, professional satisfaction, personal commitment, peer pressure)
- At agency level (domestic political pressure, international peer pressure, performance/disbursement obligations, resources, visibility)
- At level of government (policy coherence)

**D. Key Conclusions, Lessons and Recommendations regarding the Generic Evaluation questions (if applicable)** (Breaking out conclusions, lessons and recommendations) **(Max. 5 pp.)**

Are we doing the right thing?

Are we doing it right?

Are we doing it in the best way?

**E. Findings on the Donor/Agency Specific Evaluation Questions (if adopted)** **(Max. 15 pp.)**

**F. Key Conclusions, Lessons and Recommendations** (if applicable) around the Donor/Agency-Specific Evaluation Questions (if adopted) (Breaking out conclusions, lessons and recommendations) **(Max. 5 pp.)**

**G. Possible Key Implications beyond the Planned Term of the Paris Declaration.** **(Max. 3 pp.)**

**Annex 1:** Paris Declaration on Aid Effectiveness

**Annex 2:** The Accra Agenda for Action

**Annex 3:** Terms of Reference for Donor/Agency HQ Level Studies

**Annex 4:** Selected Additional References

## Annex 3: List of interviewees

Titles and organisation refer to the occasion when the interview was carried out or the capacity in which the person acted.

### Swedish Parliament

Mr. Martin Brothén	Acting Head of Secretariat, Committee on Foreign Affairs
Ms. Eva Kvarfordt	Secretary of Secretariat, Committee on Foreign Affairs

### Swedish Ministry for Foreign Affairs

Ms. Marina Berg	Deputy Director, Africa Department
Mr. Birger Carlsson	Deputy Director, Department for Eastern Europe and Central Asia
Mr. Christian Fogelström	Desk Officer, Department for Development Policy
Ms. Karin Johanson	Deputy Director, Department for Management/Methods in Development Cooperation
Ms. Elenore Kanter	Desk Officer, Department for Development Policy
Ms. Mía Rimby	Dep. Director, Department for Management/Methods in Development Cooperation
Ms. Ingrid Widlund	Desk Officer, Asia Department
Mr. Håkan Åkesson	Head of Department for Management/Methods in Development Cooperation

### Sida

Mr. Georg Andrén	Director, Department for Development Partnerships
Ms. Ulla Andrén	Director, Department for Reform Cooperation in Europe
Mr. Daniel Asplund	Senior Policy Expert, Department for Reform Cooperation in Europe

Mr. Per Karlsson	Country Analyst, Sudan
Ms. Elisabet Hedin	Policy Specialist, Department for Human Security
Ms. Lisa Hellström	Policy Specialist, Team Civil Society
Ms. Kristina Kühnel	Deputy Head, Department for Long-term Programme Cooperation
Ms. Christina Larsson	Senior Programme Manager, Regional Team HIV/AIDS
Ms. Camilla Lindström	Policy Specialist, Team Civil Society
Mr. Per Lundell	Project leader for Sida at Work Development Project, Director General's Secretariat
Mr. Hans Magnusson	Director, Department for Conflict and Post-Conflict Cooperation
Mr. Joakim Molander	Director, Secretariat for Evaluation
Mr. Anders Molin	Lead Expert, Health Policy Team
Mr. Anders Nordström	Director General
Mr. Anders Pedersen	Director, Department for Empowerment
Ms. Helena Reuterswärd	Policy Specialist, Department of Methodologies and Effectiveness
Ms. Malena Rosman	Director, Department of Corporate Management
Ms. Camilla Salomonsson	Policy Specialist, Department of Methodologies and Effectiveness
Ms. Petra Smitmanis	Country Analyst, Team Democratic Republic of Congo
Ms. Gabriella Civalero Stolpe,	Head of Human Resources Unit
Mr. Peter Swartling	Head of Competence Development Unit
Mr. Mikael Söderbäck	Senior Policy Advisor, Team Market Development
Ms. Janet Vähämäki	Acting Director, Department of Methodologies and Effectiveness

**Swedish Embassies**

Mr. Tomas Bergenholtz	Analyst, Swedish Embassy in Bangladesh
Ms. Sandra Diesel	Socio Economic Adviser, Swedish Embassy in Mozambique
Ms. Ulrika Hertel	First Secretary, Health and HIV/AIDS, Swedish Embassy in Uganda
Mr. Erik Illes	First Secretary, Swedish Embassy in Bosnia/Herzegovina
Mr. Karl-Anders Larsson	Counsellor, Swedish Embassy Office in Cambodia
Ms. Veronica Perzanowska	Programme Officer, Health and HIV/AIDS, Swedish Embassy in Zambia
Ms. Mirja Peterson	Counsellor, Swedish Embassy in Ukraine
Ms. Susanne Spets	Economist, Swedish Embassy in Burkina Faso
Mr. Torgny Svennungson	Country Director, Swedish Embassy in Colombia
Ms. Karin Sverkén	First Secretary, Budget Support/Public Sector Reforms, Swedish Embassy in Zambia

**Swedish CSOs**

Ms. Eva Ekelund	Development Strategist, Church of Sweden
Ms. Annika Holmberg	Acting Secretary General, Forum Syd
Ms. Ulrika Modér	Head of Policy and Advocacy Department, Diakonia

**Other interviewees**

Mr. Björn Bengtson	former Chairman of the association Swedish Consultants
Mr. Finn Hedvall	Consultant, SIPU International
Ms. Viktoria Hildenwall	Consultant, SIPU International
Mr. Göran Holmqvist	Researcher, Nordic Africa Institute, former acting Director General of Sida
Mr. Richard Manning	Independent Consultant
Mr. Bertil Odén	Independent Consultant



## Annex 4: Question guide

This is a general list of questions. SADEV has selected the most relevant questions from each interview.

### **First association**

- What is the first thing you think about when you hear the Paris Declaration mentioned?

### **Commitment and leadership for the implementation of the Paris Declaration**

- How committed is:
  - Sida's management of the Paris Declaration (possibly divided into top and middle management)?
  - Ministry for Foreign Affairs
  - The politicians (the Minister and Foreign Affairs Committee) for the Paris declaration?
  - External actors such as the Swedish authorities, civil society, donors and the EU?
- What units/organizations have been particularly enthusiastic or negative about the implementation of the Paris Declaration?

### **Management issues**

- How do you as a manager follow up the Paris Declaration (indicators, commitments etc.)?
- What does your results contract look like, what will you achieve? How are the results contracts followed up (both your own and your employees)?

### **Capacity exists for implementing the Paris declaration**

#### *Institutional support*

- What do you think about the guidelines, manuals, directives, etc. that your organisation has produced about the Paris Declaration?
  - Have they spread to your unit?
  - What do you think about quality?
  - How useful are they in your daily work?
- What courses, seminars etc. about the Paris Declaration have you attended, and what do you think about their quality?
- To what extent do these (guidelines, courses etc.) facilitate working with the Paris Declaration?

*Organization*

- In what way has the Paris declaration affected the structure of Sida's organisation?
- In what way has Sida's reorganisation affected the implementation of the Paris Declaration?

*Working methods/Roles*

- What changes in approach has the Paris Declaration led to, and have any changes in working methods been introduced to enable the implementation of the Paris Declaration?
  - If you look generally at your/the unit/the organisations' work?
  - If you think about:
    - B1. Preparation of interventions
    - B2. Coordination with other donors
    - B3. Follow-up/evaluation of interventions
    - B4. The dialogue with the recipient country
- How has the work at the unit (or similar) changed due to the Paris Declaration in relation to the following players:
  - Consultants
  - Swedish authorities exercising export of services
  - Non-governmental organisations
- What has your unit done to make it easier for Swedish authorities, private companies and the Civil Society Organizations work with the Paris Declaration?

*Project group for implementation mm*

- How has work to implement the Paris Declaration been organised?
- Has the effort in your organization to implement the Paris Declaration been conducted properly and with the right methods?
- Have there been sufficient resources to implement the Paris Declaration?

*External and internal management*

- How is the Paris Declaration reflected in an overall steering document for your unit/organization?
- What is reporting on the Paris Declaration like, both externally and internally?
- What comments do you have on the relationship between the Paris Declaration and Sida from a governance perspective

*Knowledge about the Paris Declaration*

- What knowledge from your unit do you think is most important for Sida/MFA to be able to implement the Paris Declaration?
- What are the levels of skills within the same unit?
- How much do the officers/manager at your unit know about the principles of the Paris Declaration?
- What do you think about the Paris Declaration, the 36 commitments and the 12 indicators set out in the Paris Declaration.
  - Are you aware of them?
  - Do you think they are good for international aid?
  - Is it something you often keep in mind when doing your work?
- What do you think the other officers think of the Paris declaration?
- How has Sida's work with training and recruitment functioned, as seen from the perspective of the Paris Declaration?

### **Incentives**

#### *Incentives at an individual level*

- Are there individual incentives to implement the Paris Declaration (career paths, performance assessment, performance systems, etc.)?
- Are there individual incentives to counteract implementation?

#### *Authority level*

- What incentives are in place to implement the Paris Declaration within your organization?
- Are there incentives that prevent implementation?

#### *Political level (the Minister, the Foreign Affairs Committee)*

- If we look at the politicians, what incentives are available to facilitate the implementation of the Paris Declaration?
- Are there incentives that prevent implementation?

#### *Paris Declaration - Structure*

- What is your opinion of the 36 commitments and the 12 indicators set out in the Paris Declaration?
- Are the commitments relevant; not too many or few and are there trade-offs between them?
- Are indicators for assessing the 36 commitments relevant, and by extension, the five principles? Are there trade-offs between them?
- Are there trade-offs between the Paris Declaration's five principles and between the Paris Declaration and other objectives within assistance? What are they? How does your organisation address this?

- Are there trade-offs between the Paris Declaration and other policies? What are they? How does your organisation address this?
- Are there trade-offs between the Paris Declaration and international agreements? What are they? How does your organisation address this?
- Are there conflicts between the Paris Declaration and the Swedish regulatory framework? What are they? How does your organisation address them?

#### Implementation of the Paris declaration – status and progress

- In general, how well do you feel that your organisation/Sweden has implemented the Paris Declaration?
- How well do you think your organisation has implemented the Paris Declaration in terms of the five principles:
  - A: Ownership
  - B: Alignment
  - C: Harmonisation
  - D: Managing for Results
  - E: Mutual accountability
- How has the Paris Declaration affected the division of labour between donors and recipients?
- What do you think best explains the success/lack of success in implementation?
- Can you see any significant differences between how the Paris Declaration is implemented in different sectors and countries that may explain differences in success?

#### Learning examples

- Can you give a concrete example of "good practice" in terms of implementing the Paris Declaration within your unit/organization?

#### Summary

- You have now assessed the progress of the implementation of the Paris Declaration. How much of the contents of the Paris Declaration do you think would have been introduced in Swedish aid if the Paris Declaration had not been adopted?
- What do you think the Paris declaration will change in five to ten years? Will it still be used?
- Any other issues?

## Annex 5: Questionnaire to Swedish Government Agencies and private companies

A questionnaire was sent out to 20 government agencies participating in the government network for agencies involved in development cooperation. Twelve agencies completed the questionnaire, five agencies answered that the questionnaire was not relevant for them and three did not answer at all.

For each question respondents were invited to comment on their answer. These comments were competent but as the number of respondents is small and it may be possible to identify the respondents, SADEV has decided not to publish the comments.

Please note in the presentation below that some respondents have not answered all questions while others have sometimes ticked two alternatives.

### 1. How well do you think the people who work with aid within your organisation know the Paris Declaration? In general, they know it:

In detail	
In general	7
Not much	4
Not at all	1
I don't know	

### 2. How well do you yourself know the Paris declaration?

In detail	1
In general	9
Not much	2
Not at all	

### 3. What is your basic approach to the Paris Declaration? I am:

Very positive	
Pretty positive	11
Pretty negative	
Very negative	
Don't know	1

#### 4. Do you agree on propositions A – E regarding aid of your organisation?

A: Local ownership in recipient country/countries is higher today than in 2005.

Totally agree	1
Mostly agree	7
Mostly disagree	1
Do not agree at all	1
Do not know/ Not relevant	1

B: Aid is today better adapted to the recipient countries national systems (planning, budget, etc.) than in 2005.

Totally agree	
Mostly agree	5
Mostly disagree	4
Do not agree at all	3
Do not know / Not relevant	1

C: Aid is today better coordinated with other donors than in 2005.

Totally agree	1
Mostly agree	5
Mostly disagree	2
Do not agree at all	2
Do not know / Not relevant	1

D: Performance management of aid is higher today than in 2005.

Totally agree	1
Mostly agree	5
Mostly disagree	3
Do not agree at all	2
Do not know / Not relevant	1

E: Mutual accountability (i.e. accountability for both donors and recipients) for aid is higher today than in 2005.

Totally agree	
Mostly agree	4
Mostly disagree	2
Do not agree at all	1
Do not know / Not relevant	4

#### 5. Has your organisation consciously made an effort so that you will be better able to work in line with the Paris Declaration?

Yes, absolutely	3
Yes, to some extent	6
Not much	1
No, not at all	2
Do not know	

**6. How high to you think Sida's demands are on your organisation to live up to the Paris Declaration?**

Very strong demands	4
Pretty strong demands	2
Only a few demands	5
Very few demands/No demands at all	
Do not know	1

**7. If you look at your organisation, have you encountered any conflicts (of goals) regarding one or more of the functions of the areas a-d?**

- a) The Paris Declaration's five principles among themselves
- b) The Paris Declaration and other objectives/principles in aid
- c) The Paris Declaration and the goals in other sectors of society
- d) The Paris Declaration and the administrative rules in Sweden

Yes	7
No	1
Do not know	4

**8. Has Sida has provided your organisation any support when it comes to working in line with the Paris Declaration (in the form of courses/seminars, consulting, manuals, etc.)?**

A lot of support	
Pretty much support	1
Only a little support	6
Very little support/No support at all	4
Do not know	1

## Annex 6: List of documents and literature

This list contains all documents and literature SADEV has used for the evaluation. Some material is directly referred to while others has worked as an inspiration.

Andersson, Göran & Winai, Peter: Diagnosis of organizations in development cooperation: guidelines for application of the staircase model, 1997.

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de Renzio, Paolo: Mutual Accountability: Issues and Challenges, from FRIDE Activity Brief, June 2008.

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## Annex 7: ODA through Sida – Selected Statistics on Sectors and Countries

For the health sector the situation almost half of the disbursements in 2009 were made as multilateral aid through the Government Offices (MFA). The most important receivers were the Global Fund, the United Nations Population Fund (UNFPA), the Joint United Nations Programme on HIV and AIDS (UNAIDS) and the United Nations Children's Fund (UNICEF).

Table 8.4.1 Sida development cooperation 2009, %

<b>Sector</b>	<b>%</b>
Democracy/Human Rights	25
Humanitarian aid	16
Health	10
Sustainable infrastructure and services	9
Research	7
General budget support	6
Agriculture and forestry	5
Education	5
Others	5
Market development	5
Environment	4
Conflict, peace and security	3
<b>Total</b>	<b>100 %</b>

Source: MFA: Biståndets resultat, 2009.

Table 8.4.2 Sida health sector cooperation 2009, %

<b>Sub-sector</b>	<b>%</b>
Health sector, general	40
Research	6
Communicable diseases	8
SRHR including HIV/AIDS	46
<b>Total</b>	<b>100 %</b>

Source: Sida SRHR – Sexual and reproductive health and rights.

Table 8.4.3 Top-Recipient countries for total aid through Sida, (Million SEK)

Sida Total (2009)	
Mozambique	754
Tanzania	732
Afghanistan	589
Kenya	509
Palestinian Administrated Area	484
Democratic Republic of Congo	440
Uganda	401
Sudan	398
Bangladesh	354
Ethiopia	339
<b>Total for the 10</b>	<b>5000</b>
<b>Total 10/Total Sida</b>	<b>30 %</b>

Source: Sida statistical unit

Table 8.4.4 Top-Recipient countries for aid to health sector through Sida, (Million SEK)

Health (2008)	
Bangladesh	150
Zambia	130
Uganda	56
Mali	45
Myanmar	45
Zimbabwe	37
Afghanistan	34
West Bank-Gaza	30
Vietnam	25
Belarus	23
<b>Total for the 10</b>	<b>576</b>
<b>Total 10 health/Total Sida Health</b>	<b>31 %</b>

Source: Sida statistical unit and Sida's Portfolio within Development Cooperation in Health

Table 8.4.5 Aid allocation per Sida country category, %

	Total		Health
	2005	2009	2008
Long-term Programme Cooperation	25	25	25
Conflict and Post-Conflict	12	17	6
Reform Cooperation in Europe	6	7	2
Alternative Promotion of Democracy and Human Rights	2	3	6
Development Partnerships	6	3	5
Phasing Out Countries	11	7	12
Regional Cooperation	14	14	19
Global Cooperation (including multilateral and CSO support) XXX	19	22	25
Other countries and not categorized	5	2	-
<b>Total</b>	<b>100 %</b>	<b>100 %</b>	<b>100 %</b>

Source: Sida statistical unit and Sida's Portfolio within Development Cooperation in Health.