THE PARIS DECLARATION ON AID EFFECTIVENESS: HISTORY AND SIGNIFICANCE

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Abstract: The Paris Declaration, endorsed in 2005, commits international development aid donors and recipients to act in accordance with five principles: ownership, alignment, harmonization, results, and mutual accountability. This landmark international agreement was the culmination of several decades of attempts to improve the quality of aid and its impact on development. As context for the evaluation of the Paris Declaration, this article traces the history of international agreements that led up to the Paris Declaration and the significance of the agreement itself. The number of countries and international organizations endorsing the Declaration was unprecedented, reflecting a greater diversity of voices included in international deliberations on aid effectiveness. It provided a practical, action-oriented roadmap with specific targets to be met. The evaluation derives its significance and relevance from the importance of the Paris Declaration and from the innovative, rigorous evaluation approach taken as an exemplar of joint evaluations.

Résumé : Adoptée en 2005, la Déclaration de Paris engage les donateurs et les bénéficiaires de l’aide internationale au développement à respecter cinq principes : appropriation, alignement, harmonisation, gestion axée sur les résultats, et responsabilité mutuelle. Décisif, cet accord international a marqué l’apogée de plusieurs décennies consacrées à tenter d’améliorer la qualité de l’aide et son impact sur le développement. En vue de dresser la toile de fond de l’Évaluation de la Déclaration de Paris, l’article retrace l’historique des accords internationaux ayant abouti à la Déclaration et décrit la portée de cet accord. La Déclaration de Paris a été approuvée par un nombre sans précédent de pays et d’organisations internationales, reflet de l’élargissement progressif des

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The endorsement of these principles by signatory countries and the international community was recognized as a breakthrough in international development cooperation. The preface to the Paris Declaration Evaluation Final Report from the Evaluation Management Group affirms and emphasizes this point:
The Paris Declaration on Aid Effectiveness poses an important challenge both to the world of development cooperation in general and to the field of development evaluation. Compared with previous joint statements on aid harmonisation and alignment, the Declaration provides a practical, action-oriented roadmap with specific targets to be met by 2010. The number of countries and international organisations participating in the High Level Forum and endorsing the joint commitments contained in the Declaration is unprecedented and reflects a progressive widening of the range of voices in the aid effectiveness debate. (Evaluation Management Group, 2011; also quoted in Wood et al., 2011, p. iv)

Although international endorsement of the Paris Declaration principles was a breakthrough in global commitment to changing how development aid operates, the agreement did not emerge suddenly in 2005. Rather, it was the culmination of several decades of attempts to improve the quality of aid and its impact on development. Understanding this historical context is critical to appreciating both the importance of the Paris Declaration and, by association, the importance of the Paris Declaration Evaluation. Exhibit 1 traces the broad outlines of some 30 years of international conferences, studies of aid effectiveness, policy proposals, strategic visioning, and reform initiatives that preceded and laid the foundation for the Paris Declaration.

THE HISTORICAL CONTEXT FOR INTERNATIONAL DEVELOPMENT AID

The current international aid system has its roots in the effort to rebuild Europe after World War II. The European Recovery Program, known popularly as the Marshall Plan because of the vision and leadership of United States Secretary of State George Marshall, provided funds to help rebuild European economies. The program operated for four years, beginning in 1948, and aimed to rebuild the war-devastated economies, remove trade barriers, modernize industry, and, not incidentally, prevent the spread of Soviet communism.

The program is generally considered highly innovative and successful. The United States investment was US $13 billion in economic and technical assistance to European countries that had joined the
Organization for European Economic Co-operation. By 1952, as the program was officially ended, the economy of every Marshall Plan participant state had surpassed pre-war levels.

By this time the Cold War competition between the Soviet Union and Western capitalist countries had emerged. Development aid was dominated by the politics of the Cold War, with funds used to support developing countries viewed friendly to the West and denied to countries viewed as hostile to Western interests. The Cold War period established the precedent that much development aid was directed more toward serving the interests of donor countries than meeting the real development needs of developing countries (although in fairness, some donor countries and international organizations were already focused on poverty reduction in the 1970s and 1980s). Even after the end of the Cold War, when aid supposedly would be depoliticized, the established pattern of donor country control persisted, in part because donors thought they knew best and in part because the capacity to take control of development was weak in many of the recipient countries. But a movement to change

Exhibit 1
The Aid Reform Campaign
the nature, function, politics, and effectiveness of aid was emerging. It is beyond the scope of this article to review this history comprehensively, but to understand the significance of both the Paris Declaration, and by association, the Paris Declaration Evaluation, it is worth highlighting a few of the events and turning points illustrated in Exhibit 1.

The Millennium Development Goals

The Millennium Development Goals (MDGs) deserve special mention, for they provide a particularly important example of a global commitment to development effectiveness that set the stage for the Paris Declaration Principles. The MDGs set out the rallying development goals that the world aims to accomplish, while the Paris Declaration states how international aid should be implemented effectively to advance both the MDGs and greater country-level development.

The MDGs are eight international development goals that all 193 United Nations member states and at least 23 international organizations adopted in 2000, distilled from the hundreds of “priorities” emerging from a long series of global development conferences. The target date for achieving the goals is 2015. The goals are

- eradicating extreme poverty and hunger,
- achieving universal primary education,
- promoting gender equality and empowering women,
- reducing child mortality rates,
- improving maternal health,
- combating HIV/AIDS, malaria, and other diseases,
- ensuring environmental sustainability, and
- developing a global partnership for development. (United Nations, 2000)

The MDGs have proven controversial in several ways: criticisms that they are unrealistic; concerns that they are only symbolic and therefore don’t actually influence development priorities and program priorities; discontent over what was left out (e.g., reducing the gap between rich and poor); uneven progress on the goals, with some getting more attention than others (reducing child mortality versus ensuring environmental sustainability; the arbitrariness of the 2015 deadline; and—especially significant to evaluators—difficulties, challenges, and controversies about how to measure progress
on the goals. But the MDGs have become a prominent rallying point in global discussions about development priorities and progress, and evaluation of progress on the goals have produced a number of studies that were reviewed and incorporated by the Paris Declaration Evaluation team in their final report synthesis (Wood et al., 2011, pp. 221–231).

The Monterrey Consensus

In 2002, an international conference on financing for development was held in Monterrey, Mexico, and yielded what has come to be known as the “Monterrey Consensus.” Over fifty heads of state and two hundred ministers of finance, foreign affairs, development, and trade joined the directors of United Nations agencies, the International Monetary Fund, the World Bank, and the World Trade Organization. Global business and civil society leaders also participated. The conference led to increased development aid commitments from donor countries as well as agreed positions on other issues such as debt relief, reducing corruption, and increasing policy coherence. The Monterrey Consensus coalesced around six areas of agreement:

1. mobilizing domestic financial resources for development;
2. mobilizing international resources for development, including private sector investments;
3. international trade as an engine for development;
4. increasing international financial and technical cooperation for development;
5. dealing with drag of external debt; and
6. addressing systemic and implementation issues such as enhancing the coherence and consistency of international aid.

The Monterrey Consensus helped bring together both donors and developing countries around a shared concern that aid be used as effectively as possible. A new paradigm of aid as a partnership, rather than a one-way relationship between donor and recipient, was emerging and evolving. Using the framework of the Paris Declaration Evaluation (Wood et al., 2011, p. 204) that conceived the dynamics of international aid relationships as a journey, the direction of travel was toward greater partnership, the pace was slow, and the distance traveled was small—but as the new millennium unfolded, the journey was clearly underway.
HIGH LEVEL FORUMS ON AID EFFECTIVENESS

1st High Level Forum on Harmonisation, Rome, 2003

As part of the follow-up to Monterrey, representatives of 74 donor and partner countries, bilateral and multilateral development institutions, and regional organizations met in Rome in February 2003 at the High Level Forum on Harmonisation to make plans for applying good practice principles at the country level. Donors committed to align development assistance with partners’ strategies and improve systems, harmonize donors’ policies and procedures, and implement principles of good practice in development cooperation. The points agreed to in Rome set the stage for the Paris Declaration:

• ensuring that development assistance is delivered in accordance with partner country priorities;
• reviewing and amending policy, procedures, and practice to facilitate harmonization;
• implementing progressively good practice principles in development assistance delivery;
• intensifying donor efforts to work through delegated co-operation and increasing the flexibility of staff to manage country programs and projects more effectively and efficiently;
• developing incentives to foster recognition of the benefits of harmonization;
• providing support for country analytic work in ways that will strengthen government leadership and ownership of development results;
• mainstreaming country-led efforts to streamline donor procedures and practices, including demand-driven technical co-operation;
• applying good practice principles, including alignment with national budget cycles and poverty reduction strategy reviews in providing budget, sector, or balance of payments support;
• promoting harmonized approaches in global and regional programs. (OECD, 2003)

Maintaining Momentum: Marrakech

A year later, in February 2004, delegates representing over 50 countries and 20 international organizations met in Marrakech, Morocco, for the second International Roundtable on Managing for Develop-
The Heads of the multilateral development banks (MDBs) and the chairman of the Development Assistance Committee of the Organisation for Economic Cooperation and Development (OECD-DAC) affirmed their commitment to foster a global partnership on managing for results in what became known as the Marrakech Memorandum. It included core principles for managing for development results that were reaffirmed at the DAC High-Level meeting later in 2004, which generated agreements for “aligning cooperation programmes with desired development results, ... defining how aid is expected to contribute to them and ... relying on and strengthening partner countries’ monitoring and evaluation systems in order to track progress” (Working Party on Aid Effectiveness, 2005, p. 7).

Together, cumulatively and over time, these international agreements were defining key goals and objectives for the aid effectiveness agenda. That agenda took a major step forward with the endorsement of the Paris Declaration in 2005.

THE PARIS HIGH LEVEL FORUM: JOINT PROGRESS TOWARD ENHANCED AID EFFECTIVENESS

In preparation for the Paris High Level Forum, the OECD-DAC Working Party on Aid Effectiveness conducted a review of progress, challenges, and opportunities in efforts toward harmonization, alignment, and results. These findings set the stage for the deliberations in Paris. Here are highlights of their findings as of 2005:

- **Broadening interest.** Almost all 18 partners that volunteered in Rome to be frontier candidates for implementation are working to translate the commitments made in Rome into concrete actions that have the potential to improve aid effectiveness.
- **On harmonization.** Donors have made a start in using simplified procedures and practices, joint analytical work, enhanced focus on delivery of development results, delegated cooperation, common procurement and financial management procedures, and common arrangements for sector-wide approaches and budget support.
- **On alignment.** As of October 2004, 43 countries had prepared poverty reduction strategies (PRSs), and many other
low- and middle-income countries had nationally owned development strategies.... There is a promising trend toward increased donor alignment behind country strategies. There is a small but growing list of examples of joint strategies among donors in support of these strategies. More donors are using programmatic, or budget, financing to provide overall support for country strategies and programmes at the national and sectoral levels.

- **Limited use of country systems.** Not a single donor ...reports using country systems across the board (for financial reporting, disbursement, procurement, audit, monitoring, and evaluation).

- **Mixed picture of progress.** Overall, while the scope and geographical coverage of activities to meet the Rome commitments is impressive, good practice has not yet become general practice. When measured against the commitments to make significant changes to the ways donors manage and deliver aid, there is not yet sufficient momentum in applying good practice deeply and systematically. Intensified efforts are needed by bilateral and multilateral donors, working closely with country partners, to scale up aid effectiveness collectively.

- **Addressing Constraints.** As recognized at Rome and Marrakech, sustained top-level attention is essential to address remaining constraints and ensure that momentum for these ambitious global change agendas does not stall, (Working Party on Aid Effectiveness, 2005, pp. 9-10)

The Paris Declaration

At the beginning of this article we presented the five principles endorsed in the Paris Declaration: (a) ownership, (b) alignment, (c) harmonization, (d) results, and (e) mutual accountability. In addition the Declaration set out an action-oriented roadmap with 56 specific commitments to tackle potential and likely problems based on past experience, for example, the need for increased transparency (OECD, 2005). Exhibit 2 has examples of the 56 commitments.

The Evaluation Report notes that the combination of principles and commitments, the large number of endorsers, and the commitment to monitoring progress were sufficiently different from previous initiatives to offer grounds for confidence that “it would move beyond good intentions to tangible results”: 
The Declaration builds in mechanisms at the international level to promote transparent mutual accountability in meeting the commitments: regular monitoring (against selected target indicators) and independent joint cross-country evaluation. It stresses that the strategies and priorities of partner countries will guide implementation and that it needs to be adapted and applied to differing country situations. Both partner countries and donors can also be expected to “establish their own targets for aid-effectiveness improvements within the framework of the agreed Partnership Commitments and Indicators of progress.” (Wood et al., 2011, p. 9)

Exhibit 2
Select Examples of Specific Commitments in the Paris Declaration

The select examples below were chosen to illustrate the range and diversity of commitments under the Paris Declaration. The full set of 56 commitments are available from the Organisation for Economic Cooperation in development (OECD, 2005, pp. 3–8).

1. **Ownership:** Partner countries exercise effective leadership over their development policies and strategies, and coordinate development actions.

   **Partner countries commit to:**
   - exercise leadership in developing and implementing their national development;
   - translate these national development strategies into prioritized results-oriented operational programs as expressed in medium-term expenditure frameworks and annual budgets;
   - take the lead in coordinating aid at all levels in conjunction with other development resources in dialogue with donors and encouraging the participation of civil society and the private sector.

   **Donors commit to:**
   - respect partner country leadership and help strengthen their capacity to exercise it.

2. **Alignment:** Donors base their overall support on partner countries’ national development strategies, institutions, and procedures.

   **Partner countries and donors jointly commit to:**
   - work together to establish mutually agreed frameworks that provide reliable assessments of performance, transparency, and accountability of country systems;
   - integrate diagnostic reviews and performance assessment frameworks within country-led strategies for capacity development.

3. **Harmonization:** Donors’ actions are more harmonized, transparent, and collectively effective.

   **Partner countries and donors jointly commit to complementarity: more effective division of labour.**
   - Excessive fragmentation of aid at global, country or sector level impairs aid effectiveness. A pragmatic approach to the division of labour and burden sharing increases complementarity and can reduce transaction costs.

   **Partner countries commit to:**
   - provide clear views on donors’ comparative advantage and on how to achieve donor complementarity at country or sector level.
Donors commit to:

- make full use of their respective comparative advantage at sector or country level by delegating, where appropriate, authority to lead donors for the execution of programs, activities and tasks;
- work together to harmonize separate procedures.

4. Managing for Results: Managing for results means managing and implementing aid in a way that focuses on the desired results and uses information to improve decision-making.

Partner countries and donors jointly commit to:

- work together in a participatory approach to strengthen country capacities and demand for results-based management.

5. Mutual Accountability: Donors and partners are accountable for development results. A major priority for partner countries and donors is to enhance mutual accountability and transparency in the use of development resources. This also helps strengthen public support for national policies and development assistance.

Partner countries and donors commit to:

- jointly assess through existing and increasingly objective country-level mechanisms mutual progress in implementing agreed commitments on aid effectiveness, including the Partnership Commitments.


The Paris Declaration included 12 specific indicators of progress that were meant to give “teeth’ of accountability to the mutual commitments” (Wood et al., 2011, p. 10). Monitoring and reporting on those indicators was carried out through monitoring surveys in 2006, 2008, and 2011 (for details see Wood et al., 2011). Exhibit 3 presents the 12 indicators of progress. The Declaration also included provisions for independent evaluation of how the principles and action agenda were implemented. The Paris Declaration Evaluation that is the focus of this special issue fulfilled that commitment.

Exhibit 3

Twelve Indicators of Progress in Implementing the Paris Declaration

1. Countries operationalize their development strategies.
2. Public financial management systems are reliable.
3. Aid flows are accurately recorded in country budgets.
4. Technical co-operation is aligned and coordinated.
5. Donors use country public finance management and public procurement systems.
6. Donors avoid parallel project implementation units.
7. Aid is more predictable within the year it is scheduled.
8. Aid is increasingly untied.
9. Donors use coordinated mechanisms for aid delivery.
10. Donors coordinate their missions and their country studies.
11. Countries develop sound frameworks for monitoring development results.
12. Mechanisms for mutual accountability are established at country level.

3rd High Level Forum: The Accra Action Agenda

The Paris Declaration Evaluation focuses on the Paris Declaration principles and action commitments but also includes attention to the 3rd High Level Forum held in Accra, Ghana, in September 2008—midway through the Paris Declaration term—that resulted in the Accra Action Agenda (OECD, 2009). The Evaluation Report summarizes what emerged from Accra as part of establishing the context for the evaluation:

First, there was wide agreement that the prevalent view of the Declaration as a technical, bureaucratic process needed to be shaken up and the key driver of “high-level political support” revitalized. The need to engage actors outside the executive branches of central governments—legislators, other levels of government, civil society, and the private sector—came to the fore. The Forum reiterated the need to adapt the Declaration’s application to fit different country circumstances, and recognized “that additional work will be required to improve the methodology and indicators of progress.” A number of the commitments were singled out for special attention, reinforcement, or refinement, including expectations for more effective and balanced mutual accountability. A final message from Accra, supported by a number of findings in the Evaluation, is that when knowledge of and engagement in aid reform extends to the full range of actors including the legislature, subnational governments, civil society, and the private sector—rather than to only a few ministers and agencies of the central government—it is likely to provide a stronger base for implementing the aid effectiveness agenda.

The Accra Agenda encouraged all development actors, including those engaged in South-South cooperation and global funds and programmes, to use the Paris Declaration principles as a point of reference in providing development cooperation. It drew attention to the role of middle-income countries as both providers and receivers of aid, the importance and particularities of South-South cooperation, encouraged the further development of triangular cooperation, and looked to deeper engagement with civil society organizations in improving aid effectiveness. (Wood et al., 2011, p. 10)
The Accra Action Agenda emphasized and reaffirmed the global commitment to the Millennium Development Goals but, as the Evaluation confirmed in assessing the widespread lack of progress for the poorest, and particularly women and girls, development assistance cannot replace strong and effective national commitment and action. The Accra Action Agenda asserted: “Developing countries and donors will ensure that their respective development policies and programmes are designed and implemented in ways consistent with their agreed international commitments on gender equality, human rights, disability, and environmental sustainability” (quoted in Wood et al., 2011, p. 66).

4th High Level Forum: Busan, Koren, December, 2011

Each High Level Forum has deepened the global commitment to development aid reform aimed at improving processes and increasing effectiveness:

- 2003, Rome: 1st High Level Forum on Harmonisation
- 2005, Paris: 2nd High Level Forum on Harmonisation, Alignment, Results
- 2008, Accra, Ghana: 3rd High Level Forum on Aid Effectiveness
- 2011, Busan, Korea: 4th High Level Forum on Development Effectiveness

As the 4th High Level Forum was being planned, organizers anticipated that success would depend on several interrelated factors:

- a broader and deeper partnership at all levels of development, including developing and developed countries, and private and non-governmental organizations;
- a set of aid effectiveness principles based on persuasive evidence to eliminate policies that make development results more difficult to reach;
- a revitalized global effort toward reaching the MDGs and addressing the need for global public goods;
- the recognition that the world’s poorest and most fragile states need security, capacity, and special consideration;
- the recognition that achieving results must be based on policies, laws, and institutional arrangements that encourage everyone to directly participate in the development process;
• the recognition that all participants in development are mutually accountable in producing and measuring results—which means that they must develop the capacity to collect, evaluate, and report data that illustrates the effectiveness of programs and their worth. (OECD, 2011)

THE EVALUATION OF THE PARIS DECLARATION

The first phase of the Evaluation of the Implementation of the Paris Declaration was targeted at the 3rd High Level Forum (HLF) in Accra. The second phase of the Evaluation of the Paris Declaration was targeted at the Fourth HLF on Development Effectiveness held in Korea in December 2011. This is a critical point. The evaluations, both Phase 1 and Phase 2, were not simply independent studies for general information or an academic exercise aimed at furthering development aid scholarship. The evaluations were planned, implemented, disseminated, and used, with every decision from design to analysis to reporting and dissemination, aimed at informing the High Level Forum deliberations. The evaluations were carefully designed and implemented with attention to intended use by intended users from beginning to end.

This article has aimed to place the Evaluation of the Paris Declaration, and the Paris Declaration itself, in a global and historical context. We have argued that the Paris Declaration was a landmark international agreement. Compared with previous joint statements on aid harmonization and alignment, it provided a practical, action-oriented roadmap with specific targets to be met by 2010 and definite review points in the years between. The number of countries and international organizations endorsing the joint commitments contained in the Declaration was unprecedented, reflecting a progressive widening of the range of voices engaged in the aid effectiveness debate. The Paris Declaration posed an outstandingly important challenge both to the world of development cooperation in general and to the field of development evaluation in particular, especially since previous such international agreements had not been systematically and rigorously evaluated.

The challenge to evaluators was (at least) twofold: methodological and political. The methodological challenge was how to evaluate a political statement. The political challenge was how to execute the evaluation in accordance with the Paris Declaration Principles, engaging donors and developing countries as equal partners. The
Evaluation derives its significance and relevance, first and foremost, from the importance of the Paris Declaration Principles. In addition, the Paris Declaration Evaluation was and remains, itself, a landmark and ground-breaking evaluation (Patton, 2012). Listed below are 10 major contributions of the Evaluation of the Paris Declaration to the field of evaluation. These contributions are derived from and elaborated in Dabelstein and Patton (2012) in this special volume of the Canadian Journal of Program Evaluation.

1. The evaluation’s substance is of global importance because millions of people are affected by the effectiveness of development aid.
2. Joint evaluation is a specific type of and approach to evaluation that has significant and widespread implications for how evaluations are both funded and conducted.
3. Evaluating a set of principles offers important insights into new and emergent objects of evaluation (evaluands) beyond the traditional focus on projects and programs.
4. The evaluation demonstrates a rigorous approach to synthesis analysis in which a number of separate evaluations are examined and findings integrated to generate general, triangulated conclusions.
5. The evaluation exemplifies authentic engagement of a large number of diverse stakeholders in ways that increased the evaluation’s credibility and utility.
6. The governance structure, stakeholder processes, management mechanisms, and methods exemplify how to maintain evaluator independence while undertaking a highly political and high stakes evaluation.
7. The evaluation adheres systematically, intentionally, comprehensively, and visibly to the new OECD/DAC standards for evaluation quality, demonstrating how to take a standards-based approach to the conduct of an evaluation.
8. The evaluation demonstrates multiple dimensions of process use, and how and why process use can be as important as findings use.
9. The evaluation is an exemplar of utilization-focused evaluation, that is, making attention to intended use by intended users the focus of the evaluation from beginning to end.
10. The evaluation demonstrates the role of meta-evaluation to enhance credibility, accountability, and utility.
CONCLUSION

The stakes involved in the Paris Declaration remain huge: the critical need for better lives for billions of people reflected in the approaching Millennium Development Goals for 2015. Hundreds of billions of dollars committed to addressing poverty reduction are affected by how development aid is designed, delivered, and evaluated. An increasing complex web of international relationships is affected by the principles of the Paris Declaration. Moreover, there are growing, often skeptical, demands from many sides to see demonstrable results from development aid. The Evaluation of the Paris Declaration was important, therefore, both for accountability—assessing the reforms achieved or not achieved—and for learning to guide future improvements.

REFERENCES


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