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POLÍTICAS DE DESARROLLO

Evaluating the implementation of the Paris Declaration (PD) within Spanish Cooperation

FINAL REPORT

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This report has been prepared by independent consultants with no previous involvement in the activities evaluated.

The opinions and views expressed in this evaluation report does not necessarily correspond with the Ministry of Foreign Affairs and Cooperation (MAEC).

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Acronyms

AECID – Spanish International Cooperation Agency for Development.

AT – Autonomous Communities.

CAP – Convocatoria Abierta y Permanente (Open and Permanent Call for Proposals)

CONGDE – Coordinating Office of Non-Governmental Development Organisations in Spain.

CSP – Country Strategy Document.

DAC – Development Assistance Committee.

DGCDAH – Directorate-General for Development Cooperation and Humanitarian Action (Catalan Government).

DGPOLDE – Directorate-General for Planning and Evaluating Development Policies.

EBEP – Basic Statute for Civil Servants.

EU – European Union.

FfP – Frameworks for Partnership.

FIIAPP – International and Ibero-American Foundation of Public Administration and Policies.

GTEC – Work Group on Effectiveness and Quality.

IATI – International Aid Transparency Initiative.

MDA – Multilateral Development Agencies.

MfDR- Managing for development results.

MAEC – Ministry of Foreign Affairs and Cooperation.

MOPAN – Multilateral Organisation Performance Assessment Network.

MP – Master Plan.

NGDOs – Non-Governmental Development Organisations.

ODA – Official Development Assistance.

OECD – Organisation for Economic Cooperation and Development.

OP – Operational Programming.

OTC – Office of Technical Cooperation.

PACI – Annual Plans for International Cooperation.

PD – Paris Declaration.

PEFA – Public Expenditure and Financial Accountability.

RD – Royal Decree.

SAP – Special Actions Plans.

SC – Spanish Cooperation.

SECI – State Secretariat for International Cooperation.

UCE – Overseas Cooperation Unit.

UPC – Planning and Quality Unit.

Executive Summary

The evaluation of the implementation of the Paris Declaration (PD) within Spanish Cooperation must be contextualised in the international process of evaluation of the PD. The monitoring and evaluation of the PD was a mandate of the Declaration itself, signed in 2005 (see *Annex 1. Terms of reference*).

According to findings of the first phase of the evaluation of the PD, this evaluation raises several questions regarding the dimensions that enable and facilitate its implementation. These dimensions are: commitment and leadership of the donor with the DP, the capacities to act, and incentives for its implementation (see *Annex 2. Evaluation questions*). The aim is that the synthesis of the results of all evaluations carried out in this second phase is also a significant contribution towards the Fourth High Level Forum to be held in Korea in 2011. The Spanish evaluation mission was launched on May 2010. The evaluation results presented in this report are referred to September 2010, ending date on the field work, although the development and contrast of the evaluation report took place until the first week of December 2010.

The evaluation process has been particularly rigorous with regards to the methodological, temporal and scope challenges that were established in its design. In this respect, special attention has been paid to define the following: a) time frame (II Master Plan, 2005/2008, and the first two years of the III Master Plan, 2009/2012); b) the institutional level, comprising a significant representation of actors of the Spanish cooperation system, governing, participation and consultation bodies, technical offices in foreign aid-related ministries, decentralized levels, NGOs, state institutions of partner countries and other international agencies and donors, and c) at the geographical level, the case studies of Autonomous Communities of Catalonia and Extremadura, and the cases of Bolivia and Senegal have been included, but the Spanish evaluation focused mainly on the governing and aid managing bodies of the Ministry of Foreign Affairs and Cooperation (MAEC): State Secretariat for International Cooperation (SECI), Directorate-General for Planning and Evaluating Development Policies (DGPOLDE) and Spanish International Cooperation Agency for Development (AECID).

The evaluation team has contacted over a hundred partners throughout the institutional level concerned, through interviews and focus groups (see *Annex 4. Evaluation matrix and methodological options*). Furthermore, a structured and extensive dossier has been compiled for analysis based on thematic relevancy: documents about policy orientation, strategies and programming definition, system feedback and operational procedures (see *Annex 5. List of key informants*).

1.- Main findings and conclusions

The evaluation results show a series of key issues within the PD implementation process within Spanish Cooperation as a whole, but especially in the central system (SECI, DGPOLDE, AECID). According to the findings of the first phase of the PD evaluation, these results are related to the three conditions enabling its implementation: commitment and leadership, capacity to take action and incentives for its implementation.

1.1. Commitment and leadership

The evaluation highlighted the following aspects with regards to the adaptation to and motivation for change, to the degree of change and ownership at different levels of the system, and to how the changes are perceived. The evaluation highlights the following:

- There is a good level of incorporation of the effectiveness agenda within the policy and strategic documents of the Spanish Cooperation, which speaks for its importance and assimilation, particularly in the Central System (SECI- DGPOLDE- AECID).
- A set of strategic and operational tools that allow for its application are being defined. Thus, the strategic planning exercises targeting the Spanish Cooperation system (Country Partnership Frameworks) and the operational planning exercises (in the AECID), as well as the Strategic Partnership Framework Agreements with Multilateral Organisations are processes which —should they achieve institutionalisation— will be a key element to promote the implementation of the Paris Declaration and the Accra Agenda for Action.
- The decentralised cooperation is starting to identify how to transform the existence of multiple actors into an opportunity. This especially in the case of those Autonomous Communities with more experience in the field of development cooperation.
- The evaluation also highlights the following issues:
 - It is neither sufficient nor consistent the pace with which this group of measures are finally launched in order to put the principles of the Paris Declaration into operation, and the leadership to support and apply the processes through which these measures are developed.
 - The current situation demands a roadmap (which was not available at the moment of the evaluation) to be defined, one which includes realistic expectations and which commits clearly and integrally to new processes such as the Partnership Frameworks and Operational Programming, and to management tools, as well as considering the necessary efforts to define and share this roadmap with Spanish Cooperation as a whole.
 - The monitoring and evaluation of the fulfilment of the commitments within the effectiveness agenda and accountability framework, has been hardly developed in the Spanish Cooperation system. It is linked to the need for the progressive incorporation of an evaluation culture that allows for ad hoc decision-making.

1.2. Capacities

Regarding the capacities analysis, the focus is mainly on the institutional capacities to make the acquired commitments and leadership feasible, particularly those of the Central System (MAEC). The staff's knowledge and understanding of the PD, the degree of current adaptation of institutional capacities in relation to this commitment with the aid effectiveness and reform, and how the impact of changes is perceived at the field office level were analysed. The evaluation highlights the following:

- Launched strategic and operational processes are key aspects and require a solution so as to satisfy the specific needs regarding capacities. Among others, the information systems should have adequate, skilled and trained staff so as to correctly implement the approach of Managing for Development Results. To achieve this it is essential (a) that senior management teams accompany these measures and (b) accountability requirements and demands at all levels of the system.

- The analysis of good practices and processes contributing to improve the level of knowledge needed to make the appropriate effectiveness changes has shown that the strategic and operational planning exercises (Operational Programming, Frameworks for Partnership), as well as the creation of discussion and proposal groups on effectiveness (Aid Effectiveness and Quality Work Group, Operational Programming Committee and Group) are highly adequate, particularly at the central system. This reinforces the relevance of initiatives targeted at expanding the knowledge and understanding of the elements of effectiveness as a process that is on-going, that is especially linked to the practice, and that offers clear possibilities for feedback and follow-up.
- Within the organisational restructuring process, mainly at the central system level, there is a clear and visible improvement, especially within the AECID with the creation of specific planning and quality units (UPC), Programme Assistance units —formerly New Tools unit, which now assumes a technical support role and moves to the recently created Directorate for Sectorial and Multilateral Cooperation—, and the creation of new cross-sectional work groups, as well as the formalising of the existing ones.
- Decentralisation is a key issue for the implementation of the PD, and one which has not yet been fully tackled: the new tools (Frameworks for Partnership and Operational Programming) contribute to the redefinition and the appropriate distribution of roles and competences between headquarters and the field (and internally), as well as the relations and coordination between organisations and units.
- The evaluation has revealed the existing limitations to identify the results and indicators that are expected from each person and team in relation with the implementation of the PD (for example, AECID Management Contract), and from tools for monitoring (processes and results) and further assessment (key for decision-making).
- Efforts have been made to increase coverage and to regularise human resources, especially in units outside the central system. Nevertheless some of the most key and critical issues in Spanish Cooperation related to the PD implementation are (a) team stability and coherence and, therefore, the capitalisation of knowledge and the efficient new roles that entail an effectiveness agenda; (b) the possibility to develop a professional career within the sector, including mobility between headquarters and field, and amongst organisations (both at international level and between public and private entities), and (c) a definition in the correspondence between roles and profiles at various positions.
- The current feedback capacity of the system is not sufficient to show properly the progresses and limitations in the PD implementation, nor to share and socialise experiences

1.3. Incentives

Lastly, the evaluation focuses on the specific incentives offered to staff in order for them to fulfil the objectives of the effectiveness agenda, and on the perception of potentially discouraging factors. In this chapter, and as a result of the work of identification and design of specific evaluation questions, the study also addressed the practical application of the approach of Management for Development Results. The evaluation points out at least three issues:

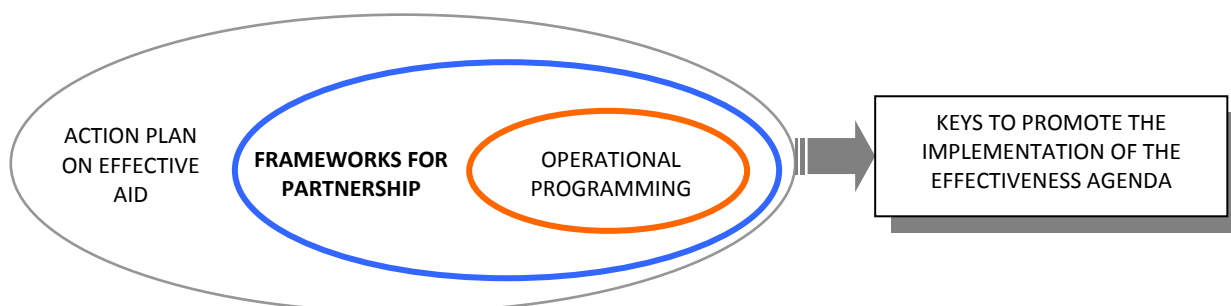
- Regardless of the possibility to develop an incentive system, the fact that processes are not institutionalised, completed or continuous is one of the major disincentives for staff.

- Currently, staff performance achievements towards the aid effectiveness agenda are not translated into an improvement of the possibilities of professional development and promotion.
- The limited progress with regards to a Managing for Development Results System, which should have been implemented in 2010, impacts negatively the Spanish Cooperation system in that the latter moves forward without having objective qualitative and quantitative indicators to measure the Official Development Assistance results. (The PACI 2009, to meet the commitments of the III Master Plan, planned having the general approach to implement MfDR system already in 2010).

2. Main recommendations

The recommendations have been drawn up with the premise that the ongoing strategic planning processes in their different political and institutional and operational levels, may represent the key to a significant progress in the PD implementation.

Figure 1. Planning process: policy, institutional, strategic and operational levels



2.1. Recommendations focus on the central system (SECI, DGPOLDE, AECID)

2.1.1. Commitment and leadership:

- Enhancing the AECID Management Contract (MC) as a strategic reference with a clear approach to aid effectiveness. Improve its utility so that the actions to be included within the MC establish a logical sequence (road map), with adequate specificity and definition to facilitate monitoring and evaluation.
- Institutionalize the management process of the Partnership Frameworks within the cooperation system and the AECID Operational Program. Ensure a sustained commitment from senior management.
- Addressing the implementation of an integrated information system, required for the strategic processes of planning, monitoring and evaluation
- Coordinate and integrate the different processes of strategic and operational planning, maintaining the momentum of the planning phase during the monitoring and evaluation phases. Complete institutional processes and institutional capitalization on experiences.

- Implement the Action Plan for Aid Effectiveness as a roadmap for Spanish cooperation and ensure the participation and ownership of the whole system.

2.1.2. Capacities:

- Adapt and improve the coherence of the job descriptions with the responsibilities of the posts, and address strategies to encourage mobility between field and headquarters.
- Link the adjustment of functions and the decentralization process between field and headquarters. Resolve deficiencies in terms of operating guidelines.
- Link formation processes and improvement of capacities to operation processes. The knowledge improvement initiatives are most effective when linked to practice, with emphasis on support and feedback.
- Encourage spaces and channels of communication and coordination among the institutions that form the central system for Spanish Cooperation (SECI, DGPOLDE, AECI), between departments, between headquarters and field, and among field offices
- From the senior management level ensuring stability, strengthen and support of the units, work groups and teams devoted to implementing the agenda of aid effectiveness.

2.1.3. Incentives:

- Develop and implement, based on the AECID Management Contract, the project plan to develop a career and a staff incentive system, taking into account the implementation of the PD principles.
- Addressing a decided process of change in the direction that most of the indicators of aid management should no longer be a priority only associated with the levels of budget execution.

2.2. Recommendations on the outside of the central system

2.2.1. Commitment:

- Recognize and value the decentralized cooperation initiatives aimed at identifying specific opportunities and PD development from their own visions.
- Develop a strategy for dissemination and comprehension exercises about the aid effectiveness at all levels of Spanish cooperation. Transmit especially relevant Strategic Partnership Frameworks as a key instrument and the role of each actor in them.
- Both in Spain and in the field, clarify the involvement of different Spanish actors, in ongoing processes, especially the Partnership Framework, including representation from the Ministries and other units outside the Central Government.
- Promote the development of an integrated information system with other actors of the Spanish cooperation in relation to multilateral cooperation operations, aimed at making timely decisions and enabling the complementarity with the bilateral cooperation.
- Promote multi-level spaces between ministries with more operational agendas.

- Promote active and sustained participation of the governing, advisory and coordination bodies in tracking and monitoring progress in developing the effectiveness agenda with which Spain is committed.
- International level: maintaining an active presence and power of proposal. Continue and further support for triangular cooperation and South-South

3. Summary of main lessons learned

Finally, the evaluation highlights some of the lessons learned from the path that the Spanish cooperation system has been developed to implement the aid effectiveness agenda.

- The evaluation shows the relevance of the dimension referred to the capacities of the system, especially those considered key factors to advance and consolidate the implementation of processes related to the effectiveness agenda. In this sense, it highlights the importance of adaptation to change by the system in its structure, organization and human resources, and whether these changes are properly sequenced and realistic, with installed capacities in the system from the starting points.
- The analysis reflects the importance of bridging the gap between discourse and practical implementation in terms of the aid effectiveness management. This process has to do (a) with the generation of specific training spaces, (b) with taking advantage of the existing spaces and/or exercises for strategic and operational planning and (c) with creating opportunities for exchange (not just inform) at all levels of the system. These tasks of building relationships and exchanges, should be articulated on the practice, not be a separate task of national systems, and be opened to the mutual knowledge of the different models and systems of the countries that have an important priority in the implementation of the PD.
- The capacity of feedback from the system (and thus of learning and incorporating new elements for more effective aid) is one of the most relevant aspects identified to improve. This aspect in contrast to the current “done blindly” action and without an explicit knowledge to “where are we going” or “what effects are occurring”. Experiences which incorporate continuous and comprehensive process of planning, monitoring and evaluation, maintain a clear higher capacity (and knowledge) for change towards a more effective management, and also to lead the processes of change.
- In practice, internal and external instruments to monitor the PD implementation and progress are not being an effective feedback mechanism for the Spanish Cooperation system. This should reinforce the importance of the need of real internal systems and integrated PD monitoring systems, which also form part of an integrated information management system, useful for the decision making process in the whole system.
- Finally, the experiences identified the relevance of the introduction of quality systems within some of the Spanish organizations and structures that have been analysed. While this improvement is seen as a factor that facilitates a more efficient and effective management, we need to adapt these models to the specific context and characteristics of a sector such as development cooperation.

1. Introduction

1.1. Background and reasons to evaluate

Evaluating the implementation of the Paris Declaration (PD) within Spanish Cooperation must be contextualized within the process of independent evaluation at the international level, together with any monitoring, included in the Declaration, and as an inherent part of it. The PD states that this evaluation process should offer deeper understanding into how increased aid effectiveness contributes towards achieving the development goals, which is the hypothesis and the main message of the Declaration.

It should be recalled that the Paris Declaration of 2005, as compared with previous joint declarations on aid harmonisation and alignment, includes specific commitments in areas such as countries' ownership and managing for results, as well as mutual accountability, and establishes practical measures with specific objectives for 2010, as well as mid-term review milestones up until that date.

Figure 2. Concepts of the Paris Declaration



Later, in 2008, the Accra Agenda for Action, a result of the Third High Level Forum on Aid Effectiveness, complemented and deepened the content of Paris principles.

Due to this feedback commitment, the DAC Network on Development Evaluation proposed a two-phase evaluation¹. The **first phase**, launched in March 2007, was designed to evaluate changes with regards to behaviour and identification of best practices for partners and donors when applying the commitments agreed upon in Paris. In this case, the main focus was the level of **inputs** and **outputs**. The Synthesis Report was a key input for debates which took place within the framework of the Third High Level Forum on Aid Effectiveness (Accra, Ghana, September 2008). During this phase, 8 partner countries and 11 donor countries and multilateral development agencies took part².

In the **second phase**, during which Spain performed its evaluation as a donor country, the goal was to evaluate the contribution of the PD towards aid effectiveness and development results, that is to say, it tries to answer the key question of whether progress is being made, and to what extent, with regards to the long-term objectives of the Paris Declaration, while also integrating a contextual analysis. Therefore, this second phase is focused on the **results** and **impact** level, and should contribute relevant information for debates to will take place in the Fourth High Level Forum on Aid Effectiveness, in South Korea in 2011.

¹ Monitoring surveys were performed in 2006 and 2008 based on 12 specific indicators related to the implementation of the PD.

² The Synthesis Report on the First Phase of the Evaluation of the Implementation of the Paris Declaration can be downloaded from www.accralhlf.net or www.oecd.org. It can also be requested for free at www.evaluation.dk. In this phase, Bolivia performed the evaluation with Spanish funding.

In relation to the **evaluation of countries and donor agencies**, which was mainly undertaken in the first phase, the specific aim is to assess the implementation practices of the Paris Declaration commitments to contribute to improved aid effectiveness, especially following the new impetus coming from the Accra Agenda for Action (2008). The focus is on learning, which raises two big questions: “Are we doing what is right?” and “Are we doing it well?”

In this second phase, the International Reference Group³ of the evaluation anticipates that the studies will help to:

- Deepen the understanding of the findings and results of the surveys monitoring the commitments of the Paris Declaration, carried out in 2006 and 2008, and which will contribute information to the Fourth High Level Forum on Aid Effectiveness in 2011.
- Facilitate global learning on aid effectiveness through evaluation processes, as well as a more effective implementation of the Paris Declaration.
- Make specific recommendations for development agencies and the global aid community in order to improve aid effectiveness.
- Complement and strengthen the basis of the main focus of phase II of the evaluation, which is focused on a set of solid national evaluations.

The **specific objectives** of donor and agency evaluations are to:

- Allow donors and agencies to clarify, improve and strengthen policies and practices in agreement with the Paris Declaration in their search for attempts to improve aid effectiveness and development.
- Highlight obstacles and difficulties limiting the application, effect and impact of the PD, as well as how to overcome such obstacles and difficulties.
- Allow stakeholders, countries and associations to share and exchange experiences with a view to facilitating reflection, lessons learned and the improvement of policies.

Thus, Spain’s **decision** to carry out the evaluation is linked to the international commitment to contribute to a global analysis, endorsing objectives indicated at the international level for the evaluation as a whole, and which were included in the ToR of the **evaluation as specific objectives of the evaluation by Spanish Cooperation**.

Within this framework, and following the same scheme as in the first phase for donors, the evaluation intends to answer **three main questions**⁴:

³ With a view to giving the evaluation with a strategic orientation, an International Reference Group was created, composed of the members of the DAC Network on Development Evaluation, representatives of partner countries (mainly, the members of the Aid Effectiveness Work Group), and representatives of civil society. In turn, this Reference Group has appointed a Management Group, composed of Denmark, the Netherlands, South Africa, Vietnam and the UNDP. The Reference Group has drafted generic ToR for studies undertaken at donor and agency headquarters for phase 2 of the evaluation, from which expected uses and objectives have been extracted.

⁴ See *Annex 1. Terms of Reference* and *Annex 3. Evaluation questions*.

Figure 3. Key questions of the evaluation

<p>1. What important trends or events are surfacing as a result of launching the implementation of the Paris Declaration?</p>	<p>2. Which are the main influences affecting the behaviour of Spanish Cooperation with regards to its Paris commitments?</p>	<p>3. To what extent is implementation directed towards the five commitments of the Paris Declaration?</p>
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This analysis should be undertaken by examining three conditions enabling or facilitating the implementation of the Paris Declaration: the applied **commitment and leadership**, the **capacities** to act, and the **incentives** for its application.

Therefore, this document intends to respond to this feedback process from and to the whole Spanish Cooperation system at a very relevant moment, as it occurs at the midpoint of the implementation of the III Master Plan. In this way, it will contribute valuable information related to achieving objectives and the capacity of Spanish Cooperation to fulfill its aid effectiveness commitments, as well as offering keys in light of the Peer review exercise to be performed in 2011.

1.2. Managing the evaluation

The evaluation management was designed taking into account orientations included in the generic ToR drafted by the International Reference Group and in the *Guide to managing evaluations at the country level*, published by the Secretariat for the Evaluation of the Paris Declaration in September 2009.

To carry out the evaluation, the Directorate-General for Planning and Evaluating Development Policies (DGPOLDE) within the State Secretariat for International Cooperation (SECI) of the Ministry of Foreign Affairs and Cooperation hired two different and independent consultancy teams, external to Spanish Cooperation, and divided the project to yield two outputs:

- the first related to this report: the main evaluation mission, based on a study of the three main analytical dimensions (commitment and leadership, capacities and incentives), as well as the actual design of the evaluation per se —a task which was performed by a consultancy firm, Red de Recursos de Evaluación y Aprendizaje (REDCREA), and
- a second task to develop the contextual dimension of the SC (see Chapter 4) through a second independent consultant.

Because the evaluation was included within an international evaluation process, the study was to keep a threefold interrelated management process:

- **International:** establishing the pertinent relations and coordination with the central evaluation team⁵, which was responsible for summarising the evaluation results at the national level and drafting the evaluation synthesis report globally.

⁵ Composed by six international advisors recruited by a competitive process through the Evaluation Management Group. The Evaluation Central Team reports to the Evaluation Management Group, and is accountable before it through the Secretariat of the evaluation.

- **National:** defining operative structures, their functions, tasks and responsibilities, communication channels with stakeholders and a way of notifying any progress made.
- **Support mechanisms:** the Central Evaluation Team has provided national teams with a series of services to support the evaluation processes (design of generic ToR, consultancy, advice and support to the evaluation coordinator, the Managing Committee and the evaluation team), specifically through an online platform.

Similarly, the dual national and international aspects of this process have demanded that the schedule be adjusted for the second phase in order to meet defined deadlines for the evaluation as a whole.

At the national level, the evaluation⁶ has been managed jointly by DGPOLDE's Evaluation Division and the Planning and Quality Unit (UPC) of AECID. A Management Committee was created including both units and with the participation of DGPOLDE's Aid Effectiveness Group⁷. DGPOLDE assumed the coordination of the evaluation with the Central Evaluation Team.

The Management Committee has worked side by side with the evaluating team throughout the process, especially with regards to initial decisions linked to the design of the evaluation (time frame, geographical scope, institutional range and definition of reporting needs). During the final phase of the validation and contrast of the evaluation, numerous meetings took place in October and November, ensuring the quality of the evaluation with regards to national, regional and international rules (DAC). An important achievement during the contrasting and validation process of the evaluation should be highlighted: on 18th November a session took place that included the participation of AECID and DGPOLDE managerial personnel, and of a SECI representative. Thanks to this session, an output was presented at the final validation meeting with the representative of DAC Network on Development Evaluation which was acknowledged to be adapted to and useful for the Spanish Cooperation system as a whole.

Finally, two important moments that helped to link the management of the evaluation process at the international and national levels took place during the following meetings of the Monitoring Committee and the evaluating team with:

- Francisco Sagasti, a member of the Phase II Central Evaluation Team (Coordinator for Latin America)⁸, on 15 September 2010: the meeting dealt with content coordination and a schedule of intermediate outputs for the international synthesis report, and recommendations for the validation process.
- Dominique de Crombrughe, Vicepresident of DAC Network on Development Evaluation, on 26 November 2010: the session dealt with the definitive validation of the final evaluation report.

⁶ To manage the evaluation, DGPOLDE took as a reference the generic ToR and the *Guide to managing evaluations at the country level*, published by the Secretariat for the Evaluation of the PD, as well as the document "Evaluation context and framework for Phase II".

⁷ This Management Committee was extended during the contrasting and validation phase of the evaluation report to include DGPOLDE and AECID managerial personnel as well a SECI representative.

⁸ He was also part of the independent team in charge of drafting the synthesis report of the evaluation's Phase I.

2. Intervention logic and methodological elements of the evaluation

2.1. Evaluation scope and focus

The generic Terms of Reference of Phase II of the evaluation, which are a common base for donors and agencies headquarters, state that each donor should decide how rigorous their methodology and processes should be, and that in any case **"the output will be more descriptive and analytical than those of partner countries, and should include appreciations and patterns instead of explanations and conclusions"**. Therefore, the studies of donors, as is the case with Spanish Cooperation, should focus on **processes** and highlight **explanatory factors** on how and why the Paris Declaration is applied.

Bearing in mind these premises and the decision to undertake a very rigorous exercise in the Spanish case, the evaluation defined the need to delineate the following. On the one hand, the scope of the study, or the analytical dimensions of the evaluation (time frame, geographical scope and institutional range). On the other hand, the evaluation questions specific to the Spanish Cooperation case, while taking into account the lessons learned with regards to clarifying concepts⁹ and the weaknesses detected during Phase I of global evaluation of the PD, which were related to the need to incorporate a clear and comparable analysis of contextual factors.

With regards to the time frame, it was agreed that the period of time to be analysed would center around the year 2005 (when the Paris Declaration was signed), using a range of dates that would allow for an examination of the trends and evolution of Spanish Cooperation in reference to the implementation of the PD. This time frame includes the II Master Plan (2005-2008) and the first two years of the III Master Plan (2009-2012), which makes it possible to assess this trend, underlining the most significant changes with regards to previous cycles (I Master Plan, 2001-2004).

With regards to the range of institutions, it was agreed that the evaluation would focus primarily on the main and governing level of Spanish Cooperation (SECI, DGPOLDE, AECID), and, secondly, on the decentralised regional level, adjusting the scope for temporary and economic reasons to two Autonomous Communities case studies. At both levels, national headquarters and field offices (Bolivia and Senegal) were considered.

The institutional diversity within the SC system and the actual possibilities of study (cost, time frame, available information) recommended that the remaining agents, both of civil society as well as official bodies, be taken into account as key informants with regards to how they **perceive** and to what extent they are **influenced** by governing bodies in relation to the PD, rather than performing an in-depth analysis of their own commitments, capacities and incentives for implementing the PD.

Lastly, regarding the geographical scope, the evaluation had two premises: a) to generate knowledge based on an analysis of the information available at headquarters was fundamental; and b) nevertheless, to obtain information from the field through a selection of available and representative case studies was deemed appropriate, as per existing resources.

⁹ The key concepts we are referring to are: *commitment* to the PD principles, *capacity* to apply the PD and *incentives* for its application. While they were explained, to a certain degree, in the ToR of Phase I of the evaluation, it was deemed as necessary to present guidelines in order to understand and apply those concepts in Phase II, taking advantage of the contributions made by the 11 donors and agencies which had previously carried out the exercise.

After a period of debate within the Management Committee and with the evaluating team, it was decided that the following case studies be tackled to delimit the range of institutions and the geographical scope:

- **Decentralised level in Spain:** the cooperation system of the Autonomous Community of Extremadura, especially the Extremadura International Cooperation Agency for Development (AEXCID); and the cooperation system of the Autonomous Community of Catalonia, with a focus on the Directorate-General for Development Cooperation and Humanitarian Action of the Catalan Government and, especially, on the Catalan Cooperation Agency for Development (ACCD).
- **Overseas Cooperation Units level:** Spanish Cooperation in Senegal, through the Office of Technical Cooperation (OTC) of the AECID in Senegal; and Spanish Cooperation in Bolivia, through the AECID office in that country.

Figure 4. Case studies: selection criteria



2.2. Work plan and main methodological elements of the evaluation

2.2.1. Work plan of the evaluation

The evaluation has been carried out in three phases, which are briefly described in the following box, according to the expected objectives and results.

Box 1. Evaluation phases

Phase	Objectives	Results	Dates
APPRAISAL AND DESIGN	Defining evaluation focus and scope.	– Evaluation matrix.	May – June 2010
	Adding systematised information (documents).	– Methodological tools guide.	
	Basic characterization of the Cooperation System.	– Sample and/or case studies.	
	Choosing and designing the main methodological tools.	– Field work agendas.	

Phase	Objectives	Results	Dates
FIELD WORK / data collection	Data collection according to indicators established in the evaluation matrix.	– Indicators with relevant information for their assessment.	June – September 2010
	Data contrast and triangulation.	– Field work report.	
Synthesis, contrast and FINAL REPORT	Data analysis.	– Draft and final evaluation reports.	September – November 2010
	Results contrast and validation.		
	Writing final documents.		

At any given time, efforts were made to integrate the work plan specific to the evaluation of the SC case with the work plan and the joint evaluation programme of the PD, Phase II, at the international level, delivering the required intermediate outputs (such as the analysis matrix) and the final report by the deadline (7th December 2010).

2.2.2. Main methodological aspects of the evaluation

Following the generic ToR, the evaluation adopted a mixed methodological approach, incorporating quantitative and qualitative strategies, and made a series of decisions related to key stakeholders and the usage of different technical resources (documents analysis, semi-structured interviews, questionnaires and focus groups).

One of the first decisions was to take advantage of synergies with regards to the study *Self-evaluation on implementing the Paris Declaration within AECID*,¹⁰ which was being undertaken by the Aid Effectiveness and Quality Work Group and the Operational Programming Committee of AECID. This study, launched in June 2009, presented the evaluating team with systematised data from a questionnaire answered by 284 people belonging to AECID managerial and technical level staff, both at headquarters and in the field.

The questionnaire included structured assessments by personnel on five aspects related to the effectiveness agenda:

- Knowledge of and familiarity with the Paris Declaration principles;
- Managers' commitment and knowledge with regards to the effectiveness agenda;
- Adequacy of personnel structure and policies;
- Adequacy of management policies and procedures; and
- Adequacy of budget and monitoring.

Furthermore, the self-evaluation promoted by AECID questioned on the main success factors of efforts the Agency could apply in this area. Therefore, it included relevant information which was compatible with the analysis levels of the evaluation and an adequate methodological rigour.

¹⁰ Self-evaluation tool that allows agencies to value their strengths, weaknesses and gaps in terms of institutional incentives, and then to launch internal organisational processes in order to boost the effectiveness agenda. It was created by several donors within the framework of the Working Party on Aid Effectiveness of the Development Assistance Committee (DAC).

Furthermore, the evaluating team applied the **methodological tools** presented in the following box depending on the evaluation phase:

Box 2. Summary of the main methodological resources by phase

FASES	Recursos Metodológicos					
	Document analysis	Case studies	Interviews	Focus groups	Questionnaires ¹¹	Contrasting meetings
Design	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/> (selección)	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>
Field work	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Data analysis	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>
Delivery and contrast						<input checked="" type="checkbox"/>

As can be seen, data was collected mainly through document analysis, semi-structured interviews, focus groups and questionnaires.

With reference to the document analysis, it should be underlined that through the revision of an extensive dossier, valuable secondary information was accessed covering a broad set of institutional levels and actors, linked in some way or another to the incorporation of the PD within the SC system (see *Annex 6. Consulted documentation*). In general, documents were analysed with reference to:

- Policy orientation.
- Strategies and programming definition.
- System feedback (evaluations, follow-up report, monitoring reports).
- Operational procedures.

2.2.3. Institutional range and actors map

The evaluation has taken into account the diverse institutional map linked to the Spanish Cooperation system, both in Spain and in those countries where cooperation actions are developed. Although the main focus was on the central and governing level of Spanish Cooperation, a wide range of institutional actors were initially considered which could be incorporated into the evaluation and whose participation would depend on the final methodological decisions, the feasibility of the available information, and the actual possibilities related to access, cost and time frame.

In the selection of institutional actors, both DGPOLDE and AECID (UPC) played a crucial role when deciding who key actors should be, facilitating access to them and managing convenings.

¹¹ With some Catalan Cooperation actors, it was possible to conduct a direct evaluation only by means of a brief questionnaire *after* the interview. The main source is the results of the self-evaluation questionnaire on implementing the PD conducted by AECID.

Finally, it was agreed within the Management Committee that the evaluating team should focus on the actors mentioned in box 3.

Box 3. Evaluation scope at the institutional level

Levels of the system	Spain		Partner countries	
	Governing bodies	Other		Governing bodies
Central level	State Secretariat for International Cooperation (SECI)	Ministry of Economy and Finance	Offices for Technical Cooperation of AECID	European Commission Delegation Spanish NGOs International bodies, multilateral bodies for development and cooperation agencies of other donors in the partner country
	Directorate-General for Planning and Evaluating Development Policies (DGPOLDE)	Ministry of Industry, Trade and Tourism	Spanish Embassy	Ministry in charge of cooperation and finance in the partner country
	Spanish International Cooperation Agency for Development (AECID)	Coordinating Office of NGOs-Spain and a group of NGOs		
Decentralised level	Extremadura International Cooperation Agency for Development (AEXCID)	Coordinating Office of NGOs-Extremadura Local Fund of Extremadura for Development Cooperation	Representatives/field teams of decentralised cooperation	
	Directorate-General for Development Cooperation and Humanitarian Action of the Catalan Government	Council for Cooperation		
	Catalan Cooperation Agency for Development (ACCD)			

In this context, the evaluating team covered almost all units supposed to have some link or other to the PD agenda. Specifically, three groups were covered:

- **Central System (Spain):** a) units within SECI (Secretariat Office); b) DGPOLDE: Evaluating, planning and aid effectiveness units, development and financial instruments, aid monitoring and quality area; and c) AECID: geographical directorates, sectorial and multilateral directorate, programme assistance unit, programming and quality unit, and under the General Secretariat: organisational area, quality and legal affairs, the department of economic, financial and budgetary management, as well as the Commissioner for the Management Contract of AECID.

Futhermore, the above group was joined by representatives and technical staff of units related to the PD agenda within the Ministry of Economy and Finance, the Ministry of Industry, Trade and Tourism, national NGOs and the National Coordinating Office of NGOs.

- **Central System (overseas):** a) the Offices of Technical Cooperation of AECID in Senegal and Bolivia: managerial staff, programme coordinators, units related to decentralised cooperation and NGOs, administrative area; b) the Spanish Embassy in Senegal and Bolivia: head, chargé d'affaires, economic and comercial office.

This group included representatives of the cooperation system in Bolivia and Senegal, in other European countries and international agencies, the Ministries of External Affairs, Economy and Finance of Bolivia and Senegal, as well as representatives of Spanish NGOs and staff of cooperation agencies of the Autonomous Communities in both countries. The head of the OTC of El Salvador was also contacted.

- **Decentralised cooperation** (Extramadura and Catalonia cases): units in charge of policies related to cooperation for development, planning, monitoring and evaluation, as well as of internal organisation, including administration.

This group was joined by representatives of NGOs from both Autonomous Communities, and in an ad-hoc manner, cooperation observatories, NGOs federations and coordinating offices and local cooperation funds.

The following box summarises the main critical actors involved in the evaluation through different methods of data collection, for a total of **110 actors**.

Box 4. Key informants in interviews and focus groups

	Distribution	Number	%
MODE	Central System	81	73,6
	Decentralised System	29	26,4
JOB LEVEL	Manager	30	27,3
	Technical	75	68,2
	Administrative	5	4,5
LOCATION	Field	60	54,5
	Headquarters	50	45,5
GOVERNMENT – CIVIL SOCIETY	Governmental	88	80,0
	Non-governmental	22	20,0
INTERNAL – EXTERNAL ¹²	Actors within the Spanish Cooperation system	93	84,5
	Actors external to the Spanish Cooperation system	17	15,5
TOTAL		110	

The actors group is not a representative sample, *strictus sensu*, of the whole SC system due to the following reasons:

- It is focused on the main SC actors, and it does not take into account, for example, local bodies or local NGOs.
- Coverage of units and departments within institutions on which the evaluation is focused is quite complex, and the number of stakeholders interviewed is significant. However, not all people initially identified as relevant were available or could be interviewed (see Chapter 3. Determining factors and limitations of the evaluation).

¹² *Internal*, such as staff assigned to the Spanish Cooperation system, and *External*, such as an actor belonging to cooperation systems other than the Spanish one (for example, staff of the European Commission delegations in Senegal and Bolivia).

- Autonomous Communities included in the study are not necessarily representative of decentralised cooperation because they mainly answer to the selection criteria explained above; it was not possible to access all AC through questionnaires or other methodological options.
- Likewise, the Offices of Technical Cooperation do not necessarily represent AECID action overseas. This issue was partially resolved through the self-evaluation questionnaire on the PD distributed by AECID and answered by 118 professionals of several OTC.

2.3. Evaluation needs and questions and analysis logic

As has been mentioned before, the evaluation follows an international process of evaluation of the PD in which donors and agencies are asked a series of common questions and scenarios which should be taken as the analytical starting point for different studies. Therefore, this evaluation was subjected to general informational requirements with which it was necessary to combine the particular needs of the Spanish system in order for it to be internally useful for SC.

To address this issue, the evaluating team took as their starting point:

- The clarification of questions included in the generic ToR of the evaluation of Phase II.
- A detailed study of experiences and practices of donors who took part in the first phase of the evaluation of the implementation of the PD (lessons learned).
- The analysis, definition and adjustment of informational needs, a process in which the Management Committee was fully involved (see *Annex 3. Evaluation questions*).
- Preparing the appropriate evaluation matrix (see *Annex 4. Evaluation matrix and methodological options*).

Achieving an integration of the informational needs relevant to the Spanish context into the questions and dimensions which are common to all donors and agencies is important because each one of the three explanatory dimensions (or facilitating conditions) proposed as the core basis of the evaluation (commitment, capacity and incentives) can be analysed from different perspectives and at different levels.

In this context, the evaluation design has prioritised:

- A selection of the informative needs after being analysed and agreed upon within the Management Committee of the evaluation. That is to say, the analysis does not include all sections and questions of the evaluation which were initially provided as a common reference for all donor countries. Therefore, areas of focus and needs were selected that were particularly relevant to and useful for the Spanish case, as well as more closely adaptable to the specific context of the Spanish Cooperation system¹³.

¹³ Section 3, "Determining factors and limitations of the evaluation", identifies the main restrictions which have also been taken into account when prioritising and focusing on the most feasible and evaluable aspects (evaluability analysis).

- The classification of the informative needs in a logical causal structure in order to define clearly the relations among and reasoning behind the main evaluation results and areas of focus¹⁴.

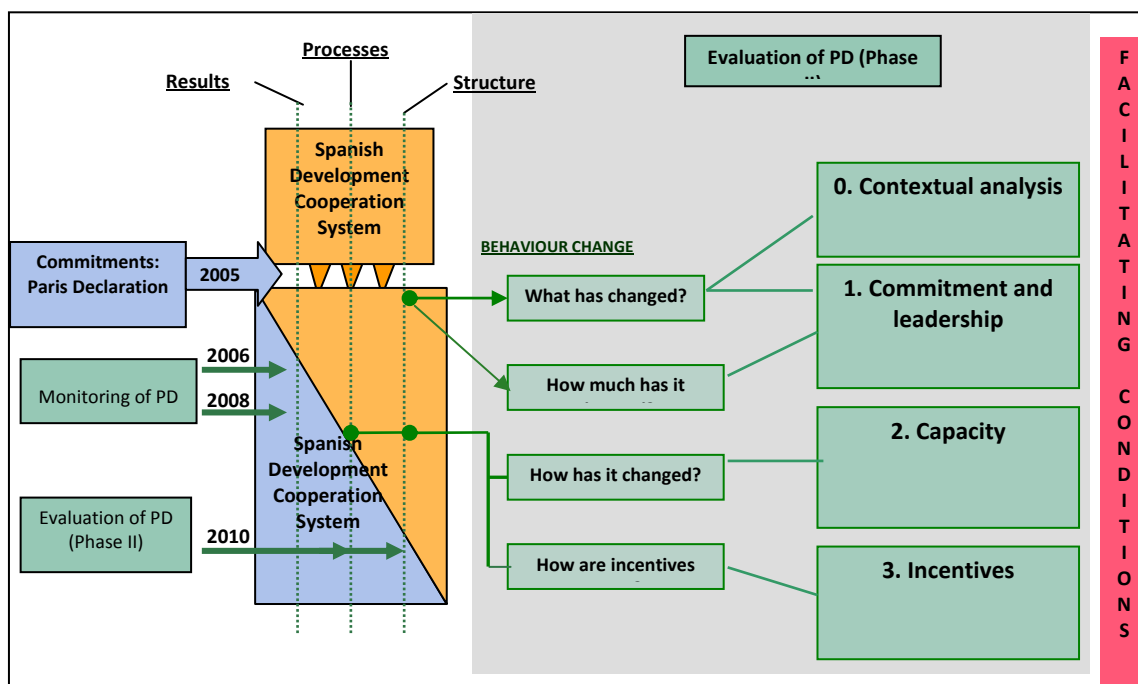
The main steps and results of the logic developed are summarised below:

1st step: clarifying the general scheme of the evaluation: dimensions

Firstly, the evaluation must allow for **measuring the main behavioural changes** of the Spanish Cooperation system with regards to the fulfillment of the commitments defined in the Paris Declaration. Secondly, the analysis should show **the relevancy of the changes¹⁵ and the levels of effectiveness of the adopted measures¹⁶** in the fulfillment of the commitments. Moreover, a third focus would be the identification of those aspects which are facilitating or hindering further progress.

As the Terms of Reference state, the analysis of those main elements must be structured around the three explanatory dimensions or facilitating conditions: a) **commitment and leadership**, with regards to the Declaration's principles; b) **capacities** for its implementation and c) **incentives** for its development. Figure 5 schematically shows the elements and dimensions which have structured the evaluation.

Figure 5. Scheme of the general logic of the evaluation



¹⁴ Beyond the theory or the programmatical inception of the Paris Declaration, and the feedback that might be obtained from this evaluation, previous information indicated that "the study might examine a series of hypothetical change mechanisms in order to examine more precisely...". The analysis of such change mechanisms has contributed to the arrangement of the results of the evaluation and to make them more coherent.

¹⁵ Are we doing the right thing?

¹⁶ Are we doing things right?

2nd step: defining priorities when addressing the three dimensions

The second step was to delimit and define the three dimensions more precisely. Box 5 shows the priorities addressed within each dimension, together with the logical sequence for their subsequent analysis.

Box 5. Priorities when addressing the three dimensions of analysis

COMMITMENT/LEADERSHIP	CAPACITY	INCENTIVES
<p>Focus on three <u>internal factors</u>:</p> <ul style="list-style-type: none"> ▪ <u>Motivation for change</u>: adaptation to favour the application of the PD at different levels: <ul style="list-style-type: none"> - Political. - Estrategic: programming. - Operational procedures. ▪ <u>Ownership-dissemination-articulation</u>: assimilation and assumption of PD principles by the governing body (SECI, DGPOLDE, AECID), and its capacity to disseminate and impact the rest of the Spanish Cooperation system (articulation scenarios). ▪ <u>Perception of change</u>: identifying what has changed, and to what extent, after implementing the PD by applying a contrasting approach at two levels: a) internal (governing body) and b) external (the rest of the SC system). 	<p>Focus on:</p> <ul style="list-style-type: none"> ▪ System structure, as a starting contextual factor. ▪ Management, as a key element to centre this dimension, specially from the <u>institutional range</u>, at three levels: <ul style="list-style-type: none"> - Information management (flow, knowledge, mechanisms). - Staff management (focused on role adaptation, knowledge capitalisation and teams stability). - Procedures management (adaptation of procedures and directives to implement the PD). 	<ul style="list-style-type: none"> ▪ Specific incentives offered to natural persons in order for them to fulfil the objectives of the effectiveness agenda. ▪ Analysis of the level of incorporation of the application of MdDR.

This outline of priorities made it possible to define an internal logic of reasoning within each dimension (see *Annex 4. Evaluation matrix and methodological options*). Furthermore, the scheme acted as a sequence and guideline to organise the main findings and conclusions of the evaluation, which are described in the following chapters of this report.

3rd step: defining logic within the analysis of each dimension

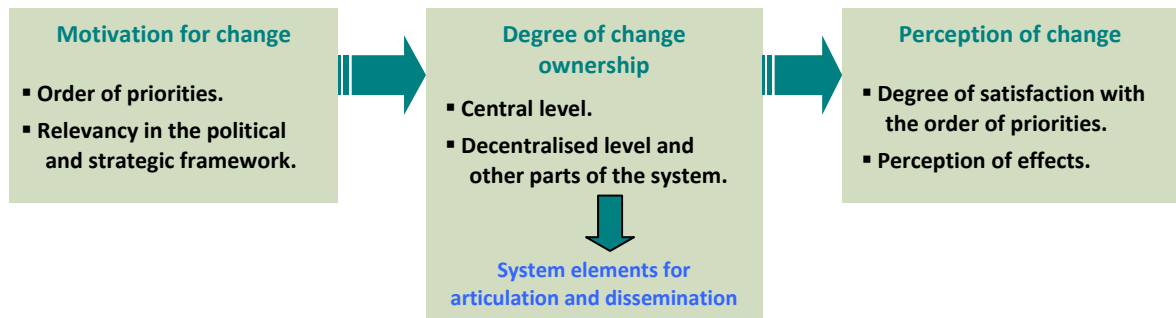
This last step addresses the logic which should be internally applied to each one of the three dimensions.

Firstly, the logic within the analysis of the **Commitment and leadership** dimension dealt mainly with three internal factors:

- Adaptation to and motivation for change reflected in the order of priorities. The evaluation focused on identifying the degree of relevance when incorporating an effectiveness agenda at the political, strategic and operational levels.

- The degree of change ownership at the different levels of the system, as prioritised by the evaluation, and the extent to which the articulation and dissemination levels of the system have allowed the changes to penetrate and be internalised.
- Lastly, the perception of these changes and their effects, especially in the application of particular processes to implement the principles of the PD.

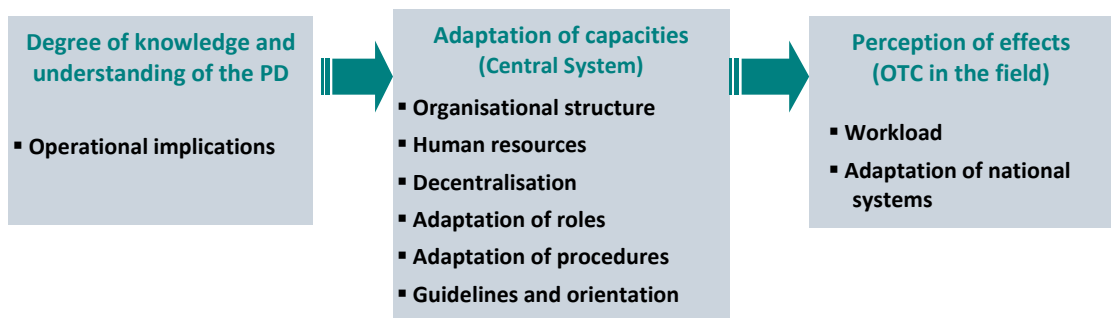
Figure 6. Internal logic within the analysis of the commitment and leadership dimension



Regarding the second dimension of analysis (system **capacities**), the focus was mainly on the institutional capacities needed to make the acquired commitments and leadership feasible, particularly those of the Central System. In this regard, the analysis maintained the following sequence:

- A first aspect related to the degree of knowledge and understanding of the staff with regards to the PD, and whether it is adequate for decision-making. In addition, the capacity of the system to generate prior analyses and feedback in order to adapt changes to its organisational structure.
- The degree of current adaptation of specific institutional capacities, specially in reference to human resource policy, the level of decentralisation, the publication of particular guidelines, and the adaptation of roles and procedures in managing the ODA.
- Lastly, an analysis of how the effects these changes are generating in relation to institutional capacities are visualised, mainly by technical offices in the field, with regards to internal organisation (workload), and working with partners and other donors (adaptation of national systems).

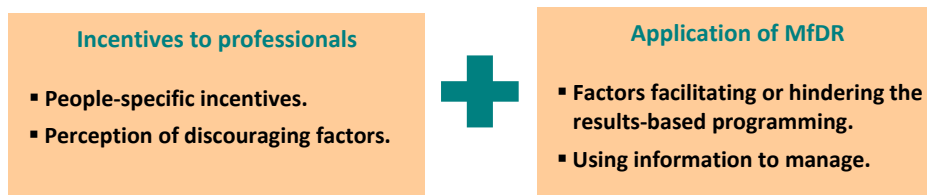
Figure 7. Internal logic within the analysis of the capacities dimension



Lastly, for the third dimension, on analysing the **incentives** to incorporate the PD, the analysis was focused on two elements:

- Mainly, the specific incentives offered to natural persons in order for them to fulfil the objectives of the effectiveness agenda, and the perception of potentially discouraging factors.
- The elements which affected the application of a managing for development results approach (MfDR), particularly the aspects facilitating or hindering a results-based programming, and the use of information to improve the management process and aid effectiveness.

Figure 8. Internal logic within the analysis of the incentives dimension



3. Determining factors and limitations of the evaluation

In this section, the most relevant determining factors which have affected the development and achievement of some of the evaluation objectives are briefly mentioned.

- Firstly, the limited time frame to develop the different phases of the study, particularly when writing the first draft¹⁷. This fact hindered the reviewing and contract process of the first drafts, and briefly delayed the delivery of the first results.
- Secondly, the difficulties in obtaining a contextual analysis and a basic diagnosis of the SC system during the first phases of the evaluation. The evaluation commissioner assigned the contextual analysis to an external consultant in order to expedite the output and to strengthen the technical analysis on the ODA effectiveness. In the end, it was not possible to count on this input and at the end of September the analysis was assigned to a new consultant. Consequently, the results of the first draft have been limited with regards to the contextual elements considered in the first phases of the study in order to, as has been expected, favour a more adequate analysis and the integration of data collected by the evaluation team.
- Due to time constraints, the review of analytical documents (diagnoses, evaluations and so on) from the evaluated organisations was given priority in order to meta-analyse hypotheses and results already analysed and verified. However, the internal nature of those documents (either drafts or not-yet approved or unofficial documents) has limited their availability and use as secondary information. This was common at both the Central and Decentralised levels.
- Despite the best efforts of the evaluation's commissioners, it was not possible to interview the head officers of the Central System¹⁸. Likewise, the mobility and uncertainty of some positions have affected the availability and motivation of some of these actors vis-a-vis the evaluation process.
- The incorporation of assessments specific to the evaluation questions in the case of decentralised cooperation¹⁹, and specifically regional cooperation, has been limited by:
 - The impossibility of managing reliable data collection tools, given the time frame, and the available resources, and in the specific context of this evaluation, which would have required a representative and valid sample of relevant actors from all the Autonomous Communities involved in cooperation for development.
 - Despite the fact that the two case studies mentioned tried to cover this last aspect, the information that was collected has not met all the foreseen informational needs, given the limited scope of the opinions and the difficulties for those answers to be generalised. At this point, it is relevant to point out the impossibility of undertaking specific surveys²⁰.

¹⁷ On 15 September, the interviews of the targeted key actors were completed, allowing for only a brief period for the first draft to be written (due at the beginning of October). Therefore, it was necessary to combine field work (including trips to overseas units and case studies in Spain) with processing, data analysis and report writing.

¹⁸ This was not the case with the case studies of the Autonomous Communities of Catalonia and Extremadura, nor with the technical offices of Senegal and Bolivia.

¹⁹ To a certain degree, this aspect also applies to the rest of the actors within Spanish Cooperation but outside the Central Level. For future evaluations, taking into account the conditions that would allow for a solid assessment of the whole Spanish Cooperation system is considered to be key.

²⁰ In the case of Catalonia, the evaluating team designed a similar questionnaire to the self-evaluation of the PD by AECID, but in the end, authorisation was not given for it to be applied to a representative sample of the DGCDAH and the ACCD under the Catalan Government.

- The differences with regards to access, quantity and quality of the documents related to the evaluation matrix indicators of the AC would have needed a broader exercise of collection and analysis, which was beyond the evaluation scope and possibilities.
- Finally, due to the difficulties in undertaking a contrasting and validation process of the final report with the AC of the case studies, it was decided that assessments not being contrasted with the involved actors would have to be carefully considered.

4. Spanish cooperation: evaluation context²¹

The Paris Declaration, signed in 2005, and the Accra Agenda for Action, in 2008, tried to make a roadmap of development policies for donors and partners. In the time frame of these commitments, Spain introduced in the documents of the second Plan (2005-2008) and third Master Plan for Spanish Cooperation (2009-2012), a series of reforms that had elements of this agenda. To implement this new policy, the Spanish Cooperation has also established in these policy documents the objective of improving its internal organization and management systems.

4.1. Institutional and organizational framework of the Spanish Cooperation

4.1.1. Actors in the Spanish cooperation system

The Spanish system for development cooperation is characterized by a multiplicity of actors, with diverse approaches and tools in the different development processes in which they engage. To get an overall idea of these players see *Annex 2.1. System Structure of Spain's development cooperation*.

The **Spanish state general administration** (AGE), and in particular the Ministry of Foreign Affairs and Cooperation (MAEC) and the Ministry of Economy and Finance (MEH), are those who execute more ODA. Both Ministries execute almost 80% of Spanish ODA (87% representing the total weight of AGE in all ODA, as 2008 PACI monitoring data). *Annex 2.2. Central Administration of the Government of Spain*, describes the different actors involved in AGE cooperation policy.

The MAEC, which handles about 50% of Spanish ODA is responsible for the policy direction and coordination of the cooperation, through the Secretariat for International Cooperation (SECI). The SECI's functions include the management, development and implementation of the cooperation for development policy and defines and ensures the participation of Spain in international forums. This involves, among others, action in the field of planning, policy development and monitoring of sectoral and cross-development and territorial strategies, the evaluation or multilateral issues. *Annex 2.3. SECI Organizational Chart* shows the flowchart of the SECI (DGPOLDE and AECE).

During the Second Master Plan, the Directorate General for Policy Planning and Evaluation for Development (DGPOLDE) was created. DGPOLDE is attached to the SECI, and has mandates surrounding the planning and evaluation systems of the Spanish Cooperation. DGPOLDE assumed the mandates of the former Sub-General Direction of Policy Planning and Evaluation for

²¹ This chapter has been prepared by the external consultant Laura López Ortum and by the Evaluation Division of the DGPOLDE (SECI-MoFAC)

Development. At present the structure of the DGPOLDE has a branch in charge of matters relating to planning and aid effectiveness. The evaluation is a mandate of the Evaluation Division, an independent body within the DGPOLDE but below the rank of Sub-General Direction.

The Spanish Agency for International Development Cooperation (AECID) is also attached to the MAEC. The AECID is a body for the promotion, management and implementation of policies of international cooperation for developing and is managing about 20% of the MAEC ODA, about 922 million Euros. In addition to central headquarter in Madrid, AECID has different units abroad (Technical Cooperation Offices, Training Centers and Cultural Centers) which operate under the functional dependence of the headquarter.

In 2007 AECID starts a reform in order to acquire the necessary structure and conditions to meet the new challenges of development cooperation. In October 2007, with the adoption of the AECID's new Statute, the Agency had in its structure several new departments and units, among which is the Programmatic Support Unit (within the newly established Directorate of Multilateral and Sectoral Cooperation), or Planning and Quality Unit, UPC (in the Office of the Directorate AECl) with specific functions of planning, monitoring and quality of aid. The UPC is also responsible for monitoring the AECID's Management Contract, or operational programming of the working group of quality of aid effectiveness (GTEC) comprising representatives of DGPOLDE and AECID. The Agency is composed mostly of civil servants at home and open ended contracts for the overseas staff.

Regional cooperation, carried out by the Autonomous Communities (17 in total) and local entities. Autonomous Communities include local entities, such as municipalities, provincial councils and island councils. It must be taken into account that in Spain there are 8,109 municipalities. Regional Cooperation has a quantitative contribution of 13% of the Spanish net ODA and about a fifth of the gross ODA (data 2008).

All **Autonomous Communities** (CCAA), except Canary Islands whose regulatory framework at present is in draft stage, have their own legislation on international cooperation for development. The vast majority of the plans were done before Spain took over the commitments under the Paris Declaration and the Accra Agenda for Action. There are 6 communities (Asturias, Cantabria, Castilla y León, Murcia, Basque Country and Valencia) who drafted their own legislation after Spain signed such commitments. As a result, there are elements in their regulatory frameworks related to aid effectiveness.

Twelve CCAA have Plans that guide its interventions in the field of development cooperation. Some already provide synchronization with the period covered by the III MP. With respect to operational planning, more than half of the CCAA have annual operating programs, and there are already examples of some pilot planning in geographical and sectoral issues.

In terms of management bodies, bodies have been created specifically for the management of regional cooperation. There are seven specific agencies or offices, among which 3 are newly established (Balears, Extremadura and the Basque Country). The rest are located in the central organs of government of the Autonomous Community, having the majority status of Directorate General.

All the CCAA, with the exception of the Canary Islands, have bodies (body, board or commission) in the face of coordination and complementarity with the different actors within the autonomous cooperation, ie, city councils, councils, boards and councils and island councils.

Table 6. Regulatory and institutional framework of the CC AA

CCAA	Act/Law	AGENCY	PLANNING REPORTS			BODY/ COUNCIL
			MASTER PLAN	ANUAL	SEC/GEO	
Andalucía	2003	X	2008-11			X
Aragón	2000		2008-11	X		X
Asturias	2006	X	2004-07			X
Baleares	2005	X	2008-11			X
Canarias	<i>Draft</i>					
C. la Mancha	2007		2009-13			X
C. León	2003					X
Cataluña	2006			X		X
Extremadura	2001	X	2007-10	X		X
Galicia	2003	X	2008-11	X	X	X
La Rioja	2002		2006-09	X		X
Madrid	1999	X	2004-12	X		X
Murcia	2008					X
Navarra	2001		2007-10	X		X
País Vasco	2007	X	2005-08	X	X	X
Valencia	2007		2008-11	X	X	X

Source: SANAHUJA, J. A., MARTINEZ, I (2009): «La agenda internacional de eficacia de la ayuda y la cooperación descentralizada de España» Fundación Carolina-CeALCI, DdT 38

Finally, we must note that the CCAA have shown a significant increase in their ODA budgets, from 266 million in 2005 to 465 million in 2007. In 2008, the CCAA contributed 465 of the 613 million of the decentralized cooperation, which represented 12.8% of total Spanish aid and more than 30% of bilateral aid. Moreover, as usual, between 66% and 90% of ODA in the Autonomous Communities has been channeled through NGOs, further increasing the concentration in the case of local government.

In the field of **municipal cooperation**, Cooperation and Solidarity Funds should be mentioned. Some of them have been formed twenty years ago. These Funds have a coordination body: the Confederation of Funds for Cooperation and Solidarity (CONFOCOS). Moreover, the Spanish Federation of Municipalities and Provinces (FEMP) has a Committee on Cooperation for the coordination of these issues and the participation in these mechanisms.

The **NGOs** are also key players in the Spanish cooperation policy for development. There are several platforms representing NGOs which pursue specific goals in specific areas of cooperation. The most representative and general area is the Coordinator body of Spanish NGOs for Development (CONGDE), composed of NGOs and NGOs Coordinator bodies at regional level. CONGDE should be noted that promoted the signing of the State Pact Against Poverty, by all Spanish political parties represented in Parliament in December 2007. The Spanish Civil Society Organizations have formed a group of aid effectiveness within the CONGDE, so as to generate debate and proposals on how to deal with the international agenda on aid effectiveness .

In recent years, in planning, monitoring and evaluation issues, the Spanish NGOs have created programming (general, sectoral or geographical) tools. Among other objectives, these tools sought to promote a culture of change within these organizations.

In relation to the volume of aid resources channeled both from the central and decentralized cooperation, PACI estimated in 2009 that the NGOs have channeled a total of 679.85 million Euros, representing 21.42% of bilateral net ODA, being a 26.5% average for the years 2001-06. It is noteworthy that the percentage of decentralized cooperation and local regions to NGOs, represents 61.3% of the sources of funding for NGOs. In 2008 AGE contributions to NGOs are 248.67 million Euros, and it only represents 6% of total net ODA.

Table 7. Spanish bilateral ODA through NGOs, 2007-2009 (Mill. Euro)

	2007	2008	2009	% Change 2009/2007
ODA through NGOs	594.2	643.6	670.9	+12.9%
Support to NGOs/Total Bilateral ODA (%)	5.33%	5.34%	5.22%	-2.1%

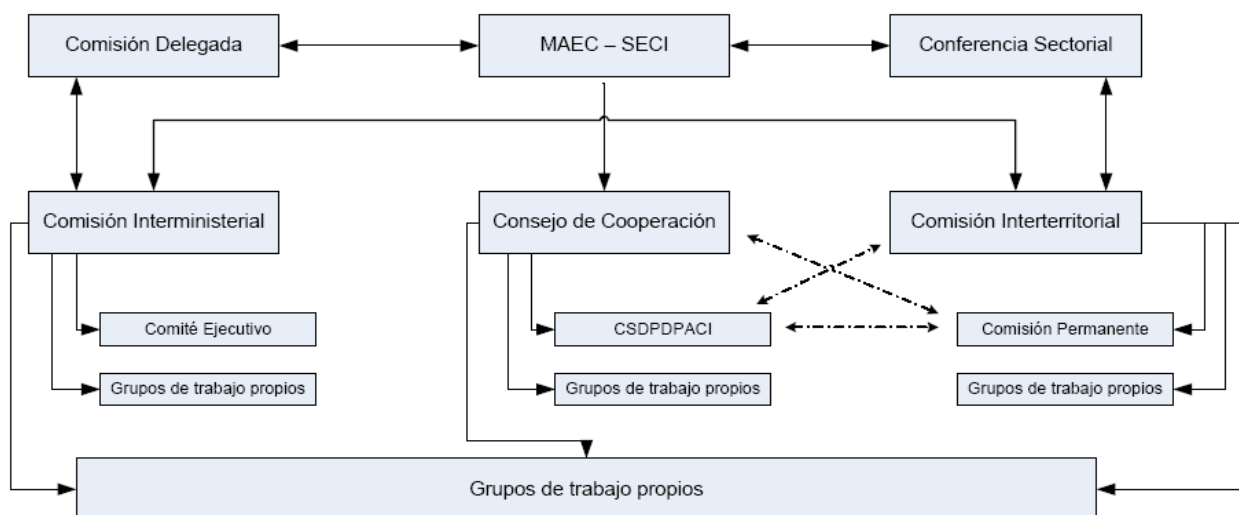
Source: Memorandum of the Spanish Cooperation for the DAC Peer Review, 2011:p27.

Other key players in the Spanish cooperation system are the universities, unions, business, social economy enterprises, human rights associations and the media.

4.1.2. Coordination, complementarity and coherence of policies

The existence of this multiplicity of Spanish actors linked to development cooperation reveals that various instrumental and management frameworks have to synchronize their planning cycles each other and with partner countries and other donors. This in addition to the search of policy coherence between government and stakeholders and cooperation within the own AGE and MAEC. An important issue is coordination, specialization and division of labor in the case of the relationship between actors in general and in particular between the central, regional and local Spanish public administrations.

Figure 9. The Spanish institutional coordination framework



Source: III Master Plan for Spanish Cooperation 2009-2010)

In the second master plan (MP) already appeared a number of measures around the bodies for consultation and coordination. In this regard, during the period covered by the II MP led to ministerial coordination committees and inter-regional grouping, respectively, the General Administration of State and Regional and Local, with the intention of strengthening their work schedules and duties . In 2004, the Cooperation Council, an advisory body of the General State Administration was reformed. Following the adoption of the Third Master Plan, the Cooperation Executive Committee (collegiate organ of the government to examine issues relevant to several departments) and the Sectoral Conference on International Cooperation (coordinating body that brings together general, regional and local government levels and acting on a particular sector of public activity) were created. Also, committees and working groups were created with the aim of improving policy coordination and complementarity and to give impetus to policy coherence and enhance the policy debate of cooperation.

4.3. Volume and distribution of aid

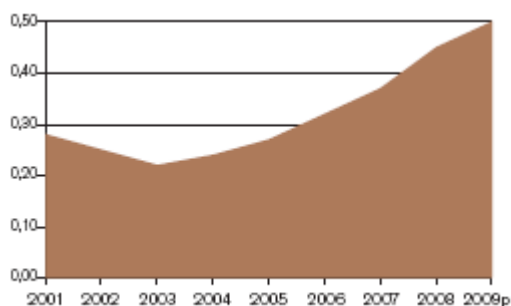
The Spanish government marked increase the amount of ODA to achieve a rate of 0.7% of Gross National Income (GNI) in 2012, three years before the date committed by the EU. There has been an increase in ODA, which has become of 1,985 million Euros in 2004 to 4,762 in 2008 (0.45% of GNP).

Table 8. Growth of Spanish ODA, 2006-2009

	2006	2007	2008	2009
Net ODA (Mill. euro)	3,038.35	3,754.62	4,761.69	4,728.05
Gross National Income (Mill. euro)	966,001	1,025,079	1,065,918	1,029,677
ODA/GNI (%)	0.31	0.37	0.45	0.46

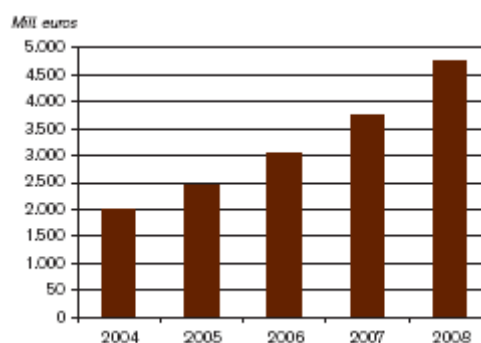
Source: Data from [PACI Seguimiento 2009](#) (MAEC, 2010)

Figure 10. Trends and forecasts of the ratio of ODA / GNI Spanish (2001-2009p)



Source: MAEC-DGPOLDE PACI Monitoring 2008

Figure 11. Evolution of total net ODA (2004-08)



Source: MAEC-DGPOLDE PACI Monitoring 2008

This ODA increase has been linked to an increase in targeted assistance to least developed countries (LDCs), especially in sub-Saharan Africa. Bilateral ODA directed to Africa has ranged from 16% in 2004 to 33% in 2007 and Bilateral ODA to the LDCs from 16% in 2004 to 20% in 2008. At the same time it was maintained the commitment to Latin American countries, although declining in relative terms (40% compared to 60% from previous years).

Table 9. Distribution of Spanish gross bilateral ODA by income level of destination countries

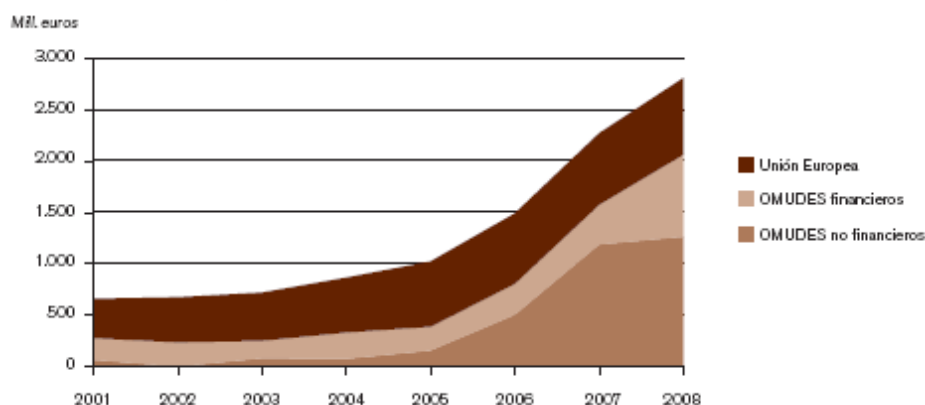
Destino según el nivel de renta del país receptor	AECI	Otras unidades del MAEC	Otros Ministerios	CCAA y EELL	Universidades	AOD bilateral bruta*
Países Menos Adelantados	36,16%	36,19%	6,77%	17,01%	20,01%	23,54%
Países de Renta Baja	8,18%	12,25%	9,76%	10,86%	7,41%	10,02%
Países de Renta Media-Baja	50,21%	43,36%	68,73%	67,26%	56,14%	57,79%
Países de Renta Media-Alta	5,46%	8,20%	14,75%	4,87%	16,44%	8,66%
AOD bilateral bruta* (Mill. Euros)	100,0%	100,0%	100,0%	100,0%	100,0%	100,0%

* AOD bilateral bruta especificada geográficamente.

Source: MAEC-DGPOLDE PACI Monitoring 2008

An important part of the increase in ODA has been channeled through the multilateral route: about 58.5%, including multi-bilateral contributions in 2008 - compared with 32% in the previous period. Contributions to international development agencies increased and to financial institutions and the European Union were decreased in relative terms.

Figure 12. Trends in ODA to OМУDES 2001-2008



Source: MAEC-DGPOLDE PACI Monitoring 2008

Table 10. Spanish gross ODA channelled through Multilateral Development Organizations 2007-2009 (Mill. Euro)

	2007	2008	2009
United Nations	932,4	909,6	714,2
European Union	692,6	744,0	913,1
World Bank Group	292,5	321,1	493,1
Other Regional Banks and Special Funds	93,0	463,1	145,3
International Monetary Fund	1,0	13,6	9,6
Other International Organizations	253,2	351,0	378,4
GFATM - The Global Fund to Fight AIDS, TB and Malaria	75,9	97,6	144,2
FTI – Education for All Fast Track Initiative	45,2	61,3	60,0
Other multilateral contributions	132,1	192,1	174,1
Total	2.264,7	2.802,4	2.653,8

Source: MAEC-DGPOLDE Seguimiento PACI 2008

“Tied aid” has declined in the overall calculation of the aid. FAD loans have risen from 7.8% of ODA in 2004 to 2.2% in 2007. Meanwhile, the funds intended for Humanitarian Action (from 54.2 to 237,200 million Euros between 2004 and 2007), the resources managed by the AECID (from 275.1 to 921,500,000 Euros between 2004 and 2008 representing 19.35% of net ODA) and grants to NGOs (from 346.9 to 579,400,000 Euros for the same period) have increased. Despite the mentioned increases, total disbursements amounted Spanish refundable aid in 2008 to 441 million Euros and estimates for 2010 suggest that such support could be up to the 954 million Euros. In addition, in 2008, debt cancellation operations are still counted as aid and accounted for 292 million euros, 5% of ODA.

In regard to the sectoral orientations the rate of aid execution in basic social services has been doubled in 2008, reaching 32%. However, it remains a challenge the goal of 20% in bilateral aid.

4.3. Political and Strategic Framework for Spanish Cooperation

4.3.1. Cycle of planning, monitoring and evaluation of policy development cooperation

The First Master Plan for Spanish Cooperation 2001-2004 shows elements related to the aid effectiveness, such as those on the sectoral and geographical concentration of interventions. In the Second Master Plan 2005-2008 it is proposed to integrate the commitments agreed in the framework of the International Aid Effectiveness Agenda.

Driven by DG POLDE during the II MP were designed methodologies for the development of geographical and sectoral policy papers. They incorporated the commitments of harmonization, alignment, ownership and mutual accountability as principles of action of Spanish cooperation in partner countries.

As indicated by the III Plan 2009-2102, the III MP sought a change of culture, getting a goal to promote a transformation of the Spanish system of cooperation in a "system that manages for development results (MfDR), aimed at obtaining concrete results. In its design the PD III, is raising the achievement of development results as one of their main and cross axes reflected in the definition of the strategic areas in the treatment of sectoral priorities (which are formulated through results for management, monitoring and evaluation frameworks)."

The III MP includes seven strategic orientations, each one of them was accompanied by a results framework that, according to the initial claim, would develop an action plan with concrete objectives and measures. One of these strategic orientations, "the association in the field as a key to aid effectiveness and quality, along with the Plan of Action that was associated, were designed to optimize the efficiency and quality of Spanish ODA towards the development results in partner countries.

The **Action Plan for Aid Effectiveness** initially raised the operation of the broad outlines described in the Master Plan in accordance with the principles and commitments entered into by Spain in relation to aid effectiveness. In this respect, as indicated by the III MP, this specific Action Plan was devoted to: (i) improving sectoral concentration of Spanish cooperation, (ii) using multi-annual frames for budget execution, (iii) progressing in the identification and use of program aid, (iv) used as first-choice national partners and contribute to its strengthening, (v) amend the regulatory framework to adapt to the principles of efficiency, (vi) effective delegation

of responsibilities and decision making (vii) phasing out economic and political conditionalities, and (viii) exploring cooperation mechanisms that permitted an effective division of labor.

To achieve these objectives, the III Master Plan aimed to reform the instruments put in place in the previous period, and to create new ones in order to integrate the principles of the effectiveness agenda.

Another objective of the III MP was the transformation of Sector and Country Strategy Papers that in the previous period claimed to be a first step toward changing the culture of managing for results. In the new phase covering the period 2009-2012, the strategy papers aimed to be updated so as to better meet their commitments. In this sense the instrument to reflect the strategy of the Spanish Cooperation in the country, traditionally called "Country Strategy Paper", becomes "and is called-"Country Partnership Agreement", to emphasize the ownership and alignment with partner and other donors, and on the partner strategy for development, *Poverty Reduction Strategy Paper (PRSP)*.

The **Country Partnership Agreements** of the Spanish Cooperation are instruments to gather the provision of resources to devote to the partner country covering a period between 3 and 5 years. Country Partnership Agreements and their coordination on the ground is one of the priorities of the Third Master Plan in relation to coordination and complementarity and coherence of policy. Therefore it implies the creation of stable groups of coordination in the field as a mechanism for operational work. Their methodology, version 1 - is designed in the first half of 2010, laying down a timetable for those countries that should start the in 2010.

The **Country Partnership Agreements** would include the total bilateral aid, the disbursements of those funds channeled through multilateral development agencies, and contributions to the EU or the capital of financial institutions.

In addition, the Third Master Plan indicated that the central instrument for developing the sectoral contents of the development policy will be Policy Paper and Policy Briefs.

In the same direction, other strategic area of the Third Master Plan makes reference to multilateralism, to which it has been initiated the preparation of the **Multilateral Organisation Strategic Partnership Agreement**. These are intended to channel contributions to the major multilateral development agencies. Currently, it has been signed strategic agreements with UNDP, UNICEF and UNIFEM, and it is in the process the agreement with UNFPA, IFAD and UNHCR.

4.3.2. Implementation of instruments in the framework of the international agenda

The emergence of elements of the effectiveness aid agenda also connects with the beginning of modifications to traditional instruments of Spanish cooperation, as well as with the creation of "new instruments" (such as sector-wide approach, budget support and global funds).

During this period we find the revision of the debt and FAD credit operations and its legal framework and the focus given to the Humanitarian Action. It has also changed the relationship framework with NGOs, which involved the replacement of the "Strategies and Programs" by the figure of "Cooperation Agreements"

Table 11. Spain net ODA by instruments and aid modalities 2009 (Mill. euro)

Instruments	Aid Modalities			Total net ODA in 2009		
	Development Cooperation	Humanitarian Aid	Promotion of development awareness	Volume	(%) Total net ODA	(%) 2009/08
Multilateral aid	1,378.4	154.4	3.7	1,536.5	32.5%	7.3%
Bilateral net aid	2,821.3	310.7	59.6	3,191.6	67.5%	-4.2%
Non-grant aid	307.7	-5.6	-0.1	301.9	6.4%	17.3%
Grant aid	2,513.6	316.2	59.7	2,889.6	61.4%	-6.0%
Donations through NGDOs	579.2	56.7	35.0	670.9	14.2%	5.5%
Total net ODA	4,199.7	465.0	63.3	4,728.0	100.0%	-0.7%

Source: 2009 PACI Follow-up

The Third Plan defines the framework for action for the aid program, focusing the action in direct budget and sector support, the basket of donors and the territorial support pilot area. In 2008 the bilateral aid program represented 3.69% of Spanish net bilateral aid (not including multilateral operations), which is almost two percentage points over 2007, with a total of 76.8 million Euros. 66% of aid channeled through programmatic aid is the target agreed by the various donors in the Paris Declaration (and by Spain in its Master Plan 2009-2012). In 2008, 50.8 million Euros in Spanish budgetary support accounted for about 1% of the Spanish net aid total.

In relation to multilateral cooperation, it is published in 2009 (produced between 2005 and 2008) the Spanish Cooperation Strategy for Multilateral Development Policy that sets standards, criteria and priorities for Spain's relationship with Multilateral Organisations. This strategy sought to prioritize the Spanish contributions for those multilateral organisms able to establish better coordination with other multilateral agencies, with bilateral development agencies and local governments (mainly multilateral financial institutions and non-financial organizations).

In the case of multilateral cooperation, the III Master Plan defines guidelines on how to interact with international bodies. The Development Aid Fund (FAD) has been recently renovated and became the Fund for the Promotion of Development (FONPRODE) that is only configured as an instrument of development cooperation, and is administered by the MAEC through SECI so as to integrate into their guidelines on the Spanish development policy. FONPRODE will finance, among other proceedings, in an untied way, grant projects from state to state, contributions to multilateral development agencies and non-financial organizations as well as programs and funds based in the same aspects and contributions for financing micro credit to small and medium enterprises in partner countries

Finally, other instruments of the Third Plan are delegated cooperation and South-South and Triangular cooperation.

4.3.3. The geographical and sectoral concentration

The Second Master Plan defined the criteria for geographic prioritization of interventions. These indicators, which included criteria of poverty, Spanish comparative advantage, and the existence of cooperation agreements, identified 23 priority countries (up from 29 the previous cycle) that was expected to concentrate 70% of bilateral aid. They also defined two new categories to add to

the above, preferred countries and special attention countries, countries non dependent on aid but which large areas in poverty. These three groups represented a total of 56 partner countries of the Spanish Cooperation. However, as stated in the evaluation of the Second Plan, no contributions were removed from Spanish non-priority countries which meant, for example, that there were up to 119 countries that received contributions from the Spanish Cooperation in 2007.

For sectoral and geographical categorization as defined in the Third Plan, "the prioritization of sectors and geographical areas responded to the opportunities of Spanish cooperation so as to be effective in their association with each of the countries, considering the opportunities harmonization and complementarity with other donors and other factors. The sectoral concentration would be defined in each specific country, in light of the different scenario of donors in each country and in close dialogue with them and with the partner country itself."

In terms of geographic concentration, the Third Master Plan arose gradually exit strategy of six countries which were recipients of Spanish ODA. In addition, the III MP modifies its previous ranking in addressing the new type of partnership with the country, resulting in three groups. The first, "Partnership Group A or Partnership wide (23 countries) is a cooperative long-term, high volumes of ODA, running through the partner country's institutional arrangements and the using a wide range of instruments (dominated by the programmatic aid). They must also receive more than 66% of Spanish ODA in 2012 specified geographically concentrated in a maximum of three sectors". To this group we join the 14 countries with a focused association, Group B, focusing on one sector or more than one but under a single approach, "the goal is achieved between these two groups would distribute in 2012 at least 85% of ODA allocated geographically, with Group A countries to concentrate 2 / 3 ODA and class B 1 / 5 of ODA.

4.4. Spain and the international agenda for aid effectiveness

Spain participated in the drafting and negotiation of the Paris Declaration for Aid Effectiveness and the Accra Agenda for Action. Spain has been part of the OECD DAC group on aid effectiveness since its inception in 2003, the 'Joint Ventures' Monitoring the Paris Declaration, Managing for development results, and DAC Evaluation Network (and the joint working group for the Evaluation of the Paris Declaration). In these groups Spain has negotiated texts such as the Accra Agenda for Action and its evaluation, networking and the need to increase resources dedicated to these functions.

Spain participated in the Third Roundtable on Managing for Development Results (MfDR) held in Hanoi in 2007, which analyzed the needs of partner countries for mainstreaming MfDR, and to mark the new way beyond on the agenda for managing for results, an essential part of the Paris Declaration. From the "Joint-Venture on Managing for Development Results", Spain together with the sub-group members tried to set an agenda for deepening the concept of MfDR and its practical application in the system of international cooperation.

In European Union matters, Spain signed the European Consensus on Development in December 2005. The first consensus defines common principles based on which the Commission and member states should implement their development policies in a spirit of complementarity. This consensus manifests the strong UE commitment on Policy Coherence, complementarity and division of labor. Spain signed in 2007 the Code of Conduct on Complementarity and Division of Labor, as principles that should guide decisions on the division of work towards achieving specific objectives concentration, harmonization, and distribution of tasks.

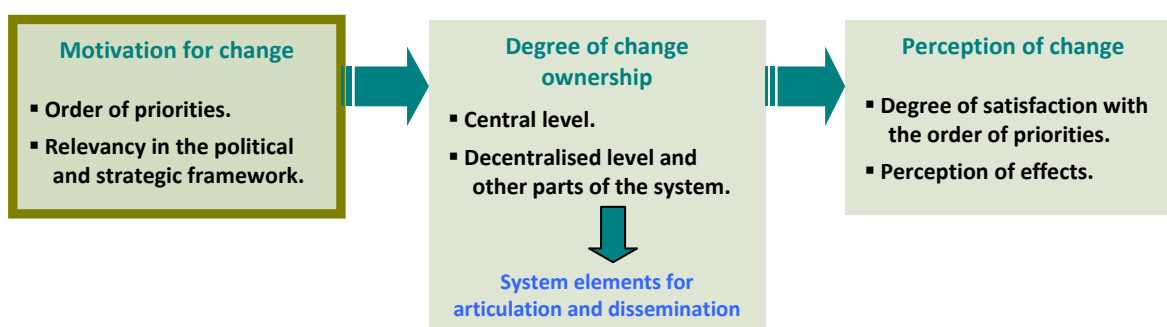
Held during the first half of 2010, the Spanish Presidency of the European Union discussed, in development matters, the final negotiation of the common European position at the Review Summit of the MDGs in September 2010. In terms of aid effectiveness there were addressed aspects related to policy coherence and the Division of Labor, stressing the need to move towards the progressive synchronization of the programming cycles of the member countries and the European Commission itself, or in mutual accountability. Spain supported the impulse to recognize the role of different actors in developing and promoting inclusive partnerships, promoting the role of South-South and triangular cooperation.

5. Evaluation of leadership and commitment

The level of commitment of the Spanish Cooperation system as a whole and the capacity of governing bodies to lead processes are key for an effective incorporation of an effectiveness agenda. This section includes the evaluation results based on four main dimensions. Firstly, changes caused by integrating the PD in the *order of priorities and how this is reflected in Spanish Cooperation policies and strategies* (section 5.1). Secondly, *PD ownership at the different management levels* of ODA in Spain (section 5.2). Thirdly, the effectiveness of *articulation mechanisms amongst SC agents* to synthesise policies and strategies related to aid effectiveness (section 5.3). And lastly, reflections and concerns with regards to the *fulfillment of commitments assumed* when signing the PD, their relevancy and coherence, and their indicators (section 5.4).

5.1. Changes in the order of priorities and how the Paris Declaration is reflected in Spanish Cooperation policies and strategies

This section accounts mainly for changes that have occurred since 2005, the year when the Paris Declaration was signed, including changes affecting the order of priorities of the cooperation policy at central level, and how this is reflected in the governing documents of Spanish Cooperation and has been translated at the strategic level. Other elements related to decentralised cooperation have also been included, based on case studies. The sections ends with the analysis results of aspects constraining the guidance of priorities of Spanish Cooperation towards implementing the Paris Declaration.



To what extent are the PD principles incorporated in Spanish Cooperation policies and programmes?

To begin with, the first planning cycle of Spanish Cooperation is included in the 2001-2004 Master Plan, a document that includes hardly any references to specifically promote elements related to aid effectiveness.

Since 2005, and coinciding with a new planning cycle, there is a clear qualitative step forward regarding the incorporation of issues related to aid effectiveness, in contrast to previous periods. Spanish Cooperation political and strategic documents belonging to the II Master Plan (2005-2008) clearly incorporate suitable instruments, commitments and guidance for its design and launching, mainly as a response to the active and purposeful participation of Spain in the international arena of international cooperation for development.

This change process is decisively reflected in the III Master Plan of the Spanish Cooperation (2009-2012) where, for the first time, the Legislative Commissions of International Cooperation for Development of the Congress and the Senate are also included in the consultation process, and begin to take part in informational and quality control sessions.

Below is found the main political and strategic elements of the two most recent Master Plans, and their principal role as related to aid effectiveness:

Box 12. Main political and strategic elements of the II and III Master Plans and their relationship with aid effectiveness

II Master Plan (2005-2008):

- Incorporates important improvements regarding political and practical aspects, establishing a global framework for the development of Spanish Cooperation (a national consultation exercise was developed and there was positive feedback from consulting and participating bodies and from the Congressional Commission).
- Includes specific elements to prioritise the principles of the PD and establishes clear commitments to promote the aid effectiveness agenda.
- Incorporates geographic strategic planning (Country Strategy Documents, CSD, and Special Actions Plans, SAP) and the reinforcement of sectorial strategies.
- Introduces PD related elements into: i) the definition of priority areas and countries based on the comparative advantage of Spanish Cooperation; ii) multilateral cooperation orientations; iii) development of new instruments linked to aid harmonisation and alignment (mainly, sectorial approach, budget support and global funds); iv) NGOs financing instruments (agreements).

III Master Plan (2009-2012)

- The consultation process undertaken because of the Master Plan is welcomed, as is including for the first time the Congressional and Senatorial Legislative Commissions on International Cooperation for Development, as they reinforce the will to build a State Policy in this area²².
- Clearly integrates the effectiveness agenda into: i) the new country strategic planning tools (Frameworks for Partnership); ii) the definition of strategic areas and their outcomes frameworks (to later develop into Action Plans); iii) outcomes frameworks by sectors (lines of action and priority actions linked to efficient aid); iv) Partnership Framework Agreements for Development with Multilateral Agencies (with an emphasis on monitoring and accountability); v) as well as into the commitment to programme assistance.

It can be stated that the III Master Plan fully adopts the Paris Declaration, as the following paragraph from the Master Plan itself reflects:

“Above all else, this III MP will be the quality and effectiveness MP of Spanish Cooperation, but with the ultimate and essential purpose of being truly effective in development, whose only proof is a real change in people’s lives. This is a commitment that will require the complete adaptation of Spanish Cooperation to the requirements of the Paris Declaration, the Accra Agenda for Action (AAA) and the Code of Conduct of EU, until a high degree of fulfillment of the commitments is achieved in 2012.”

²² Source: Report about the Spanish Cooperation Master Plan 2009-2012, issued by the plenary session of the Cooperation for Development Council during its meeting on 3rd February 2009.

Has integrating the Paris Declaration into the political and strategic documents modified Spanish Cooperation priorities and strategies?

At the **strategic level**, a systematic incorporation of planning tools was started for the first time within the II Master Plan framework. These tools intend to make principles of aid effectiveness operational, based in the field, with the participation of all the Spanish development actors, and with the objective to start building a continuous planning, monitoring and evaluation culture within the Spanish Cooperation system.

In this vein, it is important to underline that Country Strategy Documents (CSD) and Special Actions Plans (SAP) are the first results-based planning exercises²³ which aimed to analyse the different cooperation instruments and modes and their suitability according to context (wherein budgetary support and sectorial approach begin to be mentioned). They are technical instruments intended to reflect the political coherence amongst the different actors within the General State Administration. They take into account coordination and complementarity with local and regional administrations, as well as with the rest of Spanish Cooperation actors. Therefore, participation was key. Moreover, they incorporated the efficient management of cooperation for development as a principle, based on a partnership strategy (alignment, ownership, harmonisation) and a progressive trend towards managing for development results (MfDR). That is to say, the tool already included as work criteria four of the PD principles, with the exception of mutual accountability.

Furthermore, through the design of sectorial strategies, the 2005-2008 period covered a conceptual development of sectorial priorities, which included precise directions and good practices to inform the rest of the planning cycle, as well as affording a long-term view²⁴.

With the III Master Plan (2009-2012), strategic planning processes moved forward with a strong emphasis on aid effectiveness. Frameworks for Partnership are clearly established as a core element that brings together the implementation of the main elements of the PD with a view to prioritising aid effectiveness.

Country Frameworks for Partnership are proposed as a strategic and guiding instrument which, based on a dialogue with all actors involved, is committed to renewing the Spanish Cooperation agreements with partner countries, incorporating the expected development outcomes, the anticipated resources and the mechanisms needed for accountability. The main difference of this proposal versus geographical strategic planning during the previous period (II Master Plan, CSD and SAP) is the adaptation to local dynamics, increasing the role of actors and integrating the Spanish Cooperation action within their own national strategies to fight poverty. The key role of AECID's overseas Offices for Technical Cooperation in preparing, negotiating and designing Frameworks for Partnership is acknowledged. At the same time, the needed AECID leadership is noted with regards to the articulation of a more complete dialogue with cooperation partners, aimed at reinforcing effectiveness and the quality of Spanish Cooperation interventions.

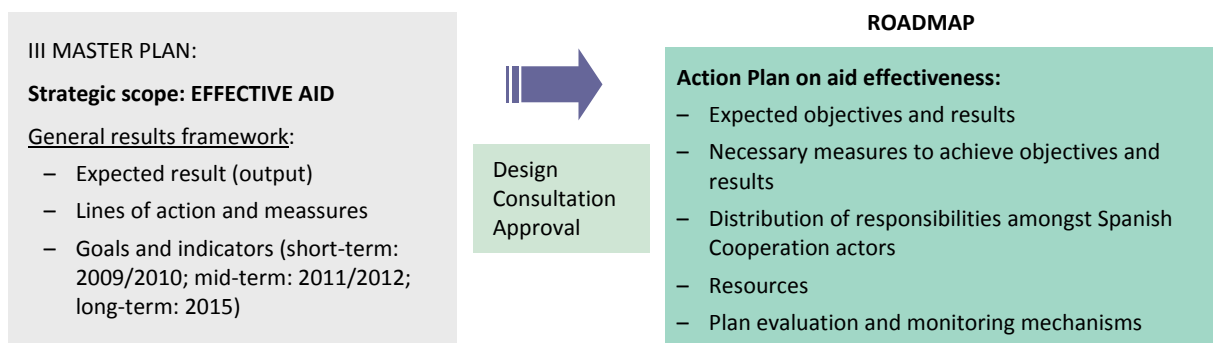
Similarly, Strategic Partnership Framework Agreements for Development with Multilateral Agencies are incorporated. They are designed as instruments aligned with the PD, with an emphasis on monitoring and evaluation, and on improving accountability related aspects.

²³ CSDs and SAPs were designed and formally introduced by the State Secretariat for International Cooperation (SECI) in the Congress of Deputies in 2006 and 2007, respectively.

²⁴ Between 2006 and 2009, 14 sectorial strategies were written.

The strategic focus on aid effectiveness is particularly important in the III Master Plan, in that the Plan incorporates effective aid as one of the seven strategic areas of Spanish Cooperation. In addition, aid effectiveness should be translated into a management tool such as the Action Plan for Effective Aid in 2010, thereby fulfilling Spain's various international commitments²⁵.

Figure 13. Strategic scope for effective aid within the III Master Plan



Thus, all these elements clearly indicate a change in trend from the II Master Plan (2005-2008) onward and a growing commitment, as reflected in the III Master Plan (2009-2012), to integrate and prioritise aid effectiveness into the policy documents and the general strategy of Spanish Cooperation.

In relation to **decentralised cooperation**, there are several factors affecting the extent to which Autonomous Communities and local agencies integrate the aid effectiveness agenda.

- Firstly, the development of reflection processes, usually coinciding with strategic planning periods. In this context, individual Master Plans do not always coincide with the Master Plan of Spanish Cooperation and, therefore, they do not always coincide with periods of reflection, design, monitoring and evaluation of cooperation policies at different levels: local, regional and national.
- Secondly, the degree of maturity of the cooperation policy itself: its legislative development; opening and management of participation and consultation scenarios; development of instruments, tools and strategic, geographical and sectorial planning guidelines, etc.
- Lastly, varying degrees of active participation in opportunities that arise at the national and international levels in relation to aid effectiveness.

Keeping in mind that all these factors determine the different pace and degrees of intensity regarding the level of prioritisation of the PD and its reflection in the policies and strategies of decentralised governments, a general trend can be observed. Principles stemming from the PD are starting to be incorporated, albeit adapted to decentralised cooperation specifications. This is happening mainly within the Accra Agenda for Action framework and at the political and strategic levels, even though there are less practical applications of those principles.

²⁵ Paris Declaration, Accra Agenda for Action, commitment before the European Union to obtain an Action Plan on Aid Effectiveness, as well as specific petitions within the framework of High-Level Meetings of OECD Development Assistance Committee and the Working Party on Aid Effectiveness.

In any case, case studies have shown that those Autonomous Communities whose International Cooperation systems²⁶ have more experience and maturity already reflected the principles of the Paris Declaration in their Master Plans, even before the Accra Agenda for Action (particularly, the principles of harmonisation, ownership and alignment), identifying the relationship between planning, monitoring and evaluation, and a good management of public policies with effectiveness and quality of aid. Moreover, they have also attached importance to new instruments like budgetary support and global funds, particularly in decentralised spheres, and have suggested specific interventions to improve coordination and the role that both public and private actors play in regional cooperation.

New planning cycles, particularly from 2010 onwards, show significant progress in the incorporation of the PD. Aid effectiveness has been raised to the level of objectives. There has also been progress on how to guide each principle from decentralised cooperation, incorporating a better consistency of MfDR principles and shared responsibility.

What concerns and difficulties arise when prioritising the effectiveness agenda in Spanish Cooperation?

It is evident that progress has been achieved. However, a group of **restricting elements** faced by Spanish Cooperation when defining priorities related to the Paris Declaration must be mentioned.

Firstly, actors have stated that there is a clear difference between Spain’s participation in the international arena and what this represents with regards to formalising a commitment to improving aid effectiveness on the other hand and on the other hand, the reality of the Spanish Cooperation system which, as the following sections will reveal, does not yet have a full range of capacities and incentives to fully realise its role. This has been a limitation in as much as actors think that, under current circumstances, Spanish Cooperation as a whole will find it difficult to achieve commitments. However, the observation could be reversed should the effectiveness agenda be perceived as an incentive to improve the Spanish Cooperation system.

With regards to the development of the II and III Master Plans, the box below presents findings and concerns of the main actors within Spanish Cooperation gathered during the evaluation. Information refers to the degree and relevancy with which the Paris Declaration has been integrated into the development cooperation policy cycle. It also includes an assessment of adjustments at organisational and decision-making levels.

Box 13. The Paris Declaration within development cooperation policy: restricting elements

<p><u>Development of the II Master Plan:</u></p> <ul style="list-style-type: none"> ▪ Focus on increasing ODA versus the development of an integrated system, in order to guide management towards achieving development results. 	<ul style="list-style-type: none"> ▪ Strategic planning: <ul style="list-style-type: none"> - Frameworks for Partnership with partner countries launched with constraints because there is no continuity or feedback from previous planning processes.
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²⁶ Still representing a small percentage of all Autonomous Communities.

²⁷ CSDs/SAPs monitoring and final evaluation planned for 2005-2008 mid-term have been highlighted in several documents as essential inputs to evolve and to inform the new planning cycle, apart from providing key information on aspects directly related to PD principles. In the end, they were just but an internal assessment exercise undertaken in 2008 whose dissemination to OTC coordinators and ambassadors has not occurred until Frameworks for Partnership methodology was sent in 2010.

- Priority of harmonisation, ownership and alignment principles; less relevancy of MfDR and mutual accountability.
- Low level of monitoring and evaluation of the main tools incorporating effectiveness aspects (Master Plan itself and CSDs/SAPs); ineffective feedback capacity, in manner and time²⁷.

- Sectorial strategies are still not coordinated with geographical planning.
- Launching and decision-making constraints with regards to PD main operational tools.

Development of the III Master Plan:

- Few guidelines for dissemination and ownership throughout the Spanish Cooperation system and few mechanisms for improved knowledge management, feedback and incentives in relation to the effectiveness agenda.
- The Action Plan for Effective Aid was not approved by the deadline. General compliance indications were not disseminated either.

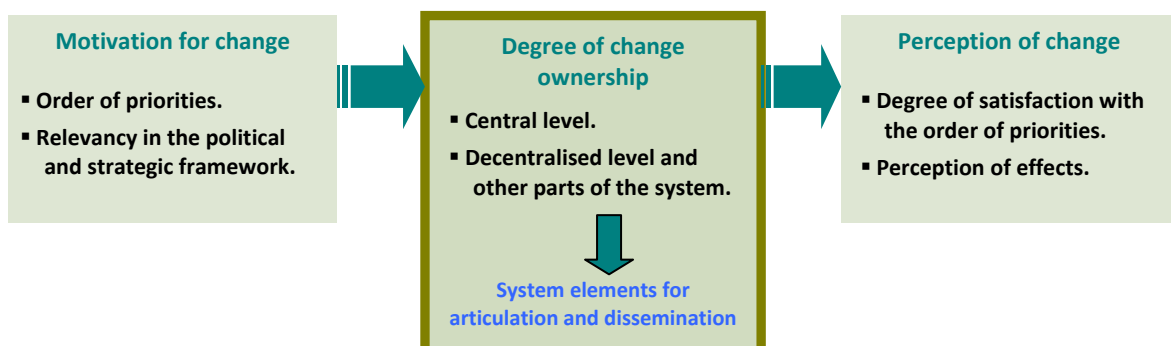
Decentralised cooperation:

- Difficulties in deploying permanent representation structures abroad.
- Regional and local planning, monitoring and evaluation exercises are not harmonised with those of Spanish Cooperation.
- Limited development and emphasis on concerted or delegated cooperation initiatives.

The above evidence proves that translating the policy and strategic documents into an effective and integrating agenda for all actors within Spanish Cooperation, in order to implement the Paris Declaration, which demanded a clear and realistic roadmap, is not ultimately developing consistently. This situation negatively affects its effective and practical progress. Furthermore, it is important to note the implications of not completing processes adequately (developing the full cycle: planning, monitoring, evaluation, learning), and of new processes being launched without any period to capitalise and reflect on the experience.

5.2. PD ownership at different management levels of ODA in Spain

This second section related to capacity and leadership analyses the degree of ownership of the Paris Declaration at different management levels of the Central System. That is to say, **the extent to which** managers have acknowledged **the PD and have made it "their own"**. The analysis shows that there are strategic guidelines related to PD principles issued by senior management to the rest of organisational and staff levels. Likewise, the degree of ownership on the part of the rest of the Spanish Cooperation actors is also analysed.



To begin with, it must be noted that, in general terms, reflection processes by different spheres (government and civil society) on the participation of Spain in international meetings related to aid effectiveness, and the opportunities for participation that have arisen to draw up the III

Master Plan, together with its strategic and operational instruments, have allowed progress to be made on ownership of the Paris Declaration on the part of the groups related to this study, both within the Central System and amongst actors taking part in the process.

Also, at an organisational level, establishing a Directorate-General in charge of planning, monitoring and evaluating development policies (DGPOLDE) under SECI, and creating units within AECID, such as the Planning and Quality Unit (UPC) and the cross-sectional Work Group on Effectiveness and Quality (GTEC), in which different AECID and DGPOLDE departments take part, are important milestones that help to generate support dynamics to gradually incorporate the Paris Declaration.

5.2.1. Central System ownership

During the II Master Plan period, the first country strategic planning tools (CSD and SAP) offering guidance and guidelines on implementing the Paris Declaration principles were launched. Those tools were defined as a priority and a responsibility of the Central System and embassies.

However, as has been mentioned before, the impetus and follow-up with which the strategic planning process was designed were not equally maintained during monitoring and evaluation. This happened despite the fact that the methodology included specific orientations and guidelines in this respect and had a clear focus on analysing effectiveness elements, which had made it possible to identify the needs of country teams in relation to orientation and reinforcement.

Moreover, the perception of field actors demonstrates their awareness of the fact that their need to incorporate the Paris Declaration principles into daily tasks has been more intense than at headquarters, particularly in relation to ownership and its implications vis-a-vis the Accra Agenda for Action. At the same time, they generally think they did not have sufficient orientation from headquarters on how to implement the effectiveness agenda or on how to face difficulties in the field. Furthermore, their access to information about practical application experiences was insufficient.

Both elements, i.e. the lack of feedback and support procedures based on practice, and of useful guidelines and orientations, contributed to the effectiveness agenda not being perceived unanimously as an institutionalised process. Thus, its implementation depended on motivation, training and leadership shown by the managers of each involved unit, area or department. This fact is particularly relevant and significant in overseas Offices of Technical Cooperation which show very clear differences with regards to implementation due to two reasons:

- managers' commitment and leadership in relation to PD, and
- leadership and the degree to which the involvement of technical staff was promoted together with other donors, in the practical application of the PD in partner countries.

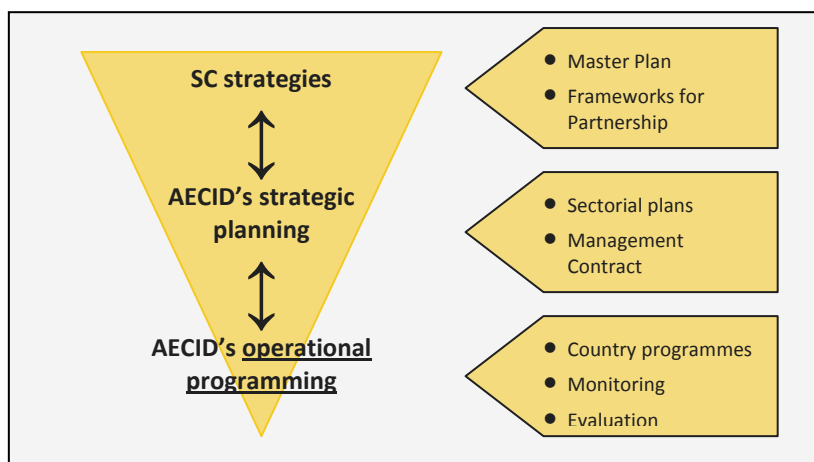
In addition, this last aspect is also influenced by the specific situation in the field given that there would be different levels of demand depending on progress achieved by the international community and the partner country in implementing the PD, and on specific relations of Spain with other signatory donors to the PD (for example, the existence and/or participation on work groups or donors groups).

However, this situation **is starting to reverse** with the incorporation of new elements within the III Master Plan framework and in accordance with commitments stemming from AECID's Management Contract, particularly Country Frameworks for Partnership and Operational Programming²⁸. Both mechanisms, launched in 2010, are generating guidelines directly related to aid effectiveness, and specifically targeted at line managers and technical staff. Therefore, basic and specific directions on how to understand the process are being offered, as well as principles to be developed and a common path to implement them, while also taking into account and facilitating the flexibility and adaptability required by each context.

Furthermore, in reference to multilateralism, progress has been made on setting up methodological bases and orientations to design Strategic Partnership Framework Agreements for Development with Multilateral Development Agencies (MDAs). This led in 2010 to the signing of multi-annual agreements incorporating both MfDR and evaluation, and also to the presentation of a report before Parliament on multilateral cooperation in 2009 (SECI, AECID, DGPOLDE), as part of the accountability mechanism.

At this point, it is necessary to clarify Spanish Cooperation planning levels and the different instruments or tools related to those levels. The figure below presents the relevance of the Management Contract as part of the Agency's strategic planning. The figure is taken from the *Manual del Sistema de Programación Operativa de la AECID*.

Figure 14. Spanish Cooperation planning levels



Source: *Manual del Sistema de Programación Operativa de la AECID*

AECID's Management Contract states very clearly that the Agency endorses the Paris Declaration. The Contract incorporates AECID's adaptation of the PD as an important objective and it also includes the development of two plans related to aid quality and effectiveness: The first is related to external action, such as relations with partner countries and the community of donors, and the second plan is related to internal action, targeted at developing internal capacities to successfully take part in cooperation schemes related to aid effectiveness. In any case, the first Management

²⁸ As the managing and executive agency of international cooperation public policies, the Spanish International Cooperation Agency for Development (AECID) must have an Operational Programming. In 2010 this process is addressed systematically for the first time, and programming is devised as a system which, following the effectiveness agenda, will progressively incorporate a managing for development results approach, including guidelines with clear references to its importance in order to contribute to defined objectives in the Paris Declaration.

Contract (executed over one year: July 2009-July 2010) defined only a single group of critical actions. Although both plans were only partially developed, they have included and supported important processes, such as Operational Programming, or the self-evaluation on implementing the Paris Declaration within AECID.

The following box **summarises** the main processes that have been launched by the Central System (SECI, DGPOLDE, AECID), and which imply progress being made in the practical application and ownership of the effectiveness agenda.

Box 14. Elements of progress in implementing the Paris Declaration: Central System

III Master Plan:

- Country strategic planning process was launched. It stems from III MP, based on Frameworks for Partnership, a process launched in 17 countries in July 2010.
- Partnership Framework Agreements with Multilateral Development Agencies (MDAs).

AECID's Management Contract:

- Operational Programming process, stemming from the first Management Contract.
- Self-evaluation on implementing the Paris Declaration within AECID, in reference to aid quality.
- Reinforcing operational programming, monitoring and analysis roles to improve aid quality, translated in practice into the creation of a Programming and Quality Unit (launched in February 2009), and an Operational Programming process in AECID for 2010.

- Study and application of mechanisms to increase predictable aid percentages, within Frameworks for Partnership and Partnership Framework Agreements with MDAs and the Operational Planning process.

Clearly, all launched processes are advances on the part of Spanish Cooperation towards the implementation of the PD. However, there are some **restricting elements**, which must be focused on in this new stage:

- The fact that the **Action Plan for Effective Aid** is not available, disseminated and institutionalised is a constraint to establishing an adequate coherence within strategic planning and operational programming processes, and in complying with anticipated goals for this key strategic area in Spanish Cooperation.
- According to the principle actors, **Frameworks for Partnership** have certain limitations from the start: a) there is no continuity and feedback in relation to previous planning processes; b) there have been certain imbalances in coordination amongst actors (SECI, DGPOLDE, AECID), which has delayed Frameworks launching; c) limited dissemination and transfer to the rest of the actors within the Spanish Cooperation system in reference to the relevancy of the Frameworks for Partnership and actors' role within them (actors have deemed the actions undertaken to motivate participation as insufficient and, above all, as poorly focused on the ownership process on the part of the Spanish Cooperation system as a whole).
- **Sectorial strategies** have still not been fully coordinated and integrated with geographical planning. Also, they have been narrowly disseminated and appropriated on the part of Spanish Cooperation.
- **Framework Agreements with MDAs** opt for a greater complementarity between the multilateral operations by Spanish Cooperation with bilateral cooperation. That is why

- The first **Operational Programming** experience developed by AECID in a systematic way, and with a common methodology, is an improvement. An improvement, however, that has not been possible to integrate and synchronise in practice with strategic planning processes (Country Frameworks for Partnership). Therefore, a previous and updated strategic framework is not available in every country. Additionally, Operational Programming was defined with a strong institutional learning nature, and was developed in 15 countries as a pilot experience. Although different Agency managers have decided that Operational Programming should be an on-going process, a series of difficulties have arisen and remain unresolved, which forced the exercise to be reconsidered: mainly, overseas Offices of Technical Cooperation presented different capacities, which were not always sufficient; shortage of available information on active operations in each country; and the lack of staff sufficiently trained in the design and development of results-based tools.
- Critical actions included in AECID's first **Management Contract** related to aid effectiveness did not establish a clear logical sequence (roadmap). They were also in need of improved precision and definition to facilitate their monitoring. Although it is a key strategic document, and it was initially designed in accordance with aid quality and effectiveness, actors think the Management Contract is not succeeding in becoming a reference or a guide for the Agency.
- **AECID's self-evaluation of the Paris Declaration** stands out from the actions included in the first Management Contract. It is an analysis process created to contribute to the launch of measures providing incentives for the full implementation of aid effectiveness principles. Actors think the process is positive because it has involved a large group of people within AECID, and is producing very valuable elements related to decision-making. However, the fact that the process is taking so long (more than two years) may delay the use of results.
- Lastly, it should be said that Spanish Cooperation has **Annual Plans for International Cooperation (PACI)**, in order to operationally develop the Master Plan's commitments and to establish annual priorities. They are documents on which Spanish Cooperation ODA monitoring is based, and they integrate the effectiveness agenda as the Master Plan defines. The III Master Plan foresees the replacement of PACI monitoring with a *Report on Contributing to Development Results*³⁰. However, until this replacement takes place, PACI

²⁹ This situation is confirmed by country case studies, which reveal that information is not being disseminated in a fluid, complete and timely manner. Thus, information cannot be incorporated or affect decision-making, in accordance with agreements and assumed commitments with partner countries. Moreover, it has been determined that there are no operational mechanisms to achieve coordination and information sharing levels between SECI-DGPOLDE and Ministries which work with MDA and international organisations (points of contact are not clearly defined, nor are dialogue operational mechanisms, joint work or guidelines preparation).

³⁰ To prepare this annual report, in 2011 a new system to collect information on the Spanish ODA will be implemented. Together with current information requirements, it intends to include any requirements needed to adapt the Spanish Cooperation system to managing for development results. The system will have to identify the extent to which each action contributes towards specific sectorial goals, as well as how they relate to CRS sectors of DAC and to the Millennium Development Goals. This aims to value each contribution in relation to development results included in the Master Plan, in the CRS of DAC and in the MDG, and to produce useful information for all actors with a view to improve public planning and decision-making. Source: DGPOLDE, 2010.

monitoring maintains a strong orientation towards analysing budgetary execution that, according to the actors consulted, does not meet the need for reflection and joint analysis amongst Spanish Cooperation system actors. The *Report on Contributing to Development Results* is expected for 2012.

Thus, the results of the analysis of processes, contrasted with actors' assessment, indicate that mechanisms that have been launched linked to PD implementation, which should have been designed with a high level of articulation and coordination within and amongst institutions, have not in fact been established in this way. The combination of responsibilities, leadership and competences amongst SECI, AECID and DGPOLDE is particularly critical with regards to launching the effectiveness agenda.

5.2.2. Ownership outside the Central System

Although the Spanish Cooperation system includes a broad range of actors, this section deals only with the most relevant: Autonomous Communities, NGOs and Ministries managing a significant amount of ODA³¹. Other relevant official agencies and the civil society have been included within NGOs in order to observe **influence and perception** related to PD implementation. Thus, in this case the study has focused, primarily, on identifying those milestones and change processes that indicate progress with regards to the effectiveness agenda. At the **decentralised level**, especially from 2008 onward and within regional cooperation, opportunities for debate are starting to be established, including aspects related to aid effectiveness, complementarity and policy coherence, both in reference to General State Administration as well as amongst Autonomous Communities. Furthermore, although it does not represent a consistent or general trend, it is important to note that some agencies within regional cooperation are starting to address the idea that they are reluctant to advance the implementation of the Paris Declaration, identifying its specific and comparative advantages, as well as the opportunities and challenges the PD represents at the decentralised level³².

Therefore, Autonomous Communities are a relevant actor. They show progress being made on proposals, analysis and an understanding of aid effectiveness at the decentralised level, both in the regional arena and with other cooperation actors. They are also endeavouring so that coordination and coherence amongst different actors is not the only focus of action or concentration of efforts.

Moreover, it is important to highlight an analysis conducted by Catalan Cooperation, as it reveals the interest that decentralised cooperation has in generating reflection opportunities around aid effectiveness. The main findings are summarised below.

³¹ In any case, it must be noted that the evaluation focus is on the Central System. The analysis of decentralised cooperation is complementary and mainly based on two case studies.

³² Even if the evaluating team has found sufficient evidence in the two case studies undertaken to support these assessments, they cannot be applied broadly to the whole regional cooperation as this capacity is beyond the scope of this study.

Box 15. Progress on understanding aid effectiveness within Catalan Cooperation³³

Democratic ownership:

- To work with equivalent entities, with a multilevel and peer partnership logic. To opt for increasing partner countries' capacities to define priorities and needs autonomously.
- To strengthen North and South civil society capacities: to strengthen citizens' capacity to monitor government actions and influence public policies satisfactorily.
- To take advantage of Catalan Cooperation sectorial expertise on promoting multilevel governance and strengthening democratic governance. Key: to improve the capacities of decentralised regional governments.

Alignment:

- To strengthen capacities of equivalent governments, particularly in relation to planning, budgets definition, financial management and public services systems which allow implementation and management of development programmes. Catalan Cooperation has always tried to avoid the creation of parallel structures.
- To opt for programme instruments, although adapting them and exploring ways to apply sectorial and budgetary support in decentralised regional governments (to overcome challenges such as ODA predictability).

Harmonisation:

- Delegated cooperation – specialisation (Code of Conduct of the EU). It is necessary to previously identify competitive advantages, so that equivalent governments in partner countries have a critical role to play. Division of labour exercised in the field is a priority.
- Equivalent entities triangular cooperation.
- Promotion of alliances and networks of equivalent entities.

Results-based management:

- It requires the capacity to produce, analyse and use good quality statistical data, international and national level coordination (where North local and regional actors must also participate), and the improvement of statistical capacities of South decentralised governments.
- Focus on dissemination and knowledge of monitoring and evaluation progress and results of cooperation policies (international agenda).

Shared responsibility:

- To strengthen accountability mechanisms, to which equivalent governments can contribute their experience.
- Reviews of non-central cooperation are lacking, such as DAC conducts of donor countries (peer review).
- To contribute previous experience of Catalan Cooperation on creating networks, partnerships and capacities to affect policy (NGDOs main contributions in applying the aid effectiveness agenda).

Source: (Draft) Documento de posicionamiento: la cooperación catalana y la eficacia de la ayuda, DGCDAAH, 2009.

With regards to **NGDOs**, besides their participation in Accra, an important milestone took place in 2009 at the national level when the II Meeting of NGDOs³⁴, organised by the Coordinating Office of Non-Governmental Development Organisations in Spain (CONGDE), focused on two main concerns. One of them was the international aid effectiveness agenda. During the meeting, an alternative approach to the Paris Declaration principles was proposed, inspired by Accra. This fact means that a reflection has been undertaken, and key issues in the aid effectiveness agenda have been addressed and translated into an array of documents that take into account the challenges and measures necessary for the implementation of the Paris Declaration principles according to their own perspective. The main issues are summarised below.

³³ Catalan Government has taken part in discussion fora on aid effectiveness, taking advantage of the venue provided by the organisation United Cities and Local Governments (UCLG). It was also part of the official delegation to Accra, together with the State Central Administration.

³⁴ In 2007, CONGDE organised the I Meeting of NGDOs, where issues such as managing organisations were addressed. Transparency and accountability were also discussed. To maintain momentum, it was agreed that a similar meeting would be organised every two years.

Box 16. Aid effectiveness agenda and NGOs

Despite the fact that the aid effectiveness agenda was established by governments and public institutions, NGOs and civil society have paid attention to its development due to the following reasons:

- They understand that aid effectiveness cannot be achieved just by improving management; political problems preventing the development of countries must be addressed.
- They think there cannot be effective aid without the participation of civil society, and so NGOs must rethink their role.
- Although the agenda has been promoted from government levels, NGOs must also reflect on how to better fulfill their mission.

Thus, NGOs have reflected on the five PD principles, proposing **an alternative approach** based on:

- Democratic ownership.
- Harmonisation including all actors.
- Alignment, critical to policies which are not properly directed at fighting poverty.
- Managing for development results (MfDR), clearly establishing that development results must affect the most vulnerable.
- Mutual responsibility; it cannot merely be a commitment between donor governments and beneficiaries, there must be accountability to societies being represented by those governments.

Assessments summary

- They think ownership, alignment and harmonisation principles are present in NGOs Code of Conduct³⁵.
- They think they contribute added value when supporting capacities of local partners.
- Networking produces political initiatives, social mobilisation and education for development (successful experiences such as signing the State Pact against poverty, Zero Poverty Campaign, etc.)
- High dependency on external, multiple and short-term financing hinders the implementation of alignment and MfDR principles.
- Technical and conceptual difficulties persist when conducting harmonisation exercises (even though there is progress in relation to networks, as mentioned).
- MfDR demands a change of organisations' internal management model, so a large effort is needed to create the necessary previous internal conditions.

Source: 2^o Encuentro de las ONG de Desarrollo. *Transformación y retos del sector en una sociedad en cambio*. CONGDE, September 2009.

Even though the above proves that progress is being achieved, reflection has not been coupled with a mechanism to monitor and assess advancement in applying defined measures. This is to say that, so far, a more specific and operational agenda on aid effectiveness has not been produced amongst organisations. In general, it is thought that organisations with sufficient capacity and commitment to incorporate changes brought about by the effectiveness agenda are in the minority. Implementing the agenda implies changing the organisational model, internal management and way of working, and this is not always possible or desired.

Lastly, it should be noted that in Spain, in addition to the Ministry of Foreign Affairs and Cooperation, most **ministries** have a series of actions defined as ODA. The most economically relevant are: the Ministry of Economy and Finance (almost 30 per cent of total net Spanish ODA in 2008) and the Ministry of Industry, Trade and Tourism (4.16 per cent)³⁶.

³⁵ The Code of Conduct has been signed by all NGOs which are members of the Coordinating Office of Non-Governmental Development Organisations in Spain. They represent a small percentage of NGOs registered as such with AECID (approximately 5 per cent).

³⁶ Source: PACI monitoring report 2008. MAEC, 2009.

In the case of the Ministry of Economy and Finance, human resources capacity in International Financial Institutions has increased since 2005. Some people surveyed within the Ministry itself consider this to be an advancement towards an increased capacity to monitor initiatives and operations in this arena, and to reinforce their effectiveness given that the Ministry of Economy is the one representing Spain in those institutions. Moreover, it has also been deemed as relevant the Ministry's participation in 2009, together with DGPOLDE, in monitoring the work of Spanish-World Bank Fund for Impact Evaluation (SIEF), created in 2007. SIEF supports 50 impact evaluations in different themes and sectors.

With regards to Debt Swap Programmes, which in 2008 accounted for almost 5 per cent of Spanish total net ODA, a relevant aspect must be noted in relation to the composition of Binational and Technical Committees managing the programmes. Binational Committees are composed of two Spanish representatives (one from the Directorate-General for International Financing, under the Ministry of Economy and Finance; and one from the Economic and Trade Advisor/Attaché of Spanish embassies) and national financial representatives. Technical Committees composition is based on the characteristics of each programme and country; i.e. even though they usually include staff from AECID's Office of Technical Cooperation, some local NGOs and representatives from country governments, there is no specific legislation governing and unifying their composition.

Taking into account that the profile of the Economic and Trade Advisors does not usually include the mandate to integrate themselves into international cooperation processes, and that no regulation guarantees the compulsory participation of managers and technicians from overseas Offices of Technical Cooperation, or NGOs representatives either, situations might occur where the relevancy given to operations and their implications for the coherence of Spanish Cooperation in a given country are not adequately interpreted.

5.2.3. Dissemination of the effectiveness agenda

As mentioned before, the analysis of different Spanish Cooperation actors shows that their integration of the aid effectiveness agenda is diverse in intensity, and that they are doing so at the level of reflection and analysis, interpreting it according to their characteristics and potential.

However, there is a key element to ownership within the Spanish Cooperation system: **dissemination strategies and comprehension exercises on aid effectiveness.**

During the evaluation, mechanisms that the Central System has applied to the rest of Spanish Cooperation actors have been analysed to disseminate the following points:

- what specific commitments endorsed by Spain's signing of the PD mean,
- the importance of each actor's involvement in fulfilling their role,
- content and scope of the anticipated indicators to internationally monitor the PD,
- results of the international reflection and work opportunities on specific proposals related to the Paris Declaration principles and the implications of the Accra Agenda for Action, and
- progress of work groups related to aid effectiveness within the national arena (both at an official level, for example, GTEC, and by universities and specialised institutions).

Almost all stakeholders have assessed the lack of a dissemination strategy and the available mechanisms in general (informational web page, some ad-hoc workshops and newsletters) to be insufficient.

The imbalance between the information generated and the mechanisms for its dissemination is illustrated below.

Figure 15. Generated information and dissemination mechanisms on aid effectiveness



5.3. Articulation mechanisms amongst Spanish Cooperation actors and aid effectiveness.

The effectiveness of the articulation and coordination mechanisms present amongst Spanish Cooperation actors is closely related to the degree of synchronisation of aid effectiveness policies and strategies, and to the ownership of the Paris Declaration on the part of the Spanish Cooperation system. This section describes changes facilitating or hindering the implementation of the aid effectiveness agenda, as well as pending constraints.

The Spanish Cooperation system has governing, consultative and coordinating bodies, established under the International Cooperation for Development Act (23/1998 Act)³⁷. Over the last two years multilevel scenarios have been created to reinforce the articulation amongst different governmental institutions. The following box summarises the most relevant milestones in the period analysed with regards to the mentioned bodies and scenarios.

Box 17. Consultative and coordinating bodies: recent milestones (2008-2010)³⁸

- Creation of the **Permanent Sectorial Commission**, under the Sectorial Conference on Cooperation for Development, in charge of developing the political agenda established by the Conference. It has two work groups whose aim is:
 - 1st. To prepare a common collaboration agreement model between Autonomous Communities and SECI/AECID.
- **Cooperation for Development Meetings of Autonomous Communities**, organised annually since 2008 at the initiative of Autonomous Communities. They are discussion fora for the 17 Autonomous Communities in which the General State Administration (SECI, DGPOLDE, AECID, FIIAPP) also takes part. They address cooperation for development policy issues, mainly aspects

³⁷ Interterritorial Commission on Cooperation for Development, Interministerial Commission on International Cooperation, and Cooperation for Development Council.

³⁸ See contextual section for a graph on Spanish institutional coordination of international cooperation for development.

2nd. To identify a representation mechanism so that Autonomous Communities can be present in Spanish delegations to international fora and meetings related to cooperation for development.

Representation is at the directorate general and regional cooperation agencies level.

- Creation of the **Government Delegated Commission for Cooperation for Development** whose objective is to arbitrate and ensure compliance with the principle of coherence of development policies.

related to aid effectiveness, complementarity and policy coherence. A way to coordinate work amongst Autonomous Communities themselves is also afforded.

- **Interterritorial Commissions:** coordinating bodies between Autonomous Communities and local administrations (spread through Autonomous Communities).

These opportunities include, in some cases, discussions on aid effectiveness, complementarity and policy coherence. Specifically, since October 2010, the Commission for Monitoring Cooperation Council Policies has incorporated into its agenda the monitoring of the strategic planning process (Country Frameworks for Partnership).

Moreover, the III Master Plan (2009-2012) proposes improving the coordination and complementarity of actors with regards to previous planning cycles by:

- indicating that the International Cooperation for Development Act, of 1998, should respond centrally to coordination and complementarity of actors centrally;
- locating consensus, coordination and complementarity at *a strategic level* of Spanish Cooperation, to be implemented during the period that the III Master Plan is valid;
- including all Spanish Cooperation actors in the Frameworks for Partnership process; and
- including a proposal to address delegated cooperation initiatives amongst Autonomous Communities.

In this group of actions and proposals, Frameworks for Partnership are perceived as a highly valuable opportunity for making progress with regards to the coordination and complementarity of Spanish Cooperation actors. They are a specific initiative of strategic planning in which the harmonisation of actors, especially in the field, plays a key role.

Therefore, the creation of stable coordination groups in each country is proposed, led by overseas Offices of Technical Cooperation, whose aim is to ensure communication, coordination and complementarity of Spanish Cooperation over the full course of the strategy cycle (planning, management, monitoring and evaluation). Furthermore, the methodology disseminated at the time of writing this report establishes the approval process and cycle of Frameworks for Partnerships, as well as the role of the stable coordinating group in the field. It even points to a set of measures and incentives needed to implement these frameworks in countries.

These measures and incentives include some specific ones directly related to improving the coordination of Spanish Cooperation actors in the field, as the following box illustrates:

Box 18. Measures and incentives suggested in the methodology to establish Country Frameworks for Partnership³⁹

1. To ensure a close link between headquarters and the stable coordination group in the field:

- To properly define the distribution of everybody's roles in the dialogue process required by Frameworks for Partnership.
- To guarantee the information and direct follow-up from headquarters to processes in the field.
- To guarantee the presence of OTC in meetings with Spanish Cooperation actors at headquarters, where necessary.

2. To give a political boost (from headquarters) to the coordination of actors concerning Frameworks for Partnership, particularly in relation to decentralised cooperation and other ministries, through:

- Instructions to heads of mission. MAEC will send a memo to heads of mission informing them of the process, and giving specific instructions.
- To guarantee that OTC leads Frameworks for Partnership within the stable coordination group in the field.
- Policy coherence: to guarantee the participation of Economic and Trade Offices, other sectorial offices and the rest of overseas offices of AGE's different departments in the coordination processes promoted by OTC. This will require memos to heads of missions, as well as other specific articulation actions with different ministries from headquarters.
- Autonomous Communities and local entities: to inform Autonomous Communities about process launch, through pertinent channels and bodies at headquarters, clarifying their participation both in the stable group and in Frameworks for Partnership (countries, intensity).
- Also, their participation on countries lacking direct representation, but which are relevant to cooperation, will be defined.

3. Embassy/OTC as services provider, such as: accreditation and consular coverage of Spanish Cooperation actors; OTC space transfer for decentralised cooperation staff; training resources for actors; support to obtain tax exemptions; facilitating contact with partner countries and national authorities; monitoring of joint initiatives from OTC; resources to facilitate and finance coordination initiatives (for example, travel tickets to capital cities); physically bringing the coordination mechanism closer to the region where more Spanish actors are, etc.

4. To establish joint diagnostic, monitoring and evaluation mechanisms.

5. Specialisation of different actors in different sectors or themes, which deepens the processes of division of labour in Spanish Cooperation and offers visibility and differentiated leaderships.

6. Joint definition of work priorities, which can later strengthen joint work dynamics or the division of labour depending on different specialities of Spanish Cooperation actors.

7. Make the Framework for Partnership binding and discourage anything not included in it. Amongst other measures, coherence of public funds allocation must be maintained in line with measures defined by Framework for Partnership, generating an incentive to take part in its definition and development.

In reference to the above changes, the main **reflections and concerns** related to defining those changes, which were collected during the evaluation and then duly summarised and contrasted⁴⁰, are noted below:

- Although the design and adaptation of participating and coordinating bodies have been addressed, a deeper reform to adapt to the current cooperation context is pending. Thus, the Cooperation Act of 1998 must be adjusted, which is still in process.

³⁹ Literal extract from the methodology document (version 1). Document indicates this is an extract of the conclusions of a work meeting with AECID's Overseas Cooperation Units (UCEs) in December 2009.

⁴⁰ See Annex 8. *Synthesis of surveys and analysis of interviews: critical elements.*

- Some work groups already operating within the Permanent Sectorial Commission are considered to be adequate. These groups have specific tasks which will affect the development of the effectiveness agenda⁴¹. However, the analysis reveals that there is a lack of both operational scenarios, with short-term and mid-term agendas, and specific goals, which would allow for the progress of practical experiences of interinstitutional collaboration⁴².
- The different binding levels of different political and strategic documents is relevant for all Spanish Cooperation.
 - For example, in the II Master Plan, Country Strategy Documents and Special Action Plans were not binding documents, although they were key for the global coherence of Spanish Cooperation and overseas action. Therefore, the importance of dialogue and the capacity to generate consensus is highlighted so that different actors can come together, coordinate and complement each other following the agreed upon strategy.⁴³
 - In the III Master Plan, and in the case of Country Frameworks for Partnership, the methodology establishes that Frameworks should be binding and it is suggested that anything not included in them should be discouraged (see point 7 in the above box).
- Country Frameworks for Partnership acknowledge that this process should be supported in Spain to guarantee follow-up during its development, and to ensure both ownership by stakeholders (including the responsibility of ensuring that deadlines and quality are complied with⁴⁴), and participation mechanisms for all Spanish Cooperation actors during the process; i.e. in the design and initial negotiation, launch, monitoring and evaluation of the country strategy, particularly for those without stable field representation.

Currently, even though there has been progress in DGPOLDE-AECID follow-up during the design phase (troubleshooting, drafts revision, qualified input, strategic sectorial guidelines, etc.), the specific mechanism to be established is still pending. Thus, the creation and operation of interinstitutional operational groups in Spain is particularly relevant in relation to Frameworks for Partnership.

5.4. In brief: reflections and concerns with regards to the fulfillment of commitments within the Paris Declaration framework.

This last section of the assessment of the leadership and commitment dimension as one of the three conditions enabling the implementation of the PD summarises the main **reflections and**

⁴¹ One of the groups is preparing a collaboration agreement between Autonomous Communities and SECI/AECID, and another one is identifying representation mechanisms for Autonomous Communities in Spanish delegations at the international level. (see box 11).

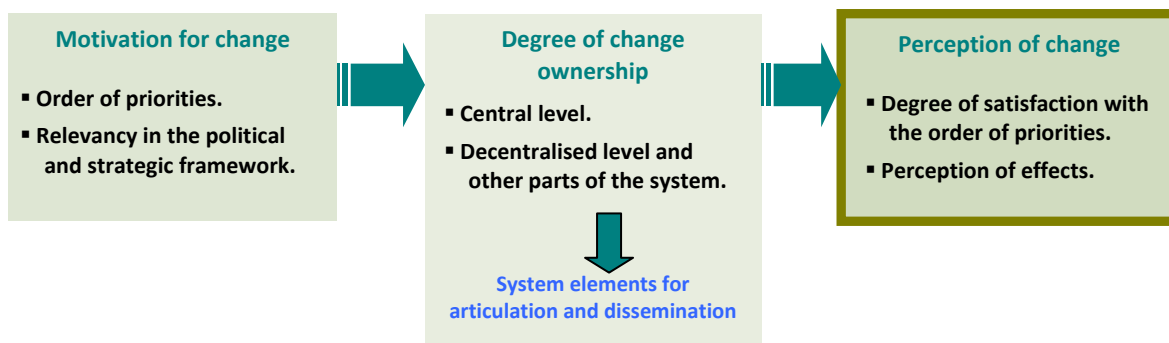
⁴² An example collected during the evaluation which clearly expresses this idea is that of a work group to precisely define the composition and roles of the Debt Swap Programmes Committees, in which the Ministry of Economy and Finance is involved, and that should include a clear effectiveness approach.

⁴³ Somehow, the process is fed by monitoring results of CSD and SAP, which revealed that: a) there was a correct identification of Spanish Cooperation key actors. Despite this, the availability of documents was not perceived as a facilitating instrument of coordination and complementarity amongst actors, nor was the existence of coordination mechanisms in the field as proposed by CSD and SAP; b) coordination and complementarity were not clearly reflected in each actor's operational programming in the field, and neither was execution of programmes. Furthermore, NGOs assessed their participation in the process and concluded that their involvement, particularly in those countries where coordinators allowed for analysis and reflection opportunities, was not clearly reflected in approved final documents.

⁴⁴ Not only by the Cooperation for Development Council but also within the frameworks of other governing, consultative and coordinating bodies of Spanish Cooperation.

concerns gathered during the evaluation of different actors with regards to the commitment of the Spanish Cooperation system to the Paris Declaration (see boxes 19 to 21 and *Annex 8. Synthesis of surveys and analysis of interviews: critical elements*).

Also, an appraisal is presented on the level of **progress made on different indicators** included in the results frameworks of the III Master Plan, in relation to the strategic area “Effective Aid”, which can help to identify the elements that the effectiveness agenda has prioritised thus far (see box 22).



Box 19. Perceptions and concerns of main actors: change in the order of priorities and how this is reflected in Spanish Cooperation policies and strategies

- Gap in the III Master Plan approach in relation to effectiveness and the possibility of compliance by deadline, given the capacities of the Spanish Cooperation system. The development of MfDR and mutual accountability principles is especially critical.
- Lack of a sequence to develop the III Master Plan, that establishes clear priorities (roadmap), and that remains unresolved by Annual Plan for International Cooperation (PACI).
- The effectiveness agenda is maintained as a technical agenda and not understood as a political agenda.
- Strategic planning processes (Frameworks for Partnership) do not clearly indicate mechanisms for actors’ participation (for example, decentralised cooperation).
- Monitoring and evaluation exercises whose usefulness and applicability are below what is necessary to improve the Spanish Cooperation system. There is an insufficient harmonisation amongst exercises developed by different actors —central, decentralised, public or private.
- Different supervision and control bodies established at different levels of Spanish Cooperation do not fully develop their roles and responsibilities (which are key to improvement).

Box 20. Perceptions and concerns of main actors: degree of ownership of aid effectiveness elements

Within the Central System:

- Initial experiences of preparing and monitoring strategic and management documents (for example, AECID’s Management Contract) have not been translated into joint strategic participation, coordination and reflection exercises.
- The importance of addressing the institutionalisation of processes key to ODA planning and management, which affect the implementation of the effectiveness agenda, is noted so that they do not continue as learning or pilot exercises.

- Monitoring has been primarily focused on the analysis of processes and methodologies. Even if such monitoring is valuable, it is not enough to infer results and their quality.
- Visualising the practical application of principles is difficult because some countries and regions are not familiar with the effectiveness agenda. It is also of concern that some internal factors within partner countries hinder the implementation of the PD (for example, the PD not being signed, or lack of institutional capacities).
- Guidelines on how to implement the Paris Declaration principles and how to face difficulties encountered in practice are perceived as insufficient in the field.
- Managerial level commitment is lacking sufficient consistency and continuity. Staff are facing constraints in their ability to devote time and effort to implement the PD principles. There are still no specific objectives for each department or for staff that clarify priorities with regards to the effectiveness agenda.
- A higher articulation and communication amongst units and between field and headquarters is needed (including the multilateral sphere).
- Effectiveness agenda is not unanimously perceived as an institutionalised process. In the end, it depends on the training and leadership of the particular people in charge.

Outside the Central System:

- The translation of aid effectiveness principles into practice is having a limited influence on changing the organisational and labour model within non-governmental organisations.
- Excluding the most active NGOs, which take part in international and national reflection opportunities (particularly, those promoted by state and autonomous communities coordinators), in general the degree of PD ownership is perceived as low by non-governmental organisations, with reference to both the extent to which implications are understood, as well as to their assumption or acknowledgment.
- There is a concern related to constraints on the development of the effectiveness agenda in cases where there are no permanent representation structures in the country.

Dissemination and articulation amongst actors:

- It is of concern that little attention is paid to disseminating good practices related to effectiveness-focused management.
- It is believed that issues related to aid effectiveness are usually included in the Interterritorial Commission and Interministerial Commission agendas at the request of State Secretariat for International Cooperation, and not out of interest or due to a demand.
- It is thought that the Interministerial Commission is not meeting the needs of operational coordination and information exchange required by different ministries involved in managing ODA, in accordance with the effectiveness agenda.

Box 21. Perceptions and concerns of main actors: Paris Declaration and its indicators

- A relevant, though not generalised, opinion, especially amongst field technical offices is that the effectiveness agenda has become rigid and does not reflect the different realities of each partner country.
- In general, the PD monitoring indicators are unknown, as are the monitoring and evaluation results promoted by DAC for all countries and for Spain.

With regards to **progress made in relation to the strategic area “Effective Aid”**, within the III Master Plan (2009-2012), it was possible to make an assessment of some specific indicators from the results matrix. However, it must be taken into account that most goals and indicators related to the principles of democratic and local ownership, alignment, harmonisation and results-based

management are closely linked to the development of Frameworks for Partnership, which were still being prepared during the evaluation period.

Despite this point, the following box presents the results of an assessment on the level of progress made on different indicators included in the results framework of the Action Plan for Effective Aid, included in the III Master Plan (2009-2012).

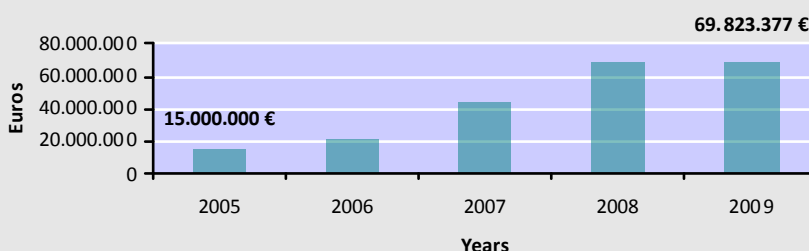
Box 22. Results framework of the Action Plan for Effective Aid: assessment on the level of progress

HARMONISATION: progress related to supporting triangular and South-South cooperation (Spain promotes and takes part in DAC's Task Team for South-South Cooperation; it also co-organised a High-Level Event on South-South Cooperation and Capacity-Building which took place in Bogota, on 24th and 25th March 2010). The dialogue on cross-country division of labour was one of the topics promoted during the EU Spanish Presidency.

ALIGNMENT⁴⁵: some progress related to programme assistance, specifically:

- The creation of a Programme Support Unit, under AECID's Directorate for Sectorial and Multilateral Cooperation.
- Increase in the amount of programme assistance operations (budgetary support and common funds), funded by AECID for 2005–2009 in 19 countries (in 2008, it represented a 7.5 per cent of total net ODA distributed through AECID)⁴⁶.

Figure 16. Increased amount of programme assistance operations



- Guidelines included in the technical guide edited by AECID's Programme Assistance Unit (orientations on selecting programme assistance when conducting Operational Programming exercises), which offers specific indications on 2010 and 2012 goals, related to the III Master Plan and AECID's Management Contract (including information on the PEFA analysis of available countries⁴⁷).
- Specific technical and monitoring instruments:
 - Programme Assistance, a Technical Guide to launch new cooperation instruments, prepared by AECID's New Cooperation Instruments Work Group, with the participation of the Directorate-General for Planning and Evaluating Development Policies (DGPOLDE), and the collaboration of headquarters technical officers and AECID's OTC (prepared in 2008)⁴⁸.

⁴⁵ Throughout this evaluation, changes introduced by Act 36/2010, of 22nd October 2010, on the Development Promotion Fund (FONPRODE) have not been explicitly included because the Act will not be in force until 2011, as the sixth final provision states. The Act has been prepared to respond to the necessary in-depth reform demanded by Development Assistance Funds, as well as to DAC's recommendation on the progressive elimination of aid as a cooperation instrument, whose implications should be considered in future evaluations.

⁴⁶ PACI's 2008 monitoring report indicates that the percentage of ODA distributed through new cooperation instruments amounted to: SWAP: 1.29 per cent; general budgetary support: 0.36 per cent; budgetary support to programmes: 18.23 per cent, and delegated cooperation: 0.02 per cent.

⁴⁷ As an annex to the guidelines on programme assistance for Operational Programming, an informational note was included on PEFA programme for analysing the management of public finances.

⁴⁸ Available at http://www.aecid.es/web/es/cooperacion/Ayuda_Programatica/Guias/

- Identification sheet for programme assistance operations, based on the Technical Guide.
- *Programme assistance and instructions monitoring sheet*⁴⁹, prepared by the Directorate for Sectorial and Multilateral Cooperation, Programme Assistance Unit (document for internal use).

MANAGING FOR DEVELOPMENT RESULTS: progress on the Operational Programming exercise developed by AECID, integrating MfDR into the methodology that includes the definition of development results with strategic objectives as a starting point.

MUTUAL ACCOUNTABILITY: progress on Spain's support for including partner countries as evaluators in DAC's peer review. This approach had already been proposed by Spain and will be discussed once more at the next High Level Forum. In addition to PACI and PACI monitoring, which are public, the 2009 Report on multilateral cooperation (SECI, AECID, DGPOLDE) was presented before Parliament in accordance with the government's commitment. Also, Spain is now part of IATI.

With regards to **institutional needs to apply effectiveness principles**, no advance has been achieved by SECI-DGPOLDE in relation to the dissemination or training of Spanish Cooperation actors. An incentive system to apply effectiveness principles has not been produced either. Work groups to guide Spanish Cooperation management towards an improved effectiveness have been created, such as GTEC (April 2008); and the web page www.ayudaeficaz.es has been launched (active since 2009).

6. Evaluation of capacities

Regarding the second dimension of analysis (system capacities to implement the PD), the focus is mainly on the institutional capacities needed to make the acquired commitments and leadership feasible, particularly those of the Central System.

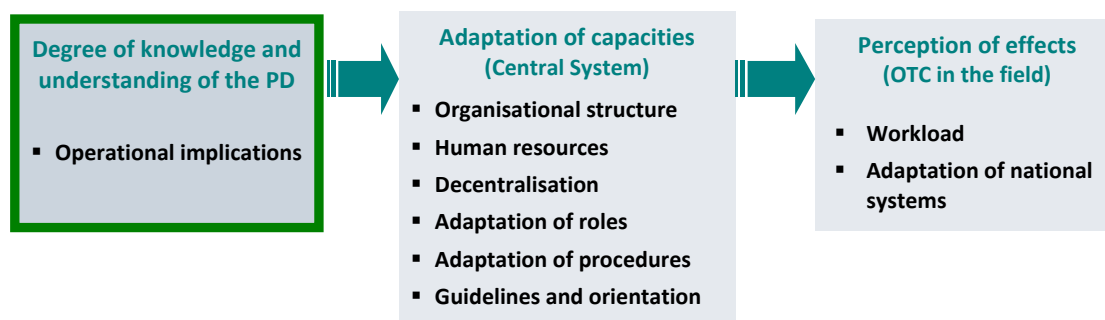
The order of the analysis is as follows. A first aspect related to the degree of knowledge and understanding on the part of staff with regards to the PD and its implications (section 6.1). Secondly, the degree of current adaptation of specific institutional capacities. The following issues are considered: organisational structure, human resources, decentralisation, adaptation of roles, adaptation of procedures, and guidelines and orientations to implement the PD (section 6.2). Lastly, an analysis of how the impact generated by changes in institutional capacities has been visualised, mainly at the level of technical offices in the field (section 6.3).

6.1 Knowledge and understanding of the PD and its operational implications.

The starting point of the analysis is the degree of knowledge and understanding of staff with regards to aid effectiveness and its implications, and whether that degree is adequate to make decisions and handle processes linked to the implementation of the PD. At the same time, the existence of internal opportunities and dynamics promoting analysis and understanding of effectiveness aspects is studied, as is, in more general terms, the capacity of the system to

⁴⁹ Monitoring of programme assistance operations is done in the field. That is why the involvement and participation of OTC staff is key to the policy dialogue, work groups, preparation of documents, monitoring of foreseen and executed actions by ministries, harmonisation with other donors, etc. Moreover, it is extremely important that Agency headquarters systematically receive information on processes in order to advise and offer guidance to the field, as necessary. This is the goal of this sheet: *to better transfer and manage knowledge from headquarters to the field, making it possible for headquarters to support the field more efficiently.*

generate prior analysis and feedback with a view to adapting changes to its organisational structure.



The evaluation shows that there is a high self-perception among staff at different levels with reference to the knowledge of the principles defined by the PD. However, there are some differences related to the degree of knowledge of the PD:

- Knowledge is more relevant at the field actors level, mainly because of their need to apply effectiveness elements and to work in-depth with specific mechanisms and tools for their implementation, while interacting with other donors and the associate country. In contrast, central units show a more general and theoretical knowledge. In any case, knowledge was seen to depend more on a personal commitment than on training or specific demands derived from the position profile (requirements).
- It is clear that central system structures (DGPOLDE, UPC in AECID) leading internal planning, quality and evaluation processes possess a more adequate level of knowledge and understanding on aid effectiveness, particularly regarding its operational implications.
- Even though these structures maintain leadership on managing effectiveness elements, we can not state that the levels of knowledge and understanding are penetrating the system as a whole or are internalised consistently. This is especially significant at the central management level, mainly with regards to AECID, where, in addition to what is stated above, staff perceive a low level of *capacities*⁵⁰, particularly with regards to managers' leadership in promoting the implementation of the effectiveness agenda stemming from the Paris Declaration and the Accra Agenda for Action⁵¹.
- At the decentralised cooperation level, a better knowledge and understanding of the PD principles and of Accra Agenda for Action have been identified, where the strategic development of specific proposals in order to incorporate effectiveness elements was achieved⁵². This aspect is equally identified at NGOs level.
- **Training efforts**, as currently designed, do not seem to act as an effective tool to enhance capacities and knowledge on aid effectiveness. Moreover, the exchange of knowledge and efficient and institutionalised feedback opportunities related to the implementation of the

⁵⁰ Capacities to guide and promote the effectiveness agenda, mainly related to the clarity and conciseness of guidance; to the regularity and consistency of guidelines, and to feedback on the implementation of the Paris Declaration.

⁵¹ In this case, the core of identified perceptions points to a significant percentage of actors (53 per cent) believing that the management team is not adequately qualified to promote the effectiveness agenda.

⁵² This is particularly relevant in the case of the cooperation system of the Autonomous Community of Catalonia.

PD are scarce, particularly in the field, where a transfer of good practices, models and experiences on the applicability of new instruments and processes is most needed.

The following box shows other aspects related to **staff training** that might be affecting the progress of knowledge and understanding of effectiveness elements and their operational implications:

Box 23. Training of staff related to the PD: constraining elements and perception of actors

Constraining elements

- The development of the Action Plan on Institutional and Human Capacities, where PD training issues would fit⁵³, was planned in a mid-term (2011/2012) and long-term (2015) context. This does not match the needs of the Spanish Cooperation system in order to advance the effectiveness agenda⁵⁴.
- AECID training plans require improvements to be more effective: to explain how training activities are applicable to each position; to improve practical aspects; to increase investment in specialised training, and above all, to conduct an annual assessment of training plan results.
- Decentralised cooperation usually deals with on-demand training of the Autonomous Communities cooperation actors (particularly NGOs), which does not ensure that effectiveness-related aspects are included.
- With regards to knowledge transfer to the Spanish Cooperation system as a whole, little has been done by SECI-DGPOLDE.

Perception of actors:

- Most of them state that they have little training on the importance of aid effectiveness and the mechanisms to promote it.
- A large majority have not shared experiences related to the effectiveness agenda.

All the above elements show that a high **perception** of an extended knowledge of the PD principles does not necessarily imply that **operational implications are fully understood and known** when applying a true effectiveness agenda. Moreover, data analysis presents two additional elements affecting the degree of knowledge that all actors have concurred on. They are:

- a) The lack of a clear and operational roadmap to implement a comprehensive approach that is committed to effectiveness elements within the Spanish Cooperation system. This indicates the lack of a clear and sustained vision of the path ahead as well as of mid-term goals to be achieved by all actors⁵⁵.
- b) Specifically related to commitment and leadership (chapter 5), the lack of on-going scenarios and internal dynamics of reflection and learning⁵⁶ that generate a clear internalisation of effectiveness elements by all actors of the Spanish Cooperation system, as an identifying sign relevant to managing ODA.

⁵³ The III Master Plan, within the strategic area of *institutional and human capacities*, points to several issues related to training processes, including: "To design a training path for SC professionals in the field and at headquarters to facilitate Masters degrees; official Masters degrees on development, cooperation and related subjects will be promoted, with a view to creating a common core and to increasing specialisation; to implement a training programme in AECID and at each OTC".

⁵⁴ The Cooperation Council has demanded that the preparation of a plan related to this strategic area be set forth in 2010, as it is needed to truly improve SC aid effectiveness and quality.

⁵⁵ A further constraining element mentioned in section 5.2.1 ("The Action Plan for an effective aid is not available, disseminated or institutionalised") contributes to this.

⁵⁶ In the case of the Central System, it is clearly indicated that specific opportunities to deepen and expand knowledge (especially, operational knowledge) related to the Paris Declaration and aid effectiveness are not accessible (a high percentage of answers).

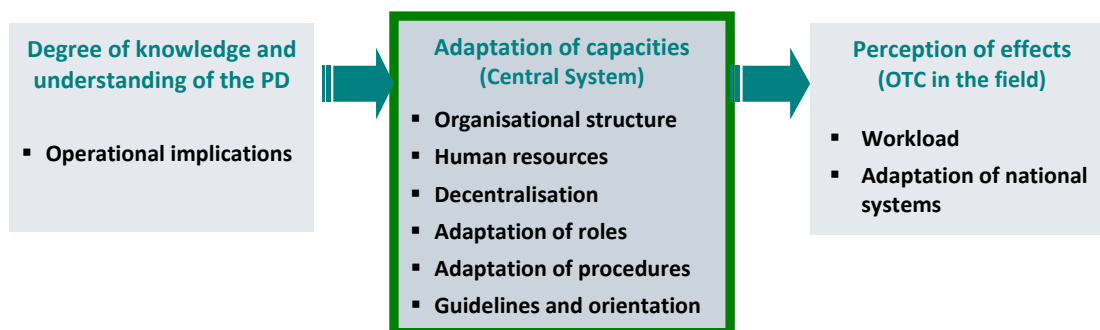
However, it should also be mentioned that there are good practices and processes that might be improving the level of knowledge and previous analysis needed to adopt changes related to effectiveness. The analysis has shown that the strategic and operational planning exercises (mainly, Frameworks for Partnership and Operational Programming), as well as the creation of discussion and proposal groups on effectiveness (Aid Effectiveness and Quality Work Group and Operational Programming Group, amongst others) are highly adequate, particularly in the Central System.

These initiatives are perceived as being the driving forces behind the acquisition of practical skills and an in-depth understanding of contents, although they do not currently affect the organisational structure. This reinforces the relevance of initiatives targeted at expanding the knowledge and understanding of elements of effectiveness as a process that is on-going, that is especially linked to practice, and that offers clear possibilities for feedback and follow-up.

With reference to the rest of the SC system, the dynamic is very similar. There are specific scenarios, such as commissions of experts (Catalan Cooperation) or discussion groups (CONGDE), amongst others, and progress is being made in the development of specific events, fora and courses on how to incorporate the effectiveness agenda into aid management.

6.2 Analysis of capacities based on key elements of the effectiveness agenda management.

This section includes the analysis results of the degree of current adaptation of specific institutional capacities, specially in reference to human resources policy, the levels of decentralisation achieved, the publication of particular guidelines, and the adaptation of roles and procedures in managing the ODA between headquarters and the field, which are key elements in managing the effectiveness agenda.



6.2.1. Level of decentralisation and adaptation of roles between headquarters and the field.

With regards to the changes identified at the organisational structure, two important aspects of the analysis must be underlined from the start. On the one hand, the taking into effect of State Agencies Act in 2006, after which the AECID reform process was addressed. On the other hand, the new organisational structure of the MAEC in 2008, which transformed the unit in charge of writing, planning, monitoring and evaluating international cooperation policies into a Directorate-General (DGPOLDE), and of the relations with and the coordination of the different actors within the Spanish Cooperation system.

In this context, the effort to couple central system change processes with a previous analysis that would define key and general action aspects is welcomed, both when promoting organisational changes and when integrating new instruments. This analysis made it possible to visualise the elements in need of strengthening to improve aid effectiveness.

Consequently, within the organisational restructuring process, mainly in the Central System, there is a clear and visible improvement, especially with the creation of specific planning and quality units (UPC), Programme Assistance units —under the Support Unit of the recently created Directorate for Sectorial and Multilateral Cooperation⁵⁷—, and the creation of cross-sectional work groups within the AECID. DGPOLDE takes part in one of these work groups in charge of aid effectiveness and quality (GTEC).

It is clear that these efforts have led to the adaptation of roles in order to carry out a more effective management of aid, and have been particularly reflected in these new structures. However, the adaptation is perceived as being a process affecting only new structures and does not sufficiently penetrate the rest of the organisation. There has not been any reflection on how to adjust roles in order to fully implement the PD or on how to fully integrate new structures into the Central System (including Overseas Cooperation Units, UCEs⁵⁸) and within the Spanish Cooperation system.

It is generally perceived that the system has been particularly ambitious with regards to undertaking a profound change of its organisation and roles, in a short period of time and with existing work capacities and dynamics that required longer and more sequenced processes.

It is also clearly perceived that the **decentralisation** process and the adaptation of roles between headquarters and the field are key to advancing the implementation of the effectiveness agenda, a perception which has been translated into numerous documents (policy and strategic, and related to managing cooperation within the Central System)⁵⁹. Moreover, there has been progress on a previous and participatory analysis of the main elements needed in order to reinforce the decentralisation processes and, particularly, the model to be adopted. The main milestones identified in the adaptation of roles between headquarters and the field are summarised below:

Box 24. Adaptation of roles between headquarters and the field: main milestones

- The III Master Plan and the AECID reform are strongly committed to decentralisation. The III Master Plan (and, later, the methodology of Frameworks for Partnership) points towards OTCs as key elements in the strategic planning processes and their monitoring.
- The first AECID Management Contract included as a critical action redefining the distribution of competences between headquarters and Overseas
- **Frameworks for Partnership:** the methodology for their creation (version 1) indicates that OTCs will play a larger role in negotiating them. Also, they should change the way funds are assigned by AECID. In order to develop the Frameworks for Partnership as a key element to decentralisation, the creation of stable field groups is proposed, led by OTCs that will be in charge of monitoring the effective participation of all actors, amongst other functions.

⁵⁷ Royal Decree 941/2010, of 23th July 2010, amending the Statute of AECID, states that the Agency chairperson (position assumed by the head of SECI) will preside over the Department for Multilateral Cooperation, such that the Directorate for Sectorial and Multilateral Cooperation of AECID is no longer amongst the departments that person manages and coordinates.

⁵⁸ Overseas Cooperation Units are Offices of Technical Cooperation (OTCs, 44) and they also serve as Cultural Centres (17) and Training Centres of Spanish Cooperation (6).

⁵⁹ III Master Plan, the reform priorities and the Management Contract of AECID, Frameworks for Partnership, Strategic Partnership Framework Agreements with MDAs, and AECID's Operational Programming, amongst others.

Cooperation Units, in order to participate more effectively in the harmonisation and aligning processes of each country.

- A survey on the decentralisation process has been conducted inside AECID whose results show the need to define a strategic and clear vision and to strengthen capacities so that new competences can be seamlessly adopted (basically, human resources training).

- **Operational Programming:** there has been an advance in the decentralisation process to the extent that it redefines the role of OTCs and of headquarters. Mechanisms that could improve communication between headquarters and the field are created, such as the Committee on Operational Programming, country teams and document administrator, which are maintained for the strategic planning process of Frameworks for Partnership.

Despite these issues' relevancy and seeming prioritisation, the most common perception is that the decentralisation process and the adaptation of roles are not advancing at the pace needed. Therefore, they are lagging behind the on-going operational and strategic planning exercises. This reveals a need to urgently and clearly define roles and competences of headquarters and the field in order for them to be coherent with the implementation of an effectiveness agenda.

Currently, significant results or progress are not visible with regards to an increased reflection and formalisation of the decentralisation of OTCs, except for some administrative aspects. This could weaken or frustrate efforts already undertaken. Furthermore, the analysis of roles and competences, and their translation into manuals guiding the work of staff both at headquarters and in the field, is pending. A large majority of actors believes that without such an analysis it is not possible to adapt roles to the effectiveness agenda.

With reference to **decentralised cooperation**, proxy mechanisms are still underdeveloped in the field⁶⁰, and there are still few possibilities of field staff being qualified and sufficiently represented in decision-making.

6.2.2. Human resources policies linked to the incorporation of an effectiveness agenda.

As defined in the evaluation design, this section focuses on capacities, mainly those of the Central System and its overseas units, to capitalise knowledge and learning related to aid effectiveness. More precisely, to what extent any advances made have been relevant in giving greater coherence and stability to teams and technical units, and how they have contributed to an adequate management of knowledge and information with regards to the incorporation of an effectiveness agenda.

The evaluation has determined that considerable efforts have been made to increase the coverage of available human resources⁶¹ and to regularise part of the staff, especially in the overseas offices of technical cooperation, efforts which have increased team stability. It is important to emphasize that, for the first time, the overseas network of AECID has stable personnel whose contract scheme strengthens such stability. At a strategic level, the Agency Management Contract itself defines the need to develop a professional career trajectory, as well

⁶⁰ The analysis of the Catalan Cooperation Agency for Development is, perhaps, one of the few initiatives where qualified field staff, with a technical role, are found, in contrast with other autonomous communities analysed.

⁶¹ On 25th May 2010, the Secretary of State declared before the Commission of International Cooperation for Development, of the Congress of Deputies, that between 2004 and 2008, 213 positions had been created in the overseas network (programmes and projects officers); and the management team was reinforced (after the reform of the Agency Statute) with 136 positions at headquarters and 60 more overseas. In addition, apart from the number of positions, two challenges were mentioned: filling up vacancies in relation to job openings, and improving the management of AECID overseas technical offices.

as to propose a mobility system between headquarters and the field⁶². Defining coverage, stability and team coherence as priorities is generally shared by all actors and consulted sources. Furthermore, these priorities are considered highly relevant to the implementation of the Paris Declaration.

Undoubtedly, the above elements are a mayor contribution to an improved capitalisation of human resources and team stability. However, a large majority of consulted sources and actors think an adjustment is needed in relation to the levels of coherence and the long path still ahead: “in practice, the Central System continues to not take adequate advantage of the experience gained by each person and group, mainly because of the rigidity and disparity of hiring schemes, the low incidence of effective and continuous mobility between headquarters and the field, the lack of professional career development, the limited sectorial and thematic specialisation,⁶³ and the poor productivity-based performance assessment system (individual and teams)”.⁶⁴

Particularly, two of the most repeated aspects during data collection are herewith highlighted, which are related above all to human resources and to achieving a more thorough incorporation of the Paris Declaration:

- Firstly, the **high turnover of managers** is particularly relevant in the Central System. This clearly affects not only team stability but also the continued and uniform pace of implementing decisions and developing processes, especially with regards to the new commitments defined within the effectiveness agenda framework. Furthermore, this aspect affects the low perception of managers' leadership reported by units and staff in charge of undertaking processes. Staff discontinuity is also reflected in technical levels, although in this case perceptions point mainly to a lack of incentives, the hiring scheme itself with regards to technical assistance, and the low satisfaction in relation to initial expectations when first starting to work.
- Secondly, through the analysis of different actors' perceptions, the evaluation has determined that, in general, the Central System **is not adequately valued** as being part of an **organisational culture** which responds to the challenges posed by managing within an effectiveness agenda framework. This perception limits internal coordination and team work, and external coordination and knowledge transfer amongst the units that comprise the Central System of Spanish Cooperation.

Despite the difficulty in achieving a systematic validation, the unanimity found with regards to the above aspects highlights the fact that **team coherence and stability** are particularly critical when acknowledging capacities in order to further progress in the incorporation and development of an effectiveness agenda.

Lastly, with regards to **decentralised cooperation**, Autonomous Communities case studies show that structures here are less complex. Therefore, staff management is better adapted to new challenges, such as those posed by incorporating aid quality and effectiveness elements. Hiring

⁶² AECID Statute itself says that “geographical mobility of Agency public employees is a functional need of the Agency commensurate with the fulfillment of its objectives”.

⁶³ The low sectorial and thematic specialisation is particularly visible in relation to aid effectiveness. Staff adopting key competences in different effectiveness modalities and instruments do not maintain a specialisation level in accordance with their responsibilities, and they do not know the steps or resources needed to acquire such specialisation.

⁶⁴ Most of the analysis which was derived from interviews matches this list of elements hindering a better consolidation and capitalisation of knowledge and learning on the part of teams and units.

schemes are more flexible. Therefore, staff selection matches the needs of cooperation policies. However, it should be noted that the trend is to prioritise staffing and job stability at headquarters versus representativity and technical staff in the field, where neither mobility nor a clear turnover policy are clearly defined that would allow for knowledge capitalisation and transfer between headquarters and the field.

6.2.3. Incorporating directives and procedural changes linked to the implementation of the PD.

With regards to **disseminating specific instructions, guidelines and operational directives** to encourage the implementation of the PD, a series of valuable initiatives has been generated within the Central System linked to strategic and operational planning processes, which is significantly advancing MfDR. However, the use of guidelines and instructions is facing limitations in practice due to insufficient training of staff, and to informational and information management shortages.

Furthermore, previous experience in planning processes reveals that the impetus during the design phase is no longer maintained in the implementation, monitoring and evaluation phases. Therefore, there is a risk of the transfer level of instructions and guidelines related to the PD being lower during those phases, which must be kept in mind.

In addition, **procedural changes** can be analysed on two fronts. Firstly, changes brought about by legislative developments affecting Spanish Cooperation as a whole, together with aspects still to be addressed. Secondly, changes promoted by AECID as the managing and executory agency of Spain's international cooperation for development policy.

With regards to **legislative changes**, the main development that benefits and involves all actors within Spanish Cooperation is the Royal Decree, passed in June 2010, governing grants and international cooperation aid. Although some State grants were already using the new instruments related to the implementation of the PD (general and sectorial budgetary support, global funds, common funds, triangular cooperation and delegated cooperation), the legislative development **explicitly** states this possibility, while also simplifying paperwork and administrative procedures.

However, it is noted that procedural harmonisation within Spanish Cooperation needs to be addressed more decisively. This issue is particularly important for a system characterised by a high level of decentralisation. Also, NGOs⁶⁵ and partner countries have demanded it repeatedly.

With regards to **AECID**, in general, the organisation has been developing without a consistent and standardised procedures system, which means a lack of standardised procedures with which to apply the principles of the PD. The Agency's Management Contract stated, in its first year of implementation (July 2009-July 2010), that management and justification procedures should be sped up and simplified so as to facilitate coordination and aligning practices. However, progress on this matter is perceived as being limited because it has only produced a *Guide for the application of new instruments*⁶⁶, and a technical note on delegated cooperation within the GTEC framework in February 2009.

⁶⁵ In November 2008, the Cluster of NGOs Autonomous Communities Coordinating Offices published a Guide to harmonise criteria of public tenders for grants for decentralised cooperation bodies targeted at cooperation and education for development projects.

⁶⁶ Defined as progress in the Management Contract Fulfillment Report, edited by AECID, although the guide was written by the Work Group on New Instruments (with the participation of DG POLDE), which was created for this purpose within AECID in 2006, and was published in 2008 for internal use.

In any case, a group of initiatives has been launched with regards to quality certification, such as the evaluation process to obtain the European Commission certificate to delegate projects, or AECID's Quality Plan project. These initiatives are facilitating the design of a map and cataloging procedures in order to simplify and rationalise them. However, actors think they lack continuity and clear guidelines to move forward and complete the process, particularly in relation to the Quality Plan.

Be that as it may, the main actors' assessment points to the problem being not so much one of flexibility of procedures per se, but procedures not being consistently applied. Thus, processing is slow (especially due to headquarters decision-making), and, in the end, effectiveness criteria do not take precedence, affecting aid predictability and the fulfillment of PD commitments.

6.3. Impact of changes on managing field offices: workload and adaptation to national systems.

This last section includes the analysis results of how the impact generated by changes in institutional capacities are visualised by technical offices in the field with regards to internal organisation (workload), and working with partners and other donors (adaptation to national systems).



The study reveals that the implementation of the PD is significantly increasing workload, particularly because it is embedded within a series of processes that are being implemented for the first time. Both Frameworks for Partnership within the system as a whole (although building on previous experiences such as CSD and SAP), and AECID's Operational Programming demand that an additional effort be made. Not only institutionalised processes are to be reviewed while improving aid effectiveness, but also new processes need to be blended with an effectiveness approach, while also taking into account organisational and managerial changes.

In any case, in general, the effects of such a workload are perceived to be temporary, and will improve the quality of cooperation. The determining factors are:

- Consolidating operational and strategic planning processes into a common methodology for all actors (to complete the "learning" phase), and incorporating elements related to the application of the PD into daily work patterns (particularly MfDR).
- Taking into account planning in decision-making related to budgetary distribution.

- Integrating MdDR into the interventions cycle management, particularly in terms of monitoring, justification, final reports and evaluation.
- Integrating dynamics of operational and strategic planning (sectorially and geographically).
- Timely and adequate availability of information without the SC system having to exert itself further.
- Having cross-cutting work groups and scenarios that offer support during planning phases as well as when monitoring and evaluating Spanish Cooperation.

One of the determining factors that the evaluation has been able to verify is the difficulty of assuring that planning be highly predictable, which would allow for the smooth incorporation of new elements, such as tasks related to the implementation of the PD. Currently, planning is perceived to be in permanent tension with the incorporation of unplanned tasks and demands that require an immediate or priority answer, particularly by headquarters, which creates multiple agendas.

Strongly related to the above and to roles adaptation in technical offices in the field, the evaluating team has ascertained that each office is assigning roles amongst members of staff based on the operational needs generated by processes linked to launching the effectiveness agenda, and based on how important the role is for each unit. The limited identification and adaptation of these roles, and their coherence with regards to the profile of people charged with fulfilling them, is perceived as an extra burden. However, it is important to note that the increase in workload is perceived as being caused more by a problem of adaptation and lack of clarification of roles (what and who) than due to the incorporation of a “new” theme, such as the effectiveness agenda.

Box 25. Perception of actors: workload, human resources, roles and capacities of technical offices in relation to the effectiveness agenda

- | | |
|---|--|
| <ul style="list-style-type: none"> ▪ The majority states having faced time constraints when dealing with effectiveness agenda issues (particularly in the field). ▪ There is neither an analysis of roles and capacities for effectiveness-related positions, nor a performance assessment. ▪ Human resources available in new units that are strongly related to the application of the PD are insufficient for monitoring and following up on processes. ▪ Most actors think that not enough personnel is trained or has key skills to apply the PD principles. | <ul style="list-style-type: none"> ▪ More than half think that the additional efforts needed to get involved in the effectiveness agenda are not being valued. ▪ There is a deficit with regards to decentralisation of roles between headquarters and the field. Departments’ specific competences are not sufficiently clarified. ▪ Consultation mechanisms for decision-making between headquarters and the field do not always offer sufficient feedback. |
|---|--|

A second element considered as worthy of analysis is the **use of national systems**, as this forms part of lines of action and specific measures affecting alignment, and is closely related to the possibilities of managing field offices. In the analysis, estimates reflected in the results framework for the strategic area related to effective aid (III Master Plan) were taken into account. Such estimates included, in the short-term, the definition of criteria needed to identify parallel implementation units, and after 2010, that these units would not be established at the expense of national systems. Another mid-term measure (2012 goal) was related to channeling more than 50 per cent of ODA in each country through systems and following the national procedures

of partner countries, while ensuring that 66 per cent of government to government aid would be in the form of programme assistance.

Within the Central System framework, no global institutional progress has been achieved with regards to parallel implementation units. Even the definition of criteria to identify what are the existing parallel implementation units within the SC system is pending⁶⁷. As per mid-term indicators, after developing technical instruments (guidelines) on the implementation of programme assistance operations,⁶⁸ the first guidelines are included on how to analyse the public finance management system of partner countries (based on PEFA or on other analyses such as ROSC, CFAA, PER). However, it was not until the creation of AECID's Programme Assistance Unit and the subsequent launching of Operational Programming that specific guidelines have been communicated to overseas Offices of Technical Cooperation. The need for national systems to have more adequate financing tools at their disposal has also been identified.

Although AECID's Programme Assistance Unit is trying to monitor operations (including worksheets on how public finance management system is evolving), no systematic information is currently available on the extent to which operations start-up management systems are being analysed (for example, PEFA), or on the motivations for whether or not to use national systems of each partner country. Likewise, government to government ODA is still very far off from the 66 per cent which was foreseen for 2012.

Lastly, most field actors agree on promoting the use of acquisition and public management systems of partner countries to distribute aid. Also, demands related to managing administrative and financial bilateral cooperation are considered flexible enough to allow the use of national systems, where those are thought to be relatively strong.

7. Evaluation of incentives

This last section presents the findings on incentives applied in order to promote the implementation of the Paris Declaration, which were organised along two main lines: the specific incentives offered to natural persons in order for them to fulfil the objectives of the effectiveness agenda, together with the perception of potentially discouraging factors (section 7.1), and the elements affecting the application of a managing for development results approach, particularly the aspects facilitating or hindering results-based programming, and the use of information to improve management and aid effectiveness (section 7.2).

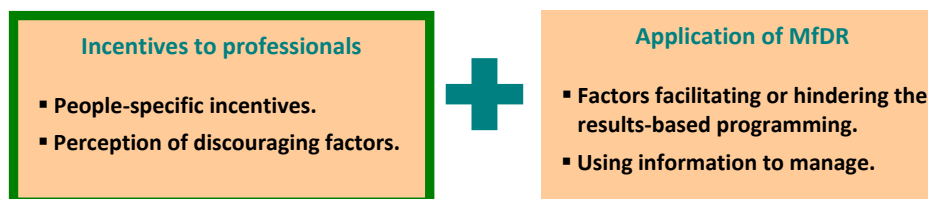
7.1. Incentives policy for natural persons within Spanish Cooperation.

The analysis has tried to determine the existence and practical application of instruments that reflect the incentives policies and strategies for natural persons in order to launch the effectiveness agenda. Once positive actions in this area were identified, factors which might be

⁶⁷ This assessment does not preclude the possibility that certain countries are closing parallel implementation units, as is the case of Bolhpania-AECID in Bolivia. This was considered in the *Evaluation of AECID programme in Bolivia with regards to the Paris Declaration principles*, written by Óscar Angulo and Claudia Cárdenas (November 2008).

⁶⁸ The Technical Guide to Launch New Instruments (programme assistance) was published by AECID in 2008. It is the result of the ad hoc work group created by AECID in 2006. The guide was coordinated by New Instruments Unit of AECID's Technical Bureau, with the participation of both Geographical Directorates, other AECID's units, and DGPOLDE.

discouraging the prioritisation of the effectiveness agenda are studied, together with the initiatives to overcome those limitations.



To begin with, it is important to underline that both the Statute and the AECID's Management Contract, belonging to the central system of the Spanish Cooperation, foresee the development of an incentive scheme for the Agency's staff. Specifically, the Management Contract includes incentives in its first strategic objective as a "Plan for professional career development and an incentive scheme targeted at Agency's staff". Furthermore, this objective meets the requirements of the State Agencies Act and the Statute of AECID, and is in accordance with the Basic Statute for Civil Servants (EBEP). Moreover, the Management Contract specifies that the planned incentive scheme would take into account the application of the principles of the Paris Declaration, thus making it a detected and anticipated need.

In addition, during the validity period of the Management Contract, staff's performance assessment was scheduled to be performed in accordance with the Agency's valid model (according to performance, responsibility and special dedication), until the performance assessment of civil servants came into force. The Basic Statute for Civil Servants (EBEP, as per the Spanish Acronym) includes and develops this assessment which should also inform the design of an incentive scheme to motivate staff's performance.

The evaluation has revealed that critical actions planned as part of the first Management Contract (July 2009-July 2010) did not include any reference to an incentive scheme, so such a scheme has neither been discussed nor developed so far. That is to say, it has not been defined as a priority. In practice, this situation implies that most of the staff perceive that their efforts and work to achieve effectiveness goals bear no relation to the possibility of promotion within the organisation, and further, that the additional effort their involvement in the effectiveness agenda demands is not being acknowledged either.

Therefore, challenges are: to draw up a professional career plan and an incentive scheme for the Agency's staff, as the Management Contract indicates, regardless of the legislative development planned for in EBEP in relation to assessing performance. Those plans should include objectively verifiable performance indicators related to the implementation of the aid effectiveness agenda.

So far, an incentive policy or strategy has neither been defined nor applied. In addition to this, perceptions and valuations on the factors affecting staff motivation to integrate the PD in their daily work offer new evidence, which are summarised below:

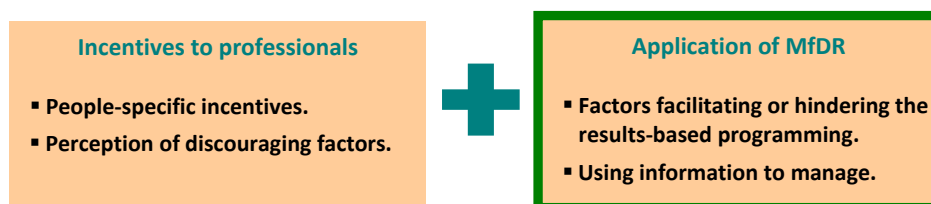
- Most of the discouraging elements relate to the fact that the expectations created about organisational change and management system processes are not even close to being fulfilled.

- Decision-making path and tools are considered to be fragile because they are prone to interference and to the interests of foreign policy, which are not always compatible with the effectiveness agenda.
- Planned disbursements are considered to be given priority over aid effectiveness goals at management level, which is closely related to the majority of aid management indicators being currently linked to levels of budgetary execution.
- The commitment of managers to effectiveness is perceived as neither permanent nor consistent. Besides, they do not encourage staff to report on the difficulties in implementing the principles of the PD.
- Lack of incentives related to sharing experiences or good practices, both inside and outside the organisation, is perceived especially by overseas staff.
- Another discouraging aspect mentioned is that management is based on instruments rather than on development results.

Regarding decentralised cooperation, case studies show the lack of an incentive scheme for members of staff who take effectiveness aspects into account. Furthermore, although the organisational environment is not a discouraging factor in these cases, the pressure to disburse is, as perceived by the rest of actors.

7.2. Application of a managing for development results approach: limiting and enabling aspects.

This section describes the elements found during the evaluation that are affecting the implementation of a managing for development results approach (MfDR), particularly those facilitating or hindering a results-based programming, and the use of information to improve management and aid effectiveness.



By way of background, the II Master Plan (2005-2008) foresaw the inclusion of programming and impact assessment exercises. It also defined as key aspects both objectives- and results-based planning (the approach used to design the CSD and SAP) and participatory evaluation processes. However, as a result of monitoring the implementation of instruments of strategic planning, CSD and SAP (at the end of the validity period of the II Master Plan), the most common opinion was that those instruments should propose objectives, goals and indicators that allowed for results and mutual accountability to be monitored. That is to say, developing those instruments was not useful enough for MfDR.

DGPOLDE's internal and final evaluation of the II Master Plan recommended the "consolidation of a planning culture, paying special attention to monitoring and evaluation, and implementing an integrated system in order to guide management towards achieving results in terms of development, and based on knowledge management and evaluation". This indicates the concern that was still present at the end of this planning cycle of SC.

Together with strategic planning instruments that take into account the logic of managing for development results, the main strategic areas of III Master Plan (2009-2012) have general frameworks of results which define lines of action and priority actions. This Master Plan points again to a results-based management model whose first step would be consolidating a monitoring and evaluation system, directed towards an integrated system of knowledge management. It also proposes the creation of an evaluation team staffed by the monitoring and evaluation officers of every actor within all levels of Spanish Cooperation.

Nevertheless, the III Master Plan starts out with some limitations. It does not refer either to training or capacity-strengthening processes within the Spanish Cooperation system as a whole, nor to incentives to perform formative and useful evaluations that would confer more effectiveness and efficiency to the evaluation process. Moreover, it does not define how to apply the knowledge and information management system, key to MfDR, which implies an incentive scheme and a series of capacities that so far have been weak in the Spanish Cooperation system. Furthermore, no advances were made, in the first years of validity of the III Master Plan, in the creation of an evaluation team, with multiple actors, as was originally planned for.

In order to respond to the commitments of the III Master Plan, PACI 2009 stated that the general proposal for the Managing for Development Results System would be ready to be implemented in 2010, including the methodology to manage interventions of SC. The monitoring draft of PACI 2009, included in PACI 2010, revealed little progress in this regard. The only achievement was to develop the second version of the electronic platform to monitor the Spanish ODA, designed to support the MfDR system. But the management methodology of interventions was not defined. Thus, even the information systems have shortages, a relevant issue to adopting MfDR that was identified years ago⁶⁹ but remains unresolved within the SC as a whole.

During 2010, it is clear that the Frameworks for Partnership and Operational Programming are advancing the integration of MfDR because, for the first time, annual results matrices are being designed based on strategic objectives. These objectives will guide the identification of new AECID interventions. However, difficulties in the design of results frameworks have been identified due to staff, both at headquarters and in the field, not having technical training. Also, Operational Programming is not properly articulated and has not maintained a logical timing sequence with the strategic planning process of the Frameworks for Partnership. In most cases, CSDs and SAPs are said to be obsolete; they have neither been reviewed nor updated. That is to say, mid-term development objectives have not always been available to help define short-term (annual) programming accordingly.

⁶⁹ On 14th December 2005, the Secretary-General of the then AECI stated before the Congress of Deputies: "Currently, how the Spanish Cooperation system collects statistics to measure and evaluate the impact of our actions can certainly be improved. This is a historical shortage affecting both the State General Administration and local and regional cooperation. That is why the State Secretariat for International Cooperation has driven a reform of our information systems. This reform is currently being discussed by the common systems group of information and statistics, which is part of the Interterritorial Commission on Cooperation for Development, supported by the Universidad Politécnica of Madrid. The creation of this system, supported by a computing tool, is part of the 2005-2008 planning cycle. It will allow for methodologies and results-based planning procedures to be adopted in the future, although we thought we would have preliminary results coming from monitoring PACI 2005, whose release is expected in June 2006".

At the same time, some evaluation improvements within the SC system must be indicated. The most relevant are: publishing a *Manual to manage evaluations of Spanish Cooperation* (MAEC, SECI, DGPOLDE, 2007); drafting a technical report to guide the Annual report on the evaluation of Spanish Cooperation⁷⁰, and making it mandatory for NGOs receiving public grants to commission an external mid-term evaluation of agreements and projects⁷¹.

Internationally, it must be pointed out that Spain has been a member of the Multilateral Organisation Performance Assessment Network (MOPAN) since January 2009, a network of bilateral donors committed to evaluating the effectiveness and capacity of multilateral organisations with which they associate under a common approach (in 2008, Spain was an observer country).

Thus, based on the analysis results, in general the following can be concluded regarding the Spanish Cooperation as a whole:

- How to operate a monitoring and evaluation system for each actor is still pending, a system that would be useful for the Spanish Cooperation system as a whole.
- Planning efforts do not have the same impetus during the monitoring and evaluation phases, a fact that discourages or reduces the capacity of analysis and control with regards to the expected results (learning, change and innovation possibilities).
- Until the implementation of the Frameworks for Partnership and the Operational Programming, the monitoring system has generally been based on budgetary fulfillment indicators. The new strategic and operational planning methods propose a change in this regard, although the first pilot exercise on Operational Programming has detected that the problem is still unresolved, as is the need to continue with the design of a monitoring and justification method targeted to achieve development results and not only to control spending and the execution of activities.
- Some actors (particularly, NGOs) are initiating processes to identify their strengths and weaknesses, their threats and opportunities in order to integrate MfDR into the CONGDE scenario, although the processes or application are not continuous.

Thus, currently, the SC system is moving forward without truly having objective qualitative and quantitative indicators to measure ODA results. Capacities to manage the information included in internal and external evaluations of the SC system as a whole, aimed at being used in the decision-making on new operations, are considered to be limited. Also, the results are perceived to be inadequately shared with the rest of actors⁷². The current limited development of an evaluation culture within the SC worsens these shortages, aside from the technical capacity of each actor to develop specific evaluations.

⁷⁰ Prepared by DGPOLDE with technical assistance from an external consultancy firm. It was completed in March 2010.

⁷¹ According to Order AEC/1303/2005, of 27th April, this is compulsory for projects receiving grants over €350,000.

⁷² In 2012, an annual report on contributing to development results is expected. To that end, in 2011 a new information system to collect information on the Spanish ODA will be implemented. This system will collect data on Spanish ODA and will have to identify how each action contributes to the Specific Sectorial Goals as well as how they relate to CRS sectors of DAC and to the Millennium Development Goals. This aims to evaluate each contribution in relation to development results and the development objectives included in the Master Plan, in the CRS of DAC and in the MDG, and to produce useful information for all actors with a view to improve public planning and decision-making. Source: DGPOLDE, 2010.

Box 26. Perception of actors: practical application of MfDR

- The majority considers that AECID's Operational Programming is a key tool to make progress on MfDR.
- The majority states that they still lack adequate performance indicators with which to monitor progress and results of ODA.
- When indicators do exist, the majority of actors consider that their design is not adapted to specific contexts, and that they have not been developed in consultation with other partner countries and donors.
- More than half of the actors state that reports on the progress of the Paris Declaration are not being requested from them, and that there are no efforts towards systematisation.
- The majority of actors, especially in the field, indicate that there are no monitoring and evaluation systems targeted at fulfilling the principles of aid effectiveness.
- In general, it is considered that there is no systematic link between budgeting assignation processes and development results (particularly, because most interventions do not have a prior definition of the planned results).

8. Conclusions

Below are the conclusions presented according to the three dimensions analysed: the level of **commitment** within the Spanish Cooperation system as a whole and the capacity of the governing bodies to **lead** processes (section 8.1); the institutional **capacities** to make the commitment and leadership viable, especially in the Central System (section 8.2); and **incentives** given to promote the implementation of the Paris Declaration (section 8.3). With regards to incentives, conclusions on aspects facilitating or hindering the practical application of a **managing for development results approach** are included.

8.1. Conclusions on evaluating leadership and commitment

In relation to the **change in the order of priorities** after signing the Paris Declaration and how this is reflected in the policies and strategies of Spanish Cooperation:

1. The study clearly proves that the influence of the international arena and the participation of Spain with respect to the Paris Declaration has translated, since 2005 (coinciding with a new planning cycle, i.e. II Master Plan), into a growing commitment to integrate and prioritise aid effectiveness into policy documents and the general strategy of Spanish Cooperation. Integrating aid effectiveness into the III Master Plan (2009-2012), currently in force within Spanish Cooperation, shows an **important qualitative leap with respect to previous planning cycles**. Current commitments, approaches, strategies and instruments are perfectly coherent and in compliance with the Paris Declaration, the Accra Agenda for Action and the Code of Conduct of the EU. The III Master Plan aims to be recognised as the model for quality and effectiveness for Spanish Cooperation.

2. At the political level, the fact that the Congressional and Senatorial Commissions on International Cooperation for Development took part in the consultation process when drawing up the III Master Plan reasserts the **will to create a State Policy** in this area. Also, the effectiveness and quality of official development assistance are starting to be taken into account during informational meetings and question and answer sessions.

3. At the strategic and operational levels, after the II Master Plan, a process was launched to incorporate geographical, sectorial and multilateral planning tools, which have been designed to **implement the principles of harmonisation, alignment and ownership**, and to start the path towards managing for development results. During the III MP, those tools have been designed in an even more ambitious manner with regards to the effectiveness agenda. Therefore, Frameworks for Partnership with partner countries and Partnership Framework Agreements with MDAs are the cornerstones for implementing the PD. In addition to these tools, there are also Actions Plans in the strategic areas included in the Master Plan, especially with regards to effective aid, which should be translated into an Effective Aid Action Plan.

4. Within decentralised cooperation, there are internal factors determining different paces and intensities when prioritising the Paris Declaration. However, the tendency is to incorporate the PD principles into policy and strategic documents, adapting those principles to the particular features of decentralised cooperation (Accra Agenda for Action), especially the principles of harmonisation, ownership and alignment. Within the process of **gradual incorporation of the PD into the new planning cycles**, particularly those of regional cooperation and especially from 2010 onwards, more attention is being paid to the principles of MfDR and mutual accountability.

5. However, it should be noted that the political and strategic boost, mentioned above, has not been coupled with, on the one hand, the development of all necessary *capacities and incentives* in order to implement such an agenda (as the following two sections conclude when analysing enabling conditions). On the other hand, meanwhile, there have not been sufficient effective articulation mechanisms amongst all actors, despite all of them working towards a common goal. As a result, it is perceived that, under current circumstances, Spanish Cooperation as a whole will find it **difficult to achieve commitments**, thus revealing a gap between reality and discourse. However, the observation could be reversed should the effectiveness agenda be perceived as an inducement to improve the Spanish Cooperation system.

6. Translating the policy and strategic documents into an effective and integrating agenda for all actors within Spanish Cooperation, in order to implement the Paris Declaration, which demanded a clear and realistic roadmap, **is not ultimately developing consistently**⁷³. This situation is affecting the effective progress of a common agenda⁷⁴. A key element is a lack of continuity in strategic planning processes and the application of new initiatives. Therefore, a necessary period of reflection to capitalise on experiences has not occurred (this aspect is related to monitoring and evaluation).

With regards to the **Paris Declaration ownership** at the different ODA management levels in Spain (the extent to which they “own” and acknowledge the PD):

7. In general, reflection processes on the participation of Spain in international fora related to aid effectiveness, and the opportunities for participation that have arisen to develop the III Master Plan (2009-2012) together with its strategic and operational instruments, have allowed for **progress on ownership of the Paris Declaration on the part of the groups related to this initiative**, both within the Central System and amongst actors taking part in the process.

⁷³ See box 13, section 5.1, of this report for a summary on restricting elements with regards to the degree and relevancy with which the PD has been integrated into the development cooperation policy cycle. It also includes an assessment of adjustments at organisational and decision-making levels.

⁷⁴ With regards to the roadmap process towards a common agenda, and its discontinuity, the Action Plan for Effective Aid was not approved by the deadline. General compliance indications were not disseminated either (see box 13, section 5.1).

* In this context, the conclusions on the **degree of ownership of the Paris Declaration by the Central System** are firstly summarised below:

8. In the **II Master Plan** (2005-2008) framework, the first country strategic planning tools offering guidance and guidelines on implementing the Paris Declaration principles were launched. Those tools were defined as a priority and a responsibility of the Central System and embassies. However, within that period, the lack of feedback and support procedures based on practice, and of useful guidelines and guidance, contributed to the **effectiveness agenda not being unanimously perceived as an institutionalised process**. Thus, its implementation depended on the motivation, training and leadership shown by the managers of each unit, area or department involved. Sometimes it even depended on the influence of a specific context within a partner country, in relation to the development of the effectiveness agenda.

9. At an organisational level, establishing a Directorate-General in charge of planning, monitoring and evaluation (DGPOLDE) under SECI, and creating units within AECID, such as the Planning and Quality Unit (UPC) and the cross-sectional Work Group on Effectiveness and Quality (GTEC), in which different AECID and DGPOLDE departments take part, **are important milestones that help to generate support dynamics** to gradually incorporate the Paris Declaration.

10. As per the **III Master Plan (2009-2012)**, the methodologies in place to develop country strategic planning (Country Frameworks for Partnership), strategic planning with multilateral agencies (Strategic Partnership Framework Agreements for Development with Multilateral Agencies) and AECID's Operational Programming are producing, since 2010, the **specific guidance** necessary in order to understand the process, the principles and the approach which should be applied, together with a common path to implement them.

11. Together with the Master Plan, in the case of AECID, the **Management Contract** is a **key strategic tool**. It explicitly confirms that the Agency has taken ownership of the Paris Declaration, including specific commitments to improve the effectiveness and quality of its aid. The first Management Contract (July 2009-July 2010) included and supported important processes, such as Operational Programming (systematically addressed for the first time in 15 countries in 2010), and the self-evaluation on implementing the Paris Declaration within AECID.

12. However, while the mechanisms planned for in the III Master Plan, and linked to the implementation of the Paris Declaration, should have been created and applied with a high level of articulation and coordination within and amongst the institutions in charge, they have not been established in this way⁷⁵. Although groups such as the Planning and Quality Unit, the Operational Planning Group, and the Work Group on Effectiveness and Quality are an improvement, **it is critical to combine responsibilities, leadership and competences** amongst SECI, DGPOLDE and AECID in order to effectively develop the effectiveness agenda within the Spanish Cooperation system as a whole.

* Secondly, below are the conclusions with regards to the analysis of **ownership outside the Central System**.

13. The analysis of different Spanish Cooperation actors included in the evaluation shows that their **integration** of the aid effectiveness agenda **differs in intensity**, and that they are doing so at

⁷⁵ Section 5.2.1. of this report includes information on constraining factors in order to achieve a practical translation and ownership of the effectiveness agenda on the part of the Central System.

the level of reflection and analysis, interpreting it according to their own characteristics and capability. However, their practical application into processes of change in terms of organisation and approach to work is very limited.

14. It is relevant to note that a sector of decentralised cooperation is promoting a change in the currently predominant approach to work, which focuses the effectiveness agenda on the coordination and coherence amongst actors. The new approach would focus on the **comparative opportunities and benefits of decentralised cooperation** within the Paris Declaration framework, and especially with regards to the Accra Agenda for Action⁷⁶.

15. Concerning **NGDOs**, apart from their participation in Accra, since 2009 they have initiated a process to reflect on and **propose an alternative vision** of the PD principles. However, this exercise has not been translated into a more specific and operative agenda on aid effectiveness. Furthermore, organisations with the sufficient capacity and commitment to incorporate changes brought about by the effectiveness agenda are in the minority, including changes in the organisational model, internal management and way of working, both in Spain and in partner countries.

16. Finally, key elements to the Spanish Cooperation system's ownership are the dissemination strategies and the comprehension exercises on aid effectiveness. Such elements are directed outwards from the Central System towards the rest of Spanish Cooperation actors. So far, **initiatives have been isolated and insufficient** to meet the dimension and complexity of the Spanish Cooperation system.

With regards to the **articulation mechanisms** amongst Spanish Cooperation actors in relation to aid effectiveness:

The effectiveness of the articulation and coordination mechanisms amongst Spanish Cooperation actors is closely related to the degree of synchronisation of aid effectiveness policies and strategies related to aid effectiveness, and also to the ownership of the Paris Declaration on the part of the Spanish Cooperation system. In this context, these are the conclusions of the analysis:

17. The Spanish Cooperation system has governing, consultative and coordinating bodies, established under the International Cooperation for Development Act. In addition, over the last two years, multilevel scenarios have been created to reinforce the articulation amongst the different governmental institutions. **Some work groups are developing specific tasks which will directly affect the development of the effectiveness agenda.** One of the groups is preparing a collaboration agreement between AC and SECI/AECID, and another one is identifying representation mechanisms for AC in Spanish delegations at the international level.

18. **The reform of participation and coordination bodies** in order to adapt them to the current context is pending. To this end, the Cooperation Act of 1998 must be adjusted, which is still in process. Furthermore, there is a lack of operational scenarios, with short-term agendas and specific goals amongst system actors who are not taking part in on-going work groups. This would increase the practical experience of interinstitutional collaboration.

⁷⁶ For an example, see box 15, section 5.2 of this report, for progress being made in understanding aid effectiveness and inputs being developed in Catalonia (case study of the evaluation).

19. The III Master Plan (2009-2012) is improving the prioritisation of the coordination and complementarity of actors with regards to previous planning cycles. The Plan defines *consensus, coordination and complementarity* as one of its seven strategic levels. Within the Master Plan, **Country Frameworks for Partnership are an opportunity** for progress as they are a specific initiative of strategic planning in which the coordination and harmonisation of actors, especially in the field, play a key role. Therefore, the creation of stable coordination groups in the field is proposed in each country, led by the overseas Offices of Technical Cooperation.

20. The methodology of Frameworks for Partnership (version 1) points to a set of measures and incentives needed to implement those frameworks. However, it does not identify the specific mechanism to be created **to ensure that those measures and incentives are adopted**. Furthermore, it does not specify how actors within Spanish Cooperation will take part in, follow-up on and take ownership of the process during drafting, development, monitoring and evaluation of Frameworks.

The main **reflections and concerns** with regards to the fulfillment of commitments and leadership within the Paris Declaration are summarised below:

21. In relation to changes in the order of priorities and how this is reflected in policies and strategies of SC, **the gap between theoretical plans related to aid effectiveness and the possibilities for their fulfillment** is especially critical in reference to two principles of the Paris Declaration: *Managing for Development Results and Mutual Accountability*. Furthermore, the lack of a clear roadmap proving that the commitment to the effectiveness agenda is not only technical but political, and identifying priorities in the III Master Plan framework, is also of concern. Lastly, the need of agencies in charge to have useful monitoring and evaluation exercises, as well as effective supervision and control mechanisms, is indicated.

22. Concerning the degree of ownership within the Central System, concerns are related to the **translation in practice and in the field of the effectiveness agenda**, and to the need to improve the articulation amongst units, especially between headquarters and the field. In addition, the need to institutionalise initiated processes that incorporate the PD principles is underlined, and a lack of consistency in the level of commitment on the part of management levels, and in the distribution of responsibilities and objectives to be met with reference to the effectiveness agenda, is perceived.

23. Outside the Central System, it is thought that the limited degree of ownership and influence of the PD is not producing the needed changes in organisational models and in how (public and private) organisations work. There are also concerns with regards to the constraints faced by organisations which lack a **permanent representation structure in partner countries**, a limitation linked to the low level of development of delegation mechanisms in the field.

24. Two further inputs with regards to ownership are: first, **attention paid to the dissemination of good practices** in the application of the PD is still considered to be **low**. Second, existing **tools of communication and coordination** at the interministerial and intraterritorial levels do not meet all the requirements of implementing the effectiveness agenda.

25. Regarding the assessment on how useful the **PD monitoring indicators** are, in general, it should be noted that neither selected indicators nor the results obtained in international exercises undertaken in 2006 and 2008, in which Spain took place, are known.

26. Lastly, with regards to goals and indicators designed in the III Master Plan and linked to the strategic area of effective aid, the level of progress analysed leads to the conclusion that the **elements prioritised so far** in relation to the effectiveness agenda are:⁷⁷ a) maintaining an adequate level of participation and initiative in the international arena with reference to aid effectiveness; b) committing to an improvement in the amount and management of resources targeted at programming assistance; c) advancing Managing for Development Results in strategic planning and operational programming processes started in 2010; d) creating work groups at the Central Level to support the PD implementation process; and e) integrating Spain in international transparency initiatives (such as IATI), and developing accountability exercises related to multilateral cooperation. The rest of the indicators included within the results framework of the III MP have not been prioritised in the same way, or they are linked to the development and progress of Frameworks for Partnership and Operational Programming.

8.2. Conclusions on evaluating capacities⁷⁸

With regards to the **degree of knowledge and understanding** of the staff on the Paris Declaration and whether it is adequate for decision-making, as well as the capacity of the system to generate prior analyses and feedback in order to adapt changes to its organisational structure.

27. The evaluation shows that there is a **high self-perception among staff** at different levels with reference to the knowledge of the principles defined by the PD. This knowledge is influenced by the following factors:

- The knowledge and understanding of effectiveness elements is more relevant on the part of **field actors**, especially the practical and operational aspects of implementation.
- Likewise, the degree of understanding is more adequately reflected in structures and units linked to leadership of internal processes of planning, quality and evaluation.

28. The analysis of good practices and processes contributing to the level of knowledge needed to adopt the appropriate changes related to effectiveness has shown that the **strategic and operational planning exercises** (Frameworks for Partnership, Strategic Partnership Framework Agreements for MDA and Operational Programming), as well as the **creation of discussion and proposal groups on effectiveness** (Aid Effectiveness and Quality Work Group, Operational Programming Group) **are highly adequate**. This reinforces the relevance of initiatives targeted at expanding the knowledge and understanding of elements of effectiveness as a process that is ongoing, that is especially linked to practice, and that offers clear possibilities for feedback and follow-up.

29. Despite these structures and units that are providing leadership on the management of effectiveness elements, we can not claim that **the levels of knowledge and understanding are penetrating, or consistently internalised** by, organisations and the Spanish Cooperation system as a whole. The evaluation points out at least the following causal elements:

- The difficulties in **visualising a clear roadmap** needed to implement a comprehensive approach that is committed to the effectiveness elements within the system (the lack of a

⁷⁷ See box 22, section 5.4. of this report for details on progress achieved in each of the indicators included in the results framework of the Action Plan for Effective Aid. See also the document Results Framework of the Master Plan 2009-2012 for designed goals and indicators (pages 10 to 18).

⁷⁸ Conclusions refer especially to the Central System and the Offices of Technical Cooperation in the field.

clear and sustained vision of the path ahead, as well as of mid-term goals to be achieved by all actors)⁷⁹.

- The low **level of opportunities and internal reflexion and learning exercises** that still do not generate a clear internalisation of effectiveness elements on the part of all actors in the Spanish Cooperation system, as a clear identification relevant to managing cooperation funds.
- Current **training and feedback efforts** do not seem to act as an effective tool to enhance capacities and knowledge on aid effectiveness, especially in the field, where a transfer of good practices, models and experiences of new instruments and processes is of greater need.

30. At the decentralised cooperation level, as well as in relation to other actors within the system, a greater degree of knowledge and understanding of the PD principles has been identified where the **strategic development of specific proposals** to incorporate effectiveness elements has been possible.

In relation to the current degree of adaptation of specific **institutional capacities** linked to managing effectiveness elements, especially in reference to human resources policy, the level of decentralisation, the publication of particular guidelines, and the adaptation of roles and procedures in managing the ODA:

31. Within the **organisational restructuring** process, mainly at the Central System level, there is a **clear and visible improvement**, especially with the creation of specific planning and quality units (UPC), as well as a Directorate for Sectorial and Multilateral Cooperation, and a Programme Assistance Unit within it, together with new cross-sectional work groups within AECID, in which DGPOLDE takes part, as a joint work scenario to deal with aid effectiveness and quality issues (Work Group on Effectiveness and Quality, GTEC).

32. Despite the fact that these new structures have integrated and adapted their roles to handle an effectiveness agenda, this adaptation is perceived as being its own process and **does not sufficiently penetrate the rest of the organisation**. The evaluation reveals that there has not been a clear analysis of and reflection on either how to adjust roles to implement the PD or how to integrate these new structures within the Central System framework (including the overseas cooperation units, UCEs, and specially, the OTCs).

33. The system actors clearly perceive that the **descentralisation process and the adaptation of roles between headquarters and the field are key** to advancing the implementation of the effectiveness agenda. The pace of consolidating and starting up these processes, however, is slowing down in relation to the on-going operational and strategic planning exercises. This could increase the gap between theory and practice.

34. The evaluation has taken note of the considerable efforts to increase available human resources and to regularise part of the staff, especially in the overseas Offices of Technical Cooperation, which has increased the **teams' stability**. Even the Central System has integrated key issues in its own agenda with regards to a human resources policy (coverage, professional career advancement, mobility between headquarters and field, and so on), with a view to better capitalise and stabilise teams and units.

⁷⁹ This cause is related to conclusion 6 in the section *leadership and commitment*, which refers to the **change of the order of priorities** after the Paris Declaration was signed, together with its reflection in Spanish Cooperation policies and strategies.

35. However, these aspects of the human resources policy are not fully reflected in practice. Moreover, they do not increase **coherence with reference to capitalising knowledge and creating teams**. These constraints are considered critical to the progress of an effectiveness agenda. The main concerns in this respect are: the rigidity and disparity of hiring schemes, the low incidence of effective and continuous mobility between headquarters and the field, the lack of a professional career path, the limited sectorial and thematic specialisation, and the poor performance of assessment and incentive systems.

36. In contrast, structures and processes of the **Autonomous Communities'** cooperation systems are less complex, which facilitates **the adaptation of staff management** to new challenges, such as those posed by integrating aid quality and effectiveness elements: since hiring schemes are more flexible, staff selection can better match the needs of cooperation policies. However, there are limitations related to having stable staff in partner countries, and being sufficiently represented in decision-making. **Proxy mechanisms** are still underdeveloped in the **field**.

37. With regards to **disseminating instructions and guidelines** to encourage the implementation of the PD, a series of **valuable initiatives** has been generated within the central system. These initiatives focus on the progress being made on drawing up Frameworks for Partnership, launching of AECID's Operational Programming as a first step to building a common system for the whole organisation, and to AECID's self-evaluation of the PD. The evaluations reveals that the main limitations to managing these guidelines in practice are insufficient training of staff and informational and information management shortages. Furthermore, the relevancy given to these guidelines during the design and launch of processes is no longer maintained in the implementation, monitoring and evaluation phases.

38. In June 2010, a Royal Decree on grants and international cooperation aid was passed. It benefits all actors within Spanish Cooperation because it **simplifies paperwork and administrative procedures**. Furthermore, it explicitly defines how to use new instruments (general and sectorial budgetary support, global funds, common funds, triangular cooperation and delegated cooperation) in State grants. Nevertheless, a more decisive handling of aspects related to coordinating procedures within Spanish Cooperation as a whole is pending. This is particularly important due to the complexity of the system.

39. AECID does not currently have **standardised procedures** to apply the principles of the Paris Declaration. The progress planned for by the Agency's first Management Contract in its first year (July 2009-July 2010)⁸⁰ has only produced a Guide for the application of new instruments⁸¹, as well as a technical note on delegated cooperation within the GTEC framework in February 2009. All efforts to generate a map and to catalog procedures, developed by initiatives related to quality, lack clear guidelines on how to move forward and to complete the process. Be that as it may, the evaluation evidence points to the problem being not so much one of flexibility of procedures per se, but procedures not being consistently applied. Thus, processing is slow (especially due to headquarters decision-making), and effectiveness criteria do not take precedence, affecting aid predictability and commitments fulfillment.

In relation to the analysis of how the effects these changes are generating in institutional capacities are visualised, mainly by technical offices in the field, with regards to internal

⁸⁰ To speed up and to simplify management and justification procedures, facilitating coordination and aligning practices.

⁸¹ As previously mentioned, it was included as an advance in the Management Contract Fulfillment Report, although the guide was written by the Work Group on New Instruments, which was created to this end within AECID in 2006 (with the participation of DGPOLDE), and was published in 2008 for internal use.

organisation (**workload**), working with partners and other donors (**adaptation to national systems**).

40. The application of the PD is significantly increasing workload, particularly because it is embedded within a series of processes implemented for the first time in the system as a whole (Frameworks for Partnership) and, specifically, within AECID (Operational Programming). **The effects of such a workload are perceived to be temporary, and will improve the quality of Spanish Cooperation**, provided that there exist the relevant conditions. These conditions are:

- Consolidation of strategic and operational processes;
- Link between planning and budgetary distribution;
- A real integration of MfDR;
- Articulation between strategic and operational planning (sectorially and geographically);
- Necessary information available in a timely and appropriate manner;
- Creation of working spaces linked to monitoring and evaluation and to reducing unplanned for demands (multiple agendas).

In this respect, workload is perceived as being caused more by a problem of **adaptation and clarification of roles**, rather than due to the incorporation of the PD as a “new” theme.

41. The possibility of field offices managing ODA, in accordance with the principle of alignment, is closely related to the **progress in the use of national systems**⁸². In this area, the conclusion is that measures planned within the III Master Plan have been scarcely developed over the first two years of implementation. Criteria to identify parallel implementation units have not been defined yet. It is not possible either to know the extent to which public finances management systems have been used, nor the motivation for whether or not to use national systems. Nonetheless, there is some progress in relation to the distribution of guidelines in order to start incorporating an analysis approach. At the same time, efforts are being made by AECID’s Programme Assistance Unit to monitor operations.

8.3. Conclusions on evaluating incentives

In relation to the **incentives policy** for natural persons within Spanish Cooperation:

42. AECID’s Statute and its Management Contract intend to develop a **Plan to promote professional career development and an incentive scheme targeted at the staff**. Moreover, the Management Contract specifies that the planned incentive scheme would take into account the application of the principles of the Paris Declaration, thus making it a detected and anticipated need. However, the first Management Contract did not treat the plan as a priority (July 2009-July 2010 critical updates).

⁸² This issue was selected by the Evaluation Management Committee as a focal point for analysing the implementation of the PD. The use of national reinforced systems is one of seven action lines and measures included in the results framework of the Action Plan for Effective Aid, within the III MP, to contribute to fulfilling the principle of alignment.

43. Most staff perceive that their work to achieve effectiveness goals is not matched by **the possibility of being promoted**. Also, the additional effort needed to commit to the effectiveness agenda is considered as not being acknowledged.

44. Regardless of the incentive scheme, staff found a group of **factors to be discouraging** to making progress on the integration of the Paris Declaration into their daily work. Specifically, i) the fragility of mechanisms and decision-making, which makes the system penetrable and vulnerable to interference and the interests of foreign policy, which is not always compatible with an effectiveness agenda; ii) managers prioritising planned disbursements commitments over the Agency's own aid effectiveness goals; iii) the commitment of managers to effectiveness is perceived as not being permanent or consistent (equally related to their high turnover); iv) reporting by staff on difficulties found in implementing the principles of the Paris Declaration is not encouraged; and v) focus is more on instruments than on development results. In addition, staff cite the lack of incentives related to sharing experiences and good practices on the effectiveness agenda, both inside and outside the organisation, as well as to the level of fulfillment of expectations related to organisational change and management system processes.

45. In general, the Spanish Cooperation system as a whole believes that most indicators on aid management are still **linked primarily to levels of budgetary execution**. As a result, the pressure to disburse is one of the most repeatedly stated factors hindering the implementation of the effectiveness agenda.

With regards to the **application of a Managing for Development Results approach** and its facilitating or hindering aspects:

46. Starting with the II Master Plan (2005-2008), the importance of an objectives and results-based planning is underlined, together with the participatory evaluation processes. However, strategic planning instruments (CSDs and SPAs) whose design integrated both elements have not been sufficiently useful for MfDR. At the end of this planning cycle, the need **to implement an integrated system in order to direct management towards achieving development results** was pending.

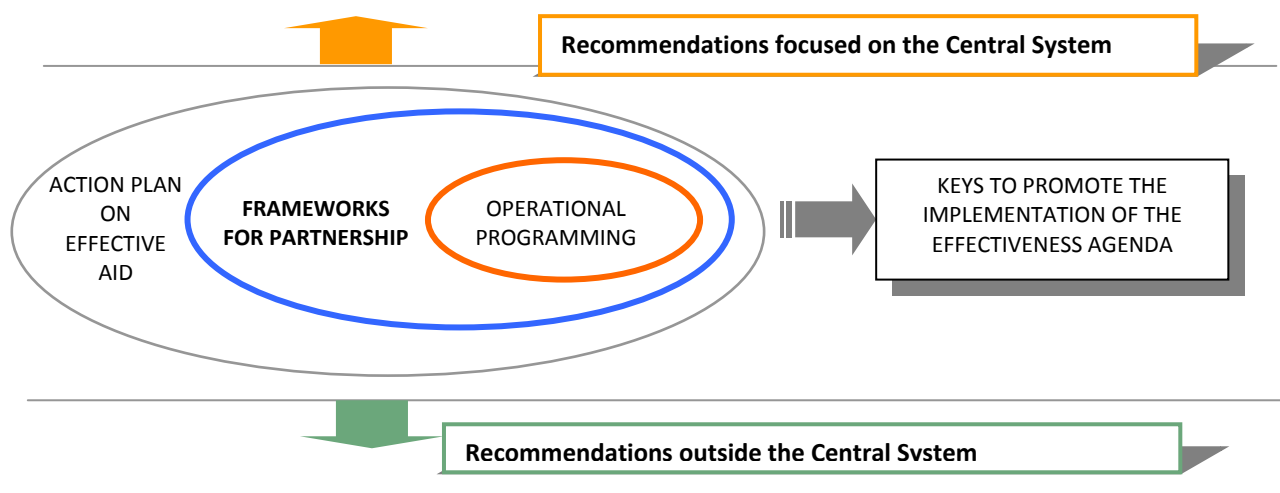
47. The III Master Plan (2009-2012) points again to a **results-based management model** whose first step would be consolidating a monitoring and evaluation system, that is directed towards an integrated system of knowledge management. It also considers the creation of an evaluation team staffed by the monitoring and evaluation officers of every actor within Spanish Cooperation. However, it does not define how to apply the knowledge and information management system, key to MfDR, which implies an incentive scheme and a series of capacities that so far have been weak in the Spanish Cooperation system. Training and capacity strengthening processes have still not been developed for the Spanish Cooperation system as a whole. Incentives to perform training and useful evaluations are also lacking.

48. Little has been achieved with regards to the anticipated Managing for Development Results system to be implemented in 2010, or the creation of a multiple actors evaluation team. There are still **shortages in the information systems** within the Spanish Cooperation as a whole. Thus, currently, the Spanish Cooperation system is moving forward **without truly having objective qualitative and quantitative indicators** with which to measure Official Development Assistance results and effects.

9. Recommendations

Incentives	<ul style="list-style-type: none"> ▪ To develop and launch the foreseen Plan to develop a professional career path and an incentive scheme for staff, taking into account the application of the principles of the Paris Declaration (AECID's Management Contract). ▪ To institute the necessary changes so that most indicators on aid management are no longer mainly linked to budgetary execution levels.
Capacities	<ul style="list-style-type: none"> ▪ To adapt and improve the coherence of staff profiles with regards to job competences, and to tackle strategies to facilitate mobility between headquarters and the field. ▪ To link changes in responsibilities with the decentralisation process between headquarters and the field. To make up for the lack with regards to job-description manuals. ▪ To link training and capacity-improvement processes to operational processes. Initiatives to improve knowledge are more effective when linked to practice, with an emphasis on follow-up and feedback. ▪ To facilitate communication and coordination opportunities and channels among the institutions that are part of the Spanish Cooperation Central System, including among their departments, between headquarters and the field, and among field offices. ▪ To ensure stability, to strengthen and to provide support from management levels to units, work groups and teams in charge of developing the aid effectiveness agenda.
Leadership and commitment	<ul style="list-style-type: none"> ▪ To reevaluate AECID's Management Contract as a strategic reference with a clear focus on aid effectiveness. To improve its usefulness. ▪ To tackle the development of an integrated information system as required by strategic processes that have already been put into place (during the planning, monitoring and evaluation phases). ▪ To institutionalise the process of Frameworks for Partnership of Spanish Cooperation and AECID's Operational Programming (to ensure the sustained commitment of senior management). ▪ To articulate and integrate the different strategic and operational planning processes, keeping the impetus of planning during monitoring and evaluation. To complete processes and to capitalise on experiences at an institutional level. ▪ To develop the Action Plan on Effective Aid as a roadmap for Spanish Cooperation, to ensure participation and to facilitate ownership by the system as a whole.

Figure 17. Recommendations and planning processes at different levels⁸³



⁸³In order to simplify graphics, "Frameworks of Association" refers both to Frameworks of Association with partner countries, as well as to Frameworks of Association and Strategic Partnership Framework Agreements with Multilateral Development Bodies.

Leadership and commitment	<ul style="list-style-type: none"> ▪ To acknowledge and evaluate decentralised cooperation initiatives targeted at identifying opportunities and development particularities of the PD from their own perspectives.
	<ul style="list-style-type: none"> ▪ To develop a strategy of dissemination and comprehension exercises with reference to aid effectiveness at all levels of Spanish Cooperation. To especially transmit the relevance of the Frameworks of Association as a key instrument and the role of each actor within them.
	<ul style="list-style-type: none"> ▪ To clarify the participation of different actors in the open processes, both in Spain and in the field, particularly with regards to the Frameworks for Partnership, including Ministries and other units outside the General State Administration.
	<ul style="list-style-type: none"> ▪ To promote the development of an information system that is integrated with other cooperation actors in relation to multilateral cooperation operations, in order to make timely decisions and thus make it possible to complement bilateral cooperation.
	<ul style="list-style-type: none"> ▪ To promote multilevel and interministry scenarios, with more operational agendas.
	<ul style="list-style-type: none"> ▪ To promote a more active and sustained participation on the part of governing, consulting and coordinating bodies in monitoring and controlling the progress of the effectiveness agenda to which Spain is committed.
	<ul style="list-style-type: none"> ▪ International level: to maintain an active presence, with a proposal-making capacity. To continue and move forward in supporting the triangular South-South cooperation.

10. Lessons learned⁸⁴

Finally, the evaluation presents some of the lessons learned in the path taken thus far by the Spanish Cooperation system when implementing the effectiveness agenda. These lessons are:

- The evaluation shows that the **system capacities** dimension is especially relevant and key to making progress and consolidating the launch of processes linked to the effectiveness agenda.

The relevance of this dimension should be visualised not only from a capacity strengthening or acquisition approach in order to incorporate the PD, but also with a view to an adaptation of new processes, agendas and priorities (as indicated by the PD) to the reality and possibilities of a system such as the SC.

The evaluation reveals the importance of the system adapting to a change in structure, organisation and human resources. But also, and especially, the importance of these changes being ordered in a timely manner, as well as being realistic with regards to both the embedded and new capacities of the system. A failure to balance these aspects (need to change, capacity of the system to assume short-term, mid-term and long-term changes) could cause tension and stress in the identified efforts needed to incorporate the effectiveness agenda. It could also impede satisfactory progress.

⁸⁴ The lessons learned section was written by the Redcrea evaluating team at the request of DGPOLDE's evaluation unit with a view to present those lessons in the third meeting of the International Reference Group, during a workshop presenting conclusions obtained at the international level by different evaluation exercises on the implementation of the PD. The meeting took place from 7 to 10 December 2010 in Bali. This input is the only section of this report which has not gone through the validation and contrasting meetings that took place with representatives of the Central System of the SC in November 2010.

- Closely related to the above, the analysis shows how important it is to reinforce **implementation aspects or the knowledge of operational implications in implementing the effectiveness agenda**, both in the field and at headquarters, without it being detrimental to the capacities acquisition skills shown by both levels.

The analysis reveals the importance of bridging the gap between discourse and implementation with regards to managing the effectiveness agenda. This process is not only related to the generation of specific informational opportunities, but also to taking advantage of those opportunities and/or existing exercises on strategic and operational planning. The goal is a practical learning based on launching instruments that clearly affect the incorporation of the effectiveness agenda. It is also related to generating exchange opportunities (not only informative ones) at all levels but, especially, within the units directly related to application and management.

This effort to interchange and generate in practice should not be independent from national systems. Opportunities should be created for different models and country systems to get to know each other, with a focus on prioritising the implementation of the PD.

- The **feedback capacity of the system** (and, therefore, the capacity to learn and incorporate new elements with a view to more effective aid) is one of the most relevant aspects which has been identified in order to advance in the incorporation of the PD principles. In contrast with a “blind” action, without explicitly knowing “where this is going” or “what effects it is producing”, experiences incorporating continuous and complete processes of planning, monitoring and evaluation clearly reveal a larger capacity and knowledge, not only to stimulate change towards a more effective management, but also to lead change processes.
- Thus, the evaluation reveals that **tools (both without and within the system) to monitor the incorporation and progress of the PD** are not in practice an effective feedback mechanism for the SC system. This fact should reinforce the importance of having actual internal and integrated information and monitoring systems on the incorporation of the PD. Such systems should also be part of an integrated and information management system, useful for the whole system in making decisions.
- The evaluation shows that the effectiveness agenda is visible within the SC system. It is also especially important to prioritise a deeper **penetration and equalisation of discourse and operational implications of the PD within the SC system** as a whole. In this context, the analysis reveals the importance not only of a more extended articulation, coordination and sharing amongst the different actors of the system, but also a larger **capacity and innovation with regards to managing articulation mechanisms** in a multilevel system, and with opportunities to contrast and generate opinions and intervention models.
- Lastly, the first steps given by some organisations within the SC system with regards to incorporating **quality systems** are relevant. Even though this improvement is perceived as an element facilitating a more efficient and effective management, it is necessary to adapt those models to the context and characteristics of a sector like cooperation for development. There are experiences outside the SC system which could facilitate the incorporation of these or other systems (provided they are adapted) in order to achieve a more effective quality control.

Anexos

- Anexo 1. Terms of reference**

- Anexo 2. Institutional framework and organization of Spanish cooperation**

- Anexo 3. Evaluation questions.**

- Anexo 4. Evaluation matrix and methodological options.**

- Anexo 5. List of key informants.**

- Anexo 6. Consulted documentation.**

- Anexo 7. General work plan of the evaluation.**

- Anexo 8. Synthesis of surveys and analysis of interviews: critical elements**

- Anexo 9. REDCREA evaluation team.**