

リサーチ最前線：博士論文の紹介

項目：Aid Coordination（援助協調）

タイトル：Aid Coordination, Competition and Cooperation among UN Organizations for Better Development Results

（開発援助における国連機関間の協調、競争、協力がもたらす援助効果への影響に関する研究）

著者：Miko Maekawa（前川美湖）

所属：東京大学 総括プロジェクト機構 「水の知」（サントリー）総括寄付講座特任助教

Assistant Professor, "Wisdom of Water" (Suntory) Corporate Sponsored Research Program, the University of Tokyo

<和文要約>

本研究では、国際連合機関間の「援助協調」をいかに実効性のあるものにするかという分析と実践的な処方箋を提示し、国連における制度設計への示唆と提言を目指した。援助協調を促進するために、組織間の関係を「競争(Competition)」、「協調(Coordination)」、「協力(Cooperation)」の「3Cs」という枠組みで捉え、事例解析を行った。この組織間関係のパターンをあらわす「3Cs」がプロジェクト管理の工程である、計画、実施、モニタリング・評価のそれぞれの段階で、どのように関係するか、事例研究を通じて検証した。そして、プロジェクト管理の各工程において、開発効果をより高めるためには、組織間関係のどのCをより機能させるべきかが異なるという結論を導いた。分析対象とした事例は、援助協調を通じて、プロジェクトの開発効果を有意に向上することができたと内外の評価レポートなどで評価されている事例であり、その成功要因を抽出する事を主な目的とした。

得られた知見の一つとして、国連では通常、競争(Competition)は援助協調の阻害要因と認識されるが、実は計画時の国連機関間の競争によって、より質の高いプロジェクトの形成が達成されたという発見があった。したがって、計画段階では、競争が強調されるべきであり、さらに、プロジェクト実施段階では、協調(Coordination)をより機能させ、モニタリング・評価の段階では、協力(Cooperation)を重視すべきであるという分析結果を得た。この成果をもとに「3Cs ダイアグラム」を構築し、国連組織の財務、人事、業績評価などの制度において、「援助協調」を促すための政策提言を行った。

1. Background

Can aid be coordinated? Aid coordination is an old and new issue to be tackled in the efforts of poverty reduction and promoting development globally. As the number of aid providing donors increased, in 1967, already a report by the Commission on International Development pointed out the need to strengthen aid coordination by the donor community. Government officials at

the receiving end of aid were spending too much time and efforts on implementing donor-driven projects, with donors' own respective agenda and reporting requirements. The need for project consolidation was pointed out with the acknowledgement of its constraint due to the competitive nature of donor interactions (Morss, 1984). This was characterized as the Aid-Bombardment Syndrome, in which the sheer volume of resources and numbers of donors, activities, and complex and inconsistent procedural requirements overwhelmed the government's capacity to plan, budget, manage, monitor, and evaluate (Eriksson, 2001). In 1990s, in the context of increasing regional and internal conflicts globally, aid fatigue, and the trend of New Public Management applied in industrialized countries, a pressing need for more effective and efficient aid was felt the world over. Transaction costs for receiving and implementing aid were, and continue to be too high for the recipient governments.

2. Research objectives

The objective of this research is twofold: to examine the impact of aid coordination on development results within the programmes and activities carried out by the United Nations (UN) system, and to analyze the mechanisms of aid coordination contributing to improved development results. This dissertation aims to draw practical lessons and policy recommendations to strengthen the aid coordination structure and tools within the UN system and beyond. In this dissertation, the following three case studies were analyzed: 1.) the joint project between the United Nations Development Programme (UNDP) and the United Nations Environment Programme (UNEP), "Poverty and Environment Initiative" implemented from 2005 to 2011, 2.) UN joint activities in assisting the Government of China in response to HIV/AIDS in early 2000s, and 3.) aid coordination by UNHCR with natural resource conservation non-governmental organizations (NGOs) in post-conflict Rwanda after 1994. These three cases were selected as these joint activities yielded strong development results through joint work according to respective internal and external evaluations. The purpose is to distil factors contributing to successful results.

3. Research methodology

Through interviews and extensive literature review, attributional coding is carried out to distil key concepts pertaining to coordinated activities positively affecting the development results. The results of literature review and interviews were examined in the framework of 3Cs with the breakdown of project cycle phases. The 3C framework is composed of the following notions: Competition, Coordination, and Cooperation. The 3Cs Diagram was developed to understand the mechanisms of how inter-organizational relationships affected the project results.

4. Key findings on inter-organizational relations and aid coordination

Current UN coordination policies tend to promote a blanket approach of coordination for all the

phases of project cycle, and for example, do not factor in the positive functions of Competition during the course of project cycle. More comprehensive yet detailed examinations of the connections between inter-organizational relationships and development results should be pursued to be reflected in the policies and guidelines of UN system. Table 1 indicates underlying problems of inter-organizational relationships among UN organizations in development from the case studies and possible solutions by applying and enhancing 3Cs (Competition, Coordination and Cooperation) in Project Cycle.

Table 1: Underling problems of inter-organizational relationships among UN organizations in development from the case studies and possible solutions by applying and enhancing 3Cs (Competition, Coordination and Cooperation) in Project Cycle.

Project Cycle	Problems / Issues observed related to 3Cs	How 3Cs should be applied or enhanced.
Planning	Too many players in the same sector or geographic area. Thus, the transaction costs become too high for programme country governments. When too many stakeholders with weak capacities or fewer responsibilities become part of the joint forums or teams in the sector, there will be problems of free-riders.	Competitions should be promoted to select the good performers. Competition can also play a role in improving the quality of project proposals among parties through resource mobilization processes.
Implementation	There is a lack of incentives for coordination. Coordination is administratively too costly. Too much focus is placed on joint implementation rather than joint programming. There is a lack of strong logic model behind project design for how coordinated activities add value to development outputs and outcome.	Coordination should be strategically pursued depending on what to be achieved at different levels of joint work: information sharing, joint strategies and joint activities. Coordination functions well when there are exchanges of resources among partners and a strong demand for coordination from the government.
Monitoring and Evaluation	Among UN agencies, relevant lessons are not usually shared effectively. UN agencies, in some cases, are not speaking with one voice to the programme country government on the same issues.	Joint advocacy among UN agencies proved effective in advancing development agenda with the programme Country governments. Cooperation does not require changes in administrative procedures, and thus, should be actively promoted for organizational learning and joint advocacy in the UN system.

The results of specific case studies are summarized in Table 2: “Case studies with project cycle results”. It indicates the overall results of the cases breaking them into each project cycle, and related them to how inter-organization relationships played roles in facilitating those results.

Table 2: Case studies with project cycle results (Effective inter-organizational relationship according to Project Cycle: **LIGHT RED: Competition**, **GREEN: Coordination** and **PURPLE: Cooperation**)

Project cycle	Rwanda PEI (2005-2011)		HIV/AIDS Joint Programme (2007-2009)	
	<i>Results</i>	<i>Policy Implications</i>	<i>Results</i>	<i>Policy Implications</i>
Planning	Competition for bilateral funding by UNDP & UNEP.	A process should be in place to decide who will lead the PEI globally.	Multiple UN agencies are attracted by funding.	The joint programme should be formulated in an integrated manner.
Initiation (Resource mobilization)	UNEP and UNDP competed for funds. UNEP provided Rwanda PEI funding as a major donor.	A hierarchical decision-making works effective when built in within the project.	Too many UN agencies seeking DFID, Spanish and Global Fund funding.	Elimination of organizations based on competition is useful (2-4 agencies per activity).
Implementation	There was a good division of labour between UNEP & UNDP.	Division of labour needs to be defined in the planning phase. Parallel processes should be avoided.	9 UN agencies for HIV/AIDS joint implementation. Increased transaction costs.	Focus on division of labour than joint implementation. Overlapping processes should be reduced.
Monitoring and Evaluation	M&E results were shared among global PEI projects.	PEI indicators established and served as a common framework for EDPRS.	Multiple missions by agencies. Learning not shared systematically.	Multiple M&E frameworks should be integrated. Inter-organizational learning should be enhanced.
Advocacy	Effectively advocated for reflecting environmental considerations in EDPRS ¹ .	Access to Ministry of Finance & Economic Planning and the Parliament be strengthened.	Evidence-based advocacy and policy dialogue effective.	UN should utilize its convening role. Ensure that exchange of resources takes place.

¹ The Economic Development and Poverty Reduction Strategy (EDPRS).

The first column shows actual results observed, and the second column summarizes the policy implications based on the observations described in the first column. Each row of the case study represents one phase of the project cycle. Inter-organizational relationships, represented by Competition, Coordination and Cooperation are marked in three different colours (LIGHT RED, GREEN and PURPLE) as background where they played essential functions. The cells coloured in LIGHT RED describe incidents when Competition had a major role to play either generating positive or negative development results. The cells with GREEN colour indicate project activities, when Coordination had significant impacts on development results in relation to Competition and Cooperation. The cells marked in PURPLE included project activities, when Cooperation had critical functions in generating either positive or negative development results. These colours are responding to the colours of each “C” of the “3Cs Diagram”.

The following conclusions are derived from this research. According to different project phases, effective inter-organizational relationships vary. This provides a new perspective on inter-organizational relationships within the UN system, when one form of inter-organizational relationship “Coordination” is overly emphasized to generate development results from working as a large whole of UN system composed of multitude of organizations and activities.

Competition, Coordination and Cooperation, each has its functions effectively contributing to improving development results as a consequence of multiple organizations working in relation to others. These effects manifest themselves differently according to different phases of project cycle.

The Figure 1: 3Cs Diagram, represents that in Planning and Initiation / Resource Mobilization phase, competitive processes have contributed to selecting UN organizations with technical competencies to deliver the end results. During the competitions among agencies, the quality of project proposals for applying for project funding has improved in order to emulate other agencies. As a result of a Competition among agencies, there was a case in which a hierarchical structure was already in place for project implementation. In the case of UNEP in Rwanda being a funding agency to UNDP Rwanda, from the initial competition between these two organizations, provided a built-in hierarchical decision-making structure within a UN joint project. This has contributed to effective Coordination taking place for a joint project implementation.

For the second phase in the 3Cs Diagram, Project Implementation, Coordination should be emphasized. For the third phase in the 3Cs Diagram, Project Monitoring & Evaluation and Advocacy, there is generally a lack of Cooperation among UN agencies, and it is essential to

improve the cooperative nature of Project Monitoring & Evaluation and Advocacy among agencies. The lessons from the respective projects then should feed into the initiation of a new project to be formulated. Competition, Coordination and Cooperation influence each other and produce both positive and negative impact on development results. In the post-conflict societies, the 3Cs model applies only partially as the usual project cycle is not in place in those emergency situations.

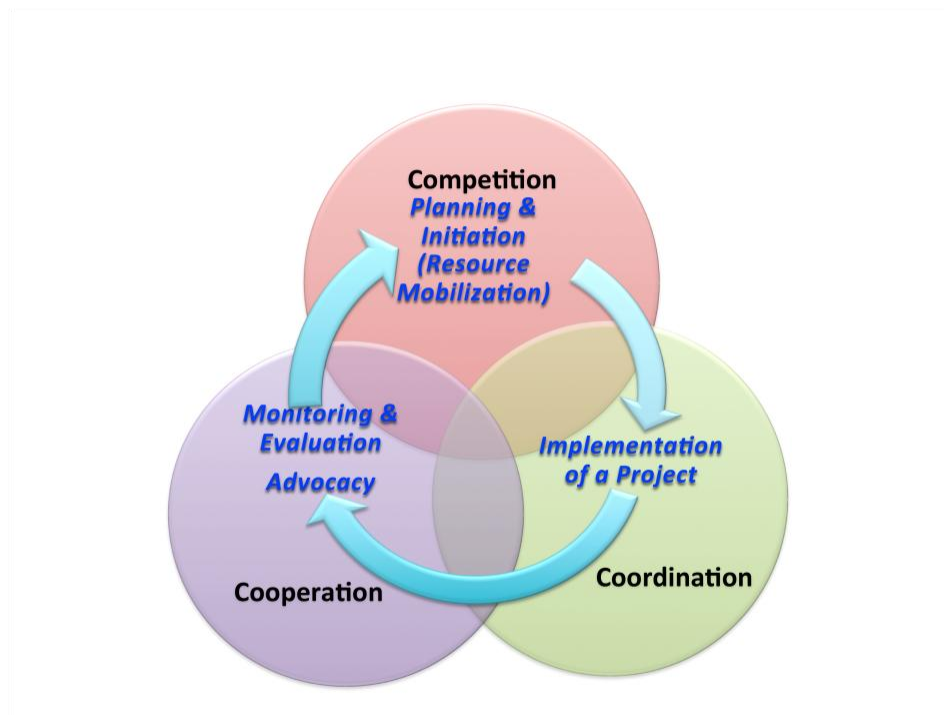


Figure 1: 3Cs Diagram

The above “3Cs Diagram”, developed by the author, describes the findings of the case studies graphically. Based on the analysis described in Table 2, summarizing results according to project cycle per case study, this research argues that Competition, Coordination, and Cooperation should be emphasized respectively depending on different stages of the project cycle. According to different project phases, effective inter-organizational relationships vary. Competition should be promoted for project formulation and resource mobilization phase. Coordination should be emphasized for project implementation phase, and Cooperation is essential in the monitoring and evaluation phase.

5. Conclusions

As a conclusion, this research argues that Competition, Coordination, and Cooperation should be emphasized respectively depending on different stages of the project cycle. According to different project phases, effective inter-organizational relationships vary. Competition should be promoted for project formulation and resource mobilization phase. Coordination should be

emphasized for project implementation phase, and Cooperation is essential in the monitoring and evaluation phase. The functions of Competition, Coordination and Cooperation influence each other and produce both positive and negative impact on development results. The incentive mechanisms should be re-examined to promote aid coordination leading to better development results based on the 3Cs model. Those incentive mechanisms should combine the schemes of financing, personnel and human resources (HR) management, and results-based management.

References:

- Acharya, A., de Lima, A.T.F. & Moore, M. 2006, Proliferation and Fragmentation: Transactions Costs and the Value of Aid, *Journal of Development Studies*, vol. 42, no. 1, pp. 1-21.
- Eriksson, J. 2001, *The Drive to Partnership: Aid Coordination and the World Bank*. World Bank Operations Evaluation Department (OED), Washington, D.C.
- Knack, S. and Rahman, A. 2003, Aid Intensity, Donor Fragmentation and the Quality of Governance, Mimeo, the World Bank.
- Lanjouw, A. 2003, Building Partnership in the Face of Political and Armed Crisis, *Journal of Sustainable Forestry*, vol. 16, no. 3, pp. 89-110.
- Morss, E.R. 1984, Institutional Destruction Resulting from Donor and Project Proliferation in Sub-Saharan African Countries, *World Development*, vol. 12, no. 4, pp. 465-470.
- OECD 2005, Baselines and suggested targets for the 12 Indicators of Progress: Paris Declaration on Aid Effectiveness, *Joint Progress Toward Enhanced Aid Effectiveness*, pp. 1-41.