

EVALUATION ROADMAP			
TITLE OF THE EVALUATION	Mid-Term Review of the Common Implementing Regulation (CIR) (Regulation EU (No) 236/2014 of the European Parliament and of the Council of 11 March 2014 laying down common rules and procedures for the implementation of the Union's instruments for financing external action)		
LEAD DG RESPONSIBLE UNIT	DEVCO UNIT R3 (LEGAL AFFAIRS) UNIT 04 (EVALUATION)	DATE OF THIS ROADMAP	10/2015
TYPE OF EVALUATION	Evaluation	PLANNED START DATE	1st quarter 2016
	Mid-term	PLANNED COMPLETION DATE	2nd quarter 2017
	Mixed	PLANNING CALENDAR	http://ec.europa.eu/smart-regulation/evaluation/index_en.htm
This indicative roadmap is provided for information purposes only and is subject to change.			

A. Purpose
(A.1) Purpose
<p>This evaluation will assess the Common Implementing Regulation (CIR)¹ at the mid-point of its application ahead of the Mid-Term Review Report, as set out in its Article 17. The Mid-Term Review will be based on several sources of information including an independent assessment by an external contractor.</p> <p>The evaluation will mainly be used to generate information for the Mid-Term Review Report requested within the terms of the CIR due end 2017.</p> <p>It will also provide information for:</p> <ul style="list-style-type: none"> - the Impact Assessment for the next generation of instruments, proposal due mid-2018; - and the final evaluation of the external financing instruments 2014-2020. <p>It will provide information on relevance, EU added value, effectiveness, efficiency, sustainability, leverage and impact of the Common Implementing Regulation, as well as on how it improved the coherence and complementarity between the various instruments.</p> <p>This evaluation is part of a wider set of evaluations covering the external financial instruments (see section B1 for list of instruments) under Heading 4² of the Multiannual Financial Framework 2014-2020 as set out in the CIR, as well as the performance review of the European Development Fund, which has its own legal base. In view of ensuring a consistent European external policy, all the evaluations will be interlinked and co-ordinated.</p>
(A.2) Justification
<p>The Mid-Term Review Report as set out in article 17 of the Common Implementing Regulation will focus on the achievement of its objectives by means of indicators measuring the results delivered and the efficiency of the external financing instruments. The values of the indicators on 1 January 2014 shall be used as a basis for assessing the extent to which the objectives have been achieved. This evaluation will serve as one source of information for this Report.</p>

¹ Regulation (EU) No 236/2014 of the European Parliament and of the Council of 11 March 2014 laying down common rules and procedures for the implementation of the Union's instruments for financing external action, OJ L77, p. 95

² http://ec.europa.eu/budget/mff/introduction/index_en.cfm#headings

B. Content and subject of the evaluation

(B.1) Subject area

Through its external action, the European Union plays various important roles on the international scene: a contributor to peace, a human rights defender, a responsible neighbour, a development partner, a trading bloc, convergence and integration promoter, an advocate of action on climate change among others.

A major part of the activities of the Union under these roles are financed by External Financial Instruments (EFIs) within the EU's Budget.

In order to simplify their implementation and enhance their efficiency, a Common Implementing Regulation (CIR) was established for the first time under the current Multiannual Financial Framework (MFF) in order to set out one single set of common rules for their implementation. The CIR complements Regulation (EU, Euratom) No 966/2012³ on the financial rules applicable to the general budget of the Union. The instruments covered by the CIR are as follows:

Instrument for Pre-accession Assistance (IPA): €11,699 million
European Neighbourhood Instrument (ENI): €15,433 million
Development Cooperation Instrument (DCI): €19,662 million
Partnership Instrument (PI): €955 million
Instrument contributing to Stability and Peace (IfSP): €2,339 million
European Instrument for Democracy & Human Rights (EIDHR): €1,333 million

The following instruments also rely on the CIR for their mid-term review:

Instrument for Nuclear Safety and Cooperation (INSC): €225 million
Instrument for Greenland: €217.8 million

The extra-budgetary 11th European Development Fund is not covered by the CIR.

(B.2) Original objectives of the intervention

The very existence of the CIR reflects to a need to have a streamlined approach for implementation of all the instruments, i.e. one single set of implementing rules for all instruments. The rules currently gathered together in the Common Implementing Regulation were included as part of the instruments themselves in the earlier Multiannual Financing Framework 2007-2013.

By complementing the Financial Regulation, the CIR creates the necessary set of rules for simplified and flexible decision-making in external action. The CIR standardises implementing procedures after the programming phase, highlights main cross-cutting issues and establishes specific rules on nationality and origin for award procedures. Besides that, the core objectives of the common implementing rules for external financing instruments are as follows:

- to be implemented in conformity with an effective protection of the financial interest of the Union;
- to use the most effective and efficient implementing methods;
- to favour the most simple procedures;
- to ensure visibility for the financing of external action.

(B.3) How the objectives were to be achieved

³ REGULATION (EU, EURATOM) No 966/2012 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 25 October 2012 on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) No 1605/2002

<p>1. CHANGE SOUGHT: A simplified and flexible implementation for external financial instruments;</p>	<p>ASSUMPTIONS/PRE-CONDITIONS: Derogations from the Financial Regulation, specificities identified in one place lead to simplification and flexibility; monitoring system is in place to check other instruments are complying with the CIR rules</p>
<p>2. INPUTS AND ACTIVITIES: One single set of rules; broadened and streamlined rules on nationality and origin; flexibilities in adopting implementing measures indirect management and in direct granting;</p>	
<p>3. RESULTS expected: Better focus on results; Lower error rate; Faster implementation; More visibility for EU aid; More involvement of stakeholders; More ownership;</p>	

C. Scope of the evaluation

(C.1) Topics covered

The evaluation should focus on the harmonisation of the implementation of EFIs (main rationale of the CIR's existence), notably on the phases following the multi-annual programming: identification (analysis/appraisal), formulation (design), implementation (adoption of measures), as well as monitoring.

It should establish, how well the rules and procedures defined in the CIR were used and whether these rules and procedures made it possible to achieve the original objectives of the CIR set out under B.2 above.

It will cover the implementation up until 30 June 2017 from the point of view of process, such as the adoption of implementing measures, and results when referring to issues, such as protection of the financial interests of the union, implementation methods or visibility among others. Given the limited operational/implementation experience that will be available since the CIR was adopted in 2014, information from the previous programming period (2007-2013) will also be included in the evaluation, where necessary.

(C.2) Issues to be examined

In line with the Better Regulation guidelines on evaluations and the CIR, the main criteria to be examined are: effectiveness, efficiency, EU added value, scope for simplification, coherence, complementarity and synergies, relevance, consistency, sustainability, leverage and impact.

Evaluation issues and questions on the above-mentioned CIR-topics, to be further developed at inception stage, are:

1. Effectiveness: to what extent has the CIR delivered the results it set out to deliver?
 - a. in relation to the objectives stated in the regulation;
 - b. with regard to the contribution of these results to consistent EU external action in view of evolving challenges and priorities;
2. Efficiency: To what extent has CIR contributed to cost/time effective interventions under the EFIs? To what extent has the CIR contributed to more coordinated forms of working, such as pool funding?
3. What is the added value of the CIR's transversal topics compared to interventions by Member States or other donors on their own?
4. Scope for simplification: are there areas where the regulation can be simplified and eliminate unnecessary burden, for example concerning procedures for adoption of action programmes, individual measures and special measures?
5. Coherence, consistency, complementarity and synergies: To what extent complementarity and coherence were enhanced among the different instruments through a single set of implementing rules?
6. Relevance: to what extent is the regulation meeting those needs/problems of implementation identified at the time the CIR was designed? Do the objectives and design of the implementation rules still serve EU priorities in terms of external affairs?
7. Sustainability: to what extent has the CIR contributed to the realisation of the the Union's priorities in external action. and Leverage: to what extent has CIR made the leverage of further funds possible (for instance, through the financial instruments for which it provides a basis within the EFIs)?

8. Impact: what has happened as a result of the CIR?
(C.3) Other tasks
None

D. Evidence base
(D.1) Evidence from monitoring
Data will be collected from different sources, including when relevant: <ul style="list-style-type: none"> - Legislation: Financial Regulation, regulations setting up the external financial instruments, Cotonou agreement; - programming guidelines; - programming documents; - comitology registry; - field visits; - EU officials at headquarters and at EU Delegations; - tenderers and applicants; - database of open tenders and calls for proposals; - PRAG; - existing manuals (DEVCO Communication and Visibility Manual, PCM manual, Budget Support Guidelines, etc.); - samples of Financing Agreements; - project Communication Plans; - HQ and Delegations' Communication and Visibility Strategies and Work Plans; - EU Aid Explorer and Review of EU Aid Explorer;
(D.2) Previous evaluations and other reports
<ul style="list-style-type: none"> - Study on legal Instruments and Lessons Learned from the Evaluations managed by the Joint Evaluation Unit (July 2011) covering DCI, ENPI, INSC, IfS, EIDHR, ICI can be found at: https://ec.europa.eu/europeaid/sites/devco/files/evaluation-cooperation-ec-legal-1292-main-report-201107_en_0.pdf - Other more specific evaluations can be found at: https://ec.europa.eu/europeaid/node/80199_en http://ec.europa.eu/enlargement/news_corner/key-documents/index_en.htm?key_document=08012624887bedda - Annual reports on the EU's development and external assistance policies and their implementation: https://ec.europa.eu/europeaid/annual-reports_en - Annual and special reports of the EU Court of Auditors http://www.eca.europa.eu/en/Pages/AuditReportsOpinions.aspx
(D.3) Evidence from assessing the implementation and application of legislation (complaints, infringement procedures)
Ombudsman and court cases.
(D.4) Consultation
<p>The aim of the consultation strategy is to gather opinions from relevant stakeholders on the CIR at its mid-point. It may also be necessary to use the consultation to gather objective data.</p> <p>Stakeholders for this evaluation may include (a more detailed mapping of stakeholders will be completed at a later stage):</p> <ul style="list-style-type: none"> Partner countries (governments and other stakeholders); EU Member States; European and national Parliaments; International organisations and other donors present in the partner countries; Civil society organisations and Local Authorities / Foundations;

Private sector;
Academic institutions;
Relevant EU expert groups;

In functioning of the stakeholder mapping, the most appropriate consultation tools will then be defined.

Planned consultation activities so far include:

- Consultations with relevant stakeholders during the preparatory phase of the evaluation. The relevant stakeholders can be consulted via/phone/email/face-to-face discussions. The use of interviews, surveys, questionnaires and other tools will be considered and decided upon at a later stage. Contributions from these stakeholders will be considered when finalising the preparatory and desk phase reports.

- Relevant stakeholders will be consulted when checking initial findings from the desk review. The use of interviews and surveys will be considered and decided upon at a later stage.

- A 12 week open public consultation on the draft evaluation report is foreseen in the first quarter of 2017. This will entail an internet-based public consultation with a questionnaire and direct interaction with stakeholders via meetings where relevant. The launch of the open public consultation will be announced in the consultation planning that can be found at:

http://ec.europa.eu/yourvoice/consultations/index_en.htm

(D.5) Further evidence to be gathered

Further evidence may be obtained through surveys and desk interviews.

E. Other relevant information/ remarks