

EVALUATION ROADMAP			
TITLE OF THE EVALUATION	Mid Term Evaluation of 11 <sup>th</sup> European Development Fund (EDF)		
LEAD DG – RESPONSIBLE UNIT	EEAS (GLOBAL 5)/DEVCO D3	DATE OF THIS ROADMAP	10/2015
TYPE OF EVALUATION	Performance review	PLANNED START DATE	3 <sup>rd</sup> quarter 2016
		PLANNED COMPLETION DATE	2nd quarter 2017
		PLANNING CALENDAR	<a href="http://ec.europa.eu/smart-regulation/evaluation/index_en.htm">http://ec.europa.eu/smart-regulation/evaluation/index_en.htm</a>
This indicative roadmap is provided for information purposes only and is subject to change.			

A. Purpose
<p>(A.1) Purpose</p> <p>This evaluation will assess the EDF at the mid-point of its implementation ahead of the Performance Review, as set out in the EDF Implementing Regulation<sup>1</sup>. It 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 Performance review requested by the Implementing Regulation due, at the latest, end 2018.</p> <p>It will also provide information for:</p> <ul style="list-style-type: none"> <li>- the Impact Assessment for the next generation of instruments, proposal due mid-2018;</li> <li>- and the final evaluation of the 11<sup>th</sup> EDF</li> </ul> <p>Furthermore, Council Decision (2013/755/EU) on the association between the overseas countries and territories (OCTs) with the European Union (Overseas Association Decision), establishes that the 11<sup>th</sup> EDF is the main source of funding for the financial cooperation (as stipulated in Article 77 of the Decision). The mid-term review of the EDF will consequently need to address the Overseas Association Decision.</p> <p>It will provide information on relevance, EU added value, coherence and complementarity, effectiveness, efficiency, sustainability, leverage and impact of the instrument.</p> <p>This evaluation is part of a wider set of evaluations covering also the external financial instruments<sup>2</sup> under Heading 4<sup>3</sup> of the Multiannual Financial Framework 2014-2020 as set out in the Common Implementing Regulation (2014). In view of ensuring a consistent European external policy, all the evaluations will be interlinked and co-ordinated.</p>
<p>(A.2) Justification</p> <p>The Performance Review as set out in the 11<sup>th</sup> EDF Implementation Regulation, article 18, will focus on assessing</p>

<sup>1</sup> COUNCIL REGULATION (EU) 2015/322 of 2 March 2015 on the implementation of the 11th European Development Fund

<sup>2</sup> The package consists of three geographic instruments (Development Cooperation Instrument (DCI), European Neighbourhood Instrument (ENI), and Instrument for Pre-Accession Assistance (IPA)), three thematic instruments: (EIDHR, Partnership Instrument (PI) and Instrument contributing to Stability and Peace (IcSP)), and a horizontal regulation with common implementing rules (CIR). Other instruments that rely on the CIR are the Instrument for Nuclear Safety Cooperation (INSC) and Greenland.

<sup>3</sup> [http://ec.europa.eu/budget/mff/introduction/index\\_en.cfm#headings](http://ec.europa.eu/budget/mff/introduction/index_en.cfm#headings)

the degree of realisation of commitments and disbursements, and the results and impact of the aid provided by means of output, outcome and impact indicators measuring the efficiency of the use of resources as well as the effectiveness of the EDF. It shall also address the contribution of the measures financed to the achievement of the objectives of the African Caribbean Pacific-European Union Partnership Agreement<sup>4</sup> ("Cotonou Agreement" or 'CPA') and to the Union priorities, as set out in the Agenda for Change<sup>5</sup>.

## B. Content and subject of the evaluation

### (B.1) Subject area

The EDF is the main instrument for delivering assistance for development cooperation under the Cotonou Agreement with ACP States and for financing the cooperation with the Overseas Countries and Territories (OCTs), outside the Union's budget. The EDF is established by an international agreement; the Internal Agreement establishing the 11<sup>th</sup> EDF was signed by the EU Member States, meeting within the Council, on 26 June 2013<sup>6</sup> and entered into force on 1 March 2015. The 11th EDF consists of an amount of 30,5 billion EUR in accordance with specific contribution keys in relation to each Member State for the period from 2014 to 2020.<sup>7</sup> Due to the partnership approach under the Cotonou Agreement, the ACP-EU Council of Ministers confirmed the 11<sup>th</sup> EDF financial volume by inserting the multi-annual financial framework 2014 to 2020 for the cooperation with the ACP States as Annex Ic to the Cotonou Agreement.<sup>8</sup>

The main objective of the Cotonou Agreement is the reduction and eventually the eradication of poverty consistent with the objectives of sustainable development, in line with the objectives of the Union's development policy under the Treaty of Lisbon. Main pillars of the Agreement are development cooperation, political dialogue and trade cooperation. The Union's development policy is a cornerstone of EU relations with the outside world – alongside CFSP, humanitarian and trade policy (and external aspects of other policies like environment, migration, agriculture and fisheries). Providing over 50% of all global development aid, the EU and its Member States are the world's leading donor.

The fundamental principles of the CPA are:

- equality of the partners and ownership of the development strategies
- participation
- pivotal role of dialogue and the fulfilment of mutual obligations and accountability
- differentiation and regionalisation.

In 2011, the Commission set out a more strategic EU approach to reducing poverty, including a more targeted and concentrated allocation of funding: the Agenda for Change, which was transposed into the 11<sup>th</sup> EDF legal framework.

The EU focuses on certain sectors of intervention, depending on the needs of partner countries. Through its actions, the EU contributed to the attainment of the Millennium Development Goals and will further contribute to the Sustainable Development Goals (Agenda 2030). The EU also promotes Policy Coherence for Development to maximise the development impact of other EU policies.

The EDF is composed of national programmes, regional programmes and an intra-ACP programme.

### (B.2) Original objectives of the intervention

The central objective of ACP-EU cooperation is poverty reduction and ultimately its eradication, sustainable development and progressive integration of the ACP countries into the world economy. In this context, cooperation framework and orientations are tailored to the individual circumstances of each ACP country or region and promote local ownership of economic and social reforms and the integration of the private sector and civil society actors into the development process.

The Overseas Association Decision has the purpose of supporting the OCTs' sustainable development as well as to promote the values and standards of the Union in the wider world.

<sup>4</sup> OJ L 317, 15.12.2000, p. 3.

<sup>5</sup> Communication COM (2011) 637 final

<sup>6</sup> O.J. L210/1 (2013).

<sup>7</sup> Art. 1.2 of the 11th EDF Internal Agreement, O.J. L210/1 (2013).

<sup>8</sup> ACP-EU Council of Ministers Decision No 1/2013, O.J. L173/67 (2013). Annexes to the Cotonou Agreement concerning the financial volume can be added by the simplified procedure laid down in Art. 100 CA by a decision of the ACP-EU Council of Ministers.

The Decision seeks to achieve this by enhancing OCT's competitiveness, strengthening OCTs' resilience, reducing their economic and environmental vulnerability and promoting cooperation between them and other partners. In practice, programmes are to be established in each of the 16 overseas countries and territories which are eligible for territorial allocation, as well as for regional allocations. The potential intervention themes are set out within the Overseas Association Decision.

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

Poverty reduction is the central aim of the EU's development policy. The EDF is the instrument which channels the largest amount of the Union's development funds outside the budget (€30 506 million for the 11<sup>th</sup> EDF).

Part of the task of the evaluation will be to further strengthen the intervention logic underpinning the instrument.

#### EDF intervention logic

##### 1. CHANGE SOUGHT:

- Fostering sustainable and inclusive development in partner countries and regions;
- Promoting democracy, the rule of law, good governance and respect for human rights;
- Gradual integration of the ACP States into the world economy.
- Sustainable Development in OCTs

##### ASSUMPTIONS/PRE-CONDITIONS:

Partner countries are politically committed to the changes sought. EU organisational structures are in place and staff are sufficiently informed/have capacity to programme and implement funds.

##### 2. INPUTS AND ACTIVITIES:

The EDF cover activities in up to 74 countries (+16 territorial +4 regional OCT programmes). Amount for 2014-2020 = €30 500 billion. Project modalities or budget support used.

##### ASSUMPTION:

There is a system in place: to define allocations; check progress on implementation; and monitor and report on results.

##### 3. OUTPUTS/OUTCOMES OF ACTIVITIES – FOR EXAMPLE

- Rural advisory services delivered
- Justice, Rule of Law and Security sector Reform programmes implemented
- Infrastructure built
- Environmental, climate change mainstreamed

**ASSUMPTIONS:** Programming documents are consistent with the Regulation. The projects/programmes are consistent with the needs/challenges of beneficiaries. The EU uses coordinated forms of working whenever possible. EU interventions are based, to the extent possible, on dialogue with the partner country. EU policy priorities are met (e.g. gender mainstreaming, targets on climate change). There are synergies between National, Regional and intra-ACP programmes. There are no interruptions from natural and man-made disasters. Procedures allow for timely delivery of projects/programmes. Funding is spent in the way it is designated. The countries/regions can absorb the money allocated to them.

##### 4. EXPECTED IMPACTS LARGELY BASED ON INTERNATIONALLY AGREED GOALS/MEASURES- FOR EXAMPLE

- Poverty reduction (SDG)
- Increased agricultural productivity, improvement in food and nutrition security (SDG)
- Support to democracy, the rule of law, human rights and fundamental freedoms, good governance, gender equality and related international law (SDG)
- Sustainable and resilient infrastructure (SDG)
- Sustainable management of global resources (SDG)

## C. Scope of the evaluation

### (C.1) Topics covered

As provided for in the 11<sup>th</sup> EDF Implementation Regulation, the evaluation will focus on the achievement of the objectives of the EDF, taking into account the evolving international context and EU priorities. It will cover the implementation of the principles, programming and operations of the EDF up until 30 June 2017 both from a process and results point of view. Given the limited operational/implementation experience that will be available since the 11<sup>th</sup> EDF entered into force in March 2015, information from the previous programming period (2007-2013), for example on implemented projects and their results will also be included in the evaluation, where necessary.

For the OCTs the focus is upon the programming process of the 11<sup>th</sup> EDF, and the results achieved under the 10<sup>th</sup> EDF-OCT.

This particular evaluation will not cover actions implemented under Erasmus+ Regulation<sup>9</sup> which will be covered by the mid-term evaluation as foreseen in its art. 21.2 of the Erasmus + Regulation, to be launched in the fourth quarter of 2015.

### (C.2) Issues to be examined

In line with the Better Regulation guidelines on evaluations and with the 11<sup>th</sup> Implementation regulation, 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 to be further developed at inception stage are:

1. Effectiveness: to what extent has the EDF delivered the results it set out to deliver?
  - in relation to the objectives stated in the instrument 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 have interventions been cost/time effective? to what extent has the EDF contributed to more coordinated forms of working such as joint programming and pool funding? How efficient are the processes used for achieving results, for example in terms of design, method of implementation and timely delivery?
3. What is the added value of the EDF intervention compared to interventions by Member States or other donors on their own? What is the added-value of the EDF intervention compared to DCI and other relevant external action financing instruments?
4. Scope for simplification: are there areas, such as management procedures and institutional setting, where the EDF can be simplified and eliminate unnecessary burden?
5. Coherence, consistency, complementarity and synergies: to what extent are the actions carried out under the different EDF programmes coherent with each other? To what extent is the EDF aligned with EU development policy? To what extent does the EDF complement and stimulate synergies with other external action financing instruments? To what extent does the scope of the EDF align with/complement other EU instruments outside of development policy, and the interventions of other donors?
6. Relevance: To what extent is the EDF meeting those needs/problems identified at the time the EDF was designed? Is the EDF still meeting the needs of the beneficiaries in a changing international context? Do the objectives and design of the instrument still serve EU priorities in terms of external affairs?
7. Sustainability: to what extent has the EDF contributed to the Union's priorities for smart, sustainable and inclusive growth? How likely are effects to last once the EDF programmes end?
8. Leverage: to what extent have the EDF funds levered further funds or engagement?
9. Impact: what has happened as a result of the EDF? What are key factors influencing the achievement of results?

<sup>9</sup> Regulation (EU) No 1288/233, OJ L347, 2012.2013, p. 50

(C.3) Other tasks
None

<b>D. Evidence base</b>
(D.1) Evidence from monitoring
<p>Data will be collected from different sources, including in particular:</p> <ul style="list-style-type: none"> <li>- EDF programming documents, action documents, the EU results framework, annual reports, and available evaluations.</li> <li>- international sources of information concerning Millennium Development Goals and Sustainable Development Goals measurements, including reports from the United Nations and the Organisation for Economic Co-operation and Development.</li> <li>- Evaluations of past EDF support provided to the OCTs.</li> </ul>
(D.2) Previous evaluations and other reports
<ul style="list-style-type: none"> <li>- Review of EDF reviews and strategic evaluations (first semester 2016)</li> <li>- Evaluation of the Cotonou Partnership Agreement (first semester 2016)</li> <li>- Evaluation of the EDF Support through the intra-ACP cooperation (9th and 10th EDF)</li> <li>- Specific EDF evaluations can be found at: <a href="https://ec.europa.eu/europeaid/node/80199_en">https://ec.europa.eu/europeaid/node/80199_en</a></li> <li>- Annual reports on the EU's development and external assistance policies and their implementation: <a href="https://ec.europa.eu/europeaid/annual-reports_en">https://ec.europa.eu/europeaid/annual-reports_en</a></li> <li>- Annual and special reports of the EU Court of Auditors <a href="http://www.eca.europa.eu/en/Pages/AuditReportsOpinions.aspx">http://www.eca.europa.eu/en/Pages/AuditReportsOpinions.aspx</a></li> </ul>
(D.3) Evidence from assessing the implementation and application of legislation (complaints, infringement procedures)
Not applicable
(D.4) Consultation
<p>The aim of the consultation strategy is to gather opinions from relevant stakeholders on the EDF 2014-2020 at its mid-point. It may also be necessary to use the consultation to gather objective data.</p> <p>The main stakeholders for this evaluation may include (a more detailed mapping of stakeholders will be completed at a later stage):</p> <p>ACP Partner countries (governments and other stakeholders)  Regional authorising officer and authorising officer for regional and intra-ACP cooperation  EU Member States  European and national parliaments  International organisations and other donors present in the partner countries  Civil society organisations and local authorities  Private and academic sector  Relevant EU expert groups</p> <p>In functioning of the stakeholder mapping, the most appropriate consultation tools will then be defined.</p> <p>Planned consultation activities so far include:</p> <ul style="list-style-type: none"> <li>- 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.</li> </ul>

- 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](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**