

EVALUATION ROADMAP			
TITLE OF THE EVALUATION	Mid-term evaluation of the European Instrument for Democracy and Human Rights (EIDHR)		
LEAD DG – RESPONSIBLE UNIT	DEVCO UNIT DEVCO B1 (Human rights, Gender, Democratic governance - LEAD UNIT) FPI 5 (Election Observation Missions)	DATE OF THIS ROADMAP	10/2015
TYPE OF EVALUATION	Evaluation Mid-term Mixed	PLANNED START DATE	1 st quarter 2016
		PLANNED COMPLETION DATE	2 nd quarter 2017
		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 EIDHR¹ at the mid-point of its implementation ahead of the Mid-Term Review Report, as set out in Article 17 of the Common Implementing Regulation (CIR)². 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 Mid-Term Review Report requested by the CIR due end 2017.</p> <p>It will also provide information for:</p> <ul style="list-style-type: none"> - the Delegated acts (if relevant) to be adopted by March 2018 in order to amend the EIDHR Regulation; - the Impact Assessment for the next generation of instruments, proposal due by mid-2018; - and the final evaluation of the external financing instruments 2014-2020. <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 the external financial instruments (see section B1 for list of instruments) under Heading 4³ of the Multiannual Financial Framework 2014-2020 as set out in the Common Implementing Regulation (2014), 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 the Common Implementing Regulation (CIR) (2014) will focus on the achievement of the objectives of the EIDHR by means of indicators measuring the results delivered and the</p>

¹ Regulation (EU) No 235/2014 of the European Parliament and of the Council of 11 March 2014 establishing a financing instrument for democracy and human rights worldwide, OL L77, p.85

² 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

³ http://ec.europa.eu/budget/mff/introduction/index_en.cfm#headings

efficiency of the instrument. This evaluation will serve as one source of information for the Mid-Term Review Report.

B. Content and subject of the evaluation

(B.1) Subject area

The Union's action on the international scene *"shall be guided by the principles which have inspired its own creation, development and enlargement, and which it seeks to advance in the wider world: democracy, the rule of law, the universality and indivisibility of human rights and fundamental freedoms, respect for human dignity, the principles of equality and solidarity, and respect for the principles of the United Nations Charter and international*

⁴ Joint Communication "Human Rights and democracy at the heart of EU external action – Towards a more effective approach" of 12 December 2011(COM(2011)886) adopted by the Council on 25 June 2012 (11855/12)

⁵ Joint Communication "Action Plan on Human Rights and Democracy (2015-2019): Keeping human rights at the heart of the EU agenda" of 28 April 2015 (JOIN(2015)16) adopted by the Council on 20 July 2015 (10897/15)

law.” (Article 21 of the Treaty on European Union).

The Commission provides assistance for the promotion and protection of democracy and human rights worldwide through the European Instrument for Democracy and Human Rights (EIDHR), which is complementary to its other external assistance instruments and channelled mainly through civil society organisations. It is established to contribute to achieving the Union's policies relating to human rights, including the objectives outlined in the Strategic Framework on Human Rights and Democracy⁴ adopted by the Council on 25 June 2012 and its new Action Plan⁵. Its budget for the period 2014-2020 is EUR 1,332,752,000.

The EIDHR represents a key added-value to the EU policy toolbox, thanks to its flexibility, its ability to provide assistance independently of the consent of the governments and public authorities of the third countries concerned, as well as its mixing of advocacy and field operations. Its interventions are being implemented under the EIDHR Multi-annual Indicative Programme 2014-2017 and its consecutive annual and bi-annual actions plans, and fit within:

- the Human Rights Country Strategies elaborated by EU Delegations, which give useful orientations for the implementation of the EIDHR assistance at country level;
- the various EU Guidelines on human rights;
- the "Tool-Box: a Rights-Based Approach, encompassing all Human Rights for EU development cooperation"⁶ and its related Conclusions adopted by the Council on 19 May 2014;
- the coordination and consultation mechanisms taking place with major stakeholders (OHCHR and other UN family organisations, CSO active in the area of human rights and their networks).

Compared to the 2007-2013 EIDHR, the 2014-2020 EIDHR has been adjusted to address new realities and is more strategic in its focus and procedurally easy to use. Its budget has been increased and thus enabling the EU to provide more support for the development of thriving civil societies and their specific role as key actors for positive change in support of human rights and democracy. This includes increasing the EU's capacity to react promptly to human rights emergencies and more support for international and regional human rights protection mechanisms. Support will also be given to undertake electoral observation missions, follow up their recommendations and improve democratic and electoral processes. Also, the EIDHR's specific objectives have been better defined with respect to the protection of human rights and support of democratic processes, including in particular:

- a stronger wording on the role of civil society, including a specific reference to the cooperation between civil society and local authorities and relevant state institutions;
- a stronger emphasis on each vulnerable group (national, ethnic, religious and linguistic minorities, women, lesbian, gay, bisexual, transgender and inter-sex persons (LGBTI), indigenous peoples);
- a stronger emphasis on economic and social rights.

The 2014-2020 instrument has a stronger focus on the most difficult countries and emergency situations where human rights and fundamental freedoms are most in danger. In such situations, the EU will be able to respond in a more flexible and timely manner through ad hoc grants. This will particularly be the case where less speedy solutions would expose beneficiaries to the risk of serious intimidation or retaliation and in order to address the urgent protection needs of human rights defenders on the ground.

The EIDHR along with a package of other External Financing Instruments (EFIs) were adopted in 2014. 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.

(B.2) Original objectives of the intervention

The European Instrument for Democracy and Human Rights (EIDHR) is the concrete expression of the EU commitment to support and promote democracy and human rights in third countries.

Its general objectives can be found in Article 1 of the Regulation (EU) No 233/2014. They are: (a) supporting, developing and consolidating democracy in third countries, by enhancing participatory and representative democracy, strengthening the overall democratic cycle, in particular by reinforcing an active role for civil society within this cycle, and the rule of law, and improving the reliability of electoral processes, in particular by means of

⁶ Commission Staff Working Document of 30 April 2014 (SWD 152/2014)

EU EOMs;	
(b) enhancing respect for and observance of human rights and fundamental freedoms, as proclaimed in the UN Universal Declaration of Human Rights and other international and regional human rights instruments, and strengthening their protection, promotion, implementation and monitoring, mainly through support to relevant civil society organisations, human rights defenders and victims of repression and abuse.	
(B.3) How the objectives were to be achieved	
The financial envelope for the implementation of the EIDHR for the period 2014-2020 is EUR 1,332,752,000. Part of the task of the evaluation will be to further strengthen the intervention logic underpinning the instrument.	
<u>EIDHR intervention logic</u>	
<p>1. CHANGE SOUGHT: The development and consolidation of democracy and the rule of law and of respect for all human rights and fundamental freedoms in third countries through a) supporting, developing and consolidating democracy in third countries, by enhancing participatory and representative democracy, strengthening the overall democratic cycle, in particular by reinforcing an active role for civil society within this cycle, and the rule of law, and improving the reliability of electoral processes, in particular by means of EU EOMs; (b) enhancing respect for and observance of human rights and fundamental freedoms, as proclaimed in the UN Universal Declaration of Human Rights and other international and regional human rights instruments, and strengthening their protection, promotion, implementation and monitoring, mainly through support to relevant civil society organisations, human rights defenders and victims of repression and abuse.</p>	<p>ASSUMPTIONS/PRE-CONDITIONS: EU organisational structures are in place and staff are sufficiently informed/have capacity to programme and implement funds.</p>
<p>2. INPUTS AND ACTIVITIES: The EIDHR covers activities worldwide (outside the EU). Amount for 2014-2020 = EUR 1,332,752,000. Project and sector approach.</p>	<p>ASSUMPTION: There is a system in place to check progress on implementation and monitor and report on results.</p>
<p>3. OUTPUTS/OUTCOMES OF ACTIVITIES, FOR EXAMPLE: Fragile CSO and disenfranchised groups supported; Human Rights Defenders protected politically, legally and/or physically and pulled out of their abusive situations; International conventions ratified and implemented; Electoral processes and democratic cycles supported, observed, and followed.</p>	<p>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 civil societies. EU policy priorities are also covered by the instrument (e.g. gender). 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.</p>
<p>4. EXPECTED RESULTS/IMPACTS LARGELY BASED ON INTERNATIONALLY AGREED GOALS/MEASURES, FOR EXAMPLE: Democracy, human rights and the rule of law are promoted and supported worldwide; Democracy and democratic reforms in third countries are consolidated; A political and civil society environment conducive to sustainable development is created; International and regional frameworks for the protection, promotion and monitoring of human rights are strengthened; Urgent cases of violation are timely addressed and human rights defenders are protected in due time.</p>	
C. Scope of the evaluation	
(C.1) Topics covered	
The evaluation will focus on the achievement of the objectives of the EIDHR, taking into account the evolving international context and EU priorities. It will cover the implementation of the principles, programming and operations of the EIDHR 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 Instrument 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 to be further developed at inception stage are:

1. Effectiveness: to what extent has the EIDHR 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 EIDHR contributed to more coordinated and results-oriented forms of working with the civil society?
3. What is the EU added value of of an EU-level intervention compared to interventions by Member States or other donors on their own?
4. Scope for simplification: are there areas where the Instrument can be simplified, such as for management procedures, and eliminate unnecessary burden?
5. Coherence, consistency, complementarity and synergies: to what extent are the actions carried out under the different priorities of the EIDHR coherent with each other? To what extent is the instrument aligned with EU development policy? Is the instrument consistent with EU external action and to what extent does it complement and stimulate synergies with other external action financing instruments? To what extent does the scope of the EIDHR align with/complement other EU instruments outside of development policy, and the interventions of other donors?
6. Relevance: to what extent is the instrument meeting those needs/problems identified at the time the EIDHR was designed? Is the EIDHR 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: How likely are effects to last once the EIDHR programmes end?
8. Leverage: to what extent have the EIDHR funds levered further engagement?
9. Impact: what has happened as a result of the EIDHR? What are key factors influencing the achievement of results?

(C.3) Other tasks

None

D. Evidence base

(D.1) Evidence from monitoring

Data will be collected from different sources, including in particular:

- programming documents, budget documents (e.g. programming statements), action documents, the EU results framework, annual reports, and available evaluations.
- international sources of information concerning Human Rights (e.g. UN OHCHR Human Rights indicators, CSO networks)

(D.2) Previous evaluations and other reports

- 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

- The Impact Assessment of the EIDHR Regulation (SEC(2011)1479) can be found at:

<http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX:52011SC1479>

- Other more specific evaluations can be found at:

https://ec.europa.eu/europeaid/node/80199_en

<p>- Annual reports on the European Union's development and external assistance policies and their implementation: https://ec.europa.eu/europeaid/annual-reports_en</p> <p>- Annual and special reports of the EU Court of Auditors http://www.eca.europa.eu/en/Pages/AuditReportsOpinions.aspx</p>
(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 EIDHR 2014-2020 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"> - EU Member States - European and national parliaments - Civil society organisations and local authorities - International organisations and other donors present in the partner countries - Partner countries (governments and other stakeholders) - Private and academic sector - Relevant EU expert groups <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"> - 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 stakeholder 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