

EVALUATION ROADMAP – 23.10.2015			
TITLE OF THE EVALUATION	Mid-term evaluation of the Partnership Instrument (PI)		
LEAD DG RESPONSIBLE UNIT	FPI FPI.4	DATE OF THIS ROADMAP	11 / 2015
TYPE OF EVALUATION	Evaluation	PLANNED START DATE	2 nd Q / 2016
	Interim	PLANNED COMPLETION DATE	2 nd Q / 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 PI¹ 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 PI Regulation; - 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, 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.</p> <p>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 PI by means of indicators measuring the results delivered and the efficiency of the instrument. This evaluation will serve as one source of information for this Report.</p>

¹ Regulation (EU) No 233/2014 of the European Parliament and of the Council of 11 March 2014 establishing a Partnership Instrument for cooperation with third countries, OJ L77, p. 44

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

B. Content and subject of the evaluation

(B.1) Subject area

The PI along with a package of other External Financing Instruments (EFIs) were adopted in 2014. The package consists of three geographic instruments (DCI, European Neighbourhood Instrument (ENI), and Instrument for Pre-Accession Assistance (IPA)), three thematic instruments (Democracy and Human Rights Worldwide (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.

Endowed with € 954 million over the period 2014-2020, the PI has been designed to promote and advance EU interests in its relations with third countries. It is one of the innovations in Heading 4 of the Multiannual Financial Framework 2014-2020 which consists of three geographic instruments (DCI, European Neighbourhood Instrument (ENI), and Instrument for Pre-Accession Assistance (IPA)), three thematic instruments (Democracy and Human Rights Worldwide (EIDHR), Partnership Instrument (PI) and Instrument contributing to Stability and Peace (IcSP)), and a horizontal regulation with common implementing rules (CIR).

The PI helps to underpin relations with partners with whom the EU has a strategic interest in promoting links, especially EU's strategic partners which play an increasingly important role in world affairs including those that are no longer eligible for bilateral development aid. De facto, it is deployed mainly in the Asia-Pacific, the Americas, the Gulf as well as Russia and Central Asia. The PI may also be used to support the take up by partner countries of their commitments taken at multilateral level.

The PI encompasses a number of areas of key interest to the Union. It supports the external dimension of EU internal policies ranging from competitiveness and migration to research and innovation, the external projection of the Europe 2020 Strategy⁴, and it addresses major global challenges such as energy security, climate change and environmental protection as well as the evolving aspects of the EU's economic diplomacy being discussed. The instrument also covers public diplomacy (including cultural diplomacy) and outreach activities to underpin the Union's principles and values. Such a wide range of areas requires coordinating and engaging actively with different services of the Commission bringing in their valuable expertise to the planning process.

With the PI, the EU has, for the first time, an instrument specifically designed to promote its strategic interests worldwide. The EU, through the external projection of its policies, has unprecedented opportunities to offer its know-how, expertise and best practices in ways that underpin its policy agenda and overall relations with key partner countries in support of the EU priorities.

(B.2) Original objectives of the intervention

The overarching objective of the PI is to **advance and promote Union and mutual interests**. It shall support measures that respond in an effective and flexible manner to objectives arising from the Union's bilateral, regional or multilateral relationships with third countries and shall address challenges of global concern and ensure an adequate follow-up to decisions taken at a multilateral level (PI Regulation, Art. 1(1)). The Regulation further sets out four specific objectives (Art. 1(2)):

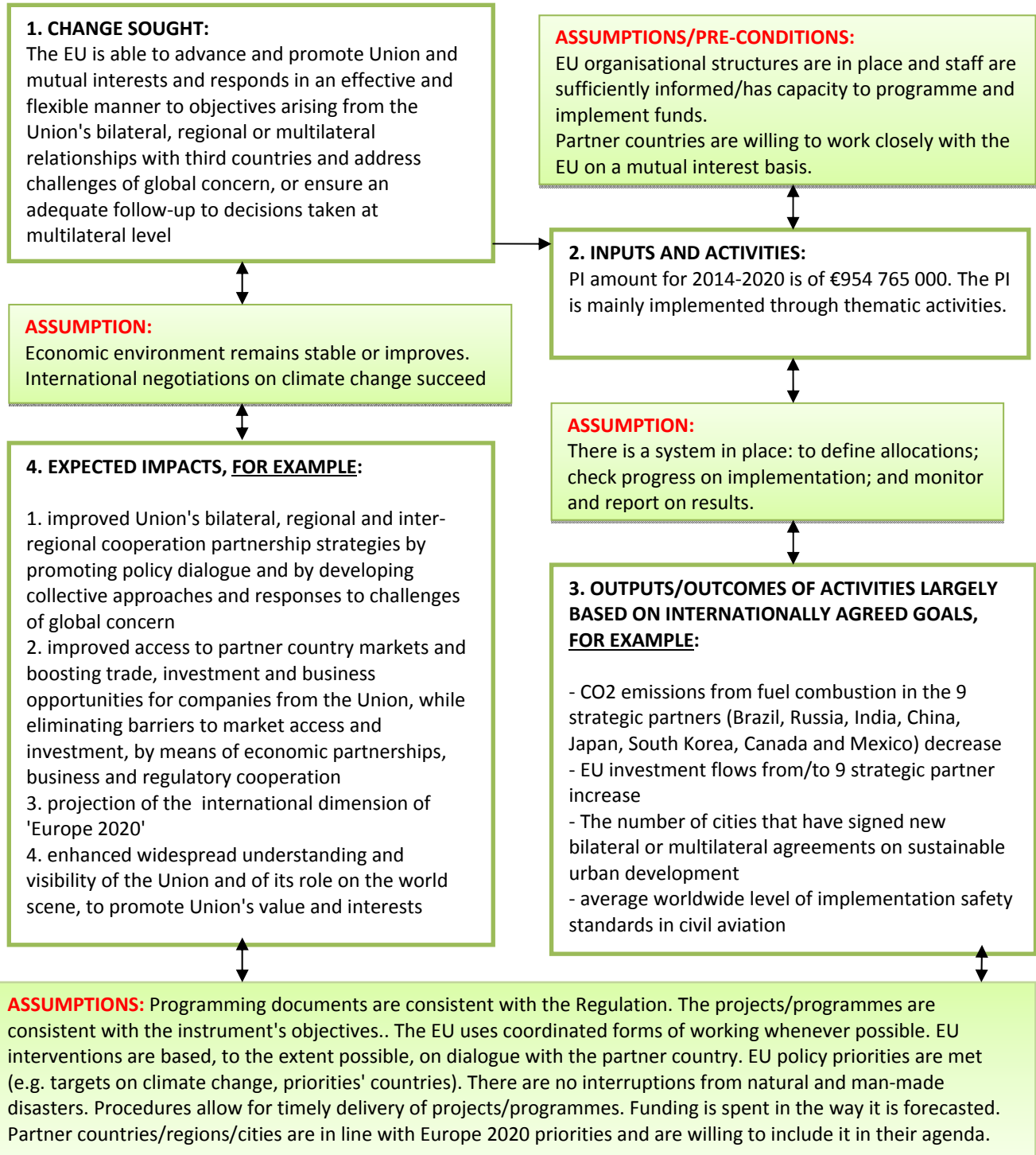
- Supporting the Union's bilateral, regional and inter-regional cooperation partnership strategies by promoting policy dialogue and by developing collective approaches and responses to challenges of global concern;
- Implementing the international dimension of "Europe 2020" strategy;
- Improving access to partner country markets and boosting trade, investment and business opportunities for companies from the Union, while eliminating barriers to market access and investment, by means of economic partnerships, business and regulatory cooperation;
- Enhancing widespread understanding and visibility of the Union and of its role on the world scene by means of public diplomacy, people-to-people contacts, cooperation in educational and academic matters, think tank cooperation and outreach activities to promote the Union's values and interests.

⁴ Europe 2020 A strategy for smart, sustainable and inclusive growth -COM(2010) 2020 final of 13.2010

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

Preliminary Intervention Logic (will be fine-tuned during the evaluation process, further information will be provided in due course)

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



C. Scope of the evaluation

(C.1) Topics covered

The evaluation will focus on the achievement of the objectives of the PI taking into account the evolving international context and EU priorities. It will cover the implementation of the principles, programming and operations of the PI up until 30 June 2017 both from a process and results point of view. Given the fact that the PI is a new instrument, the evaluation will build where appropriate on data referring to the previous programming

cycle (2007-2013).

This particular evaluation will not cover actions implemented under Erasmus+ Regulation⁵ 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 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 PI 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 PI contributed to more coordinated forms of working, such as joint programming and pool funding.
3. What is the added value of an EU level intervention compared to interventions by Member States or other donors on their own?
4. Scope for simplification: are there areas, such as management procedures, where the Instrument can be simplified and eliminate unnecessary burden?
5. Coherence, consistency, complementarity and synergies: to what extent are the actions carried out under the PI programmes coherent with each other? 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 PI align with/complement other EU instruments with and external dimension, and the interventions of other donors?
6. Relevance: to what extent is the instrument meeting those needs/problems identified at the time the PI was designed? Do the objectives and design of the instrument still serve EU priorities in terms of external affairs?
7. Sustainability: to what extent has the PI contributed to the Union's priorities for smart, sustainable and inclusive growth? How likely are effects to last once the PI programmes end?
8. Leverage: to what extent have the PI funds levered further funds or engagement?
9. Impact: what has happened as a result of the PI instrument? 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. programme statements), action documents, the PI results framework being prepared, annual reports at the level of PI, progress reports at the level of actions/programmes, and available evaluations.

⁵ Regulation (EU) No 1288/233, OJ L347, 2012.2013, p. 50

(D.2) Previous evaluations and other reports
<p>PI Impact Assessment 2011: http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX:52011SC1476</p> <p>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</p> <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 PI 2014-2020 at its mid-point. It may also be necessary to use the consultation to gather objective data.</p> <p>Planned consultation activities so far include:</p> <ul style="list-style-type: none"> - 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
<p>Evidence from PI programme/project evaluations and monitoring. Further evidence may be obtained through surveys and desk reviews.</p>

E. Other relevant information/ remarks