

EVALUATION ROADMAP 22 October			
TITLE OF THE EVALUATION	Mid-term evaluation of Instrument contributing to Stability and Peace (IcSP)		
LEAD DG – RESPONSIBLE UNIT	FPI FPI 2 DEVCO B5	DATE OF THIS ROADMAP	11 / 2015
TYPE OF EVALUATION	Evaluation Interim Mixed	PLANNED START DATE	1st quarter 2016
		PLANNED COMPLETION DATE	2nd quarter 2017
		PLANNING CALENDAR	http://ec.europa.eu/smart-regulation/evaluation/index_en.htm
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A. Purpose
<p>(A.1) Purpose</p> <p>This evaluation will assess the Instrument contributing to Stability and Peace (IcSP)¹ 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 Impact Assessment for the next generation of instrument, proposal due mid-2018; – and the final evaluation of the external financing instruments 2014 to 2020. <p>It will provide information on the relevance, EU added value, coherence and complementarity, effectiveness, efficiency, sustainability, leverage and impact of the instrument.</p> <p>It should also take stock of the lessons learnt and provide recommendations for the improvement of the programming and the formulation of new projects under the IcSP.</p> <p>This evaluation is part of a wider set of evaluations covering the instruments (see section B1 for list of instruments) under Heading 4³ of the Multiannual Financial Framework 2014-2020 as set out in the CIR (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 evaluations will be interlinked and co-ordinated.</p>
<p>(A.2) Justification</p> <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 IcSP by means of indicators measuring the results delivered and the efficiency of the instrument. This evaluation will serve as an important element and source of information for this Report.</p>

¹ Regulation (EU) No 230/2014 of the European Parliament and of the Council of 11 March 2014 (OJ L 77, 15.3.2014, p.1)

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 L 77, 15.3.2014 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 policy area, interventions and activities to be evaluated are as follows. Part of the EU's new generation of instruments for financing external action, the IcSP pursues the same broad political objectives as the earlier IfS in terms of its focus on crisis response, crisis preparedness and conflict prevention to better contribute to the EU's comprehensive approach to external conflicts and crises.

The crisis response component of the Instrument has broadened, with an increased focus on conflict prevention. The conflict prevention, peace-building and crisis preparedness component provides for better tailoring of longer-term assistance and responses to peace building needs worldwide while the global and trans-regional threats and emerging threats components, provides for global assistance in new areas such as cyber-crime, all forms of illicit trafficking and counter-terrorism, as well as interventions aiming at mitigating risks related to chemical, biological, radiological and nuclear (CBRN) material or agents.

The IcSP plays its part, in line with the EU's political commitment to pursue conflict prevention and build peace as one of the main objectives of EU external relations.

The IcSP is one of the key external assistance instruments that enable the EU to take a lead in helping to prevent and respond to actual or emerging crises around the world. The Service for Foreign Policy Instruments (FPI) and DEVCO, working in close collaboration with other services of the European Commission and the European External Action Service (EEAS), mobilises the IcSP to provide for:

- Urgent short-term actions in response to situations of crisis or emerging crisis, often complementing EU humanitarian assistance (Art. 3 IcSP);
- Longer-term capacity building of organisations engaged in crisis response and peace-building (Art. 4 IcSP); and
- Longer-term interventions addressing specific global and trans-regional threats to peace, international security and stability, including CBRN risks (Art. 5 IcSP).

The IcSP 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.

(B.2) Original objectives of the intervention

Through the Instrument contributing to Stability and Peace, the European Union aims to increase the efficiency and coherence of the Union's actions in the areas of crisis response, conflict prevention, peace-building and crisis preparedness, and in addressing global and trans-regional threats.

The specific objectives of the IcSP are:

- In a situation of crisis or emerging crisis, to contribute swiftly to stability by providing an effective response designed to help preserve, establish or re-establish the conditions essential to the proper implementation of the Union's external policies and actions in accordance with Article 21 TEU (Article 3 IcSP)
- To contribute to the prevention of conflicts and to ensuring capacity and preparedness to address pre-and post-crisis situations and build peace (Article 4 IcSP).
- To address specific global and trans-regional threats to peace, international security and stability (Article 5 IcSP)

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

The objective under Article 3 of the Regulation is achieved through measures which are not subject to programming and which are decided by the Commission, after consultation with the EEAS, after informing the Council. Consultation of the Member states through comitology is required where the amounts are higher than EUR 20 million.

The objectives under Articles 4 and 5 are subject to programming and achieved through Annual Action Programmes adopted by the Commission in line with thematic strategy papers and multi-annual indicative programmes, and after having consulted Member States through comitology.

The planning, preparation and implementation of actions (projects and programmes) under Articles 4 and 5, therefore pass through a sequence of phases: programming, identification (analysis/appraisal), formulation

(design), decision (comitology), implementation and evaluation.

Multi-annual indicative programmes establish the overall framework for the financing of actions over a number of years (e.g. 2014-2017) in line with the priority areas defined in the Regulation. Priority areas for Article 4 include *inter alia* promoting early warning, facilitation mediation, dialogue and reconciliation, while those for Article 5 include *inter alia* addressing threats to law and order, critical infrastructure and mitigation of risks related to chemical, biological and radiological and nuclear (CBRN) materials.

Annual action programmes (see above) identify specific priority areas of action and set out the objectives and results to be attained in those sectors and areas.

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

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



C. Scope of the evaluation

(C.1) Topics covered

The evaluation will focus on the achievement of the objectives of the IcSP, taking into account the evolving international context and EU priorities. It will cover the implementation of the principles, programming (Articles 4 and 5) and operations of the IcSP up until 30 June 2017 both from a process and results point of view. Given the limited operational/implementation experience that will be available considering that the Instrument was adopted in 2014, information from the previous programming period (2007-2013) under the earlier Instrument for Stability will also be included in the evaluation, where necessary. The IcSP is the successor instrument to the IfS.

(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: relevance, effectiveness, efficiency, EU added value, scope for simplification, coherence, complementarity and synergies, consistency, sustainability, leverage and impact.

Evaluation issues and questions to be further developed at inception stage are:

1. **Effectiveness:**

- to what extent has the IcSP delivered the results it set out to deliver?
 - Results delivered:
 - in relation to the objectives stated in the instrument (at least as regards programming)
 - with regard to the contribution of these results to consistent EU external action in view of evolving challenges and priorities
 - Analysis of how effectively IcSP actions translate political priorities into feasible activities.
 - Analysis of the political effectiveness of IcSP interventions
- What have been the (quantitative and qualitative) effects of the actions under IcSP?
- To what extent can these changes / effects be attributed credited to the actions under IcSP?
 - In what way have IcSP actions contributed to addressing root causes of conflict, hence improving the chances for crisis resolution?

2. **Efficiency:**

- To what extent has the process of achievement of results been efficient in terms of design, method of implementation, timely and flexible delivery?
- To what extent are the costs involved justified, given the changes/effects which have been achieved and the circumstances in which activities are being implemented?

3. **EU Added value:**

- What is the EU added value of the IcSP compared to what could have been achieved by EU Member States and other donors?
- What would be the most likely consequence of stopping the IcSP or fundamentally altering its way of working?

4. **Scope for simplification:**

- Are there areas, such as management procedures, where the Instrument can be simplified, eliminating unnecessary burden?

5. **Coherence, consistency, complementarity and synergies:**

- **Internal coherence**
 - To what extent are the actions carried out under the IcSP Regulation coherent with each other (where appropriate) and with the objectives of the Instrument?
 - Do the activities and the outputs logically allow for the objectives to be achieved?
- **External coherence – consistency, complementarity and synergies**
 - To what extent does the IcSP complement / stimulate synergies with other EU external financing instruments as well as other instruments (in particular, humanitarian assistance and Common Security and Defence Policy) and bilateral cooperation of the EU Member States?
 - Is the IcSP well aligned with EU external action policy?
 - In what way have IcSP actions allowed the EU to respond more quickly than would have been possible through other instruments? How much does speed matter?
 - To what extent IcSP long-term components complement with relevant bilateral cooperation of EU

Member States as well as with that of other major bilateral donors and multilateral organisations in addressing the security and development nexus and wider security challenges as well as with general framework of development policies (Post 2015, SDGs) and the Common Foreign and Security Policy?

6. Relevance:

- Are the objectives of the IcSP still in line with EU priorities?
- Is the IcSP responding to evolving EU external relations' challenges?
- How well do the objectives of the IcSP still correspond to the external actions needs within the EU?

7. Sustainability:

- What is a realistic expectation of sustainability in a crisis response action under article 3?
- To what extent are IcSP interventions being followed up on, either by actions funded under other EFI (continuation) or through actions independents of donor funding?
- How likely are effects to last once the IcSP actions end?

8. Leverage:

- To what extent do investments under IcSP lever further funds and/or political engagement?

9. Impact:

- what has happened as a result of the IcSP?
- What are the 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, programming statements, action documents, the EU Results Frameworks, financing decisions, progress and annual reports, Results Orientated Monitoring and available evaluations of both IfS and IcSP.
- International sources of information concerning achievement Millennium Development Goals and Sustainable Development Goals, including reports from the United Nations and the Organisation for Economic Co-operation and Development.
- Annual Reports of the World Bank
- Reports from regional and sub-regional organizations – OSCE, League of Arab States, ASEAN, OAS, CARICOM

(D.2) Previous evaluations and other reports

- Evaluation of the Instrument for Stability Crisis Preparedness Component (2007-2013), can be found at: http://ec.europa.eu/dgs/fpi/documents/pbp_evaluation_2014_report_en.pdf
- Impact Assessment of the Instrument for Stability (2011) SEC(2011) 1481, [later re-named the instrument contributing to Peace and Stability] can be found at : http://ec.europa.eu/dgs/fpi/documents/impact_assment_en.pdf
- Other more specific evaluations, annual reports, Strategy Papers and MIPs and AAP can be found at: http://ec.europa.eu/dgs/fpi/key-documents/index_en.htm
- IfS and IcSP Project evaluations and implementation reports for Article 3 & 4 - available at FPI
- IfS long term (Art4.2) studies and evaluation reports are available at DEVCO (e.g. expert evaluations, project evaluations, implementation reports, Key Impact Indicators & Key Performance Indicators).
- Special Report 17 (2014) from the Court of Auditors on the CBRN Centres for Excellence initiative (Ifs Art. 4.2)
- Mid-Term Review of the Heroin Route Programme financed by the IfS - Contract N° 2012/298786
- CMR ASSESSMENT REPORT
- Mid-term review of the Cocaine Route Programme financed by the EU IfS
- Mid-Term review of the CT Sahel Project Criminal Justice and Security Sector Mapping 2014
- Evaluation of the Expert Support Facility Framework Contract (IfS Art 4)
- Long-term Component (Articles 4.1 and 4.2) Activity Report
- Annual reports on the European Union'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)
None
(D.4) Consultation
<p>The aim of the consultation strategy is to gather opinions from relevant stakeholders from the broad open public on the IcSP 2014-2020 at its mid-point. It may also be necessary to use the consultation to gather objective data.</p> <p>Stakeholders to be addressed include EU Member States, partner and beneficiary countries, UN and other international organisations, NGO's, regional and sub-regional organisations, the private sector and civil society actors (as defined in Article 1(3) of the IcSP Regulation) involved in the implementation of IcSP actions. Planned consultation activities include an open public consultation during the first quarter of 2017. This public consultation will be internet based.</p> <p>The launch of open public consultation related to this initiative will be announced in the consultation planning that can be found at: http://ec.europa.eu/yourvoice/consultations/index_en.htm</p> <p>Stakeholders' views will also be collected from existing IfS and IcSP project evaluations. If necessary, meetings and / or interviews with stakeholders may be included in the evaluation work to be carried out by the external consultant. The scope and methodology of such consultation will be defined within the methodology of the evaluation.</p>
(D.5) Further evidence to be gathered
<p>Evidence from IfS / IcSP strategic, programme and project evaluations and monitoring.</p> <p>Further evidence may be obtained through surveys and desk reviews.</p>

E. Other relevant information/ remarks
<i>none</i>