

| EVALUATION ROADMAP | | | |
|--|--|-------------------------|---|
| TITLE OF THE EVALUATION | Evaluation of the Instrument for Pre-accession assistance II (IPA) in support of the Mid-term review | | |
| LEAD DG RESPONSIBLE UNIT | DG NEAR A3 (EVALUATION SECTOR) | DATE OF THIS ROADMAP | October 2015 |
| TYPE OF EVALUATION | Evaluation | PLANNED START DATE | 1 st 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 Instrument for pre-accession assistance (IPA II)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 Delegated acts (if relevant) to be adopted by March 2018 in order to amend the IPA II 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 coordinated.</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 IPA II 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 231/2014 of the European Parliament and of the Council of 11 March 2014 establishing an Instrument for Pre-accession Assistance (IPA II), OJ L77 p.11

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 enlargement process reinforces peace, democracy and stability in Europe and allows the Union to be better positioned to address global challenges. The transformative power of the enlargement process generates far-reaching political and economic reforms in the enlargement countries which also benefit the Union as a whole.

In order to make the external action of the Union more effective and with regard to the framework for planning and delivering external assistance for the enlargement policy for the period 2014 – 2020, IPA II has been established. IPA II is a successor of IPA I covering 2007-2013.

The IPA II 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 (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.

IPA II assistance is provided to IPA II beneficiaries (Albania, Bosnia and Herzegovina, the former Yugoslav Republic of Macedonia, Iceland⁴, Kosovo^{*}, Montenegro, Serbia and Turkey) in accordance with the Enlargement policy framework defined by the European Council and the Council and takes due account of the Communication on the Enlargement Strategy and the Progress Reports comprised in the annual Enlargement package of the Commission, as well as of the relevant resolutions of the European Parliament. Assistance is also provided in compliance with the European and Accession Partnerships⁵ and is mainly focused on a selected number of policy areas that will help the beneficiaries to strengthen democratic institutions and the rule of law, reform the judiciary and public administration, respect fundamental rights and promote gender equality, tolerance, social inclusion and non-discrimination. It is also aimed at enhancing their economic and social development with a view to attainment of the targets of the Europe 2020 strategy for smart, sustainable and inclusive growth (the 'Europe 2020 Strategy') and progressive alignment with the Copenhagen criteria.

IPA II is aimed at being more strategic and result-oriented, ensuring more sustainable results in improving the readiness of the countries for membership. IPA II simplifies the delivery of assistance, including through the introduction of budget support, the simplification of the monitoring modalities at local level and the elimination to a large extent of the split by components.

Where appropriate, IPA II contributes to cross-border cooperation programmes or measures that are established and implemented under European Neighbourhood Instrument and any other EU external financing instrument, where the beneficiaries participate.

(B.2) Original objectives of the intervention

The objectives of the IPA II, consistent with the Article 49⁶ of the Treaty on European Union (TEU), can be found in Articles 1 and 2 of the Regulation (EU) No 231/2014. The overall objective of IPA II aims to support candidate countries and potential candidates ('beneficiaries') in implementing the political, institutional, legal, administrative, social and economic reforms required to comply with Union values and to progressively align to Union rules, standards, policies and practices with a view to Union membership.

Specific objectives are:

1. Support for political reforms;
2. Support for economic, social and territorial development, with a view to smart, sustainable and inclusive growth;
3. Strengthening of the ability of the beneficiaries at all levels to fulfil the obligations stemming from Union

⁴ Iceland requested not to be regarded as a candidate country.

^{*} This designation is without prejudice to positions on status, and is in line with UNSCR 1244/1999 and the ICJ Opinion on the Kosovo declaration of independence.

⁵ Accession partnerships define the framework of the accession process. More information can be found at http://ec.europa.eu/enlargement/policy/glossary/terms/accession-partnership_en.htm

⁶ <http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:12012M/TXT&from=EN>

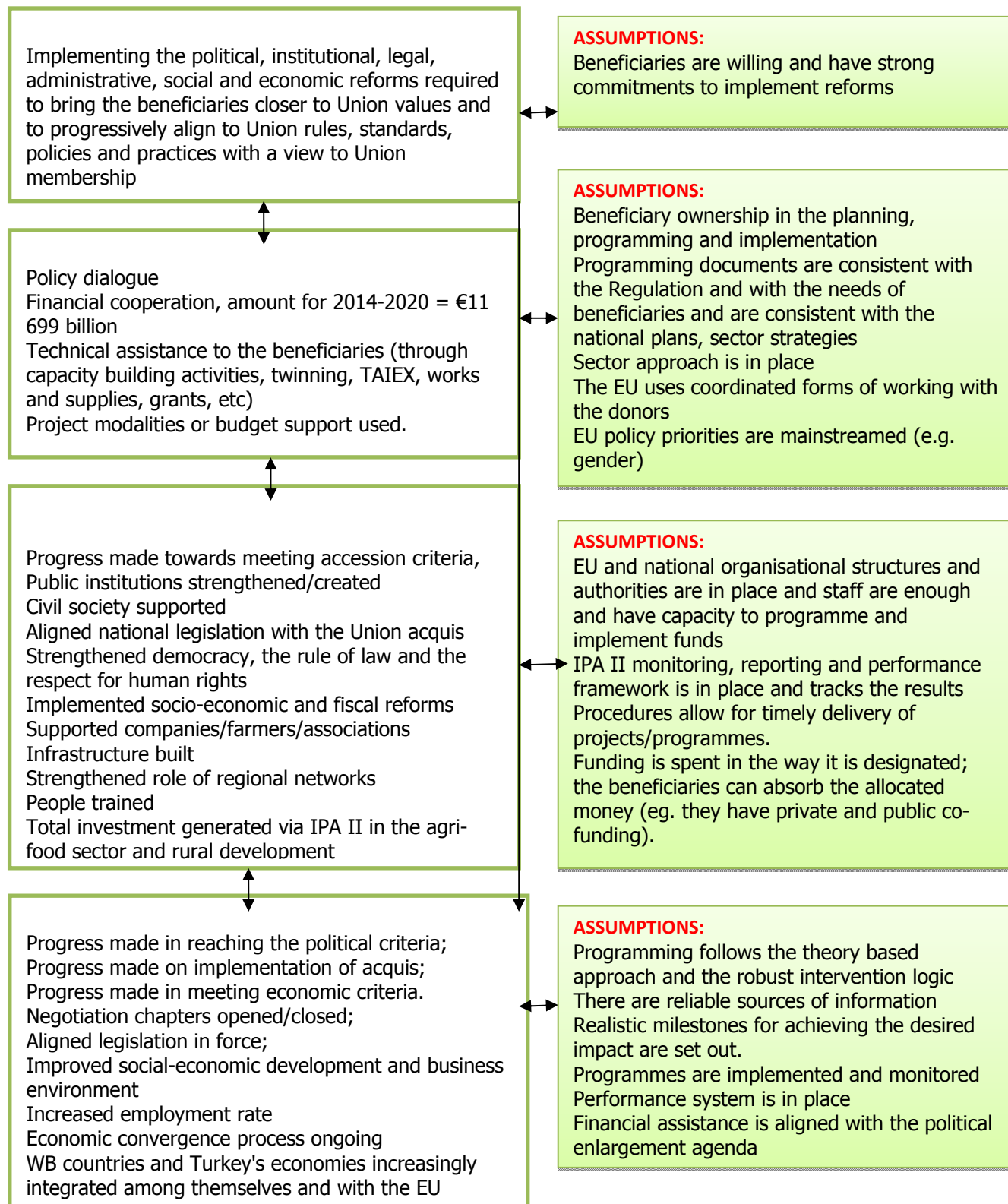
membership;

4. Strengthening regional integration and territorial cooperation.

The progress towards achievement of the objectives is measured, monitored and assessed by means of pre-defined, clear, transparent and, where appropriate, country-specific and measurable performance indicators.

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

The intervention logic of IPA II is presented in the following diagram:



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

As part of the evaluation the assumption and the intervention logic as well as the implicit theory of change behind the instrument design should be tested and validated and, if appropriate, reconstructed.

C. Scope of the evaluation

(C.1) Topics covered

The evaluation will focus on the assessment of the achievement of the objectives of the IPA II, taking into account the evolving international context and EU priorities. It will cover the implementation of the principles, programming and operations of IPA up until 30 June 2017 both from a process/output and results/outcome 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, whenever relevant, especially as far as impact and sustainability are concerned.

This particular evaluation will not cover actions implemented under Erasmus+ Regulation⁷ 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, 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 IPA II 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 IPA II 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 different IPA II programmes coherent with each other? To what extent is the instrument aligned with EU enlargement 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 IPA II align with/complement other EU instruments outside of enlargement policy, and the interventions of other donors?
6. Relevance: to what extent is the instrument meeting those needs/problems identified at the time the IPA II was designed? Is the IPA II 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 IPA II contributed to the Union's priorities for smart, sustainable and inclusive growth? How likely are effects to last once the IPA II programmes end?
8. Leverage: to what extent have the IPA II funds levered further funds or engagement?
9. Impact: what has happened as a result of the IPA II instrument? What are key factors influencing the achievement of results?

(C.3) Other tasks

None

D. Evidence base

(D.1) Evidence from monitoring

⁷ Regulation (EU) No 1288/233, OJ L347, 2012.2013, p. 50

| |
|---|
| <p>Data will be collected from different sources, including in particular:</p> <ul style="list-style-type: none"> - programming documents, programme statements, action documents, the IPA II monitoring, reporting and performance framework, annual reports, Results Orientated Monitoring and available evaluations. - international sources of information concerning democracy, human rights, judiciary, justice and security, corruption, trade flows, gender equality internal economic disparities and employment levels including reports from national IPA statistical services, EUROSTAT, the United Nations and the Organisation for Economic Co-operation and Development and other international organisations (World Bank, International Monetary Fund, World Economic Forum, Transparency International, and the like). - a comprehensive stakeholders consultation. |
| (D.2) Previous evaluations and other reports |
| <p>First Mid-term meta evaluation of IPA I http://ec.europa.eu/enlargement/pdf/financial_assistance/phare/evaluation/20110912_meta_eval_final.pdf</p> <p>Second Interim evaluation of IPA I http://ec.europa.eu/enlargement/pdf/financial_assistance/phare/evaluation/2013/ipa_interim_meta_evaluation_report.pdf</p> <p>Third Interim evaluation of IPA I assistance http://ec.europa.eu/enlargement/news_corner/key-documents/index_en.htm?key_document=08012624887c0cc9</p> <p>Evaluation to support the preparation of pre-accession financial instruments beyond 2013 http://ec.europa.eu/enlargement/pdf/financial_assistance/phare/evaluation/20110912_final_report.pdf</p> <p>Interim evaluation of CBC programmes IPA I http://ec.europa.eu/enlargement/pdf/financial_assistance/phare/evaluation/20120304_2_cbc_wb_1_en.pdf http://ec.europa.eu/enlargement/pdf/financial_assistance/phare/evaluation/20120304_2cbc_wb_2_en.pdf</p> <p>Annual IPA reports 2007-2013 http://ec.europa.eu/enlargement/news_corner/key-documents/index_en.htm?key_document=08012624887c0cc9</p> <ul style="list-style-type: none"> - Other relevant studies, evaluations, related to IPA performance : http://ec.europa.eu/enlargement/index_en.htm - Annual Enlargement packages http://ec.europa.eu/enlargement/index_en.htm - 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) |
| Not applicable |
| (D.4) Consultation |
| <p>The aim of the consultation strategy is to gather opinions from relevant stakeholders on the IPA II 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"> - IPA II Beneficiaries - EU Member States - European and national parliaments - International organisations and other donors presented in the IPA II beneficiaries - Civil society organisations and local authorities - Private and academic sector - Relevant EU expert groups |

Having regard to 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 and field phases. 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. It will entail an internet based public consultation with a questionnaire and direct interaction with stakeholders via meetings. 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 field trip visits, surveys, desk interviews.

E. Other relevant information/ remarks

Not applicable