

EVALUATION ROADMAP			
TITLE OF THE EVALUATION	Evaluation of the European Neighbourhood Instrument (ENI) 2014-2020 in support of the Mid-term review		
LEAD DG RESPONSIBLE UNIT	NEAR DG NEAR A3 (EVALUATION LEAD)	DATE OF THIS ROADMAP	October 2015
TYPE OF EVALUATION	Evaluation Mid-term Mixed	PLANNED START DATE	1 st quarter 2016
		PLANNED COMPLETION DATE	2nd quarter 2017
		PLANNING CALENDAR	http://ec.europa.eu/smart-regulation/evaluation/index_en.htm
This indicative roadmap is provided for indicative purposes only and is subject to change.			

A. Purpose
(A.1) Purpose
<p>This evaluation will assess the European Neighbourhood Instrument (ENI)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 ENI 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-ordinate</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 ENI 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>

B. Content and subject of the evaluation

¹ Regulation (EU) No 232/2014, 11.3.2014 <http://eur-ex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2014:077:0027:0043:EN:PDF>

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.1) Subject area

The European Neighbourhood Policy (ENP) was designed in 2003 (Communication 'Wider Europe'⁴) to develop closer relations between the EU and its neighbouring countries.

Under the ENP, the Union offers to its neighbours a privileged relationship, building upon a mutual commitment to, and promotion of, the values of democracy and human rights, the rule of law, good governance and the principles of a market economy and sustainable and inclusive development. The level of ambition of the relationship depends on the extent to which these values are shared. The ENP includes political association and deeper economic integration, increased mobility and more people-to-people contacts, particularly through visa facilitation and readmission agreements, and, on a case-by-case basis, through visa liberalisation. The ENP also offers to its partners a very concrete set of opportunities through its sector policies. These cover a broad range of issues, reaching from employment and social policy, trade, industrial and competition policy to agriculture and rural development, climate change and environment. They include energy security, transport, research and innovation, as well as support to health, education, culture and youth.

Over the past twelve years, there have been significant political developments in the neighbourhood.

The ENP was last reviewed in 2011⁵ to design a response to the events of the Arab Spring. However, today's neighbourhood is less stable than it was twelve years ago

In response to the significant challenges in the neighbourhood, the ENP review has been launched in early 2015 to ensure that the ENP can, in the future, support more effectively the development of an area of shared stability, security and prosperity with our partners and to explore whether the special 'relationship' is reaching its full potential, and what can be done to strengthen it in the interest of both the EU and its partners. Therefore findings that fed into the ENP review related to financial cooperation should be taken into account by this evaluation.

The European Neighbourhood Instrument (ENI) 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), 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

The Regulation, consistent with Article 8⁶ of the Treaty on European Union (TEU), establishing the European Neighbourhood Instrument (ENI) aims to advance further towards an area of shared prosperity and good neighbourliness involving the Union and the neighbourhood countries and territories by developing a special relationship founded on cooperation, peace and security, mutual accountability and a shared commitment to the universal values of democracy, the rule of law and respect for the human rights in accordance with the TEU.

The European Neighbourhood Instrument (ENI)⁷ was established in 2014, replacing the European Neighbourhood and Partnership Instrument ENPI⁸, in order to support the implementation of political initiatives that have shaped the ENP: the Eastern Partnership between the Union and its eastern neighbours, the Partnership for Democracy and Shared Prosperity and the Union for the Mediterranean in the southern neighbourhood.

Union support under the ENI Regulation is used for the benefit of partner countries and the areas involved in cross-border cooperation, as well as for common benefit of the Union and partner countries. Union support under the ENI provided to each partner country shall be incentive-based and differentiated in form and amounts, taking into account needs, commitment to and progress in implementing mutually agreed political, economic and social reform objectives, commitment to and progress in building deep and sustainable democracy, partnership with the Union, including level of ambitions for that partnership, absorption capacity and the potential impact of Union support. The incentive-based approach shall not apply to support to civil society, people-to-people contacts, support for the improvement of human rights, or crisis-related support measures.

Union support is also used for the purpose of enabling the Russian Federation to participate in cross-border cooperation, in regional cooperation with Union participation and in relevant multi-country programmes, including in cooperation on education, in particular student exchanges.

⁴ http://eeas.europa.eu/enp/pdf/pdf/com03_104_en.pdf

⁵ http://eeas.europa.eu/enp/pdf/pdf/com_11_303_en.pdf

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

⁷ <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2014:077:0027:0043:EN:PDF>

⁸ <http://eur-lex.europa.eu/legal-content/EN/TXT/HTML/?uri=URISERV:r17101&from=EN>

Overall objective:

The Union promotes, develops and consolidates the values of liberty, democracy, the universality and indivisibility of, and respect for, human rights and fundamental freedoms, and the principles of equality and the rule of law, on which it is founded, through dialogue and cooperation with third countries and in compliance with those values and principles, as well as with the Union's commitments under international law.

The Union support shall focus on promoting enhanced political cooperation, deep and sustainable democracy, progressive economic integration and a strengthened partnership with societies between the Union and the partner countries and, in particular, the implementation of partnership and cooperation agreements, association agreements or other existing and future agreements, and jointly agreed action plans or equivalent documents.

Specific objectives:

The Union support shall target

1. promoting human rights and fundamental freedoms, the rule of law, principles of equality and the fight against discrimination in all its forms, establishing deep and sustainable democracy, promoting good governance, fighting corruption, strengthening institutional capacity at all levels and developing a thriving civil society including social partners;
2. achieving progressive integration into the Union internal market and enhanced sectoral and cross-sectoral cooperation, including through legislative approximation and regulatory convergence towards Union and other relevant international standards, and improved market access including through deep and comprehensive free trade areas, related institution-building and investment, particularly in interconnections;
3. creating conditions for the better organisation of legal migration and the fostering of well-managed mobility of people, for the implementation of existing or future agreements concluded in line with the Global Approach to Migration and Mobility, and for the promotion of people-to-people contacts, in particular in relation to cultural, educational, professional and sporting activities;
4. supporting smart, sustainable and inclusive development in all aspects; reducing poverty, including through private-sector development, and reducing social exclusion; promoting capacity-building in science, education and in particular higher education, technology, research and innovation; promoting internal economic, social and territorial cohesion; fostering rural development; promoting public health; and supporting environmental protection, climate action and disaster resilience;
5. promoting confidence-building, good neighbourly relations and other measures contributing to security in all its forms and the prevention and settlement of conflicts, including protracted conflicts;
6. enhancing sub-regional, regional and European Neighbourhood-wide collaboration as well as cross-border cooperation.

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

ENI INTERVENTION LOGIC

An area of shared prosperity and good neighbourliness involving the Union and the neighbourhood countries and territories by developing a special relationship founded on cooperation, peace and security, mutual accountability and a shared commitment to the universal values of democracy, the rule of law and respect for the human rights through enhanced political cooperation, deep and sustainable democracy, progressive economic integration and a strengthened partnership with societies between the Union and the partner countries.

ASSUMPTIONS:

EU organisational structures are in place and staff are sufficiently informed/have capacity to programme and implement funds. Beneficiary countries are willing and have strong commitments to implement reforms

ASSUMPTION: The existing political and security situation remain unchanged and there are no interruptions due to natural disasters.

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

1. improved human rights, rule of law, principles of equality, fight against discrimination, deep and sustainable democracy, good governance, institutional capacity and enhanced civil society;
2. enhanced integration into the Union internal market through deep and comprehensive free trade areas;
3. improved conditions for legal migration and mobility of people;
4. improved smart, sustainable and inclusive development; private-sector development; capacity-building in science and education; internal cohesion; rural development; public health; environmental protection, disaster resilience; reduced poverty;
5. enhanced good neighbourly relations contributing to security;
6. enhancing (sub-)regional, and ENI-wide collaboration and cross-border cooperation.

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 the different ENI programmes (bi-lateral, regional etc.). 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.

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 ENI, taking into account the evolving international context and EU priorities. It will cover the implementation of the principles, programming and operations of the ENI up until 30 June 2017 both from a process and results point of view. Given the limited operational evidence 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+ Regulation⁹ 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 ENI delivered the results it set out to deliver?
 - in relation to the objectives stated in the instrument, including in supporting modernisation and reforms in the partner countries
 - 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 ENI contributed to more coordinated forms of working, such as joint programming and pool funding? Has the instrument been flexible enough to respond to rapidly evolving political and economic developments in the neighbourhood ?
3. What is the added value of an EU level intervention compared to interventions by Member States or other donors, including the private sector, on their own?
4. Scope for simplification: are there areas, such as management and implementation procedures and institutional setting, 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 ENI programmes 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 ENI 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 ENI was designed? Is the ENI 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 ENI contributed to the Union's priorities for smart, sustainable and inclusive growth? How likely are effects to last once the ENI programmes end?
8. Leverage: to what extent have the ENI funds levered further funds or engagement, including the private sector?
9. Impact: what has happened as a result of the ENI instrument? What are key factors influencing the achievements of results ? To which extent political and operational outputs and immediate results are the consequence of ENI interventions and policy dialogue?

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

(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 EU results 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 include reports from national ENI partner statistical services, EUROSTAT, the United Nations and the Organisation for Economic Co-operation and Development and other international organisations/foundations (World Bank, International Monetary Fund, World Economic Forum, Transparency International, and the like).

(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 ENPI, as other instruments, can be found at:
https://ec.europa.eu/europeaid/sites/devco/files/evaluation-cooperation-ec-legal-1292-main-report-201107_en_0.pdf
- Other more specific evaluations can be found at:
https://ec.europa.eu/europeaid/node/80199_en (Devco website) and
http://ec.europa.eu/enlargement/news_corner/key-documents/index_en.htm?key_document=08012624887bedda
(DG NEAR website)
- DEVCO Annual reports covering ENI actions until 2014 included:
https://ec.europa.eu/europeaid/annual-reports_en
- DG NEAR Annual reports covering ENI actions as of 2015:
http://ec.europa.eu/enlargement/index_en.htm
- *2015 ENP review: Joint Consultation Paper JOIN(2015) 6 final of 4 March 2015, <http://ec.europa.eu/enlargement/neighbourhood/consultation/consultation.pdf>, Joint Communication on ENP Review [TO BE ADOPTED], related Staff Working Document and the contributions received from stakeholders during the formal consultation phase (4 March – 30 June 2015)*
- *2015 Review of the European Neighbourhood Policy Communication (to be adopted on 18 November 2015)*
- *2015 Staff Working Document "Towards a new European Neighbourhood Policy" (to be adopted on 18 November 2015)*
- *Annual ENP packages*
- Annual reports on the EU'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)

Not applicable

(D.4) Consultation

The aim of the consultation strategy is to gather opinions from relevant stakeholders on the ENI 2014-2020 at its mid-point. It may also be necessary to use the consultation to gather objective data.

Stakeholders for this evaluation may include (a more detailed mapping of stakeholders will be completed at a later stage):

- Partner countries (governments and other stakeholders)
- 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

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 inception 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 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

Further evidence may be obtained through field trip visits, surveys, desk interviews.

E. Other relevant information/ remarks

[e.g. comments on scope, further detail on communication activities or validation exercises]