

EVALUATION AND FITNESS CHECK (FC) ROADMAP			
TITLE OF THE EVALUATION/FC	Evaluation of EU Policy Coherence for Development		
LEAD DG RESPONSIBLE UNIT	DEVCO 04	DATE OF THIS ROADMAP	03 / 2016
TYPE OF EVALUATION	Evaluation	PLANNED START DATE	02 / 2016
	Interim	PLANNED COMPLETION DATE	01/ 2018
	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>The evaluation shall assess to what extent the European Union has taken account of the objectives of development cooperation in the policies that it implements which are likely to affect developing countries and to what extent this has contributed to poverty reduction and sustainable growth in line with Article 208 of the Treaty on the Functioning of the EU (TFEU). It will give particular attention to the relevance of "Policy Coherence for Development" (PCD), its effectiveness and efficiency and the improvement of coherence among EU policies, in favour of development. The EU added value will also be assessed in the perspective of its coordination role between EU and its Members States and the results achieved.</p> <p>It should take stock of the lessons learnt and provide recommendations to improve the EU's actions to ensure stronger PCD by avoiding contradiction and increasing synergies between different EU policies.</p>
(A.2) Justification
<p>An evaluation of PCD responds to Council demands for an independent assessment notably in May 2012¹ and December 2013². It also addresses the demand expressed by the European Parliament in March 2014³. Both institutions have asked for "independent assessment of progress" and to look at the development impact of key policies. They have also called for "relevant baselines, indicators and targets [...] for measuring the impact of PCD in a way which demonstrates clear development results" including "through thematic PCD case or country studies".</p> <p>Moreover, in his Introductory Statement to the European Parliament (29/09/2014), Neven Mimica, Commissioner in charge of International Cooperation and Development, placed greater coherence among all EU's policies in favour of development as a must and expressed his commitment to further improve policy coherence for development, as the third priority of his mandate⁴.</p>

¹ http://www.consilium.europa.eu/uedocs/cms_data/docs/pressdata/EN/foraff/130225.pdf

² http://www.consilium.europa.eu/uedocs/cms_data/docs/pressdata/EN/foraff/140063.pdf

³ <http://www.europarl.europa.eu/sides/getDoc.do?type=TA&language=EN&reference=P7-TA-2014-0251>: European Parliament resolution of 13 March 2014 on the EU 2013 Report on Policy Coherence for Development (2013/2058(INI))

⁴ The other two being: achieve an ambitious post-2015 millennium goals framework; negotiate and launch a post-Cotonou framework

B. Content and subject of the evaluation

(B.1) Subject area

Policy coherence for development was first integrated in EU fundamental law in 1992 and further reinforced in the Treaty of Lisbon which entered into force in December 2009 and which paragraph 2 of Article 208(1) TFEU states that "**Union development cooperation policy shall have as its primary objective the reduction and, in the long term, the eradication of poverty. The Union shall take account of the objectives of development cooperation in the policies that it implements which are likely to affect developing countries.**"

Over the years the EU has gradually strengthened its work on PCD procedures, instruments and mechanisms. In 2005, it committed to follow up on progress in PCD in twelve policy areas, namely: trade, environment, climate change, security, agriculture, fisheries, social dimension of globalisation, employment and decent work, migration, research and innovation, information society, transport and energy.⁵

In 2009, striving for a more operational and targeted approach to PCD, the EU decided to cover the 12 policy areas mentioned above under five PCD challenges. These include 1) Trade and Finance, 2) Addressing climate change, 3) Ensuring global food security, 4) Making migration work for development and 5) Strengthening the links and synergies between security and development in the context of a global peace building agenda.⁶

At EU level, various networks and stakeholders are engaged in the implementation and follow-up of PCD commitments. The European Commission coordinates the policy debate on PCD with the other EU institutions, Member States and civil society organisations. The Commission meets twice a year with an informal group of PCD contact points from EU Member States to share information on PCD priorities and good practices at the EU level. The Commission monitors progress on the promotion of PCD at EU level. The outcome of this work is mainly the biennial EU Report on Policy Coherence for Development⁷. The first report was released in 2007. The most recent one was published on 3 August 2015 covering the period 2013-2015. In addition, a PCD Work Programme was adopted for the period 2010-2013. It translated the political principle of PCD into an operational framework and guided the work of the Commission and the High Representative and served as a reference for Member States' PCD work. Every PCD report is under scrutiny of the Council (see latest Council conclusions⁸) and, since 2010, of the Parliament (see latest Parliament Resolutions⁹).

The EU also promotes discussions about PCD at the international level, in dialogues with partner countries and engagements with international organisations (e.g. the OECD) in this area. During negotiations of the post-2015 agenda, the EU actively promoted the inclusion of policy coherence and policy coherence for development as an essential element of the Means of Implementation of the agenda.

(B.2) Original objectives of the intervention

The primary objective of the EU's development cooperation policy is poverty reduction and, in the long term, its eradication.

PCD is pursued to help ensure that EU policies are consistent with and support development objectives. PCD has evolved from trying to minimise the adverse impact that public policies can have on developing countries to a broader approach which includes seeking mutually reinforcing policies and integration of development concerns across other EU policies.

⁵ [2005 Council Conclusions](#)

⁶ [2009 Council Conclusions](#)

⁷ http://ec.europa.eu/europeaid/policies/policy-coherence-development_en

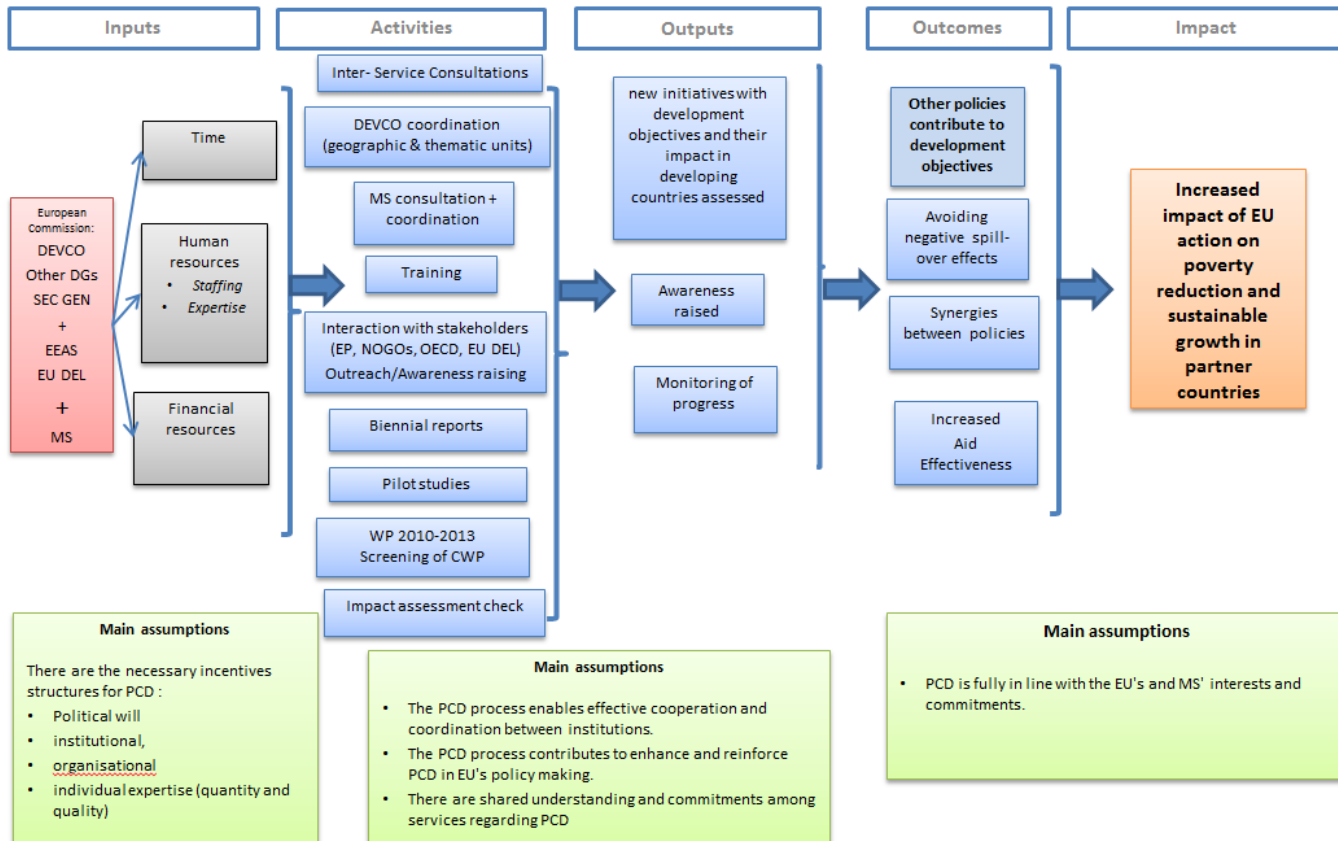
⁸ http://www.consilium.europa.eu/uedocs/cms_data/docs/pressdata/EN/foraff/140063.pdf

⁹ <http://www.europarl.europa.eu/sides/getDoc.do?type=TA&language=EN&reference=P7-TA-2014-0251>

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

As PCD does not include specific intervention logic, one has been drawn as a basis for further discussion and validation with the main stakeholders. The evaluation will validate the intervention logic, go through it and test, inter alia, the main assumptions made when going through the logical chain from activities to outcomes and, if possible, to impact.

Draft Intervention Logic of PCD
Legal commitment – TFEU Art. 208



C. Scope of the evaluation/FC

(C.1) Topics covered

The evaluation is intended to assess: (1) both tools and mechanisms in place to enhance PCD; (2) the influence they have had on EU initiatives / policies and (3) the outcomes and impact in third countries, mainly developing ones integrating the differentiated approach of the development policy which establishes the focus on LDCs and other countries most in need.

The evaluation has three levels:

(1) Implementation and functioning of these tools and instruments will be evaluated for the five PCD challenges. As part of this process a mapping of policy or other initiatives will be established and a sample of initiatives under each 5 PCD challenge will be proposed for closer review at the next level.

(2) Evaluation of the outputs of PCD process on selected EU initiatives. This will consist of an in-depth analysis of the outputs produced by PCD tools and mechanisms in the selected initiatives. A more limited number of case studies will then be proposed among the initiatives / policies that have been influenced

positively by the use of PCD mechanisms for evaluation of the outcome and impact. These examples will be agreed by the Interservice Steering Group (ISG) that will follow the evaluation.

(3) Evaluation of the outcomes and impact levels will be done in the field for some case studies.

Criteria to be applied to choose the case studies will include: strength of link with development priorities (poverty reduction, sustainable economic development, MDGs); Expected availability of information both in the EU and in the field including independent studies available on the subject; availability of concrete PCD outputs to be able to explore further causality links to outcome and impact (see below).

2009 being the starting year of the current approach to PCD, including the follow-up according to the five PCD challenges, the evaluation period will be 2009-2015.

(C.2) Issues to be examined

The evaluation will deal with the comprehensive chain of results from outputs to outcomes (and, if possible, impacts). The evaluation should answer three types of core questions.

1. Has the Commission put in place and used foreseen institutional procedures, instruments and mechanisms to take into account the objectives of development cooperation in the design and implementation of EU initiatives / policies that affect developing countries in order to avoid harm or unintended effects and /or to increase synergies among EU policies? What progress has been made in this regard during the evaluation period? What are the failures?

This is the process oriented part of the evaluation on institutional mechanisms likely to hinder or facilitate the promotion of PCD. It will cover all five challenges.

This will address the Evaluation Criteria of Coherence and Efficiency.

2. What have been the results of the utilisation of these mechanisms, e.g. how far there have been changes in existing or foreseen new initiatives / policies and related texts or implementation modalities likely to improve PCD (by better taking account or not the objectives of development cooperation by eliminating inconsistencies, and whenever possible generating synergies thereby creating a more conducive environment for developing countries)?

The answer to the second core question will be based on the findings related to the core question 1, once it is known how and where PCD tools have worked more or less efficiently. Based on those findings, the evaluators will propose to the ISG some relevant initiatives / policies to be analysed. Final decision will be taken by the ISG.

This question provides information on results achieved at outputs level but remains focused on EU actions and policies.

This will address the Evaluation Criterion of Effectiveness.

3. What have been the outcomes and impacts of the changes in EU's policies and actions (e.g. avoided negative side effects, effective synergies between different policies and actions, additional benefits in the field) in developing countries?

This question will try to provide information on the objective of PCD (at outcome and impact level) by choosing some concrete examples based on available studies and data in partner countries. Taking into account the difficulties the evaluators will face to find robust evidence on the relationship (or not) between PCD and results at outcomes and impact levels, it is proposed to provide some examples at partner countries level when possible and if appropriate.

This will address the Evaluation Criteria of Effectiveness and Impact.

The answer to the third core question will be based on the findings related to the core question 2: initiatives / policies with proven causality link between applied mechanisms and policy formulation. Based on those findings, the evaluators will propose to the ISG some relevant sub-areas and countries to be analysed. Final decision will be taken by the ISG.

Eventually, the evaluation will give a judgement on EU Added Value resulting from the EU intervention(s) compared to what could be achieved solely by Member States and on the Relevance of the objectives of PCD to respond to past and current PCD challenges.

(C.3) Other tasks
N/A
D. Evidence base
(D.1) Evidence from monitoring
<ul style="list-style-type: none"> - Policy Coherence for Development Work Programme (2010-2013) - Biennial EU Reports on Policy Coherence for Development 2011, 2013, 2015 - Related Council Conclusions - Related Parliament Resolutions http://ec.europa.eu/europeaid/policies/policy-coherence-development_en - Minutes of various meetings within EU institutions, with Member States, international organisations and other stakeholders
(D.2) Previous evaluations and other reports
<ul style="list-style-type: none"> - Data will as well be used from the following sources (non-exhaustive)¹⁰: <ul style="list-style-type: none"> - European Commission (Services concerned by the 5 PCD challenges) and EEAS, including impact assessments done in relevant areas and Interservice Consultation documents relevant to policy initiatives, e.g. 2012 Trade, Growth and Development Communication, TGD (Trade, Growth and Development) Report 2016. on PCD), - Reports by Member States on PCD, - OECD/DAC Peer Review of the European Commission/European Union, - Other OECD Documents (methodology studies and reports), - Reports and papers by think-tanks, NGOs, etc. - Existing geographic (country and regional) evaluations¹¹. A review of these evaluations will be undertaken by external consultants.
(D.3) Evidence from assessing the implementation and application of legislation (complaints, infringement procedures)
Not applicable
(D.4) Consultation
<p>Stakeholders: EU institutions (i.e. Council, European Parliament), EU Member States, civil society organisations, academia, think-tanks, private sector</p> <p><u>Stakeholder consultation</u></p> <p><u>Inception and desk phase</u></p> <ul style="list-style-type: none"> ✓ During the inception and desk phases, the stakeholders will be consulted via phone/email/face to face discussions. The use of interviews, surveys, questionnaires and other tools will be considered and decided upon during the inception phase. Their contributions will be considered when finalising the Inception and Desk phase reports. ✓ Survey addressed to the Commission services, the experience of the Directorates General of the Commission in PCD will start during the desk phase in order to capture what is their involvement on PCD (knowledge, objectives, work done and estimated results...).

¹⁰ http://ec.europa.eu/europeaid/policies/policy-coherence-development_en

¹¹ https://ec.europa.eu/europeaid/node/80199_en

✓

Open Public Consultation on the Desk Report

- ✓ Once the Desk Report is finalised, an Open Public Consultation (OPC), as agreed by the ISG, will be launched. This OPC will present the main preliminary findings related to the Evaluation Questions, the topics for an in-depth analysis including agreed countries and methodology for the field visits. The OPC will ask for additional information and comments. Contributions are expected from EU Member States, civil society organisations, academia and think tanks, private sector, and the general public. The relevant results of the OPC will be integrated in the draft final report.

Field phase

- ✓ At the end of the desk phase a decision, as agreed by the ISG, must be taken on eight countries to visit as case studies to provide information on the contribution of PCD to observed outcomes and, if possible, impacts (changes in the life of the final beneficiaries). The evaluators will meet the main stakeholders in the partner countries. Interviews, focus groups, small workshops will be organised. After the conclusion of the field missions, debriefing sessions will be organised with the staff from the respective Delegations including representatives from Member States and with the members of the ISG in Brussels.

Dissemination

- ✓ A dissemination seminar will be organised in Brussels on the basis of the Final Report once the evaluation will have been completed and agreed by the ISG.

(D.5) Further evidence to be gathered

N/A

E. Other relevant information/ remarks