FINAL EVALUATION OF THE PROGRAMME "NON STATE ACTORS AND LOCAL AUTHORITIES"

Letter of Contract N°2012/305551

FINAL REPORT: Volume 2 – Annexes

Prepared by
Adam Novak
Stefano Verdecchia
Elena Economou
Agnes Rajacic

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VOLUME 2: Annexes

This final report is made up of 2 volumes.

ABBREVIATIONS AND ACRONYMS

ACP	African, Caribbean and Pacific	EU	European Union
ALA	Association of Local Authorities	FA	Full Application
CfP	Call for Proposals	FP	Full Proposal
CSO	Civil society organisation	HQ	Commission Headquarters
CRIS	Common External Relations Information System	JC	Judgement Criteria
		LA	Local Authority
CSP	Country Strategy Paper	MDG	Millennium Development Goals
DCI	Development Cooperation Instrument	MS	Member State of the European Union
DEAR	Development Education/Awareness Raising	MTR	Mid-Term Review
		NGO	Non-governmental Organisation
DEEEP	Development Education Exchange in Europe	NMS	New Member State
		NSA	Non-State Actor
DEVCO	EuropeAid Cooperation Office DG DEV Directorate General Development, European Commission	ODA	Official Development Assistance
		OECD	Organization for Economic Co-operation and Development
EC	European Commission	OECD DAC	OECD Development Assistance Committee
EU	European Union		
EUD	European Union Delegation	OMS	Old Member States
EQ	Evaluation question	OVI	Objectively Verifiable Indicators
DCI	Development Cooperation Instrument	PCM	Project Cycle Management
		ROM	Results-Oriented Monitoring
EDF	European Development Fund	ToR	Terms of Reference
ENPI	European Neighbourhood Policy Instrument		

ANNEX 1: TERMS OF REFERENCE

Specific Terms of Reference

Final Evaluation of the Programme

"Non State Actors and Local Authorities"

FWC COM 2011 - LOT 1

Request for Services N. DCI-NSA/2012/305-551

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1. BACKGROUND

The Thematic Programme "Non-State Actors and Local Authorities in Development" (NSA-LA) entered into force on 1 January 2007 in the framework of the Development Cooperation Instrument (DCI); replacing the "Co-financing with European NGOs" and "Decentralised cooperation" budget lines. It has its legal basis in article 14 of the DCI Regulation[1] and is implemented by the Commission of the European Union (further referred to as 'Commission'). The programme has been allocated €1.567 million for the period 2007-2013.

It is an "actor-oriented" programme aimed at capacity building through support to own initiatives from non-state actors (NSA) and local authorities (LA) and their associations (ALA) originating from the EU and partner countries. The programme is implemented through:

- Multiannual Strategies, which define the Community's strategic priorities and allocation of funds. The current Multiannual Strategy covers the period 2011-2013[2].

- Annual Action Programmes, which translate the strategic priorities in concrete actions.

The current Multiannual Strategy identifies 3 specific objectives for the period 2011-2013:

Objective 1: Promoting an inclusive and empowered society in partner countries to facilitate non-state actors and local authorities' participation in poverty reduction and sustainable development strategies. Objective 1a covers in-country actions and Objective 1b covers multi-country actions.

Objective 2: Promoting awareness-raising and development education in the EU and acceding countries about development issues;

Objective 3: Facilitating the coordination and communication of NSA and LA networks in EU and acceding countries.

In accordance with Article 3 of the DCI Regulation, the Programme mainstreams the following cross-cutting issues: the promotion of human rights, gender equality, democracy, good governance, the rights of the child and indigenous peoples' rights, environmental sustainability and combating HIV/AIDS[3]. In addition, the Programme is, as stated by article 11 of the DCI Regulation, guided by the principles of subsidiarity and complementarity towards geographic programmes.

The Programme has significantly evolved in the last years. Recommendations from the Mid-Term Review of the Programme (MTR), the Mid-term Review of the financial instruments for external actions[4], the special report of the Court of Auditors on the Commission's management of non-state actors' involvement in EC cooperation[5], the evaluation of Commission aid channelled through civil society organisations[6] and the evaluation of

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[1] http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2006:378:0041:0071:EN:PDF
[2] http://ec.europa.eu/europeaid/how/finance/dci/documents/nsa-la_strategy_2011-2013_-_en.pdf
[3] The cross-cutting issues are those of the European Consensus on Development (Article 101)
[4] Commission Staff Working Document – Report evaluating the implementation of the financial instruments for external relations, http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=SEC:2009:0530:FIN:EN:PDF
[5] Special Report No 4/2009 The Commission's management of non-state actors' involvement in EC Development Cooperation
[6] http://ec.europa.eu/europeaid/how/evaluation/evaluation_reports/2008/1259_docs_en.htm

awareness-raising and development education initiatives[7] were taken into consideration when drafting the current Multiannual Strategy 2011-2013.

As a result, for Objective 1a – in-country interventions – EU Delegations were given the possibility to better define priorities and target actors at country level. New aid modalities have been introduced in addition to the standard calls for proposals and efforts have been made to better reach local actors. For Objective 1b – multi-country interventions – a more strategic approach has been initiated to reach regional, continental and global networks of non-state actors and local authorities.

Under Objective 2, the approach to Development Education and Awareness Raising (DEAR) has been made much more strategic based on conclusions of the study conducted by the Commission in 2010[8], a participatory strategy definition exercise that resulted in a clearer focus on two distinct modes of intervention: global learning (within and outside the formal education system) and awareness raising. There is also emphasis on the European dimension of the actions implemented and their complementarity with the interventions of the Member States in this field. In the case of European LA and ALA, the focus is on fostering changes in public policies connected to development issues, where LA have institutional responsibilities and competences. A staff working paper has been produced recently to contribute to the elaboration of the upcoming DEAR multi-annual strategy.

Under Objective 3, an internal research has been initiated to better identify and understand the key platforms and networks working at European and/or global level and their interrelations. Interventions have been focused on capacity-building/structuration of networks of NSA and LA and institutional dialogue.

In parallel, the EU has significantly strengthened its engagement with non-state actors, now referred to as Civil Society Organisations (CSO), and Local authorities over the last years. The communication on "Increasing the impact of EU Development Policy: an Agenda for Change"[9], issued in October 2011, calls for a concentration of EU development cooperation in support of human rights, democracy and other key elements of good governance, as well as on inclusive an sustainable growth for human development. It recognizes the key role CSO and LA play in development and acknowledges the importance of supporting *"the emergence of an organised civil society able to act as watchdog and partner in dialogue with national governments"*. The communication on "The future approach to EU budget support to third countries"[10] underlines the key role CSO and LA should play in participatory budget approaches, particularly in strengthening domestic accountability.

The communication on "The roots of democracy and sustainable development: Europe's engagement with Civil Society in external relations"[11], issued in September 2012, further develops the provisions relating to CSO in the Agenda for Change and builds on the

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[7] Evaluation of Actions to Raise Public Awareness of Development Issues in Europe/Development Education: http://ec.europa.eu/europeaid/what/civil-society/documents/de-ar_evaluation2008.pdf

[8] Study on the Experience and Actions of the Main European Actors active in the field of Development Education and Awareness Raising: https://webgate.ec.europa.eu/fpfis/mwikis/aidco/index.php/DEAR:_Development_education_and_awareness_raising

[9] COM (2011) 637: http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2011:0637:FIN:EN:PDF, Council Conclusions 9316/12: http://register.consilium.europa.eu/pdf/en/12/st09/st09369.en12.pdf

[10] COM (2011) 638: http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2011:0638:FIN:EN:PDF

[11] Communication on civil society: http://ec.europa.eu/europeaid/news/2012-09-19_enhancing-democracy_en.htm

worldwide Structured Dialogue with CSO and LA in EU development cooperation[12] concluded in 2011. The communication highlights the importance of promoting an environment in partner countries conducive to the involvement of CSO in domestic policies, in programming of EU assistance and international processes, and the need to develop CSO capacities to perform this role more effectively. The communication also highlights the role of networks and alliances acting at the regional and global levels to tackle transnational and global challenges as well as the role of CSO' active at European and global level in the promotion of global citizens' awareness.

Furthermore, the Commission is preparing the future EU policy of support to LA in the field of development cooperation. The new policy will be released through a Communication in early 2013. In preparation of this Communication, EuropeAid has produced an Issue Paper on the issues at stake in the international arena in relation to the roles that LA and Associations of Local Authorities (ALA) can play in matters of governance and development. A series of consultations have been organised from August to December 2012 with representatives of LA and ALA from the EU and partner countries and other relevant stakeholders.

These policy developments will be integrated in the successor of the NSA-LA Programme, the new thematic programme "Civil Society Organisations and Local Authorities" currently under formulation for the period of the Multi-annual Financial Framework (2014-2020)[13].

2. DESCRIPTION OF THE ASSIGNMENT

2.1 Global objectives

Systematic and timely evaluation of its programmes is a priority of the Commission. The focus is on the results and impact of these programmes against a background of greater concentration and differentiation of external co-operation as well as an increasing emphasis on result-oriented approaches, particularly in the context of the Agenda for Change.

The final evaluation of the Thematic Programme "Non State Actors and Local Authorities in Development" is carried out on the basis of Article 33 of the DCI Regulation. It follows the Mid-Term Review of the Programme launched in 2009 as mentioned before.

The global objectives of this final evaluation are:

- to be accountable and to provide the relevant services of the Commission and the relevant EU institutions as well as the wider public with an overall independent assessment of the Programme's implementation;

- to identify key lessons in order to feed the formulation and implementation of the new thematic programme "Civil Society Organisations and Local Authorities".

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[12] Structured Dialogue: http://ec.europa.eu/europeaid/who/partners/civil-society/structured-dialogue_en.htm

[13] Proposal for the new Regulation:
http://ec.europa.eu/europeaid/how/finance/documents/prop_reg_instrument_dev_coop_en.pdf

The main **user** of the outputs of the evaluation will be the Commission. The Commission shall associate all relevant stakeholders, including non-state actors and local authorities, in the evaluation of the assistance provided under the Programme.

2.2 Specific objectives and scope

The **specific objectives** of this final evaluation are:

- to assess the implementation of the NSA-LA Programme and in particular its relevance, efficiency, effectiveness, impact and sustainability against the objectives of the Strategy Papers and the Annual Action Plans;

- to assess the overall performance and impact of the interventions funded so far in the framework of the Programme;

- to identify key lessons and recommendations from the programming, management and support delivered under the NSA-LA Programme.

The **temporal scope** of the evaluation covers all activities implemented under the Programme during the period 2007-2013. The methodology for the evaluation should take **the different cycles** of the Programme into account as follows:

- for the **past cycle** (Strategy Paper 2007-2010), the main focus should be on the first results and impacts achieved as well as their sustainability;

- for the **current cycle** (Strategy Paper 2011-2013), the main focus should be on the first results of the adjustments introduced on the basis of lessons learnt from the previous cycle and the evolution of the policy context;

- for **future programming**, the evaluation should guide the formulation of the new Strategy Paper for the period (2014-2017).

The **thematic scope** of the evaluation is framed by the legal basis and the programming documents, and covers all activities implemented under the Programme. However, the methodology – in particular the data collection methods - should propose differentiated approaches for **the different objectives** of the Programme as per the following considerations:

- Objective 1 represents 83% of the total resources allocated to the Programme, and covers almost exclusively objective 1a (actions in partner countries) with over 1,000 projects managed in EU Delegations. The evaluation for this objective will be implemented through a desk study, building on the abundant existing documentation (Mid-Term Review, monitoring reports, country evaluations…) completed with the knowledge and experience available in Delegations. Data from a representative sample of each region (ACP, Asia, Latin America and Neighbourhood) should be collected from EU Delegations and grant beneficiaries (European and local CSO & LA) through on-line consultations.

- Objective 1b (multi-country actions in partner countries) concerns a small proportion of Objective 1 funds (10 to 15%) and its initially wide approach has been streamlined following the recommendations of the Mid-Term Review. The 19 actions selected under the revised approach – strategic support to regional, continental and global

networks – have started too recently to allow for data collection in the field. Therefore the evaluation for this objective will also be carried out with a desk study focusing on the evolution from the "old" to the "new" interventions, completed with and on-line consultation to a representative sample of grant beneficiaries (around 80 projects in total).

- – Objective 2 (development education and awareness-raising in Europe) supports interventions in EU Member States, most of them multi-country, and represents around 14% of the total funds of the Programme. This objective should be included in both desk and field phases, with visits to at least 25 to 30 projects. The project visits should be selected on the basis of a representative sample including "old" and "new" Member States, educational and advocacy projects as well as non-state actors and local authorities. The data collection in the field should be completed by an on-line consultation to a representative sample of grant beneficiaries (around 200 projects in total).

- – Objective 3 (coordination and communication between networks in Europe) supports networks in Europe and represents 2.5% of the total funds. Practically all interventions are multi-country and concern 8 Member States on average. This objective should also be included in both desk and field phases, with visits to at least 10 to 15 projects. Project visits should include networks selected through calls for proposals in both "EU 15" and "EU 12" Member States[14], direct awards related to the EU Presidency, the European platform of local authorities as well as Concord, European NGO confederation for relief and development (whose operating grants have been recently audited and evaluated[15]). The data collection in the field should be completed by an on-line consultation to a representative sample of grant beneficiaries (around 30 projects in total).

Under each objective, the specific issues pertaining to **Local Authorities** should be given particular attention. Under objectives 2 and 3, the differences between projects led by **"old" and "new" Member States** should be analysed.

As per article 33 of the DCI regulation, attention shall be given to social sectors and to the Programme's contribution to progress made towards achieving the MDGs.

The evaluation should also take into account and be responsive to the update of the **policy framework** for CSO in development – as mentioned in the background section – and in particular the Agenda for Change, the Conclusions of the Structured Dialogue, the recently published Communication on Civil Society in external relations as well as the on-going preparation work for the future Communication on LA in development (consultations on the Issue Paper).

2.3 Requested services, including suggested methodology

The overall **methodological guidance** to be used is available on the web page of EuropeAid's Joint Evaluation Unit:
http://ec.europa.eu/europeaid/how/evaluation/introduction/introduction_en.htm

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[14] "EU 12" are the Member States which joined the EU in 2004 and 2007.
[15] Financial Audit and Evaluation concerning operating grants to Concord a.i.s.b.l., Ernst & Young, Final Report July 2010

The Consultants are requested to adapt the standard methodology to the specific characteristics of the NSA-LA Programme as appropriate.

They should in principle assess the following:

– the relevance and coherence[16] of the Programme for the whole period (at the strategic level);

– the consistency between programming and implementation for the same period;

– the value added[17] of the Programme (at both the strategic and implementation levels), in particular against the principles of subsidiarity and complementarity towards geographic and other thematic programmes and instruments, as stated by article 11 of the DCI Regulation;

– the 3Cs: coordination and complementarity of the Programme with other donors' interventions (focusing on EU Member States); and coherence[18] between the interventions in the field of development cooperation and other Commission policies that are likely to affect the target groups;

– whether cross-cutting and key issues[19] (as mentioned in the background section) were actually taken into account in the programming documents and the extent to which they have been reflected in the implementation modalities; and what are the results of the interventions (both at a strategic and implementation level);

– whether the recommendations of the Mid-Term Review have been taken into account.

The evaluation will also provide a judgement on non-intended effects, which were not considered or planned for at the initial design of the programme, but which may be, already at this stage, judged to have unintended positive or negative effects on its implementation.

The evaluation will be based on a limited number of **evaluation questions** covering the seven evaluation criteria: relevance, effectiveness, efficiency, impact, sustainability (5 DAC criteria), coherence and the Commission's value added (2 EC criteria).

Besides the evaluation criteria, evaluation questions will also address: cross-cutting issues, the 3Cs, other key issues. The evaluation criteria and key issues will be given different emphasis based on the priority given to them within the evaluation questions. More information on the evaluation criteria, key issues and on the main principles for drafting evaluation questions can be found in annex 3.

Note that the objectives of the assignment refer to the overall Programme and not to the individual funded projects. Whereas the Consultant will have to consider the individual projects' performance (on a representative sample basis) the findings will nourish the evaluation criteria as per the Programme. In this sense, the Evaluation Team shall take stock and build upon the assessments and conclusions already carried out at project, sector or country level (external monitoring and evaluation reports) as well as the Mid-Term Review and other studies and evaluations relevant to the Programme. A non-exhaustive documentation list is provided in annex 1.

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[16] See annex 3.
[17] See annex 3.
[18] This definition of coherence refers to its definition under the 3Cs (see annex 3).
[19] The Consultants have to provide a well-argued proposal, highlighting which cross-cutting and key issues they recommend the evaluation to focus on.

Based on the information provided in these Terms of Reference, the framework contractors will include a proposed **methodology in their offer** of maximum 5 pages explaining their understanding of the Terms of Reference and proposing a specific methodology for the evaluation of the Programme.

2.4 Required outputs

Following the signature of the contract, the key outputs are[20]:

- – The inception report;
- – The desk report;
- – The draft final report;
- – The PowerPoint presentation for the restitution seminar; and
- – The final report.

NB: The evaluation will be managed by Unit D2 of EuropeAid (DEVCO D2) with the assistance of a **Reference Group**. For all reports, the Consultants may either accept or reject the comments made by the Reference Group, but in the case of rejection they must justify (in writing) the reasons for rejection.

Inception meeting

Following the signature of the contract, the Consultants will proceed to the structuring stage, which in turn leads to the production of an inception report.

The main part of the work consists in the analysis of all the key relevant documents regarding the Programme as well as all the available material at objective, country, sector or project level (evaluations, ROM reports, audits...)

On the basis of the information collected and analysed, the Consultants will propose evaluation questions with accompanying explanatory comments. The choice of the questions will determine the subsequent phases of information and data collection, elaboration of the methods for analysis, and the elaboration of final judgements. The Consultants will also identify appropriate judgement criteria.

A **meeting** will be held with the Reference Group to discuss:

- – the evaluation's central scope;
- – the methodology proposed by the Consultant;
- – the specific methodology for each objective of the Programme;
- – other possible important topics to be tackled;

and to validate:

- – the intervention logic according to official documents (and using logical diagrams);

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[20] The Consultants have to provide, whenever asked and in any case at the end of the evaluation, all relevant data gathered during the evaluation.

- the evaluation questions; and

- explanatory comments associated to each evaluation question (and when possible, judgement criteria will be indicated).

Upon validation by the Reference Group, the evaluation questions become part of the revised Methodology.

Inception report

At the end of the inception phase, the Consultants must deliver an **inception report,** based on the analysis of all the available documentation, which finalises the evaluation questions and judgement criteria and outlines the methodological design (including the indicators to be used, the strategy of analysis and a detailed work plan for the next stages).

The inception report contains the following elements:

- the background/context of the Programme;

- the intervention logic (both faithful and logically reconstructed);

- the validated evaluation questions;

- a limited number of appropriate judgment criteria per evaluation question;

- a limited number of quantitative and/or qualitative indicators related to each judgment criterion;

- a proposal outlining suitable working methods to collect data and information from the Commission's headquarters, EU Delegations and CSO and LA benefitting from the Programme, including the criteria for defining the relevant persons to be interviewed and the countries and sample of projects to be visited for objectives 2 and 3;

- the proposed questionnaires for the on-line consultations and list of Delegations and project beneficiaries to be consulted under objectives 1,2 and 3;

- a first outline of the strategy and the methods to analyse the collected data and information, indicating any limitations;

- a detailed work plan for the next stages.

Desk report

Upon approval of the inception report, the Consultants will proceed to the final stage of the desk phase. At the end of this phase, the Consultants will present a desk report setting out the results of this evaluation phase, including all the following elements:

- the evaluation questions with the agreed judgement criteria and their corresponding quantitative and qualitative indicators;

- progress in the gathering of data. The complementary data required for analysis and what data will be collected in the field must be identified;

- first analysis and first elements of an answer to each evaluation question (when available) and remaining assumptions to be tested in the field phase

- first analysis of the outcomes of the <u>on-line consultations</u> with Delegations and grant beneficiaries;

- an exhaustive list of all the activities covered during the period and an exhaustive list of all activities examined during the desk phase, bearing in mind that activities analysed in the desk phase must be representative;

- methodological design, including the evaluation tools that are ready to be applied in the field phase: (i) suitable methods of data collection, indicating any limitations, describing how the data could be cross-checked, and specifying sources for the data; (ii) appropriate methods to analyse the information, again indicating any limitations of those methods;

- a work plan for the field phase including <u>the list of persons to be interviewed and countries and projects to be visited</u>: a list with brief descriptions of activities for in-depth analysis in the field. The Consultants must explain their representativeness[21] and the value added of the planned visits.

The field visits cannot start before the Commission has approved the desk report.

Field reporting

The fieldwork shall be undertaken on the basis set out in the desk report, as approved by the Reference Group. The work plan and schedule of the field visits will be agreed in advance with the grant beneficiaries concerned. If during the course of the fieldwork it appears necessary to deviate from the agreed approach and/or schedule, the Consultants must ask the approval of the Commission before any changes can be applied.

At the conclusion of the field visits the Consultants will present their preliminary findings in a **de-briefing meeting** with the Reference Group.

Final reports and restitution seminar

Draft Final Report

The Consultants will submit the draft final report in conformity with the structure and format set out in annex 2. Comments received during the meeting with the Reference Group must be taken into consideration.

If DEVCO D2 considers the report to be of sufficient quality it will be circulated for comments to the Reference Group. If necessary, the Reference Group will convene to discuss it in the presence of the Consultants.

Restitution Seminar

The Consultants will make the appropriate amendments based on comments expressed by the Reference Group. The accepted draft final report will be presented in a seminar during a session of the Policy Forum on Development (PFD) in Brussels**.** The purpose of the seminar is to present the results, the conclusions and the preliminary recommendations of the evaluation to the participants of the PFD, which include CSO and LA, Commission services, EU institutions and Member States[22].

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[21] The representativeness must reflect the temporal and thematic scope as described under 2.2.

[22] The Policy Forum on Development aims at providing CSOs and LAs from the EU and partner countries with a space for multi-stakeholder dialogue and to ensure their effective consultation and contribution to the EU

The Consultants shall produce a short presentation (PowerPoint) for the seminar, synthesising the main results of the report and formatted in conformity with the Commission's new visual identity mentioned in annex 2. The presentation will be sent to the seminar participants in electronic format only and no paper documents will be distributed.

The presentation shall be considered as a product of the evaluation in the same way as the reports. Consultants shall produce minutes of the seminar; these minutes will also become a product of the evaluation.

Final Report

The Consultants will prepare the final report based on the comments expressed at the seminar and on the basis of further comments from the Commission including the Reference Group.

The presentation (PowerPoint) synthesising the results of the evaluation made at the seminar will be revised in accordance to the final report and annexed to it.

The Consultants will submit the final report according to the structure set out in annex 2.

The final report has to be approved by the Commission before being printed.

The evaluators have to hand over in the most appropriate format (electronic or paper) all relevant data gathered during the evaluation.

3. EXPERTS PROFILE AND EXPERTISE

3.1 Number of requested experts per category and number of man-days per expert

The following experts are required for this assignment:

- – One senior expert who will be the team leader;
- – A maximum of three junior experts to support the team leader in the different phases of the evaluation according to their thematic and geographic areas of expertise as described under 3.2.

Estimated number of working days for the Senior Expert: 70
Total estimated number of working days for all Junior Experts: 120

The distribution of work between the Junior Expert(s) and the allocation of working days among them, in line with the required outputs set out in these Terms of Reference, is left to the Consultant's judgment.

3.2 Profile or expertise required

Qualifications and skills required

The evaluation team must combine advanced knowledge and experience in:

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development policies and programmes. Other stakeholders include the EU Member States, the European Parliament, the European External Action Service, the Committee of the Regions, the European Economic and Social Committee and the European Investment Bank.

- evaluation methods and techniques in general – including the use of relevant IT tools - and, at least for the Senior Expert, evaluation in the field of external relations;

- development policies, social development and eradication of poverty, governance[23];

- development cooperation with civil society and local authorities;

- project management, in particular the Commission's funding modalities and instruments with relation to ACP countries, Asia and Latin America and the Neighbourhood countries;

- development education and awareness raising in Europe;

The following knowledge and experience will be considered an asset:

- experience with results oriented monitoring;

- experience with relevant cross-cutting issues;

- experience with gender mainstreaming;

- knowledge of procedures regarding EU-funded calls for proposals and grants;

- knowledge of thematic programmes, in particular Non State Actors and Local Authorities.

At least the Senior Expert should be fully familiar with the Commission's methodological approach (http://ec.europa.eu/europeaid/how/evaluation/introduction/introduction_en.htm) and have sound experience in managing evaluations of similar size and complexity.

It is highly recommended that the evaluation team should include experts with an in-depth local knowledge of the regions covered by Objective 1 of the programme.

Consultants must be independent from the activities evaluated. Conflicts of interests must be avoided.

Duration of professional experience

The Senior Expert must have at least 10 years of experience, including at least 5 years of field experience, 3 evaluations and 1 experience as a team leader.

The Junior Expert(s) must have each at least 3 years of experience, including at least 1 year of field experience and at least 1 evaluation or monitoring exercise.

3.3 Working languages

All experts must be fluent in English. Command of French, German and Spanish is required for the experts who will implement the on-line consultations and the field visits. Command of Portuguese would be an asset.

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[23] As per the list of sectors covered under Lot 1 of the framework contract COM 2011

4. LOCATION AND DURATION

4.1 Starting period

Following the signature of the contract, the assignment will start with the structuring stage that will lead to the preparation of the inception report. The indicative starting date is the 1rst of December 2012 and the actual starting date will be agreed upon in writing.

4.2 Foreseen finishing period or duration

The duration of this assignment, from the start of the structuring phase until the formal approval of the final report by the Commission, is estimated at 8 months. The indicative end date of the contract is 30 November 2013.

4.3 Planning

Please note that the duration and the phasing proposed in the work plan are **indicative**. The
Consultant may propose variations, including different involvement of the experts per phase.

The timing of activities will be set according to the following **indicative** work plan:

Evaluation Phases and Stages	Outputs	Dates (est.)	Meetings & Communications
Desk Phase			
Structuring Stage	Inception Report	December 2012	Inception meeting with Reference Group in Brussels
Inception Stage	Inception Report	December 2012	Formal approval of Inception Report
Desk Study & Online consultations	Desk Report	January 2013	Formal approval of Desk Report
Field Phase			
Field visits to at least 20 Member States	Draft Final Report	February & March 2013	Debriefing meeting with Reference Group in Brussels
Reporting Phase			
Drafting Stage	Draft Final report	April/May 2013	Formal approval of Draft Final Report
Restitution Stage	Power Point Presentation	May 2013	Restitution Seminar in Brussels
Final Reporting Stage	Final Report	June & July 2013	Formal approval of Final Report

4.4 Locations of assignment

The assignment will be carried out in Brussels, at the home bases of the different experts and in the countries of the European Union proposed for visits under objectives 2 & 3 of the Programme.

5. REPORTING

5.1 Content

The Consultants will submit the requested reports as described under requested under section 2.4 Required Outputs. For the structure and format of the final report, the Consultant shall refer to the instructions given in annex 2.

5.2 Language

The reporting language and the language of all outputs shall be English.

5.3 Submission/comments timing

The indicative maximum deadlines for comments from the Commission are the following:

- Draft inception report: 15 calendar days
- Draft desk report: 15 calendar days
- Draft final report: 15 calendar days
- Power Point presentation: 7 calendar days
- Draft final report: 30 calendar days

5.4 Number of reports copies

The **Final Main Report** must be sent to the Commission in **10 copies** that include all annexes. A CD-ROM with the Final Main Report and annexes has to be added to each printed report (PDF format).

In addition, the full report will be submitted in 2 electronic versions (Word and PDF format) as well as one ready to re-print version and one version for publication on internet.

6. ADMINISTRATIVE INFORMATION

6.1 Budget

This will be a global price contract. The overall budget for this assignment shall not exceed **200,000 euro**, including an estimated amount of 60,000 for reimbursable items.

6.2 Authorized items to foresee under 'Reimbursable'

Reimbursable items may include the following:

- international travel to Brussels (for an estimated 2/3 meetings and 1 seminar)

- international travel to selected multi-country projects (visits to an estimated 20 Member States);
- per diem for meetings in Brussels and for project visits (estimated 3 working days per meeting in Brussels and 4 working days per Member State + 2 half-days travel);
- local travel costs ("inter-city") as required for the project visits.

6.3 Operational conditionality for intermediary payment

There is provision for pre-financing of up to 30 % payable within 30 days of receipt by the Commission of all the following documents:
- the request for payment of pre-financing;
- the specific contract countersigned by the framework contractor accompanied by the signed financial offer and the initialled specific Terms of Reference.

The final payment is conditional on approval of the final report.

6.4 Tax arrangements

The European Commission is, as a rule, exempt from all taxes and duties, including value added tax (VAT), and taxes are therefore not considered as an eligible expenditure for activities implemented within the European Union under this specific contract. The contractor shall accordingly complete the necessary formalities with the relevant authorities to ensure that the goods and services required for performance of the Contract are exempted from taxes and duties, including VAT.

For activities implemented outside of the European Union, local taxes levied by the third country in question shall be considered as an eligible expenditure, unless an agreement exists between the European Commission and third country which partially or fully exonerates local taxes levied by the authorities.

6.5 Others

As mentioned under 2.3, the framework contractors will include a proposed methodology in their offer of maximum 5 pages, explaining their understanding of the Terms of Reference and proposing a specific methodology for the evaluation of the Programme.

7. ANNEXES

ANNEX 1: INDICATIVE DOCUMENTATION FOR THE EVALUATION

The list below is indicative and will be updated at the start of the evaluation.

Key policy documents

− European Consensus on Development

− Communication on "Increasing the impact of EU development policy: Agenda for Change"

− Communication on "The roots of democracy and sustainable development: Europe's engagement with Civil Society in external relations"

− Issue Paper on Local Authorities in Development and Reports of consultations

− Conclusions of the Structured Dialogue for an efficient partnership in development

Programme documents and resources

− DCI Regulation: Regulation (EC) No 1905/2006 of the European Parliament and of the Council of 18 December 2006 establishing a financing instrument for development cooperation

− Proposal for a new DCI Regulation covering the period of the Multiannual Financial Framework (2014-2020)

− Multi-annual strategy 2007-2010 & Multi-annual strategy 2011-2013

− Annual Action Plans 2007 to 2012 and draft Annual Action Plan 2013

− Mid-term Review of the financial instruments for external actions

− Mid-Term Review of the Programme

− CRIS[24] information on the projects and other databases concerning the financed projects, engagements, payments, etc.

− Access to the ROM[25] information system and monitoring reports

Relevant studies, reports and evaluations

− Special Report No 4/2009 of the Court of Auditors on the Commission's management of non-state actors' involvement in EC Development Cooperation

− Country and sector reports by the Court of Auditors including the Programme

− Evaluation of Commission aid channelled through civil society organisations

− Evaluation of actions to raise public awareness of development issues in Europe

− Study on the experience and actions of the main European actors active in the field of development education and awareness-raising

− Country, sector and project evaluations

− Internal review of projects funded under objective 1a

− Internal review of projects funded under objective 3

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[24] Common RELEX Information System

ANNEX 2: OVERALL STRUCTURE AND FORMAT OF THE FINAL REPORT

The overall layout of the report is:

- **Final report**

- Executive summary (1);
- Context of the evaluation;
- Answers to the evaluation questions;
- Conclusions (2); and
- Recommendations (3).

Length: the final report must be kept short (50 pages maximum excluding annexes). Additional information regarding the context, the activities and the comprehensive aspects of the methodology, including the analysis, must be put in the annexes.

(1) Executive summary

The executive summary of evaluation report should have a maximum of 5 pages. The template and structure for the executive summary are as follows:

a) 1 paragraph explaining the challenges and the objectives of the evaluation;
b) 1 paragraph explaining the context in which the evaluation takes place;
c) 1 paragraph referring to the methodology followed, spelling out the main tools used (data on the projects visited, the interviews completed, the questionnaires sent, the focus groups, etc. have to be listed);
d) The general conclusions related to sectoral and transversal issues on one hand, and the overarching conclusion(s) (for example on poverty reduction) on the other hand, have to be clearly explained;
e) 3 to 5 main conclusions should be listed and classified; and
f) 3 to 5 main recommendations should be listed according to their priority.

Points a) to c) should take 1 to 2 pages.
Points d) to f) should not take more than 3 pages.

(2) Conclusions

- The conclusions have to be assembled by homogeneous "clusters" (groups). It is not required to set out the conclusions according to the evaluation criteria;

- The general conclusions related to sectoral and transversal issues and the overarching conclusion(s) (for example on poverty reduction) have to be explained in detail;

- The chapter on "Conclusions" has to contain a paragraph or a sub-chapter with the 3 to 5 principal conclusions presented in order of importance; and

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[25] Results Oriented Monitoring

– The chapter on "Conclusions" must also make it possible to identify subjects, for which there are good practices, and the subjects, for which it is necessary to think about the modifications or re-orientations.

<u>(3) Recommendations</u>

– Recommendations have to be linked to the conclusions without being a direct copy of them;

– Recommendations have to be treated on a hierarchical basis and prioritised within the various clusters (groups) of presentation selected;

– Recommendations have to be realistic, operational and feasible. As far as it is practicable, the possible conditions of implementation have to be specified; and

– The chapter on "Recommendations" has to contain a sub-chapter, or a specific paragraph corresponding to the paragraph with the 3 to 5 principal conclusions. Therefore, for each conclusion, options for action and the conditions linked to each action as well as the likely implications should be set out.

• **Annexes (indicative list)**

– Programme background;
– Methodological approach;
– Information matrix;
– Monograph, case studies;
– List of institutions and persons met;
– List of documents consulted;
– Power Point Presentation
– Terms of Reference

NOTE ON THE EDITING OF REPORTS

– The final report must:
  be consistent, concise and clear;
  be well balanced between argumentation, tables and graphs;
  be free of linguistic errors;
  ƒ include a table of contents indicating the page number of all the chapters listed therein, a list of annexes (whose page numbering shall continue from that in the report) and a complete list in alphabetical order of any abbreviations in the text; and
  ƒ contain one (or several) summaries presenting the main ideas. For example, the answers to the evaluation questions and the main conclusions could be summarised and presented in a box.

– The executive summary must be very short (max. 5 pages);

– The final version of the report must be typed in single spacing and printed double sided, in DIN-A-4 format;

– The font must be easy to read (indicative size of the font: Times New Roman 12);

- The presentation must be well spaced (the use of graphs, tables and small paragraphs is strongly recommended). The graphs must be clear (shades of grey produce better contrasts on a black and white printout);

- The main report must not exceed 50 pages including the cover page, the table of content, the lists of annexes and abbreviations;

- The content must have a good balance between main report and annexes; and

- Reports must be glued or stapled; plastic spirals are not acceptable due to storage problems.

Please note that:

- The Consultants are responsible for the quality of translations and their conformity with the original; and
- All data produced in the evaluation are property of the Commission.

NOTE ON THE COVER PAGE AND POWER POINT PRESENTATION

The Cover page of the evaluation report and the Power Point Presentation must use the new logo and visual identity adopted by the Commission. The templates can be found on EuropeAid's website:

http://myintracomm.ec.europa.eu/dg/devco/info-communication/how-to-produce/Pages/using-our-visual-identity-logos.aspx

ANNEX 3: METHODOLOGICAL NOTES ON EVALUATION CRITERIA AND QUESTIONS

EVALUATION CRITERIA AND KEY ISSUES

(1) Definitions (or links leading to the definitions) of the **five OECD-DAC evaluation criteria** (sometimes adapted to the specific context of the Commission) can be found in the glossary page of the Joint Evaluation Unit's website, at the following address:

http://ec.europa.eu/europeaid/evaluation/methodology/glossary/glo_en.htm

(2) As regards **coherence** (considered as a specific Commission's evaluation criterion) and the **3Cs**, their meaning and definition can be found below).

(3) **Value added of the Commission's interventions**: The criterion is closely related to the principle of subsidiarity and relates to the fact that an activity/operation financed/implemented through the Commission should generate a particular benefit.

There are practical elements that illustrate possible aspects of the criterion:

1) The Commission has a particular capacity, for example experience in regional integration, above that of EU Member States;

2) The Commission has a particular mandate within the framework of the '3Cs' and can draw Member States to a greater joint effort; and

3) The Commission's cooperation is guided by a common political agenda embracing all EU Member States.

NOTE ON THE CRITERION OF COHERENCE AND ON THE 3CS

Practice has shown that the use of the word "COHERENCE" brings a lot of questions from both Consultants and Evaluation Managers. This situation arises from the use of the same word "COHERENCE" in two different contexts.

Indeed, coherence is one of the two evaluation criteria that the Commission is using in addition to the 5 criteria from DAC/OECD but coherence is also a specific concept in the development policy, as defined in the Maastricht Treaty. The definitions of the same word in the two different contexts do not overlap and can lead to misinterpretation. To solve this problem the following decision has been taken.

Decision:

The definitions of relevance and coherence from Commission's budget glossary must be used for the evaluation criteria[26]:

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[26] According to the DAC Glossary the **relevance** is the extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies. The terms 'relevance and coherence' as Commission's evaluation criteria cover the DAC definition of 'relevance'.

¾ **Relevance**: the extent to which an intervention's objectives are pertinent to needs, problems and issues to be addressed;

¾ **Coherence**: the extent to which the intervention logic is not contradictory/the intervention does not contradict other intervention with similar objectives, in particular within the Commission's external assistance policies; and

¾ **The notion of complementarity as evaluation criteria has to be deleted**.

The definition of the 3Cs has to be given with reference to the Maastricht Treaty modified by the Amsterdam Treaty (articles 177 up to 181, to be adapted if necessary with the Lisbon Treaty):

• **Coordination** (article 180):

The Community and the Member States will coordinate their policies on development cooperation and will consult each other on their aid programmes including in international organisations and during international conferences. They may undertake joint action. Member States will contribute if necessary to the implementation of Community aid programmes.
The Commission may take any useful initiative to promote the coordination referred to in paragraph 1.

• **Complementarity** (article 177):

The Community policy in the sphere of development cooperation, which is complementary to those pursued by Member States, shall foster: (……)[27]

• **Coherence** (article 178):

The Community shall take into account of the objectives referred to in article 177 (Community policy in the sphere of development cooperation) in the policies that it implements which are likely to affect developing countries.

The 3Cs have to be dealt with as key issues for the Community policy in development cooperation and have never been seen as evaluation criteria.

PRINCIPLES REGARDING THE DRAFTING OF EVALUATION QUESTIONS

Main principles to follow when asking evaluations questions (EQ)

(1) Limit the total number of EQ to 10 for each evaluation.

(2) In each evaluation, more than half of EQ should cover specific actions and look at the chain of results.
  ƒ Avoid too many questions on areas such as cross cutting issues, 3Cs and other key issues, which should be covered as far as possible in a transversal way, introducing for example specific judgement criteria in some EQs.

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[27] The Lisbon Treaty foresees reciprocal relations between the Community and the Member States and not anymore univocal direction Member States towards the Commission.

(3) Within the chain of results, the EQs should focus at the levels of results (outcomes) and specific impacts.
- ƒ Avoid EQs limited to outputs or aiming at global impact levels; and
- ƒ In the answer to EQs, the analysis should cover the chain of results preceding the level chosen (outcomes or specific impacts).

(4) EQ should be focused and addressing only one level in the chain of results.
- ƒ Avoid too wide questions where sub-questions are needed (questions à tiroirs); and
- ƒ Avoid questions dealing with various levels of results.

(for example looking at outcomes and specific impacts in the same EQ). (5)

The 7 evaluation criteria should not be present in the wordings of the EQ.

(6) General concepts such as sustainable development, governance, reinforcement, etc. should be avoided.

(7) Each key word of the question must be addressed in the answer.
- ƒ Check if all words are useful;
- ƒ Check that the answer cannot be yes or no; and
- ƒ Check that the questions include a word calling for a judgement.

(8) EQ must be accompanied by a limited number of judgement criteria; some of them dealing with cross cutting and some key issues (see point 2 above).

(9) A short explanatory comment should specify the meaning and the scope of the question.

ANNEX 2: LIST OF DOCUMENTS CONSULTED

EUROPEAN COMMISSION DOCUMENTS RELATED TO THE NSA-LA PROGRAMME

- Annual Action Programmes 2007 to 2012

http://ec.europa.eu/europeaid/work/ap/index_en.htm

- "Coordination and Communication between Local Authorities and Civil Society Stakeholders in Europe involved in the European Debate on Development; Internal review of projects funded under objective 3", 2008-2010, July 2011

Internal document

- "Engaging Non-State Actors in New Aid Modalities for better development outcomes and governance", January 2011

http://ec.europa.eu/europeaid/infopoint/publications/europeaid/documents/254a_en.pdf

- "Internal review of projects funded under objective 1a "Mapping and Civil Society assessments"- concept paper n°3"

Internal document

- "Introduction to the thematic instruments and programmes, 2011-2013", 2012

http://ec.europa.eu/europeaid/how/finance/dci/documents/brochure_low_resolution_en.pdf

- "Issue Paper on Local Authorities in Development and Reports of Consultations", March 2013

https://webgate.ec.europa.eu/fpfis/mwikis/aidco/images/a/ad/LA_consultation_report_COM.pdf

- "Proposal for a new DCI Regulation covering the period of the Multiannual Financial Framework 2014-2020", 07/12/2011

http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2011:0840:FIN:EN:PDF

- "Thematic programme Non-State actors and local authorities in development, Strategy paper 2007-2010"

http://ec.europa.eu/europeaid/what/civil-society/documents/nsa_la_strategy_paper_2007_2010_en.pdf

- "Thematic programme Non-State actors and local authorities in development, Strategy paper 2011-2013"

http://ec.europa.eu/europeaid/how/finance/dci/documents/nsa-la_strategy_2011-2013_-_en.pdf

DOCUMENTS ON GENERAL EU DEVELOPMENT COOPERATION POLICY

- Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions, "The roots of democracy and sustainable development: Europe's engagement with civil Society in external relations", 2012

http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2012:0492:FIN:EN:PDF

- DCI Regulation, "Regulation (EC) No 1905/2006 of the European Parliament and of the Council, establishing a financing instrument for development cooperation", Brussels 2006

http://eur-lex.europa.eu/lex/LexUriServ/LexUriServ.do?uri=OJ:L:2006:378:0041:0071:EN:PDF

- European Commission: "Communication from the commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions, "Increasing the impact of EU Development Policy: an Agenda for Change", Brussels 13/10/2011

http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2011:0637:FIN:EN:PDF

- European Parliament, Council, Commission: "Joint statement by the Council and the representatives of the governments of the Member States meeting within the Council, the European Parliament and the Commission on European Union Development Policy: 'The European Consensus", 2006

http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:C:2006:046:0001:0019:EN:PDF

EC REPORTS AND STUDIES RELATED TO THE NSA-LA PROGRAMME

- "Assistance in the implementation of consultations and research linked to the preparation of the Communication on civil society in development and to the set up of the Policy Forum for Development with CSO and LA", B&S on behalf of the European Commission, 2012

http://ec.europa.eu/europeaid/who/partners/civil-society/documents/20121022-full-report_en.pdf

- "Evaluation of actions to raise public awareness of development issues in Europe", IBF International Consulting on behalf of the European Commission, 2008

http://ec.europa.eu/europeaid/what/civil-society/documents/de-ar_evaluation2008.pdf

- "Evaluation of EC aid delivery through civil society organizations", Particip on behalf of the European Commission", December 2008

http://ec.europa.eu/europeaid/how/evaluation/evaluation_reports/reports/2008/1259_vol2_en.pdf

- "NSA-LA Programme-Mid-Term Review", Soges on behalf of the European Commission, December 2009

https://webgate.ec.europa.eu/fpfis/mwikis/aidco/images/5/5e/NSA_LA_programme_mid_term_review_2007-2013.pdf

- "Structured Dialogue for an efficient partnership in development, Background Document - Overview of the process and overall context", Technical assistance team on behalf of the European Commission, 2010

http://ec.europa.eu/europeaid/who/partners/civil-society/documents/final_structured_dialogue_background_document_en.pdf

- "Study on capitalization of European decentralized cooperation experiences", Final Report, B&S Europe on behalf of the European Commission, 2013

https://webgate.ec.europa.eu/fpfis/mwikis/aidco/images/4/45/CD_final_report_EN_april2013.pdf

- "Study on the experience and actions of the main European actors active in the field of development education and awareness-raising" (Final Report), SOGES on behalf of the European Commission, November 2010

https://webgate.ec.europa.eu/fpfis/mwikis/aidco/images/d/d4/Final_Report_DEAR_Study.pdf

EU PROGRAMMING DOCUMENTS AND REPORTS

- European Commission, "Andean Community Regional Strategy Paper 2007-2013", April 2007

http://eeas.europa.eu/andean/rsp/07_13_en.pdf

- European Commission, "China Multiannual Indicative Programme 2007-2010", 2007

http://eeas.europa.eu/china/csp/07_10_mip_en.pdf

- European Commission, "Latin America, Regional Programming document 2007-2013", July 2007

http://eeas.europa.eu/la/rsp/07_13_en.pdf

- European Commission, "Mercosur Regional Strategy Paper 2007-2013", August 2007

http://eeas.europa.eu/mercosur/rsp/07_13_en.pdf

- European Commission, "Pakistan - Multiannual Indicative Programme 2007-2010"

http://eeas.europa.eu/pakistan/csp/mip_07_10_en.pdf

- European Commission, "MTR Document, Regional Strategy for Asia 2007-2013, Multi-Annual Programme for Asia (MIP) 2011-2013", November 2010

http://eeas.europa.eu/asia/rsp/07_13_mtr_annex_en.pdf

- European Community, "Regional Strategy Paper Assistance to Central Asia 2007-2013", 2007

http://eeas.europa.eu/central_asia/rsp/07_13_en.pdf

- European Community – West Africa, "Regional Strategy Paper and Regional Indicative Programme 2008-2013 ", July 2008

http://ec.europa.eu/development/icenter/repository/Scanned_r10_rsp_2007-2013_en.pdf

- European Court of Auditors, "The Commission's management of non-state actors' involvement in EC Development Cooperation", Special Report No 4, 2009

http://www.eca.europa.eu/Lists/ECADocuments/SR09_04/SR09_04_EN.PDF

- European Ombudsman, "The European Ombudsman's guide to complaints", 2011

http://www.ombudsman.europa.eu/resources/staffguide.faces#/page/1

REPORTS AND STUDIES BY CIVIL SOCIETY ORGANISATIONS

- CONCORD AidWatch, "Making sense of EU Development Cooperation Effectiveness, CONCORD AIDWATCH Special Report on the post-Busan development effectiveness agenda, 2012

http://www.concordeurope.org/187-aidwatch-special-report-2012

- CONCORD, "EU Delegation Watch 2012", Brussels, April 2012

http://www.concordeurope.org/99-the-eu-delegation-watch

- CONCORD, "Concord's comments on the draft CSO-LA MIP 2014-2020", Brussels, November 2012

http://capacity4dev.ec.europa.eu/eu-pfd-consultation-cso-la/minisite/1-introduction-and-proposed-components

- CONCORD, "Response to the EC Communication on Civil Society Organisations in Development Cooperation 2012", October 2012

http://www.concordeurope.org/publications/item/141-reaction-to-the-ec-communication-on-civil-society-organisations-in-development-cooperation

- Open Forum for CSO Development Effectiveness, G. Kouvaras and M. Pantazidou, "The practitioners' guide to the CSO development effectiveness principles; a campaign of the Open Forum Implementation and Advocacy Toolkits "

http://cso-effectiveness.org/IMG/pdf/practitioners_guide_en-2.pdf

- PLATFORMA, "Decentralised development cooperation - European perspective", 2012

http://www.euroafricanpartnership.org/it/media/allegati/documenti/PLATFORMA%20decentralised_development_cooperation_-_european_perspectives.pdf

- PLATFORMA, "Report on the key results of the consultation of the issue paper "Local authorities in development", Brussels, December 2012

http://www.platforma-dev.eu/files/upload/608/platforma-report-en-v4h2-low-.pdf

- TRIALOG, "12 years of Trialog: advocacy successes from EU-12", September 2012

http://www.trialog.or.at/images/doku/trialog_advocacy_guide.pdf

ANNEX 3: LIST OF PERSONS INTERVIEWED

European Commission

Name	Position
Baglio, Angelo	DEVCO B2 - Head of Unit Civil Society, Local Authorities (Reference group)
Calzada, Nuria	DEVCO B2 - Civil Society, Local Authorities (Reference group)
Casado, Maria	DEVCO B2 - Civil Society, Local Authorities
Chircu, Karina	DEVCO B2 - Civil Society, Local Authorities
Coco, Francesco	DEVCO E4 - Finance, Contracts and Audit
Gessi, Paola	DEVCO DGA2 - Evaluation (Reference group)
Hamman, Gabin	DEVCO G - Latin America and Caribbean(Reference group)
Juan-Oliva, Marina	DEVCO B2 - Civil Society, Local Authorities (Reference group)
Lamarque, Christine	DEVCO B2 - Civil Society, Local Authorities
Lenormand, Patrice	DEVCO B1 - Governance, Democracy, Gender, Human Rights
Manzitti, Virginia	DEVCO A1 - Policy and Coherence (Reference group)
Marchetti, Marina	DEVCO B1 - Governance, Democracy, Gender, Human Rights
Nerisanu, Alexandra	DEVCO F1 - Geographical Coordination Neighbourhood East (Reference group)
Pavel, Andreea	DEVCO H2 - Geographical Coordination Central Asia, Middle East/Gulf, Asia Regional Programmes (Reference group)
Pol, Cristina	DEVCO F2 - Geographical Coordination Neighbourhood South (Reference group)
Rodriguez, Jorge	DEVCO B2 - Civil Society, Local Authorities
Wacker, Doerthe	DEVCO E1 - Geographical Coordination Central Africa (Reference group)

European External Action Service

Name	Position
Prankerd, Henry	Development Cooperation Coordination Division (Reference group)

Civil Society, Non State Actors and Local Authorities

Beneficiaries of grants under Objective 2 of the Programme

Name	Organisation/Institution	Position
Andreou, Eleni	Municipality of Strovolos - Cyprus	Local Coordinator of the Project
Andrew Wells-Dang	Oxfam Great Britain	Project Coordinator
Bond, Glen	CARE International	Country Director
Caucik, Maros	Erko -Slovakia	Director
Christodoulou, Athina	Municipality of Strovolos - Cyprus	Local Coordinator of the Project
Emirza, Alexandra	European Perspective - Greece	Project department
Er s, Barbara	DemNet Foundation for Development of Democratic Rights - Hungary	Strategic programme officer
Fricke, Harm-Jan	Leeds Development Education Centre – United Kingdom	Director
Gaborit, Pascaline	European New Towns and Pilot Cities Platform	Director
Griffiths, Jesse	European Network on Debt and Development	Director
Hadjivasiliou, Louiza	NGO Support Center - Cyprus	Project officer
Ingalis, Micah	World Wide Fund for Nature	Country Director (interim)
Kalvi, Mrs	Regional Union of Municipalities of Attica - Greece	Chief of Unit EU Projects
Karagianni, Nadia	Future Worlds Center - Cyprus	Ex Support Staff of the project
Kerl, Stefan	Sudwind - Austria	Coordinator
Laia, Albareda	Alt Empordà Municipality - Spain	Officer
Lundström, Linéa	Swedish Association of Local Authorities and Regions	International Policy advisor
Makaroff, Alexandra	Plan International	Policy Officer

Makrigianni, Giorgos	European Perspective - Greece	Project department
Manes, Luca	Mani Tese/Recommon - Italy	Project department
Markidou, Nicolina	Future World Center - Cyprus	Ex Support Staff of the project
Marriot, Lorraine	NGO Support Center - Cyprus	Project coordinator
Mihalkó, Viktória	Anthropolis - Hungary	International Officer
Miháltz, Réka	DemNet Foundation for Development of Democratic Rights - Hungary	Programme coordinator
Moundoukos, Panagiotis	Regional Development Agency of Nicosia- Cyprus	Representative of the Regional Development Agency of Nicosia
Oberreuter, Michael	Solidar AISBL - Belgium	Project Officer Migration and Development
Ottosson, Peter	Sweden Diakonia - Sweden	Head of international department
Panek, Simon	People in Need - Czech Republic	Executive director
Pearman, Graham	Harlow Municipality – United Kingdom	Councillor
Perpette, Lucien	Slovenian Federation of Free Trade Unions (SSSI)	Advisor
Petridou, Elevteria	Future World Center - Cyprus	Program Developer and Senior Coordinator
Popescu, Christian	SOZE-The Society of Citizens Assisting Emigrants – Czech Republic	Director
Purvis, Chris	Harlow Municipality – United Kingdom	Councillor
Sanchez, Mercedez	Federacion Espanola de municipios y provincias	Officer
Sarli, Marina	FairTrade Hellas - Greece	President of the board of Directors
Silny, Jiri	Evangelical Academy – Czech Republic	Director
Spiros, Arbataki,	Regional Union of Municipalities of Attica- Greece	Responsible EU projects
Tondini, Dania	Associazione Volontari per il Servizio Internazionale- Italy	Project department
Tricarico, Antonio	Mani Tese/Recommon - Italy	Project department
Troll, Tobias	DEEEP - Finland	Policy Officer
Vathakou, Evgneia	European Perspective - Greece	Ex Project Manager
Wittigg, Kerstin	Future Worlds Center - Cyprus	Head of Global Education Unit
Wuchold, Ewa	Rosa Luxemburg Foundation - Germany	Analyst for cross-regional issues

Beneficiaries of grants under Objective 3 of the programme

Name	Organisation/Institution	Position
Alberizzi, Fabrizio	Punto Sud - Italy	Project department
Arnaouti, Sofia	Cyprus Island-wide NGO Development Platform	Policy officer
Arpaia, Gemma	Trade Unions Institute for Development Cooperation- ISCOS - Italy	Project department
Bedoya, Christine	TRIALOG (The Development NGOs in the enlarged EU)	Director
Benakova, Nora	People in Peril - Slovakia	Head of Human Rights Support Department
Cartwright, Andrew	Center for Policy Studies – United Kingdom	Research Fellow
Ceciarini, Sandra	PLATFORMA (The European voice of Local and Regional authorities for development)	Director Citizenship and International Cooperation
Consolo Olivier	CONCORD (The European NGO confederation for relief and development)	Director
Durcan, Anthony	Harlow Municipality – United Kingdom	Councillor
Emirza, Alexandra	European Perspective - Greece	Ex Project Manager
Falklöf, Magnus	CONCORD Sverige – Sweden (The European NGO confederation for relief and development)	Director and Advisor for EU funding
Gatti Maria, Teresa	Associazione Volontari per il Servizio Internazionale - Italy	Knowledge Center
Gregersen, Laust	CONCORD Denmark (The European NGO confederation for relief and development)	Head of secretariat
Griffiths, Jesse	EURODAD (European Network on Debt and Development)	Director

Guillet, Lucie	PLATFORMA (The European voice of Local and Regional authorities for development)	Chargé de Projet
Guixe, Rosa	Alt Empordà Municipality - Spain	Officer
Gustafsson, Marianne	Diakonia - Sweden	Regional Manager Latin America
Kampschoer, Colin	CONCORD (The European NGO confederation for relief and development)	Policy Officer Coherence for development and EU funding
Lundström, Linéa	Sveriges Kommuner och Landsting - Sweden	International Policy advisor
Makaroff, Alexandra	Plan International	EU Funding Manager
Makrigianni, Giorgos	European Perspective - Greece	Project department
Pogliani, Simona	Punto Sud - Italy	Project department
Simonetti, Paola	International Trade Union Confederation	Project department
Sol, Xavier	Counter Balance and Bankwatch - Belgium	Project coordinator
Sutrop, Mirjam	TRIALOG (The Development NGOs in the enlarged EU)	Liaison Officer
Tricarico, Antonio	Mani Tese/Recommon - Italy	Project department
Vathakou, Evgneia	European Perspective - Greece	Ex Project Manager
Wittig, Kerstin	Cyprus Island-wide NGO Development Platform	Project Director

Other

Name	Organisation/Institution	Position
Gardas, Michel	Ministry of Foreign and European Affairs - France	Special Assistant to the Local Authorities' International Action Delegate
Geilfus, Frans	Eptisa - Spain	Team Leader Results Oriented Monitoring ACP (Lot 2)
Missirlis, Konstantinos	Institute of Communications and Computer Systems - National Technical University of Athens Consortium - Greece	Team Leader Results Oriented Monitoring Centrally Managed Thematic Projects

ANNEX 4: METHODOLOGICAL APPROACH

1. Introduction

After a wide-ranging discussion regarding priorities and prioritisation of issues and research questions, the Commission confirmed that this evaluation covers all five OECD/DAC evaluation criteria and the two Commission evaluation criteria.

The Terms of Reference did not envisage any fieldwork outside the EU. Consequently, the evaluators approached Objective 1 through a desk study and on-line survey only. A range of judgement criteria and qualitative and quantitative indicators were designed to obtain the best possible picture of the co-financed actions and the management of Objective 1 within the limits of a desk study. For Objective 2 and 3, the desk study and on-line surveys were complemented by interviews with grant beneficiaries and other stakeholders.

Since coordination with Member States in partner countries is rather new, the Commission suggested that as regards the "3Cs" this evaluation would focus on coherence with Member State Policies only in regard to Objective 2 and 3. Some attention was also paid to the subsidiarity principle (complementarity with bilateral programmes) explicitly stated in the DCI Regulation in which the Programme is embedded.
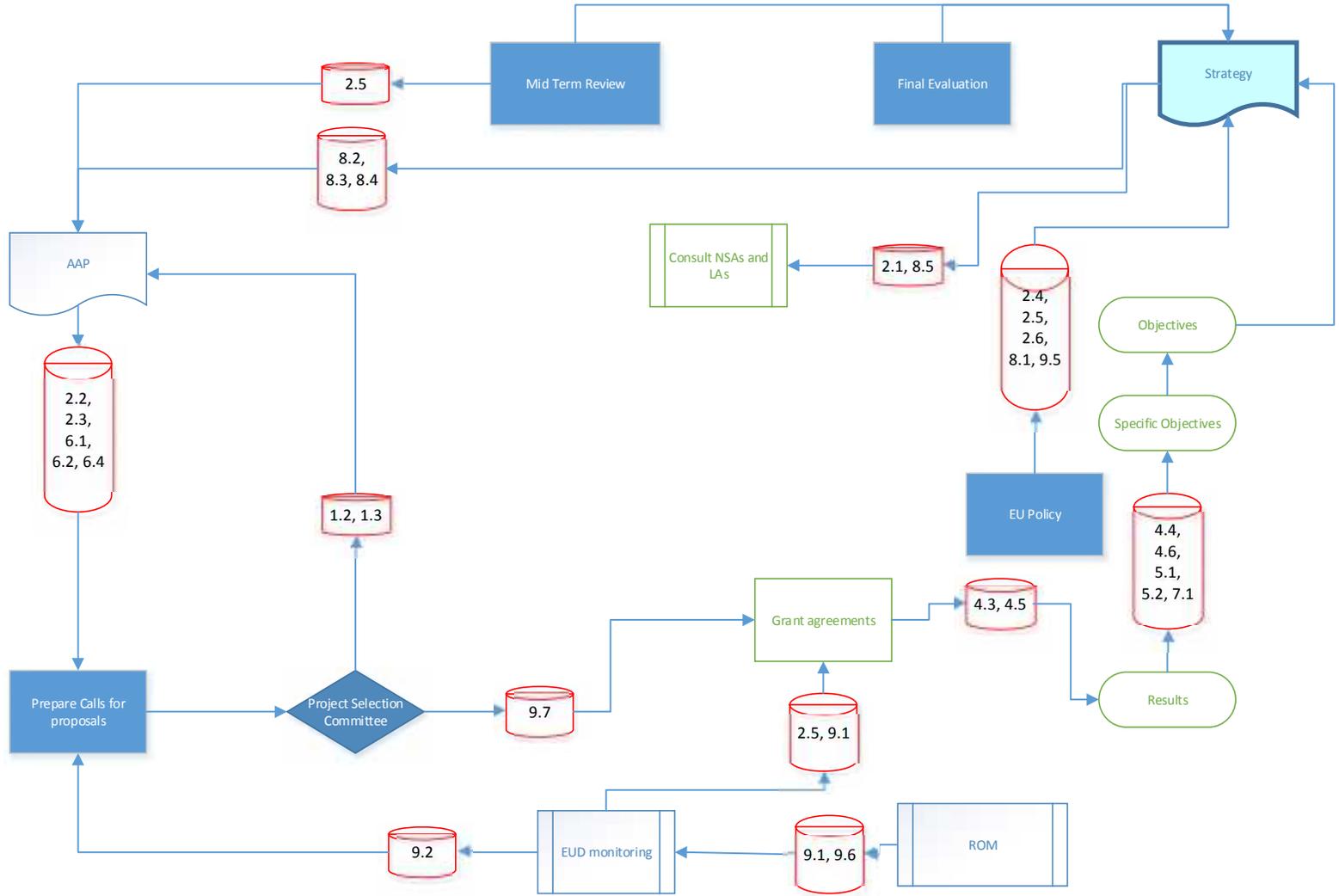
The evaluators in the inception report proposed to focus on two cross-cutting issues: gender equality and democracy. The evaluators' initial assumption was that gender equality has received the most attention of the Programme's eight cross-cutting issues. Systematic efforts have been made to mainstream gender concerns. In contrast the recently-added cross-cutting issue of democracy was presumed to be among those having received the least attention. The study of these two distinct cross-cutting issues was intended to reveal the limits but also the possibilities for the successful integration of all cross-cutting issues at programme level, given that the other six cross cutting issues of this programme occupy intermediate positions between the two chosen in terms of breadth and intensity of integration into development cooperation. Focusing on only two of the eight cross-cutting issues was intended to allow a combination of quantitative and qualitative analysis that could not easily be achieved for all eight cross-cutting issues given the resource constraints of this evaluation.

On the basis of a provisional study of key programme documents and our initial meetings with the Task Manager, Head of Unit and Reference Group, the evaluators identified a number of moments in the project management cycle where they believed this evaluation should concentrate. These are illustrated in the following two logical diagrams.

Evaluation process for Objective 1
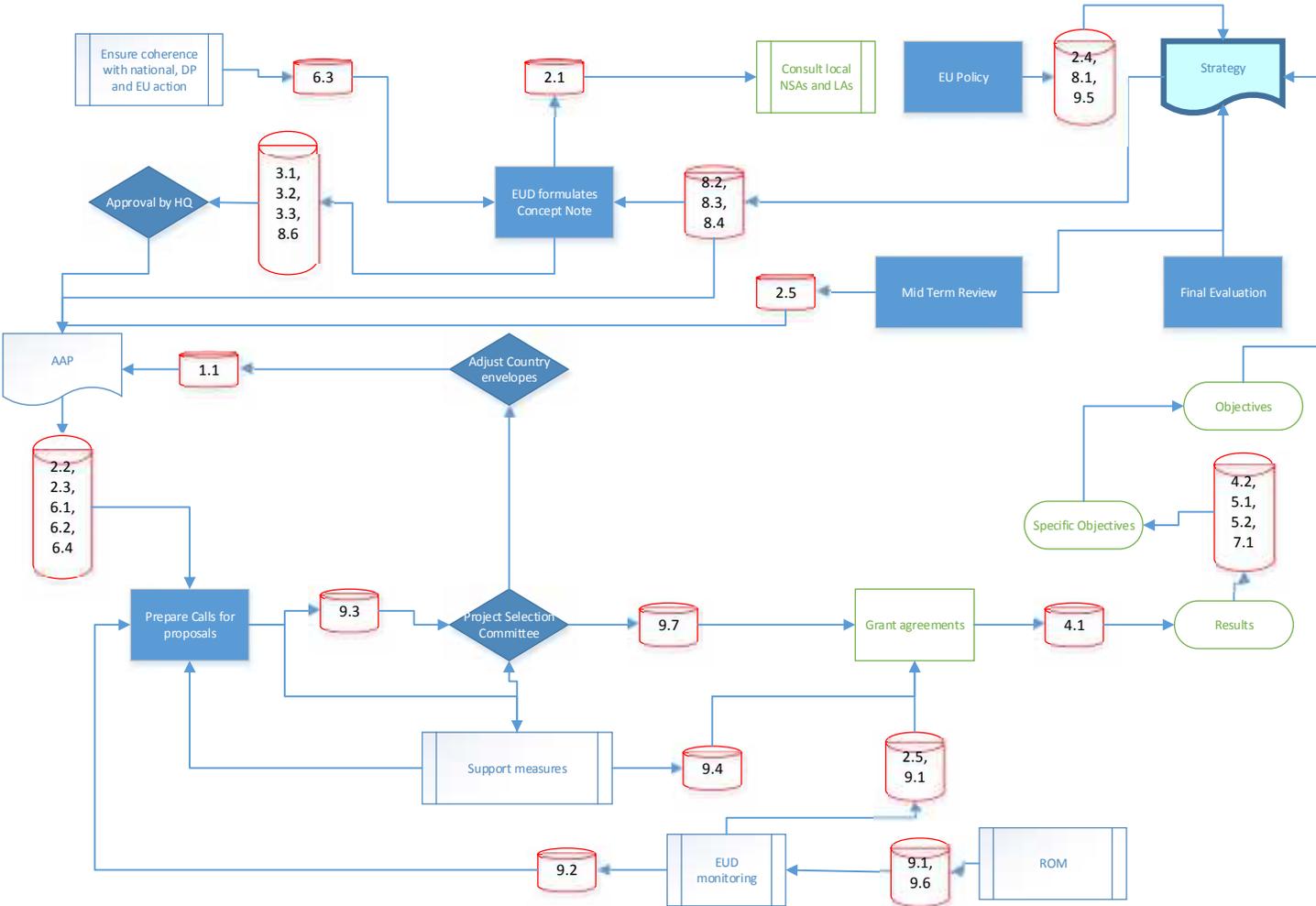
Evaluation process for Objectives 2 and 3

2. Overview of evaluation questions and the Evaluation process

As presented in the inception report, the evaluation was conducted in **two phases**:

1) **Structuring/inception phase**; 2) **Online survey, field work, synthesis and drafting phase**.
The evaluation study was managed and supervised by DEVCO B/2 Civil society and Local Authorities. This unit also established a Reference Group (RG) consisting of members of various Commission services. A single meeting was held with this group at the beginning of the assignment.

2.1 Structuring/inception phase
This phase was essential to have a clear understanding and overview of the object of the evaluation by analysing programme documents and additional useful documents like evaluation reports and thematic reports pertinent with the objective of the study. This phase has been fundamental to understand the typology of qualitative and quantitative data concerning the projects funded by the Programme and the accessibility of this data to the evaluators.

A second task consisted in **defining and structuring a set of EQs**. Accordingly, a set of **nine EQs** was defined in the inception report, so as to shed light on some critical points of the intervention logic and provide more concrete content to the evaluation criteria and key issues. With a view to facilitate the data collection as well as the construction of answers to these questions at a later stage, each question was further structured. To answer each question, appropriate **Judgment Criteria (JC) and related indicators** were defined.

Table 1 - Evaluation Questions

EQ	Primary focus	Question
EQ 1	Consistency	To what extent is implementation consistent with programming?
EQ 2	Capitalization	To what extent has the programme incorporated lessons learned?
EQ 3	Relevance	To what extent does the implementation of the programme correspond to the evolving policy priorities?
EQ 4	Impact	What is the measurable effect of the programme?
EQ 5	Impact, effectiveness	Has the programme reached an appropriate number and range of final beneficiaries?
EQ 6	Coherence	Is the programme well-integrated into the broader system of Commission, European and partner country ODA policy?
EQ 7	Sustainability	How sustainable are the results of the programme?
EQ 8	Value added/cross cutting issues	In addition to any progress on meeting its Objectives, has the programme made any other significant contributions to Commission development programming (at both the strategic and implementation levels)
EQ 9	M&E, visibility, accountability, efficiency	What is the quality of management of the programme?

The relationship between the proposed evaluation questions and the standard OECD-DAC and EU criteria is summarised in the following table.

Table 2 - Relationship of proposed evaluation questions to standard evaluation criteria

| Question | DAC Criteria | | | | | EC Criteria | | Other |
	Relevance	Effectiveness	Efficiency	Impact	Sustainability	3Cs	Value added	Cross-cutting issues
1 Reconstruction	Yes							
2 Lessons learned	Yes	Yes	Yes	Yes			Yes	
3 Policy priorities	Yes					Yes	Yes	Yes
4 Measureable impact		Yes		Yes	Yes	Yes	Yes	Yes
5 Final beneficiaries		Yes		Yes				Yes
6 Coherence	Yes					Yes		Yes
7 Sustainability			Yes		Yes			
8 Other specific contribution						Yes	Yes	Yes
9 Management		Yes	Yes	Yes				

The inception meeting with the Reference Group, and a meeting with the Head of Unit provided the occasion for the different parties involved to express different interest and priorities to be tackled by the evaluation report.

In particular, the Reference Group suggested that the focus of the final evaluation would be Objective 1, to which the majority of resources are allocated. However, the Terms of Reference explicitly define a quantity of fieldwork for Objectives 2 and 3. Specifically, at least 40 projects should be visited, in at least 20 Member States, representing 100 working days, 100 per diems, 20 international travels and a small amount for inter-city travel. Since additional days would also be required for the analysis and drafting work related to Objectives 2 and 3, the consultancy estimated that these Objectives currently require 60-75% of the expert-days allocated to the assignment. Consequently, if the ToR has been applied in their current form, Objective 1 could in no way be considered as the main focus of the evaluation.

The Commission accepted the consultancy's proposal to reduce the scope of the fieldwork for Objectives 2 and 3 to 60% of what was originally intended, so as to transfer working days to the desk study of Objective 1. Unspent balances on travel and per diem were reallocated to administrative support for data collection and recording. Under the proposed arrangements, the minimum number of countries visited was reduced to 12, and the minimum number of projects visited to 24, of which 15-17 for Objective 2 and 7-9 for Objective 3.

A structured interview template was elaborated and tested by the team firstly in the team's countries of residence (Slovakia, Italy, Hungary and Greece). Based on these preliminary results, a full methodological design, work plan and justification of the selected sample of proposed field visits was presented to the Task Manager.

2.2 Online survey, field and drafting phase

One of the key step of the evaluation process consisted in defining the design of online survey which served as a basis for the entire evaluation exercise. The use of an **internet-based on-line questionnaire software** (SurveyMonkey) where invitations to participate and compilation of responses was automated. This allowed the consultation of a much larger sample, enabling the experts to focus their effort on analysis.

Online questionnaires

Online questionnaires were prepared in four languages for Objective 1, English, French, Spanish and Portuguese, with the additional of German for Objectives 2 and 3. The question sheets are attached as Annexes 5 and 6.
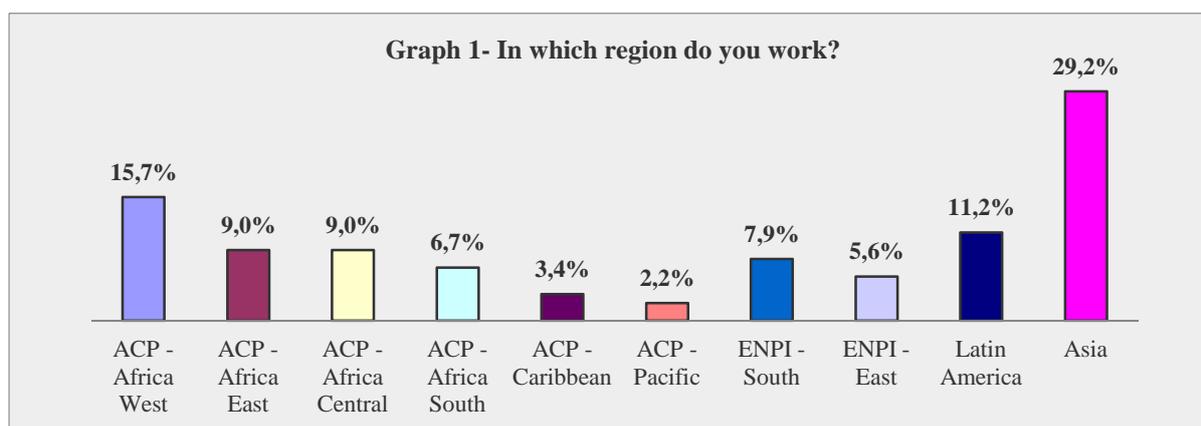
A total of 1,073 responses were received. For Objective 1 a total of 830 responses have been received divided in three categories of actors: EU Delegations, Non State Actors and Local Authorities as represented in the chart below. These results are statistically significant, as indicated in the table.

Table 3 - Survey responses collected by language, and statistical significance

Language	EN	FR	ES	PT	DE	Total	Significance
Objective 1 EUD	60	26	13	1	-	100	>100% of sample
Objective 1 LA	82	36	38	1	-	157	32% of sample
Objective 1 NSA	388	75	92	18	-	573	32% of sample
Objective 2	166	17	11	0	19	213	>100% of sample
Objective 3	20	7	3	0	0	30	50% of sample
Total	**716**	**161**	**157**	**20**	**19**	**1073**	

Geographical distribution of respondents

The regional distribution of EUD responses is as follows:

Graph 1- In which region do you work?

ACP - Africa West: 15,7% | ACP - Africa East: 9,0% | ACP - Africa Central: 9,0% | ACP - Africa South: 6,7% | ACP - Caribbean: 3,4% | ACP - Pacific: 2,2% | ENPI - South: 7,9% | ENPI - East: 5,6% | Latin America: 11,2% | Asia: 29,2%

NSA and LA respondents for the survey on Objective 1a were 63% from partner countries and 37% from the EU and other donor countries. Organisations from partner countries are slightly overrepresented, in that these received slightly less than 55% of projects, but this reflects also their participation as partners in projects led by 'northern' organisations. In any case, an over-representation of this priority category is beneficial since EU cooperation is increasingly focused on these groups.

The regional distribution of responses from NSAs and LAs in partner countries does not closely correspond to the relative participation of organisations from these regions in the programme, as illustrated in the following table.

Table 4 - Regional distribution of organisations responses to the survey in partner countries and participation to the NSA-LA Programme

Objective 1a	Programme		This evaluation	
	#	%	#	%
ACP - Africa West	230	13%	29	8%
ACP - Africa East	256	14%	25	7%
ACP - Africa Central	150	8%	18	5%
ACP - Africa South	67	4%	47	13%
ACP - Caribbean	64	4%	11	3%
ACP - Pacific	42	2%	3	1%
ENPI - South	91	5%	20	5%
ENPI - East	126	7%	20	5%
Latin America	415	23%	64	17%
Asia	370	20%	132	36%

The most significant imbalance is the over-representation of Latin America in the sample. Within the ACP region, Southern Africa is relative over-represented, and East and West Africa relatively underrepresented. The evaluators do not believe that this significantly affects the overall findings of the survey. However, anybody who wants to apply the survey results to any particular region or group of countries would do well to recalculate data for that specific category. All data tables have been provided to the Task Manager.

Characteristics of respondents

The survey attracted a sufficient number of responses from LAs to enable a meaningful analysis of this relatively small category within Objective 1a. Unfortunately, although the proportion of LA responses to the survey on Objective 2 is reasonably close to the actual proportion of LAs among grant beneficiaries, the absolute number of responses is rather low. The sample is not sufficiently significant to allow more than the most general comparisons between LA and NSA respondents for Objective 2.
The proportion of responses received from respondents in the 12 NMS is slightly higher than their proportion of lead agencies implementing projects. However, this over-representation of the smaller category allows for a richer analysis of the relative perspectives of OMS and NMS respondents.

Table 5 - Characteristics of respondents

	LA	NSA	NMS	OMS
Objective 1	22%	78%	-	-
Objective 2	9%	91%	23%	77%
Objective 3	24%	76%	27%	73%

Country visits and projects visited
The main objective of the field phase was to **complete the data collection** and to contribute to answering the EQs. It also served to validate or revise the preliminary findings and hypotheses formulated in the desk report. The field phase covered both policy and strategy aspects and implementation issues.
As mentioned before, field visits were scheduled only for Objective 2 and 3. At least 25 actions supported under Objective 2 were scheduled as well as 10 actions supported under Objective 3.
The total number of country visited by the team is 13: Austria, Belgium, Cyprus, Czech Republic, Denmark Germany, Greece, Hungary, Italy, Slovakia, Sweden, United Kingdom, Finland. The total number of projects visited is 29. Some respondents were also interviewed outside the country where they are normally based.

The selection of this sample was a central criteria for the quality of the evaluation of these Objectives, since it must be representative of a wide range of criteria, and large enough to generate meaningful and statistically significant data on each of these criteria, and for both 'EU15' and NMS beneficiaries as well as for both CSOs and LAs.

Challenges faced
At the request of the Commission, the deadline for submission of the final report was brought forward to 8 April 2013. However, the inception report was only approved in late February 2013. In consequence, the evaluators only had five weeks to carry out a combined desk field and drafting phase for which 18 weeks were envisaged in the original ToR. The evaluators acknowledge that the agreed methodology was too ambitious for the relatively short period of time available. The evaluators therefore focused their efforts on data collection and analysis activities that could be completed during this period.

The inception report had envisaged that the evaluators would meet with project partners or stakeholder institutions as well as the lead agencies responsible for implementation. However, during the combined desk, field and drafting phase, the Commission re-opened discussion on the composition of the sample of projects selected for field visits and proposed changes to the sample for Objectives 2 and 3. This caused a one week delay in the five weeks allocated to the combined desk field and drafting phase. The evaluators' access to the Commission's project database CRIS was interrupted on several occasions without warning, for periods lasting from one day to one week. The Commission has stated that this was for technical reasons. With hindsight, the evaluators also consider that the original timescale for the field work interviews was too ambitious. In consequence, fieldwork interviews were held with lead agencies and/or project partners exclusively. During the semi-structured interviews the team focused on questions of sustainability and impact.

The evaluators were dependent on EUDs and grant beneficiaries for all documentation regarding evaluation of co-financed projects. Less than 90 evaluation reports were obtained – and these only from grant beneficiaries who agreed to make their report available. The limited size of this sample makes it imprudent to make detailed observations based on this data, particularly regarding Objectives 2 and 3.

The evaluators were not able to obtain and examine all the documents identified in the inception phase. This specifically concerns Concept Notes prepared by EUDs wishing to implement the programme, details of the implementation of the programme in Libya, and a detailed description of the Commission's support to the CONCORD platform.

Because of the limited time available for the translation and implementation of the surveys, the evaluators decided to solicit responses from all beneficiaries rather than a representative sample, so as to maximize the probability of receiving a statistically significant rate of responses.
Because drafting was done concurrently with data collection, only the most significant and most obvious aspects of the data were analysed, closely following the evaluation questions and judgement criteria proposed in the inception report. The content of the report was adjusted to prioritise those judgement criteria for which qualitative and quantitative data had been obtained. Some judgement criteria were only briefly covered in the report, usually because it had not been possible to identify and obtain sufficient qualitative and/or quantitative data to make an informed judgement. This is in particular the case for the quantitative and qualitative measurement and judgement of the final beneficiaries of the programme

The following table identifies Judgement Criteria which were not treated in the final report, and the reasons why the evaluators did not treat them.

Table 6 - Judgement Criteria not treated in the final report

Judgement Criteria	Reason for non-treatment in final report
Objective 1	
JC 2.5 Objective 1: The 2011-2013 Multiannual Strategy and its implementation adequately reflect the recommendations of the MTR	Insufficient qualitative and quantitative information on implementation available at time of evaluation. Few Calls for Proposals had been organised, and data on project selection was not yet fully available in CRIS.
JC 4.1 Objective 1: the co-financed actions had significant impact	Insufficient information available – Low number of external evaluations and almost no Commission evaluations available. ROM data mostly referred to monitoring visits in the first year of implementation, and could not adequately inform on impact.
JC 5.2 Objective 1: The number and range of relevant final beneficiaries is appropriate to the Programme Objectives	
JC 6.2 Objective 1: There is a high level of coherence between this programme and other Commission policies **JC**	Insufficient data available – Commission did not provide Concept Notes for EUD implementation of the Programme
JC 6.3 Objective 1: Complementarity of the Programme with other donors' interventions	The Inception Report clearly identifies this JC as relevant only to Objectives 2 and 3
JC 6.4 Objective1: Complementarity of the Programme with partner country priorities	Insufficient data available – Commission did not provide Concept Notes for EUD implementation of the Programme
JC 8.2 Objective 1: The deconcentration of programme management has strengthened the programme's relevance and coherence.	Insufficient data available – Commission did not provide Concept Notes for EUD implementation of the Programme
JC 8.3 The programme allows the Commission to respond rapidly to emerging opportunities in partner countries	Insufficient data available – Commission did not provide Concept Notes for EUD implementation of the Programme, or data on implementation of programme in Libya. Insufficient qualitative and quantitative information on implementation in Arab Spring countries available at time of evaluation. Few Calls for Proposals had been organised, and data on project selection was not yet fully available in CRIS.
JC 9. 7 Objective 1: Complaints are handled appropriately	The assessors did not have sufficient time to collect and analyse sufficient data to make any definitive assessment of this criteria.
Objective 2	
JC 6.1 Objective 2: The programme has maintained a high level of internal coherence throughout the implementation period	The Inception Report identified this JC as essentially relevant to Objective 1.
JC 6.2 Objective 2: There is a high level of coherence between this programme and other Commission policies	The assessors did not have sufficient time to collect and analyse sufficient data to make any definitive assessment of this criteria.
JC 8.1 Objective 2: This programme has made an appropriate contribution to the Commission's encouragement of decentralised cooperation.	The evaluators conceived this JC as relevant to Objective 1 only.
JC 9.2 Objective 2: The Commission manages Calls for Proposals in a timely manner	The evaluators did not have sufficient time to address this JC. They instead focused on carrying out as many interviews for Objective 2 as possible within the limited time available
JC 9. 5 Objective 2: Information management within the Programme is adequate to the need.	The assessors did not have sufficient time to collect and analyse sufficient data to make any definitive assessment of this criteria.

JC 9. 7 Objective 2: Complaints are handled appropriately	The assessors did not have sufficient time to collect and analyse sufficient data to make any definitive assessment of this criteria.
Objective 3	
JC 6.2 Objective 3: There is a high level of coherence between this programme and other Commission policies	The Inception Report clearly defined this JC as relevant to Objectives 1 and 2 only.
JC 8.1 Objective 3: This programme has made an appropriate contribution to the Commission's encouragement of decentralised cooperation.	The evaluators conceived this JC as relevant to Objective 1 only.
JC 9.5 Objective 3: Information management within the Programme is adequate to the need.	The assessors did not have sufficient time to collect and analyse sufficient data to make any definitive assessment of this criteria.
JC 9. 7 Objective 3: Complaints are handled appropriately	The assessors did not have sufficient time to collect and analyse sufficient data to make any definitive assessment of this criteria.

EVALUATION QUESTIONS, JUDGEMENT CRITERIA AND QUALITATIVE AND QUANTITATIVE INDICATORS

EQ 1	To what extent is implementation consistent with programming?
	A reconstruction of the main tendencies in programme implementation is a precondition for the remaining Evaluation Questions. The identification and analysis of discrepancies between plans and implementation during the desk phase will enable the refining of the Evaluation Questions (see ToR p.9). This Evaluation Question deals with financial aspects of the programme; thematic and methodological aspects are dealt with in other questions.
JC 1.1	**For Objective 1, the disbursement of funds corresponds to allocated funds**
Statistical analysis	Tables of allocated and disbursed funds for 1a, 1b and support measures over time and by country, geographical region (using the categories from the strategies, which were slightly different for 2007-2010 and 2011-2013), Commission partnership category (ENPI, ACP, Asia, Latin America) and OECD/DAC category. To include any percentage allocations for groups of beneficiaries (NSA/LA). To include analysis by size of project, and by award to lead agencies from the EU and from partner countries.
Surveys/questionnaires	Identify and analyse project task managers' explanations for and judgement regarding variances between funds allocated and disbursed: - Survey of EUD task managers - interviews with EU HQ task managers
Other analysis	Reconstruction of results-specific objective-objective (planned implementation), including the changes between the strategic frameworks for 2007-2010 and 2011-2013 (Revise draft version from inception report) Validation and interpretation of preliminary findings - Interviews with EU HQ programme managers
JC 1.2	**For Objective 2, the disbursement of funds corresponds to allocated funds**
Statistical analysis	Tables of allocated and disbursed funds over time and by country and region. To include any indicative allocations for groups of beneficiaries (NSA/LA) and for the NMS (sub-divided into the 10 NMS that joined in 2004 and the 2 NMS that joined in 2007).
Surveys/questionnaires	Identify and analyse project task manager's reasons for variances between funds allocated and disbursed: - interviews with EU HQ task managers
Other analysis	Reconstruction of results-specific objective-objective (planned implementation), including the changes between the strategic frameworks for 2007-2010 and 2011-2013 (Revise draft version from inception report) Validation and interpretation of preliminary findings - Interviews with EU HQ programme managers
JC 1.3	**For Objective 3, the disbursement of funds corresponds to allocated funds**
Statistical analysis	Tables of allocated and disbursed funds over time and by country and region. To include any indicative allocations for groups of beneficiaries (NSA/LA).

Surveys/questionnaires	Identify and analyse project task manager's reasons for variances between funds allocated and disbursed: - interviews with EU HQ task managers
Other analysis	Reconstruction of results-specific objective-objective (planned implementation), including the changes between the strategic frameworks for 2007-2010 and 2011-2013 (Revise draft version from inception report) Validation and interpretation of preliminary findings - Interviews with EU HQ programme managers
JC 1.4	**For all objectives, the allocation and disbursement of funds is appropriate to the effective demand (proposals that the Commission would be willing to co-finance, if sufficient funds were available) [NB a success rate of between 10% and 30% of eligible proposals would be considered as probably appropriate).**
Statistical analysis	Establish rate of applications per €1m, and % of proposals eliminated for administrative reasons, for eligibility reasons because of failure to reach the minimum eligible score, and the success rate. What is the relative importance of excess demand, low level of administrative compliance, low quality of proposals.
Other analysis	Discuss of procedure for setting and adjusting allocations. (Will also inform question 9 on management of programme Validation and interpretation of preliminary findings Interviews with EU HQ programme managers

EQ 2	**To what extent has the programme incorporated lessons learned?**
	This is a new programme, consolidating support to NSAs and LA previously split between various budget lines, and in a context of increasing EU and Commission recognition of the role of LAs and NSAs as actors in international development. The programme is also characterised by the deconcentrated management of the major part of resources. The implementation of the programme over more than seven years has provided multiple opportunities for adjustment; in addition two major studies were commissioned; a Mid Term Review (MTR) and a comprehensive study of Development Education and Awareness Raising in Europe (the "DEAR Study")
JC 2.1	**All objectives: EUDs have appropriate consultation mechanisms with potential beneficiaries**
	Such mechanisms were recommended in the Audit Report 2009. Anecdotal evidence suggests consultation practice is unequal, and in some cases superficial, weak, intermittent and not representative. It would be desirable to identify best practice
Statistical analysis	Identification of patterns and trends (by region, over time, by size of programme and/or EUD, by type or quality of consultations with potential beneficiaries, etc).
Surveys/questionnaires	Questions to be included in Survey of EUDs, interview of HQ Task Managers, Survey of beneficiaries.
JC 2.2	**Objective1a: EUDs have modified objectives and implementation modalities to better respond to local needs and priorities, without compromising programme objectives or creating excessive administrative burdens**
	Analysis of this Judgement Criteria will help identify strengths and weaknesses in the implementation of the programme
Statistical analysis	Comparison of all calls re the formulation of Call Priorities, definitions of sectors, treatment of cross-cutting issues, definitions of target actors,[*] and implementation modalities.[†] Identification of patterns and trends (by region, over time, by size of programme and/or EUD).
Surveys/questionnaires	Questions to be included in Survey of EUD Task Managers, interview of HQ Task Managers, regarding possible modifications for next Calls under this programme
Other analysis	Validation and interpretation of preliminary findings - Interviews with EU HQ programme managers
JC 2.3	**Objective 1b: The modified strategic approach to reach regional, continental and global networks of NSAs and LAs, introduced in the 2011-2013 Multiannual Strategy, has been implemented and shows initial indicators of success**
Statistical analysis	Evolving proportion, patterns and trends of projects in which the following key elements of the modified strategic approach can be detected: • Increased focus on initiatives that tackle problems common to more than one region (desertification, migration, water management, participatory development, etc.). • Increased focus on initiatives to structure NSA and LA networks at regional, interregional or international levels. Encouragement of south-south cooperation

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[*] To include in eligibility criteria, through setting of minimum and maximum grant sizes, through indicative allocations of funds to specific categories of beneficiary, through use of Lots, and through any other means identified during the desk phase]. For example, the setting of a low (<€50,000) minimum EU contribution can be considered as evidence of an EUD attempt to engage directly with smaller local NSAs and LAs. The setting of a very low (<€10,000) minimum EU contribution can be considered as evidence of an EUD attempt to engage directly with CBOs and semi-formal NSAs. Attention will be paid to distinctions between local and international applicants.
[†] To include allowing re-granting, allowing microfinance, modifying level of co-financing, allowing partial in-kind co-financing, modifying contract instalments, and simplified reporting requirements.

EQ 2	To what extent has the programme incorporated lessons learned?
	This is a new programme, consolidating support to NSAs and LA previously split between various budget lines, and in a context of increasing EU and Commission recognition of the role of LAs and NSAs as actors in international development. The programme is also characterised by the deconcentrated management of the major part of resources. The implementation of the programme over more than seven years has provided multiple opportunities for adjustment; in addition two major studies were commissioned; a Mid Term Review (MTR) and a comprehensive study of Development Education and Awareness Raising in Europe (the "DEAR Study")
Other analysis	Document analysis. Analysis of strategic and methodological aspects of Calls for Proposals under the 2010-2013 Multiannual strategy. Validation and interpretation of preliminary findings - Interviews with EU HQ programme managers
JC 2.4	**All Objectives: The Programme reflects the recommendations of the Structured Dialogue** The 2011-2013 Multiannual Strategy was in the later part of the design phase when the Structured Dialogue was taking place. This evaluation will identify the extent to which the Structured Dialogue is reflected in this programme, bearing in mind that the Recommendations of the Structured Dialogue are neither binding nor embedded in this Programme's Objectives.
Other analysis	Document analysis: analysis of the Annual Action Plans for 2011, 2012 and 2013 (if not available then draft document or summary) and Calls for Proposals launched since June 2010 to identify and evaluate references to the following recommendations of the Structured Dialogue - A strategic engagement with CSOs in the global south - Capacity development (reinforce capacity of local CSOs, long-term, flexible and demand driven approach, partnership with EU CSOs) - Funding adapted to local needs (appropriate mix of flexible funding modalities, improving access to EC funds for local CSOs) - Coordinated EU action (better understanding of the CSO arena, better coordination between the EU and Member States) Document analysis: analysis of the Annual Action Plans for 2011, 2012 and 2013 (if not available then draft document or summary) and Calls for Proposals launched since June 2010 to identify and evaluate references to the following specific EU engagements following the Structured Dialogue - New framework reflecting changed role of societies (Arab Spring) & new development policy (Agenda for Change; Busan). - Recognition of CSOs as actors in their own right. - Key role of CSOs in democratic governance and development. - Focus on local CSOs in partner countries, recognising country specificities. - Support to action of CSOs in transparent & accountable governance & inclusive economic development; - Specific attention to role of CSOs in fragile states (New Deal). - Stronger engagement of CSOs in EU all stages of programming. - Importance of CSO capacity development and internal governance.
J.C. 2.5	**All Objectives: The 2011-2013 Multiannual Strategy and its implementation adequately reflect the recommendations of the MTR**
Surveys/questionnaires	Beneficiaries survey: To what extent has the transparency of the project selection process improved? Beneficiaries survey: Do grantees have access to the more detailed results of evaluations of their performance? (MTR page 65 chapter 3.7.3,). [This J.C. focuses on ROM]

EQ 2	**To what extent has the programme incorporated lessons learned?**
	This is a new programme, consolidating support to NSAs and LA previously split between various budget lines, and in a context of increasing EU and Commission recognition of the role of LAs and NSAs as actors in international development. The programme is also characterised by the deconcentrated management of the major part of resources. The implementation of the programme over more than seven years has provided multiple opportunities for adjustment; in addition two major studies were commissioned; a Mid Term Review (MTR) and a comprehensive study of Development Education and Awareness Raising in Europe (the "DEAR Study")
Other analysis	Questions to programme managers: The DEAR study recommended that the EC initiate or facilitate the setting up of an advisory MSH Forum in Europe (MSs, International NGOs, European Parliament, actors from the South, and networks or any other measure for synchronization) with specific rules of operation that enable the Forum to promote and develop coherence and coordination of DEAR plans? (R8-9, MTR recommendation, p62.), and also that the EC should stimulate exchange of best practice. To what extent are these recommendations reflected in the programme?
	Interview (with beneficiaries Objectives 2 and 3): Collection of examples of best practices in terms of: networking, partnerships between NSA with state actors, participation of NSA in public policy design (particularly in poverty reduction processes, etc.)
	This Judgement Criteria will also be verified through the answers to the question on management of the programme and those results will be cross-referenced here as a judgement on programme response to the MTR
J.C. 2.6	**Objective 2 The 2011-2013 Multiannual Strategy reflects the revised Commission approach to DEAR following the DEAR study**
Statistical analysis	Growth in frequency of applicants and partners from developing countries.(The DEAR study recommended this as a way of integrating southern and northern perspectives into DEAR)
	Allocation of funds to specialised development education and awareness raising platforms and organisations (CONCORD-DARE Forum, DEEEP, GENE, North South Centre, European MSH Steering Group on DE, OECD Development Centre & Development Communication Network, Platforma, European Youth Forum, GLEN, TRIALOG).
Other analysis	Interviews with EC task managers and programme managers, and with DEAR platforms (in their role as beneficiaries): How successful is this programme in supporting specialised development education and awareness raising platforms? Have there been moves to increase co-ordination with initiatives in other sectors which are closely related to DEAR? (DEAR study R6, p23.)
	Text analysis: identification and hierarchisation of treatment of global problematics in 2011 Call for Proposals at theoretical level (mentioned, identified as key) and at level of methodology (prioritising N-S consortia in assessment criteria, financial and/or administrative incentives for applicants/partners from developing countries.)
	Document analysis. Do the 2011, 2012 and 2013 AAPs reflect a clearer DEAR policy statement and/or a strategic vision articulated on the role of the Commission in development education and awareness raising? (DEAR study R7, MTR recommendation p.61)

EQ 3	**To what extent does the implementation of the programme correspond to the evolving policy priorities?**
	This is a responsive programme, which attaches high importance to the right of initiative of Non State Actors and Local Authorities. Nevertheless, in the interest of impact, 3Cs and EU value-added, a certain balance should be established and maintained between the right of initiative and the emergence of priorities. The initial assumption of the assessors is that at the policy level this programme is characterised by a tension between concerns in the field of good governance and concerns in the field of inclusive and sustainable growth for human development, while at the implementation level, this programme is characterised by a dialectical relationship between central priorities, national priorities and NSA/LA applicant priorities (right of initiative). There have also been several important developments in EU policy regarding NSAs and LAs in development during the implementation of this programme.
J.C. 3.1	**Objective 1a: The concentration of EU development cooperation in support of human rights, democracy and other key elements of good governance is appropriately reflected in the programme, alongside inclusive and sustainable growth for human development?**
Statistical analysis	To what extent does the proportion of selected projects with a primary focus on governance (reflected in DAC code) tend to increase over time? Other statistical tests of the supposed concentration on inclusive and sustainable growth for human development
Surveys/questionnaires	Questionnaire for EUD (interview with HQ task managers of Objective 1 projects): What do you consider to be the main utility of this programme (choose from options that include the actual programme objectives which stress governance and capacity building for service delivery, and also more pragmatic utility concepts that EUD personnel may be operating with. This question should serve to indicate to what extent EUD staff are aware of and focused on programme objectives.
J.C. 3.2	**Objective 1a: The AFC commitment to "the emergence of an organised civil society able to act as watchdog and partner in dialogue with national governments"[‡] is reflected in the programme**
Statistical analysis	Typology of capacity building activities that have been funded through projects. (did they focus on reinforcing organisations at the organizational level, or to improve their political positioning, or to reinforce the planning and strategic competencies, or better to reinforce the leadership of its members?) Identification of funded actions relevant to this J.C. (possibly through coding sample of funded actions against individual results areas for Objective 1)
Other analysis	Text analysis of project-level objectives and/or results, coding of these and mapping against sectors, and from this to objectives. Do the beneficiaries (implementing organisations) really want to move into this area of governance? – (analysis of mapping studies, question(s) to key stakeholders, in survey(s)
J.C. 3.3	**Objective 1a: The programme reflects the EU commitment to ensuring that NSA and LA play a key role in participatory budget approaches, particularly in strengthening domestic accountability[§]** **(bearing in mind that this Communication was issued at the end of October 2011)**
Statistical analysis	Results" level. Mapping successful applicants against relevant results. For a sample of projects. Text analysis of project-level objectives and/or results, coding of these and mapping against sectors, and from this to objectives. For a sample of projects. (only for CfP launched since 2012)

[‡] "Increasing the impact of EU Development Policy: an Agenda for Change" COM (2011) 637: http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2011:0637:FIN:EN:PDF, Council Conclusions 9316/12: http://register.consilium.europa.eu/pdf/en/12/st09/st09369.en12.pdf

[§] "The future approach to EU budget support to third countries" COM (2011) 638: http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2011:0638:FIN:EN:PDF

EQ 3	To what extent does the implementation of the programme correspond to the evolving policy priorities?
	This is a responsive programme, which attaches high importance to the right of initiative of Non State Actors and Local Authorities. Nevertheless, in the interest of impact, 3Cs and EU value-added, a certain balance should be established and maintained between the right of initiative and the emergence of priorities. The initial assumption of the assessors is that at the policy level this programme is characterised by a tension between concerns in the field of good governance and concerns in the field of inclusive and sustainable growth for human development, while at the implementation level, this programme is characterised by a dialectical relationship between central priorities, national priorities and NSA/LA applicant priorities (right of initiative). There have also been several important developments in EU policy regarding NSAs and LAs in development during the implementation of this programme.
	Quantifying relevant cofounded actions through Text analysis of successful applications to identify key words relevant to this J.C. (only for CfP launched since 2012)
Surveys/questionnaires	Do the beneficiaries really want to move into this area of governance? – Analysis of mapping studies, question(s) in survey(s).
Other analysis	Which kind of capacity building activities have been implemented by a sample of funded projects to: 1) reinforce CSOs in budgeting issues, 2) to strengthen capacities of national public budget; 3) To elaborate good practice on State budget monitoring ?, etc...
J. C. 3.4	Objective 3 the programme has supported or facilitated the production of specific mapping studies of the current status of Platforms and networks within Member States. (These are recommended as a way of adjusting the new strategy of the NSA/LA Programme (MTR page 66 chapter 3.7.2, ii).)
Statistical analysis	Analyse use of 3%/5% support measures
Other analysis	Interview with senior programme managers

EQ 4	**What is the measurable effect of the programme?**
	This question deals mostly with impact, and to a lesser extent with sustainability and effectiveness. Although the major part of the question concerns Objective 1, this will be done only through a desk study and on-line surveys; the range of questions is therefore more restricted than for Objectives 2 and 3, where field visits are also planned.
J.C. 4.1	**Objective 1: the co-financed actions had significant impact**
Statistical analysis	Impact scores of ROMs and analysis of variance
	Impact scores of independent final evaluations (a particular effort will be made to obtain such reports for any projects identified in the following points of this sub-question.)
	Analysis of impact reflected in project proposals of sample of projects.
	The level of gender disaggregation of statistics
Surveys/questionnaires	A question on impact in the survey of EUD staff (for Objective 1b, interviews with HQ staff). Analysis of expected/non-expected and positive/negative impacts
J.C. 4.2	**Objective 1: the programme had a significant impact regarding Objective 1a/1b**
	The impact of a programme goes beyond the mere aggregation of impacts of co-funded actions.
Other analysis	We will refer in this section to the analysis of the reflection in the programme of the EC commitments from the Structured Dialogue, which is discussed in a previous question, and discuss related issues (such as improvements to the enabling environment for NSA/LA engagement in governance and in service delivery for sustainable development)
J.C. 4.3	**Objective 2: the co-financed actions had significant impact**
Statistical analysis	Impact scores of ROMs and analysis of variance
	Impact scores of independent final evaluations (a particular effort will be made to obtain such reports for any projects identified in the following points of this sub-question.)
	Analysis of impact reflected in project proposals of sample of projects.
	The level of gender disaggregation of statistics
Surveys/questionnaires	A question on impact in interviews with EC HQ task managers Possibly a request to list expected/non-expected and positive/negative impacts (to be defined)
	A question on impact in the survey of beneficiaries. Possibly a request to list expected/non-expected and positive/negative impacts.
	Field visits
J.C. 4.4	**Objective 2: the programme had a significant impact regarding Objective 2**
	The impact of a programme goes beyond the mere aggregation of impacts of co-funded actions. Among other relevant issues, the DEAR study suggested that the EC could contribute to the overall impact of DEAR within the European Union by supporting and facilitating: a. mechanisms of co-ordination of DEAR policies and approaches between stakeholders; b. dialogue among DEAR policy makers and practitioners; c. learning and quality improvement in the area of DEAR d. capacity building in the field of DEAR; e. European and global partnerships for DEAR. (EC DEAR study R2. „The role of the EC in supporting DEAR", p.20.). Some of those issues are covered in other Evaluation Questions (particularly Q.2 on Lessons Learned), and those findings will be cross-referenced and discussed here.

EQ 4	**What is the measurable effect of the programme?**
	This question deals mostly with impact, and to a lesser extent with sustainability and effectiveness. Although the major part of the question concerns Objective 1, this will be done only through a desk study and on-line surveys; the range of questions is therefore more restricted than for Objectives 2 and 3, where field visits are also planned.
Statistical analysis	A network map will be constructed to identify and analyse the range and intensity of relations between different stakeholders. This will provide us with evidence about the extent to which beneficiaries have engaged with the necessary stakeholders to achieve sustainable results (output: Network Map and analysis).
Other analysis	Analysis of EuroBarometer #392 (October 2012) and previous surveys of European public opinion to determine if any link can be made between this programme and European public opinion on relevant issues
	Analysis of evolution of DEAR environment in the member states, to determine if any link can be made between this programme and improvements in that environment. For example, the number of countries where education authorities drafted a DE/AR strategy during the implementation period of this programme, and the number of countries where education authorities introduced DE/AR into the school curricula during the implementation period of this programme.
	Consideration of issues raised in the Commission Staff Working Document on Development Education and Awareness Raising (DEAR) in Europe (SWD 2012-457 final)
J.C. 4.5	**Objective 3: the co-financed actions had significant impact**
Statistical analysis	Impact scores of ROMs and analysis of variance
	Impact scores of independent final evaluations (a particular effort will be made to obtain such reports for any projects identified in the following points of this sub-question.)
	Analysis of impact reflected in project proposals of sample of projects.
	The level of gender disaggregation of statistics
Surveys/questionnaires	A question on impact in interviews with HQ staff. Possibly a request to list expected/non-expected and positive/negative impacts (to be defined)
	A question on impact in the survey of beneficiaries. Possibly a request to list expected/non-expected and positive/negative impacts (to be defined)
	Field visits
Other analysis	A network map will be constructed to identify and analyse the range and intensity of relations between different stakeholders. This will provide us with evidence about the extent to which beneficiaries have engaged with the necessary stakeholders to achieve sustainable results (output: Network Map and analysis).
	An analysis of the particular relevant criteria of impact for network-building projects
J.C.4.6	**Objective 3: the programme had a significant impact regarding Objective 3**
Statistical analysis	Analyse the typology and variety of partnerships at the project level, in particular the partnerships involving LAs and NSAs other than NGOs, and those projects engaging with non NSA/LA associates.
Other analysis	Interviews with task managers, HQ senior programme management, implementing agencies, partners and final beneficiaries:
	• to what extent are the project target groups sensitized toward EU policies; to what extent do projects of this type contribute to the emergence of

EQ 4	**What is the measurable effect of the programme?**
	This question deals mostly with impact, and to a lesser extent with sustainability and effectiveness. Although the major part of the question concerns Objective 1, this will be done only through a desk study and on-line surveys; the range of questions is therefore more restricted than for Objectives 2 and 3, where field visits are also planned.
	pan-European concerns and perspectives? (also including the specific dynamics in the New Member States)
	• To what extent is the current phase of the Programme promoting cooperation initiatives between the various networks to increase multi-stakeholder synergies?

EQ 5	**Has the Programme reached an appropriate number and range of final beneficiaries?**
	This question will deal with each of the programme's objectives. The criteria for analysis (geographic, by type of actor, etc) are slightly different for each objective, and will be the same as for question 1.
J.C.5.1	**All Objectives: The programme has reached a significant number and range of relevant final beneficiaries**
Statistical analysis	Extract and analyse qualitative and quantitative identification of final beneficiaries from successful grant applications
	Extract and analyse qualitative and quantitative identification of final beneficiaries from independent evaluation reports
	Extract and analyse qualitative and quantitative identification of final beneficiaries from ROM reports
	Field visit findings
	Extract and analyse qualitative and quantitative identification of final beneficiaries from other studies related to this programme (including the 2009 brochure *Non-State Actors and Local Authorities in Development,* and any available studies at the EUD, regional or Objective level).
	To what extent are statistics gender-dissagregated?
J.C.5.2	**All Objectives: The number and range of relevant final beneficiaries is appropriate to the Programme Objectives**
Other analysis	Qualitative assessment – discussion of preliminary findings
	Interviews with task managers, HQ senior programme management

EQ 6	Is the programme well-integrated into the broader system of Commission, European and partner country ODA policy?
	This question refers to internal coherence of the programme, and also its coherence with other Commission policies, Member State policies, and partner country policies
J.C. 6.1	**All Objectives: The programme has maintained a high level of internal coherence throughout the implementation period**
Other analysis	Judgement will draw on indicators to many other Judgement Criteria within this evaluation. The evaluator's initial assumption is that the internal coherence of this programme is based on four dialectical relationships; between "right of initiative" and evolving strategic focus; between capacity building and positive discrimination on the one hand and the competitive selection of the best proposals on the other hand, between global and local priorities, and in the mobilization and encouragement of European and global south Non-state Actors and Local Authorities. What were the advantages and disadvantages of not using the logical framework approach?
J.C. 6.2	**All Objectives: There is a high level of coherence between this programme and other Commission policies**
Statistical analysis	Analysis of AAPs, CfP and successful project proposals for Objective 2, to determine to what extent the themes of co-funded actions also refer to topics - Human Rights Education, Intercultural Education, Peace Education, Citizenship Education – that are also associated with other programmes such as Youth in Action, Europe for Citizens, LIFE +, Fundamental Rights and Citizenship. Does this suggest coherence between the various programmes? Is there any significant gap or overlap?
Surveys/questionnaires	Survey of EUDs (and interviews of HQ Task Managers for Objective 1): Question(s) to establish to what extent deconcentrated Calls for Proposals are perceived by EUDs as a means to realise the objectives of this programme, and/or as a general mechanism that can be adapted to accompanying the geographic actions
Other analysis	Desk Study: Analysis of EU commitments regarding coherence, Structured Dialogue (analysed elsewhere in this report). To review CONCORD critique of EU coherency post-Busan
	Interviews with senior programme managers: Did DEVCO explore opportunities for collaboration with DEAR in units/departments in other Directorate Generals of the Commission, in particular those involved in Environmental Education, Education for Sustainable Development, Human Rights Education, Intercultural Education, Peace Education, Citizenship Education, including through programmes such as Youth in Action, Europe for Citizens, LIFE +, Fundamental Rights and Citizenship. (R10-11)
J.C. 6.3	**All Objectives: Complementarity of the Programme with other donors' interventions (focusing on EU Member States)**
Statistical analysis	Statistics. Extent of Member State co-financing of projects under Objectives 2, 3 (analysis of sample of contribution budgets of successful project proposals
Surveys/questionnaires	Interview question to MS representatives responsible for NSA work/EU level coordination: what are the strong and weak points of complementarity between this EU programme and your own bilateral programming? What are the reasons for MS co-financing of actions under this programme? What is the expected trend of such co-financing during the period of the successor programme?
	Interview question to HQ representatives: what is the significance of MS co-financing of actions under this programme (in terms of 3Cs)?
J.C. 6.4	**Objective1a: Complementarity of the Programme with partner country priorities**
Other	Text analysis of references to country government priorities in 'Concept Notes' submitted by EUDs to programme managers
	Verify reflection of this in Guidelines for Applicants
	Establish to what extent portfolio of selected projects reflects the treatment in the Guidelines

EQ 6	**Is the programme well-integrated into the broader system of Commission, European and partner country ODA policy?**
	This question refers to internal coherence of the programme, and also its coherence with other Commission policies, Member State policies, and partner country policies
Surveys/questionnaires	Interview question to MS representatives responsible for NSA work/EU level coordination: what are the strong and weak points of complementarity between this EU programme and your own bilateral programming? What are the reasons for MS co-financing of actions under this programme? What is the expected trend of such co-financing during the period of the successor programme? Interview question to HQ representatives: what is the significance of MS co-financing of actions under this programme (in terms of 3Cs)?

EQ 7	**How sustainable are the results of the programme?**
	The initial assumption of the evaluators concurs with the audit report comments that "Project duration is generally insufficient to ensure sustainability even after extensions" (Audit Report Finding n°66) and "prospects for long-term sustainability are poor mainly because of the short-project duration, lack of long-term funding and inadequate institutional arrangements" (Audit Report Finding n° 88). However, the size of this programme, and the considerable variation in specific conditions for CfP and implementation modalities in the various countries covered by Objective 1 should provide opportunities to identify best practice.
J.C. 7.1	**All Objectives: The outcomes of actions co-financed by the programme are highly sustainable**
Statistical analysis	Sustainability of completed/on-going actions (ROM) Frequency and context of reference to project duration, long term funding and institutional arrangements in ROM reports Sustainability of completed/on-going actions (independent evaluation reports) Frequency and context of reference to project duration, long term funding and institutional arrangements in independent evaluation reports
Surveys/questionnaires	Surveys of EUD Task Managers and Beneficiaries (also interviews of HQ Task Managers) • to what extent do they agree, with respect to this programme, with the audit report comments cited at the start of this question? • How do they think the situation changed between 2007 and now? • How they rate sustainability of their project(s) (Beneficiaries only) • What additional measures in the successor programme would improve sustainability (to include longer project duration, greater MS co-financing, etc.?
Other analysis	Tracer study: sustainability of a representative sample of completed projects under Objectives 2 and 3 through visits to lead agencies/partners/beneficiaries. Text analysis: review of the CfP from 2007-2012 with regard to the requirement to demonstrate the dissemination plan of the projects. Analysis of frequency and context of references to "multiplier" and "visibility" in ROM reports and independent evaluation reports (if available). Interview (only with beneficiaries of "Presidency projects"): Verify the level of dissemination of the project results, visibility issues, awareness raising about development issues.

EQ 8	In addition to any progress on meeting its Objectives, has the programme made any other significant contributions to Commission development programming (at both the strategic and implementation levels)
	This question deals with several criteria of value-added and issues of subsidiarity and complementarity that do not fit within the other Evaluation Questions. We also touch here on the question of non-intended effects of the Programme (ToR p.7)
J.C. 8.1	**All Objectives: This programme has made an appropriate contribution to the Commission's encouragement of decentralised cooperation.** The strengthening of decentralised cooperation is not an objective of the Programme. However, the programme has increasingly sought to engage with national and local authorities in partner countries
Other analysis	Judgement drawing on the other findings of this evaluation and a study of the Commission's *Étude sur la capitalisation des expériences européennes de coopération décentralisée* (2012)
	Analysis of the principles of subsidiarity and complementarity towards geographic and other thematic programmes and instruments, as stated by article 11 of the DCI Regulation. Also against conceptions of value added that are commonly asserted by managers and beneficiaries of the Programme.
J.C. 8.2	**All Objectives: The deconcentration of programme management has strengthened the programme's relevance and coherence.**
Other analysis	Judgement drawing on the other findings of this evaluation. Identification and discussion of any significant divergence between EUD and HQ conceptions regarding the Programme.
J.C. 8.3	**All Objectives: The programme allows the Commission to respond rapidly to emerging opportunities in partner countries**
Statistical analysis	Frequency of governance and rights issues in CfP and in co-funded actions in countries experiencing political liberalisation (particularly the 'Arab Spring'), also Myanmar
J.C. 8.4	**All Objectives: The Programme allows the Commission to engage pragmatically in 'difficult' situations, without compromising the Programme's Objectives**
Statistical analysis	Frequency of governance and rights issues in CfP and in co-funded actions in countries experiencing authoritarian political regimes, extreme state fragility or conflict (particularly Haiti, Cuba Colombia, Eritrea, Ethiopia, Syria, Sri Lanka, DPR Korea)
J.C. 8.5	**Objectives 2 and 3: The programme facilitates an exchange of best practice at the European level**
Statistical analysis	Number and thematic focus of international conferences supported by the Programme that took place in the sector as compared to the earlier period)
	Number and thematic focus of studies or guidelines produced with support from the Programme in the period 2007-2013 as compared to the earlier period)
Surveys/questionnaires	Surveys of beneficiaries and interviews with HQ task managers
Other analysis	Interviews with senior programme managers
	Objective 1 – – criteria to be defined during the Desk Study phase
	Objective 2 – shift from fundraising to Awareness Raising, institutionalization of Development Education
	Objective 3 - – criteria to be defined during the Desk Study phase
J.C. 8.6	**All Objectives: Cross-cutting issues are appropriately integrated into the programme** *The evaluation will focus on two cross-cutting issues: gender equality and democracy*
Statistical analysis	An analysis of the inclusion of these cross-cutting issues in AAPs

EQ 8	**In addition to any progress on meeting its Objectives, has the programme made any other significant contributions to Commission development programming (at both the strategic and implementation levels)** This question deals with several criteria of value-added and issues of subsidiarity and complementarity that do not fit within the other Evaluation Questions. We also touch here on the question of non-intended effects of the Programme (ToR p.7)
	An analysis of the inclusion of these cross-cutting issues in Calls for Proposals
	An analysis of the inclusion of these cross-cutting issues in successful project proposals
	An analysis of outcomes related to these cross-cutting issues in a sample of project final reports An analysis of outcomes related to these cross-cutting issues in independent evaluation reports An analysis of outcomes related to these cross-cutting issues in ROM reports
	An analysis of the OECD/DAC Gender marker for a sample of co-funded actions
	How widespread and accurate is the gender-disaggregation of statistics?
Other analysis	Interview with senior programme managers

EQ 9	What is the quality of management of the programme?
	This question covers all Objectives of the programme, but is inevitably constrained by the fact that face-to-face interviews are only possible for Objectives 2 and 3.
J.C. 9.1	**All Objectives: The programme has adequate monitoring procedures in place** The Audit Report (2009) warned of a "lack of on-site support from the Delegations" (Recommendation n° 57) and that" ROM missions don't compensate for an absence of monitoring at operational level" (Recommendation n° 59)
Statistical analysis	Verify the extent and pattern of ROM support Verify whether there is any evidence that ROM-monitored projects have better final results than comparable non-monitored projects Verify extent of other types of country-level monitoring and evaluation
Surveys/questionnaires	Survey questions to Task Managers on how to strengthen monitoring Survey questions to Task Managers and beneficiaries on frequency, type and quality of contacts
Other analysis	Interview with representative(s) of ROM team
J.C. 9.2	**All Objectives: The Commission manages Calls for Proposals in a timely manner**
Statistical analysis	What is the time period between close of Calls and contracting? What are the patterns and trends? To what extent does the EC respect the timetable in the Guidelines for Applicants for each Call?
J.C. 9.3	**All Objectives: The PCM of the Programme includes appropriate indicators of success** The Strategies stated that results are difficult to define for a "right of initiative" programme. Was any progress made over time (AAPs, details included in Guidelines for Applicants?). How do the actual results compare with those indicated in the Strategies (AAPs, Country "concept notes" and guidelines for applicants). The initial assumption of the evaluators is that for Objective 2, and for DEAR in general, there is little consensus on appropriate indicators of success and a certain (shared) resistance to such measures. R4 and R5 of the DEAR study urged the Commission to define process and impact indicators.
Surveys/questionnaires	Interviews with HQ staff: what steps have been taken towards an inclusive process that would define quality and impact indicators for measuring DEAR initiatives and projects based on the new methodological framework introduced in 2010? What more could the Commission do in this regard?
J.C. 9.4	**All Objectives: The Programme supports grantees in developing the appropriate project management skills** The Audit Report 2009 (Finding n° 62) says: "The Commission is moving towards results-based management with more emphasis on measuring the impact and results and evaluating the added value of its development cooperation. This puts greater pressure on NSAs to develop systems to monitor not only outputs but also outcomes and impacts, and requires that more practical guidance is provided by Commission Services to ensure that logframes and performance indicators are appropriate and remain relevant". The Dear Report Recommendation R16 was "Did the EC in collaboration with DEAR experienced research centres and international networks do any of the following: a. develop quality indicators based on recommendations R4 and R5 defining process and impact indicators; b. consider introducing a „project evaluation award scheme" for EC supported projects that highlights quality in ex ante, midterm and ex post evaluations of project or programme processes, results or impact; c. provide on-line information about evaluations and impact assessments of all EC supported projects and programmes;

EQ 9	What is the quality of management of the programme?
	This question covers all Objectives of the programme, but is inevitably constrained by the fact that face-to-face interviews are only possible for Objectives 2 and 3.
	d. develop an annual collation and analysis of results and evaluations of EC supported projects and programmes."
	Analysis of use of 3%/5% support activities
Other analysis	Interviews with senior programme managers
	Desk review of critique of the programme
J.C. 9. 5	All Objectives: Information management within the Programme is adequate to the need.
	The DEAR study proposed that the EC develop mechanisms that are able to gather, analyse and make publicly available learning from processes, outcomes and impact of EC supported DEAR projects (pp.33-34).
	Anecdotal evidence suggests there may be gaps in the Programme's information management
Other analysis	Judgement will be based on findings from other sections of this evaluation.
	Interviews with senior programme managers
	Desk study of critique of Commission and Programme information management, particularly that based on evidence from beneficiaries.
J.C. 9. 6	All Objectives: Programme transparency is adequate to the need
	Anecdotal evidence suggests there may be gaps in the Programme's transparency. Previous studies have recommended that beneficiaries have access to the more detailed results evaluations of their performance; (MTR page 65 chapter 3.7.3,). (DEAR study R30-R31, p. 41-42)
Survey/questionnaire	Survey of beneficiaries: questions about sharing of information from ROM and other monitoring/evaluation commissioned by the EUDs. Compare with CRIS record of Task Manager declarations that CRIS was discussed with the beneficiaries
Other analysis	Judgement will be based on findings from other sections of this evaluation.
	Interviews with senior programme managers
	Desk study of critique of Commission and Programme transparency particularly that based on evidence from beneficiaries.
J.C. 9. 7	All Objectives: Complaints are handled appropriately
	Complaints should be handled according to Commission procedures, in a timely fashion, and in the spirit of strengthening the Commission's development cooperation with NSA and LA partners.
Other analysis	Judgement will be based on findings from other sections of this evaluation.
	Interviews with senior programme managers
	Desk study of critique of Programme treatment of complaints (including CONCORD Delegation Watch and Commission written response)

ANNEX 5: SURVEY QUESTIONS FOR THE ON-LINE CONSULTATIONS (OBJECTIVE 1)

Survey template for Objectives 1a and 1b

1a EUDs in this column	1a/1b Beneficiaries – NSAs in this column	1a/1b Beneficiaries – LAs in this column
Questions common to two or three surveys are displayed across multiple columns		
Basic information		
Q. In which region do you work? A. choice of ACP - Africa West ACP - Africa East ACP - Africa Central ACP - Africa South ACP - Caribbean ACP - Pacific ENPI - South ENPI - East Latin America Asia	Q. In which country is your organization registered? A. text box	
	Q. Is your organization A. A Non-governmental organization, a Local Authority or local government association, other (please specify)	
	Q. In this project is your organization A. Main applicant, partner, other (please specify)	
Q how long have you been involved in the administration of this programme? A. choice of I am not involved in the administration of this programme <6month, 6-18 months, <18 months,	Q. When did you start to implement this project? A. Date format	
Q. Have any independent evaluation report been produced for projects	Q. Has an independent or external evaluation report been produced for this project? (if yes, please send it to the evaluation Team Leader at adam.novak@nottingham.edu.my)	

1a EUDs in this column	1a/1b Beneficiaries – NSAs in this column	1a/1b Beneficiaries – LAs in this column
<td colspan="3" align="center">Questions common to two or three surveys are displayed across multiple columns</td>		
funded under this programme? (if yes, please send it to the evaluation Team Leader at adam.novak@nottingham.edu.my A. text box	A. yes, no, don't know	
	Q. What is the total EU financial contribution to this project? A. Choice from: <€50,000, €50,000 to €150,000, €150,000 to €300,000, €300,000 to €499,999, €500,000 and above, don't know, confidential	
	Q. How big is the contribution from this project specifically to your organisation? A. Choice from: <€50,000, €50,000 to €150,000, €150,000 to €300,000, €300,000 to €499,999, €500,000 and above, don't know, confidential	
	Q. What are your project focuses (select maximum 3) A. Multiple choice (multiple selection possible): Good governance and democratic participation, provision of basic services, provision of infrastructure (building work, equipment), capacity development for civil society/local authorities, capacity development for citizens, networking, lobbying and policy development, other (please specify)	
<td colspan="3" align="center">**Implementation and programming**</td>		
<td colspan="3">Relates to Q1, implementation and programming. Also informs Q9, management</td>		
Q. Please tell us about any divergence between implementation and programming in your country A. There is no significant divergence, there are small divergences, normal for a programme of this type, there are some unfortunate divergences, thing,		

1a EUDs in this column	1a/1b Beneficiaries – NSAs in this column	1a/1b Beneficiaries – LAs in this column
Questions common to two or three surveys are displayed across multiple columns		
there are some justified and probably positive divergences considering the local context, don't know/no opinion.		
Q. Delegations can use up to 5% of the country allocation for this programme for information, training and other activities to support beneficiaries. How would you evaluate the use of these measures in your Delegation A. We did not need to use these measures significantly, we should have used these measures more than we did, we used these measures and they did not have the desired effect, we used these measures and they had the desired effect, don't know/no opinion		
Q. Which of the following strategic goals do you consider to be most important for this programme in the country where you are working? (place in order of importance, with 1 as the most important) A., strengthening governance and democratic participation, meeting the Millennium Development Goals,		

1a EUDs in this column	1a/1b Beneficiaries – NSAs in this column	1a/1b Beneficiaries – LAs in this column
Questions common to two or three surveys are displayed across multiple columns		
providing NSAs and LAs with the opportunity to realise their own initiatives, provision of basic services, capacity building for civil society organisations and/or Local Authorities/Other (please specify)		
Are you satisfied with the portfolio in relation to the objectives at country level? A. Not satisfied, slightly satisfied, moderately satisfied, rather satisfied, highly satisfied, no comment/don't know		
To what extent does the EUD consult with civil society and local authorities regarding this programme? (informs Q2 JC on consultation) A. array. Rows are Regarding the priority sectors and objectives of Calls for Proposals, Regarding the implementation methods (size of grants, own financial contribution, re-granting, etc.), regarding feedback on previous calls for proposals, regarding capacity development needs of civil society organisations/local authorities? Columns are No consultation, little consultation, medium consultation, good consultation, excellent consultation, don't know/no opinion		

1a EUDs in this column	1a/1b Beneficiaries – NSAs in this column	1a/1b Beneficiaries – LAs in this column
<td colspan="3" align="center">**Questions common to two or three surveys are displayed across multiple columns**</td>		
Q. Which of the following modifications of objectives and implementation modalities are you considering adopting in future Calls for Proposals under this programme? A. Greater definition of Call Priorities, greater definitions of sectors, more encouragement of cross-cutting issues, greater definition of target actors, other (please specify)	<td colspan="2">Q. Which of the following modifications of objectives and implementation modalities would you most welcome in future Calls for Proposals under this programme? A. Clearer objectives and priorities, more clearly defined sectors, more encouragement of cross-cutting issues, greater clarity about what categories of applicant are welcomed, other (please specify)</td>	
Q. In future Calls for Proposals do you expect that, compared to your last Call for Proposals under this programme, the average size of grant awarded will A. reduce, stay the same, increase, don't know/not yet decided	<td colspan="2">Q. If the total budget for the next call for proposals remains the same, how should the EU distribute the grant fund in your country A. more small grants, same number and size of grants as last time, fewer grants, but larger</td>	
<td colspan="3" align="center">**Capacity building for applicants/beneficiaries** Relates to Q2 Lessons learned, sub question on MRT recommendation regarding capacity building for NMS NSAs/LAs.</td>		
Q How useful would the following measures be to facilitate organizations in this country to participate more fully in this programme? A. multiple choice array. Rows are:,	<td colspan="2">Q How useful would the following measures be to facilitate organizations in your country to participate more fully in this programme? A. multiple choice array. Rows are: lower minimum grant size, lower own financial contribution requirement, internet/telephone help desk in your language, training events in your country other (please specify)? Columns are: not important, small help, medium help, big help, don't know</td>	

1a EUDs in this column	1a/1b Beneficiaries – NSAs in this column	1a/1b Beneficiaries – LAs in this column
Questions common to two or three surveys are displayed across multiple columns		
lower minimum grant size, lower own financial contribution requirement, internet/telephone help desk in national language(s), training events in this country other (please specify)? Columns are: not important, small help, medium help, big help, don't know		
Q. As a result of this EU programme, have beneficiary organisations improved their access to financial resources? A. Array. Rows are national government funds, income and contributions from the national public, grants and donations from abroad. Columns are no improvement, only small improvement, moderate improvement, good improvement, very good improvement, don't know, confidential	Q. As a result of this EU programme, has your organisation improved its access to financial resources? A. Array. Rows are national government funds, income and contributions from the national public, grants and donations from abroad. Columns are no improvement, only small improvement, moderate improvement, good improvement, very good improvement, don't know, confidential	

Impact

Relates to Q2 Lessons learned, subquestions on impact of funded actions and impact of programme.

1a EUDs in this column	1a/1b Beneficiaries – NSAs in this column	1a/1b Beneficiaries – LAs in this column
Questions common to two or three surveys are displayed across multiple columns		

Q. How has the environment for civil society engagement on governance and development issues in this country changed since 2007?

A. Much worse, somewhat worse, about the same, somewhat better, much better

Q. What impact has this EU Non State Actors and Local Authorities grant programme made in the promotion of an enabling environment for civil society, participatory development and/or citizens' active engagement in this country?

A. none, small, medium, some, large, don't know/no opinion

Sustainability

Relates to Q7, sustainability. Tests relevance of Audit Report critique as applied to this programme

Q. Thinking specifically about this programme, would you say that project duration, including any extensions in specific cases is

A. Generally sufficient to achieve the planned objectives, somewhat too short (up to 50% longer duration would be better), much too short (duration should be extended by more than 50%, don't know/no opinion

Q. How useful might the following measures be in improving sustainability of outcomes of projects funded under this programme? A. Array. Rows are Longer project duration, more contact between donor and grantees, stronger in-country support systems such as NSA/LA support projects, and specialised capacity building organisations, focus grant funding on stronger organisations and consortia, better assessment of sustainability criteria during project selection, donor should insist on larger co-financing by applicant, other (please specify)

Exchange of best practice

Relates to Q2 Lessons learned, subquestion on best practice.

Q. In your opinion, how well do grantees of EU projects in this country share best practice and learn from each other?

Reply is: multiple choice array. Rows are: at the national level, at the regional level, with Europe, at the global level. Columns are none, little, moderate, good, very good

1a EUDs in this column	1a/1b Beneficiaries – NSAs in this column	1a/1b Beneficiaries – LAs in this column
Questions common to two or three surveys are displayed across multiple columns		
	Q. Inside your project consortium, did you have specific occasions to share project's best practices, strengths and weaknesses? Reply is: Evaluation scale (never, rarely, frequently, very frequently/don't know)	

<div align="center">

Networking

</div>

Relates to Q5, success, sub-question on multi-stakeholder networking and synergies, and Q8, added value of EC programme

1a EUDs in this column	1a/1b Beneficiaries – NSAs in this column	1a/1b Beneficiaries – LAs in this column
Q Has participation in this project led to any increase in networking and cooperation of grantees Rows with civil society organisations with Local Authorities with other state agencies in this country with elected representatives in this country with the European Commission with other European institutions with the European parliament with small and medium enterprises in the private sector with large or multinational enterprises	Q Has participation in this project led to any increase in your networking and cooperation Rows with civil society organisations with Local Authorities with elected representatives in your country with the European Commission with other European institutions with the European parliament with small and medium enterprises in the private sector with large or multinational enterprises in the private sector with the media in your country with media outside your country with educational institutions Columns None, small increase, medium increase, high increase, don't know	

1a EUDs in this column	1a/1b Beneficiaries – NSAs in this column	1a/1b Beneficiaries – LAs in this column
Questions common to two or three surveys are displayed across multiple columns		
in the private sector with the media in this country with media outside this country with educational institutions Columns None, small increase, medium increase, high increase, don't know		
	Q If your project is closed, how strong is your relationship with the other stakeholders? If your project is still running, what kind of relationship do you expect to have with the other stakeholders after the end of the project? Answer is array. Rows are main applicant, partners, associates, beneficiaries. Columns are no relationship, weak relationship medium relationship, strong relationship, not applicable/don't know	
	Q. Please tell us your cooperation with the national authorities A. Columns: we cooperated with the national authorities and agencies, we cooperated directly with local authorities and agencies (e.g. schools, town halls), we cooperated with elected representatives, cooperation with state agencies was not necessary or useful for this project, cooperation with state agencies would have been useful but unfortunately was not possible. Rows: Definitely no, not much, some, somewhat yes, definitely yes	

1a EUDs in this column	1a/1b Beneficiaries – NSAs in this column	1a/1b Beneficiaries – LAs in this column
Questions common to two or three surveys are displayed across multiple columns		
Q. Would you say that this Programme has Answer is array. Rows are Strengthened the participation of beneficiaries in national policy development Strengthened the participation of beneficiaries in donor policy development Improved the delivery of basic services to the population Strengthened the capacity of beneficiary organisations Strengthened the capacity of civil society organisations in general Strengthened the capacity of local government organisations and agencies in general Columns are: not successful, little success, medium success, some success, high success	Q. Would you say that this Programme has Answer is array. Rows are Strengthened the participation of organisations like yours in national policy development Strengthened the participation of organisations like yours in donor policy development Improved the delivery of basic services to the population Strengthened the capacity of your own organisation Strengthened the capacity of civil society organisations in general Strengthened the capacity of local government organisations and agencies Columns are: not successful, little success, medium success, some success, high success	
Monitoring		
Relates to Q9, management		

1a EUDs in this column	1a/1b Beneficiaries – NSAs in this column	1a/1b Beneficiaries – LAs in this column
Questions common to two or three surveys are displayed across multiple columns		
Q. How often do you meet on average with A. array, rows for grantees in the capital city, grantees outside the capital city. Columns for less than once per year, 1 or 2 times per year, 3 or more times per year	Q. How often do you meet on average with the Commission/Delegation official responsible for your project? A. array, rows for If you are based in the capital city answer here, if you are based outside the capital city answer here. Columns for less than once per year, 1 or 2 times per year, 3 or more times per year	
Q. To what extent do you share the results of ROM reports with grantees A. I don't have experience with this, I transmit the text rarely or only transmit small parts, I often transmit parts of the text, I usually transmit the major part of the text	Q. To what extent does the EU share the results of its monitoring visits with you? (This question applies to the ROM monitoring, which does not visit every project) A. My project did not receive a ROM monitoring mission, we received only minimal feedback from the EU, we received moderate information, we received significant information, we received all or almost all of the monitoring report	

ANNEX 6: SURVEY QUESTIONS FOR THE ON-LINE CONSULTATIONS (OBJECTIVES 2 AND 3)

Survey template for Objectives 2 and 3

Objective 2 in this column	Objective 3 in this column
Questions common to both surveys are displayed across both columns	
Basic information	
Q. In which country is your organization registered? A. AT, BE, BG, CY, CZ, DE, DK, EE, ES, FI, FR, GR, HU, IE, IT, LT, LU, LV, MT, NL, PL, PT, RO, SE, SI, SK, UK, "other, please specify" with text box	
Q. Is your organization A. A Non-governmental organization, a local government body (Local Authority), other (please specify)	
Q. When did you start to implement this project? A. Date format	
Q. In this project is your organization A. Main applicant, partner, other (please specify)	
Q. Has an independent evaluation report been produced for this project? (if yes, please send it to the evaluation Team Leader at adam.novak@nottingham.edu.my) A. text box	
Q. What is the total EU financial contribution to this project? A. Choice from: <€300,000, €300,000 to €499,999, €500,000 and above, don't know,confidential	
Q. How big is the contribution from this project specifically to your organisation? A. Choice from: <€300,000, €300,000 to €499,999, €500,000 and above, don't know, confidential	
Q. Is your project focus A. multiple choice (multiple selection possible): Development Education (targeting formal education sector), Development Education (targeting informal education), Awareness raising/campaigning	Q. What are your project focuses (select maximum 3) A. multiple choice (multiple selection possible): Lobbying, Awareness raising/campaigning, networking, representation, dialogue with European institutions
Capacity building for applicants/beneficiaries Relates to Q2 Lessons learned, sub question on MRT recommendation regarding capacity building for NMS NSAs/LAs.	
Q. From where did you get the information about the call for proposals for this project? A. multiple choice (from an EU website, from a specialized platform or network, from a non state actor, from a government agency, other (please specify)?	
Q. Which of the following difficulties did you encounter when preparing your project proposal? A. multiple choice- choose as many as you like (no particular problems, call objectives not clear, complicated application procedure, lack of human resources to draft proposals, , requirement for own financial contribution is very high, other (please specify)?	
Q. Including this project, how many times has your organization applied for EU grants A. Array: columns are: As lead agency, as partner. Rows are never, 1, 2, 3, 4 and above	

Objective 2 in this column	**Objective 3 in this column**

Questions common to both surveys are displayed across both columns

Q How useful would the following measures be to facilitate organizations in your country to participate more fully in this programme?

A. multiple choice array. Rows are: Reserved quota of funds for your country, support to networks and platforms that I participate in, other (please specify)? Columns are: not important, small help, medium help, big help, don't know

Exchange of best practice

Relates to Q2 Lessons learned, subquestion on best practice.

Q. In your opinion, how well do organisations like yours share best practice and learn from each other?
Reply is: multiple choice array. Rows are: at the national level, at the European level, at the global level. Columns are none, little, moderate, good, very good

Q. If yes, please describe up to 3 tools you have used (or you are using) as a way to share best practice with other organizations.
A. Text box

Q. Has your organization ever been invited to share your experience with this project at EU-supported events (seminars, workshops, online consultations) promoted by the European Union?
        Reply is multiple choice array. Rows are: during project implementation, after the end of the grant, Columns are never, once, twice, three times, 4 or more times

Q. Inside your project consortium, did you have had specific occasions to share project's best practices, strengths and weaknesses?
        Reply is: Evaluation scale (never, rarely, frequently, very frequently)

Policy context and external factors

Relates to Q3, Policy context

Q. How might the European financial crisis affect the themes of your Development Education/Awareness raising work?
Answer is array. Rows are: increased attention to racism and other negative consequences of the European financial crisis, increased attention to explaining the financial crisis and its global impact, no particular change in theme, other (please specify) Columns are: definitely no, probably no, maybe, probably yes, definitely yes

Q. How might the European financial crisis affect the funding of your future projects?
A is array. Rows are It will be more difficult to attract state funding in my country, it will be more difficult to raise funds from the general public in my country Other (please specify) Columns are: definitely no, probably no, maybe, probably yes, definitely yes

Q. How might the European financial crisis affect the stakeholder participation in your Development Education/Awareness raising work?
A is array. Rows are State agencies in my country will be less willing to cooperate with us, the general public will be less willing to cooperate with us, we will face hostility from a specific part of the population and/or specific political currents. Other (please specify) Columns are: definitely no, probably no, maybe, probably yes, definitely yes

Objective 2 in this column	**Objective 3 in this column**
Questions common to both surveys are displayed across both columns	

Q. will the European financial crisis lead to any changes in the way organisations like yours work at the national level?

Answer is evaluation scale array. Rows are: more competition for project funds, more difficult to finance networking with other organisations like yours, more difficult to finance campaigning and lobbying projects, change in government financial support, change in government political attitudes, change in public financial support, change in public political attitudes. Columns are: no problem, small problem, medium problem, big problem, don't know/no opinion

Q. will the European financial crisis lead to any changes in the way organisations like yours work at the European level?

Answer is evaluation scale array. Rows are: more competition for project funds, more difficult to finance networking with other organisations like yours, more difficult to finance campaigning and lobbying projects, change in government financial support, change in government political attitudes, change in public financial support, change in public political attitudes. Columns are: no problem, small problem, medium problem, big problem, don't know/no opinion

Networking

Relates to Q5, success, sub-question on multi-stakeholder networking and synergies, and Q8, added value of EC programme

Q Has participation in this project led to any increase in your networking and cooperation

Rows

with NSA (if you are a LA) or LA (if you are a NSA)

with other state agencies in your country

with elected representatives in your country

with the European Commission

with other European institutions

with the European parliament

with small and medium enterprises in the private sector

with large or multinational enterprises in the private sector

with the media in your country

with media outside your country

with educational institutions

Columns

None, small increase, medium increase, high increase

Q If your project is closed, how strong is your relationship with the other stakeholders? If your project is still running, what kind of relationship do you expect to have with the other stakeholders after the end of the project?

This Q relates to value-added of multi-country European cooperation, capacity building for NMS.

Answer is array. Rows are Lead Agency, partners, associates, beneficiaries. Columns are no relationship, weak relationship medium relationship, strong relationship, not applicable/don't know

Objective 2 in this column	**Objective 3 in this column**
Questions common to both surveys are displayed across both columns	

Q In your country are there regular consultations in the topic of development education within Columns: Within civil society, within government, between civil society and government. Rows: none, not enough, enough, too many, don't know/no opinion	Q. Overall, how successful do you think this NSA-LA Programme has been in? Answer is array. Rows are Strengthen the participation of NSAs and LAs in Public Policies at the national level Strengthen the participation of NSAs and LAs in Public Policies at the European level Improving networking between organisations like yours Columns are: not successful, little success, medium success, some success, high success

Q. Please tell us your cooperation with the national authorities

A. Columns: we cooperated with the national authorities and agencies, we cooperated directly with local authorities and agencies (e.g. schools, town halls), we cooperated with elected representatives, cooperation with state agencies was not necessary or useful for this project, cooperation with state agencies would have been useful but unfortunately was not possible. Rows: Definitely no, not much, some, somewhat yes, definitely yes

Q. Would you say that this NSA-LA Programme has

Answer is array. Rows are

Strengthened the participation of organisations like yours in European-level policies

Strengthened the voice of the New Member States in the formation of European policies

Improved understanding of European-level policies in your country

Columns are: not successful, little success, medium success, some success, high success, don't know/no opinion

Q. Would it be useful to increase involvement of Global South actors in this programme in the following ways

A. Array. Rows: In future Calls for Proposals, inclusion of a partner organisation from the Global South should be compulsory, In future Calls for Proposals, inclusion of a partner organisation from the Global South should attract extra evaluation points, the EC should facilitate networking between EU and Global South partners to encourage creation of new partnerships, other (please specify). Columns: not useful, little bit useful, moderate useful, useful, very useful, don't know/no comment