

# Lessons Learnt from EC Evaluations on the results of the 2007-13 EU legal instruments for external cooperation

## With a focus on the Development Cooperation Instrument

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# Nature of this 'Legal Instruments Study'

Synthesis study that looked at 6 legal instruments:

- DCI, ENPI, EIDHR, IfS, INSC and ICI
- Covers period 2006-2010
- Completed in July 2011

Study had two objectives:

1. Identify results of the EU external cooperation and learn lessons from 57 evaluation reports
2. Look at the logic of 6 instruments and identify possible lessons for the revision of the legal instruments for the MFF 2014-20

# Four phases to relate what was intended to what has happened

**Phase 1: Analysis of 6 EU Regulations:** to draft intervention logics

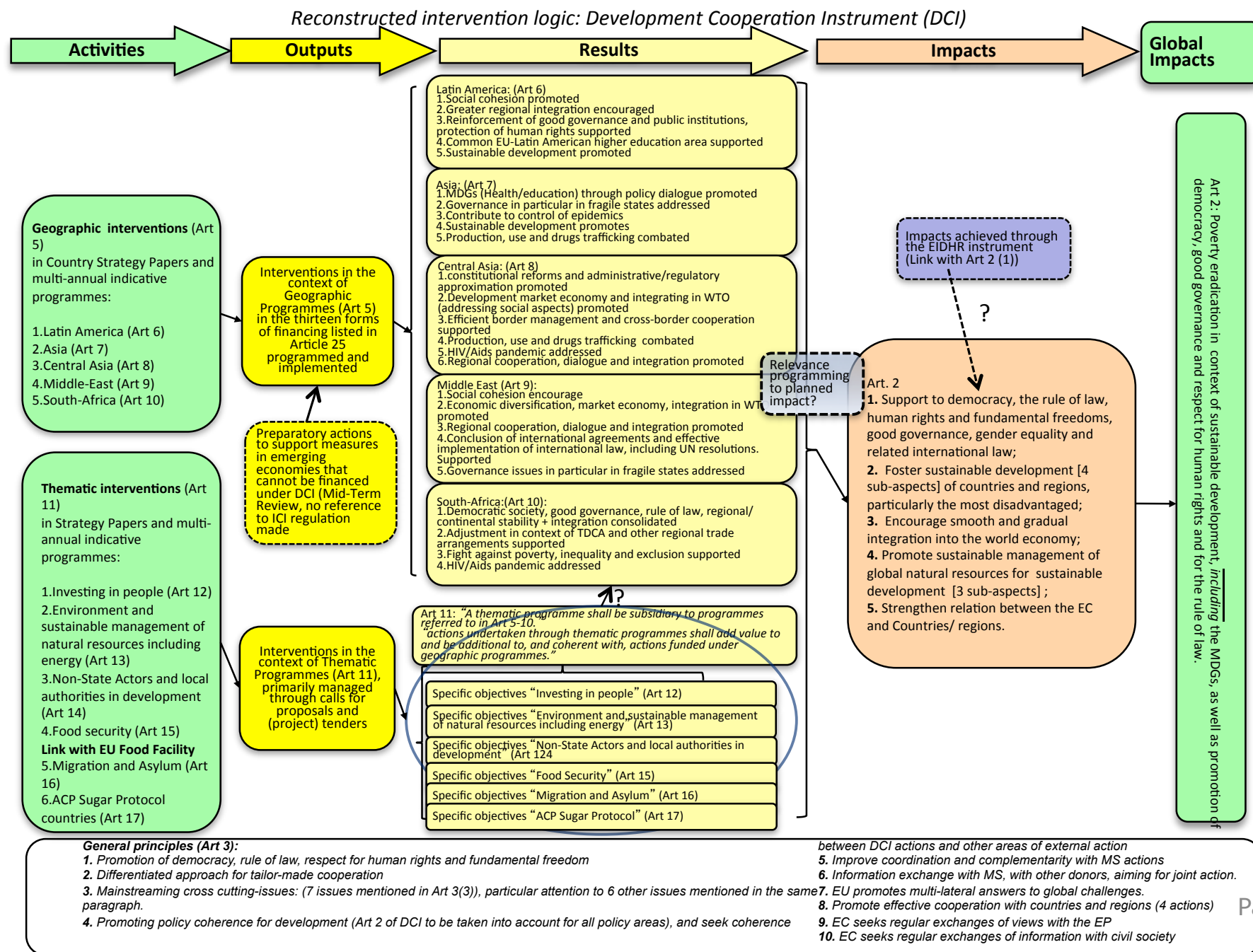
**Phase 2: Reconstructing intervention logics:**  
With original EC proposals and implementation reports

**Phase 3: Evaluation results:** relate these to intervention logics

**Phase 4:**

- **Options** for future legal instruments
- **Ideas** for evaluation programme

# Phases 1-2: Translating Regulations into intervention logics:



## Phase 3: relating results found in 57 evaluations to what the Regulations intended

Country evaluations	Regional evaluations	Thematic evaluations
ACP: 17	ACP: 5	Channel/modality evaluations: 4
DCI: 12	ENPI (MEDA II and TACIS): 2	Cross-cutting issues and sectors: 8
ENPI: 5	DCI (ASEAN and Central America): 2	Aid effectiveness/ Europeanisation: 1
		Other (statistical support): 1
<b>Total country evaluations: 34</b>	<b>Total regional evaluations: 9</b>	<b>Total thematic evaluations: 14</b>

# Study findings and recommendations (1/2)

- **Conclusion:** the logic of all 6 instruments could be substantially improved to make:
  1. Clearer how it is intended to achieve the instruments' objectives, and
  2. Easier to evaluate progress made towards these objectives
- Evaluations say a lot about what outputs were achieved through EU external action
  - But less on how these link to the overall objectives of the legal instruments
- Though evaluations can always be improved, the instruments themselves are not always clear and 'evaluable'

## Study findings and recommendations (2/2)

- 57 evaluations → 266 results that correspond to one or more Regulations.
- Distribution of 266 results uneven:
  - Most relate to DCI, ENPI, EIDHR.
  - Insufficient evidence to say much on INSC, ICI + IfS

### Recommendations for future regulations include:

1. Should have a clear logical argument on how it is expected to achieve overall objective / 'Global Impact'
2. Yet leave enough flexibility for management
3. Make complementarity between instruments clear
4. Design instruments as a linked package
5. Explicit link between evaluations and the Regulations
  1. Requirement for review of progress on 'Global Impact'
  2. Ensure evaluation coverage of all instruments
  3. Systematically share evaluation results with EP+Council

# Study findings on the DCI (1/2)

- The *European Consensus on Development* was a key foundation for the DCI
  - So example of a 'policy driven instrument'
- The DCI overlaps in scope with ICI, EIDHR and ENPI
- Expected 'complementarity' between the *thematic* and *geographic* interventions is not spelled out
- Regulation unclear: No clear match between:
  - High number of expected results and
  - Tight Global Impact objective (i.e. poverty eradication in the context of sustainable development)



# Study findings on the DCI (2/2)

- Sufficient evaluation findings for
  - Two of the five regions (Latin America, Asia)
  - Two of the five thematic programmes ('investing in people', 'environment and natural resources').
- Evidence of results generally positive
- Yet insufficient evidence on whether the DCI has contributed to poverty reduction
  - Evidence mostly at output level
  - Difficult as link for some thematic programmes is not that evident
- Improved evaluations more likely when:
  - Clearly inked to the DCI objectives
  - Baselines exist so you know where you start from

# Some reactions to proposed new DCI

- Flexible instrument with less prescription
- Otherwise much continuity with current DCI
- Overall simpler and clearer language
- Detail in Annexes – makes main text simpler
  - Also easier to change – delegated powers
- Policy base – clear in Preamble
- Complementarity between instruments ?
  - Reference to others in Preamble very limited
  - No indication of complementarity expected
- Scope: geographic & thematic progs. (Art.1) ?
  - Link of each to global objective not spelt out
  - Some indication of difference but could be clearer
- Programming (Art. 10-14) – good detail
  - Strong emphasis on country plans (ownership) and on joint programming (with MS)

# Reaction to proposals (continued)

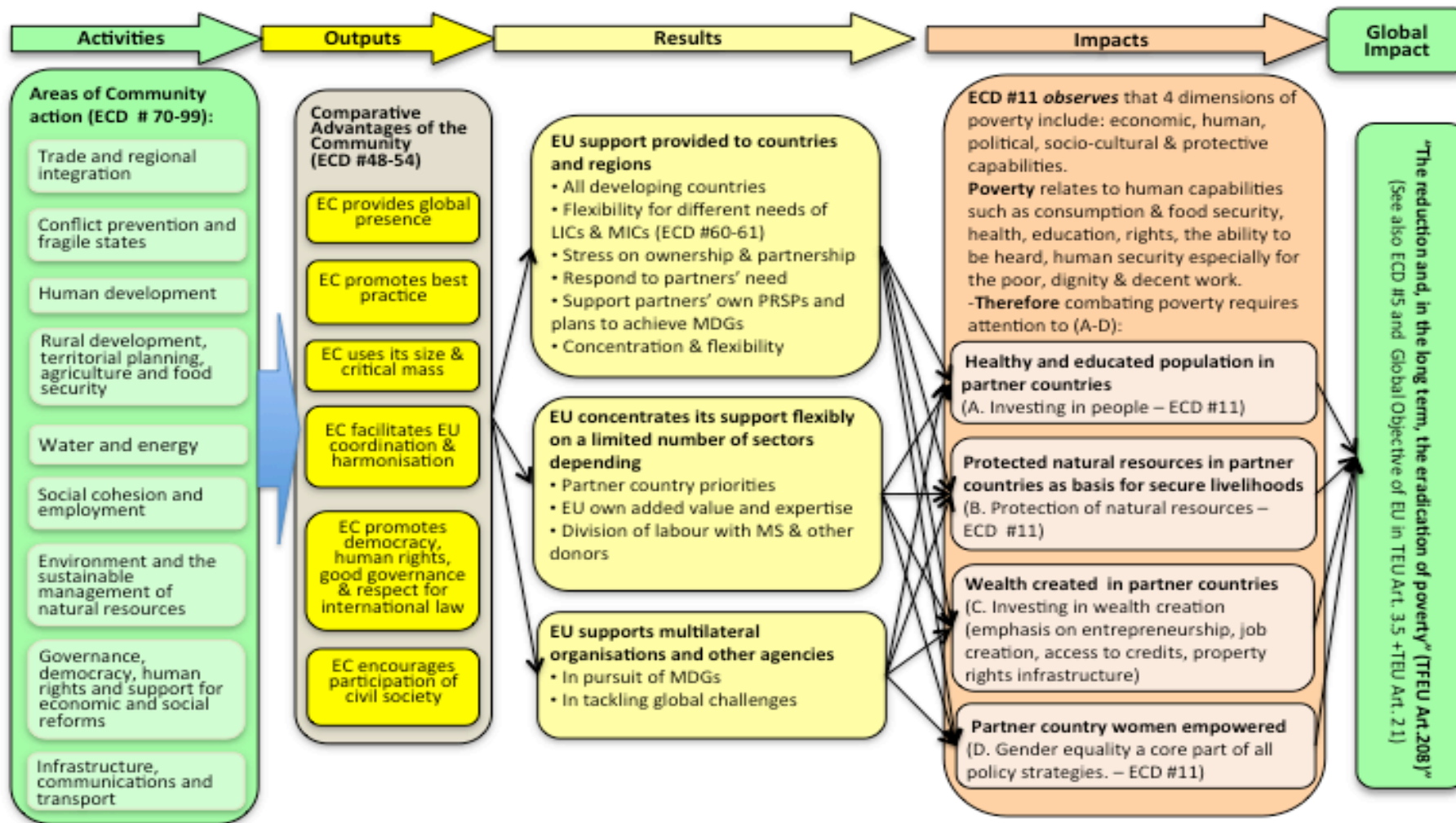
- Measurement of global objective (Art.2) ?
  - Why only based on MDG1 (income poverty)?
  - *European Consensus* has a more multidimensional understanding of poverty

## **Evaluation** – Art. 12 of the Common Regulation

- Covers all instruments, including DCI
- An obligation but Commission decides when
  - *"where appropriate by means of independent external evaluations"*
  - Can EP or Council request an evaluation?
- Evaluation of achievement of the objectives of actions, policies and programming
  - But no reference to achievement of the objectives of the Regulations themselves

# Example of simpler intervention logic for DCI (Fig 2 in Report)

Example of an intervention logic for EU development cooperation based on the Treaty and the European Consensus on Development



## Common values, Common principles, Differentiated approaches (ECD):

1. Respect for human rights, fundamental freedoms, peace, democracy, good governance, gender equality, the rule of law, solidarity and justice (#13)

2. Ownership and partnership. Developing countries have prime responsibility for their development. EU and partners share accountability for their joint efforts (#14-15)

3. In depth political dialogue, participation of civil society, addressing state fragility (#17,18,20)

4. Promoting policy coherence for development (#109)

5. A strengthened approach to mainstreaming (#100)

6. Improve coordination and complementarity with MS actions

# Thank you for your attention

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