TRIPLE C EVALUATIONS | N 7

co-operation

Evaluation of the EU Institutions & Member States' Mechanisms for Promoting Policy Coherence for Development

EVALUATION SERVICES OF THE EUROPEAN UNION | 2007

EVALUATION OF THE EU INSTITUTIONS & MEMBER STATES' MECHANISMS FOR PROMOTING POLICY COHERENCE FOR DEVELOPMENT

Lead Agency:
Directorate General for International Co-operation and Development
Ministry of Foreign and European Affairs
France

Partners:
The Federal Ministry for Economic Cooperation and Development (BMZ), Germany
Directorate-General for Development Cooperaiton (DGDC), Belgium
Directorate-General for International Cooperation (DGIS), the Netherlands
EuropeAid Co-Operation Office (AidCO), The European Commission

Evaluation of the EU Institutions & Member States' Mechanisms for Promoting Policy Coherence for Development

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Complutense Institute of International Studies (ICEI), Madrid
PARTICIP GmbH, Freiburg

Studies in European Development Co-operation Evaluation No 7
European Union
July 2007

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Studies in European Development Co-operation Evaluation is a series of evaluations commissioned by the combined evaluation bureaus of the European Commission and the Member States of the European Union. They are published – on an irregular basis – to inform the interested European audience on results of Europe's development co-operation. The content of these studies does not necessarily reflect the ideas of the European Commission or the governments of the Member States.

European Union
July 2007

ISBN: 978-90-5260-286-8
ISSN: 1871-3424

Typesetting: BoekVorm, Amsterdam
Coverdesign: Haagsblauw, The Hague
Printed in The Netherlands.

Published in 2007 by Aksant Academic Publishers, Cruquiusweg 31, NL-1019 AT Amsterdam, www.aksant.nl

Foreword

The group of Heads of the EU Member States' development cooperation evaluation services and the European Commission (EUHES) have agreed to carry out a series of joint evaluation studies aimed at establishing the degree of application and impact, in terms of development cooperation, of the principles of *coordination*, *complementarity* and *coherence* which are enshrined in the Maastricht Treaty. An initial report was published in 2004.[1] In 2005, a series of six evaluation studies was launched, each dealing with a specific aspect of the potential impact of the 3Cs. The studies are carried out in a decentralized fashion, with a lead agency and a steering group being responsible for each study:

Evaluation study	***Lead Agency***
Common Foreign and Security Policy/Development – The use of Cotonou Partnership Agreement's Article 96	The Netherlands
Coordination of Trade Capacity Building in Partner Countries	European Commission – EuropeAid
Coordination and complementarity in Humanitarian Assistance	European Commission – ECHO
EU Mechanisms that promote Policy Coherence for Development	France
Coordination and Complementarity of Country Strategy Papers with National Development Priorities	United Kingdom
Coordination and Complementarity of Assistance for Local Development	Sweden

This publication presents the overall results of the evaluation the EU Institutions & Member States' Mechanisms for Promoting Policy Coherence for Development. The evaluation was managed by the French Directorate-General for International Cooperation and Development, and supported by the Evaluation Services of Germany, Belgium, the Netherlands and the European Commission.

The evaluation study was carried out by the European Centre for Development Policy Management (ECDPM), Complutense Institute of International Studies (ICEI) and PARTICIP GmbH. The study looks at the mechanisms that have been put in place by

1 Hoebink, P. [ed.] (2004) 'The Treaty of Maastricht and Europe's Development Co-operation – Triple C Evaluations No 1.' (Amsterdam: Aksant Academic Publishers).

European Member States and Institutions to promote Policy Coherence for Development, and on the basis of its findings proposes main ingredients for a successful and systemic approach to promoting PCD.

Given that several EU level decisions relating to policy coherence for development were made during the past year, the findings of this study become available at an opportune time and can be used to inform the further implementation of the EU's commitment towards promoting PCD. As such, the study also illustrates the need for evaluation efforts to go beyond 'aid' towards evaluating the effectiveness of development programmes in a more holistic manner.

Eva Lithman, Chair of the EU-HES Task Force for the evaluation of the Three Cs

Contents

Appendices

The following appendices to this study can be accessed online at:
http://www.three-cs.net/resource_corner/ongoing_studies

List of Abbreviations

3Cs	Coordination, Complementarity and Coherence
ACP	Countries of Africa, the Caribbean and the Pacific
AidCO	EuropeAid Cooperation Office
AP2015	German Programme of Action 2015
ASEAN	Association of Southeast Asian Nations
AT	Austria
BE	Belgium
BMZ	Bundesministerium für wirtschaftliche Zusammenarbeit
CAP	Common Agricultural Policy
CEPs	Centre for European Policy Studies
CICI	Comisión Interministerial de Cooperacion Internacional (Inter-Ministerial Committee for International Cooperation, Spain)
CICID	Comité Interministeriel de la Coopération Internationale et du Développement – Interministerial Committee for International Cooperation and Development, France
CSO	Civil Society Organisation
CSP	Country Strategy Paper
CTEU	Consolidated Treaty on European Union
DAC	Development Assistance Committee of the OECD
DE	Germany
DEVE	Development Committee of the European Parliament
DFID	Department for International Development
DG	Directorate General
DK	Denmark
DGCID	Direction Générale de la Coopération Internationale et du Développement
DPC	Finnish Development Policy Committee
EC	European Commission
ECDPM	European Centre for Development Policy Management
EDF	European Development Fund
EIDHR	European Initiative for Democracy and Human Rights
EP	European Parliament
EPA	Economic Partnership Agreement

EP-DEVE	The Development Committee of the European Parliament
EQ	Evaluation Question
ES	Spain
EU	European Union
EU-HES	European Union Heads of Evaluation Services
FAD	French Agency for Development
FIN	Finland
FR	France
GAERC	General Affairs and External Relations Council
GR	Greece
HCCI	Haut Conseil à la Coopération Internationale
ICEI	Instituto Complutense de Estudios Internationales
iQSG	Inter-service Quality Support Group
IRL	Ireland
ISC	European Commission Inter-Service Consultation
IT	Italy
JC	Judgement Criteria
LUX	Luxembourg
MDG	Millennium Development Goal
MEAs	Multilateral Environmental Agreements
MEP	Member of the European Parliament
MFA	Ministry of Foreign Affairs
MS	Member State
NGO	Non-Governmental Organisation
NL	The Netherlands
NSA	Non-State Actor
ODA	Official Development Aid
OECD	Organisation for Economic Co-operation and Development
PCD	Policy Coherence for Development
PGD	Swedish Policy for Global Development
PT	Portugal
RSP	Regional Strategy Paper
RTD	Research and Technological Development
SW	Sweden
SWOT	Strengths, Weaknesses, Opportunities, Threats
TEC	Treaty on the European Community
TEU	Treaty on the European Union
ToR	Terms of References
UK	United Kingdom
UN	United Nations
WTO	World Trade Organisation

Preface

It has long been known that the development of the countries of the South cannot just rely on the aid policies of the countries of the North but depends, first and foremost, on the countries themselves. There has however been little talk of the impact, albeit major, of the other public policies of the developed countries, involving much more substantial budgets than those channelled into aid, on the developing countries and the well-being of their peoples.

Because this is such a complex and sensitive issue, awareness of the need to promote policy coherence for development (PCD) was slow to come about and it was only from the beginning of the 1990s that it became a discreet but stated aim of the international community.

Policy coherence is included in the Millennium Development Goals adopted by United Nations in September 2000 as part of the new global partnership for development (goal 8) and the OECD DAC makes it into a new and clear-cut part of the "peer reviews" of its member countries' development policies.

An important step forward was however made by Europe with the Treaty of Maastricht, signed in 1992, which set coordination, complementarity and coherence, the "3Cs", as guiding principles for European development policy, a competence shared between the Community and the Member States.

Ten years onwards, it seemed natural to take stock of the way in which the 3Cs have been implemented. For this reason, the Heads of Evaluation for External Cooperation of the EU Member States and the European Commission decided, in 2004, to launch a series of six joint evaluations to study the way in which the principles of coordination, complementarity and coherence had been translated into practice, and with what impact.

This study reports on the evaluation of intra-governmental mechanisms promoting policy coherence for development in the EU Member States and Institutions. The study drew on the findings of a preparatory scoping study, completed in 2004, whose purpose was to provide an outline of the conceptual framework, identify the main mechanisms

already in place throughout the EU and divide them into three main categories to prepare for further analysis:

1. mechanisms connected with general or specific policy commitments or decisions;
2. institutional and administrative mechanisms;
3. mechanisms connected with information, analysis and counselling capacity.

The current study's analysis work drew on seven examples of mechanisms in one of these categories which are in use in five Member States (Germany, Spain, Finland, France and Sweden) and two European Institutions (European Commission and European Parliament). On the basis of a full review of the existing documentation, supplemented by interviews, the study endeavoured to evaluate the relevance, efficiency, efficacy, impact and sustainability of these mechanisms.

The study's first conclusion is that the implementation of mechanisms to promote PCD in the European Union is still of an experimental nature and that there is a need for strategic reflection and a long-term vision if tangible results are to be achieved.

The second conclusion concerns the difficulty of measuring how politically committed Member States and EU Institutions really are to PCD; the study confirms that this commitment is crucial if progress is to be made. The study notes in particular that some Member States tend to hide behind the Community competency for some policies, overlooking the fact that only an active national commitment is likely to bring about change at Community level.

The third conclusion is that PCD necessarily involves complex and difficult negotiations and interactions between a whole range of actors and stakeholders. It would be unrealistic not to accept that some gaps in coherence are unintentional, while other incoherencies respond to legitimate interests, in some cases shared by the aid donor and beneficiary countries. The complexity of this issue suggests that combining the three types of mechanisms in a systemic way is necessary to progress .

The systemic approach that is recommended by the study has so far proved inadequate and the evaluation stresses, moreover, that a strong and broad political will, supported over time, is needed to go beyond the present experimental stage and operationalise the original commitment of the Maastricht Treaty, as taken up in the context of the European consensus on development adopted by the Council in 2005, but that this is far from being the case.

Policy coherence for development is undoubtedly the most sensitive component of the '3Cs' and the most delicate one to translate into practice. The decision to produce a two-yearly report on progress with PCD in the Union from a questionnaire completed

by each of the Member States and by the Commission – the first of which is scheduled for publication this October – is a step in the right direction.

It is to be hoped that this study helps to improve understanding of the importance of the interactions between the various policies affecting the developing countries and their impact, paves the way for thinking about the operational resources needed to strengthen policy coherence for development and ensures that this issue is included more systematically in the evaluation of our development strategies, policies, programmes and projects.

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Acknowledgements

Although a lot has been written about the theoretical foundations and political commitments relating to Policy Coherence for Development, the evaluation of its practical application is still a relatively unexplored territory. This evaluation therefore benefited greatly from information contributed by officials working in the different member states and EU institutions, as well as several researchers, journalists and other non-state actors. The Study Team wishes to thank all of those who gave generously of their time to be interviewed, helped to complete country profiles, filled out questionnaires, or shared documents. We are grateful for the time, openness and the many insightful comments we received. What we have done with the material collected is however our responsibility alone.

Our thanks also goes to various ECDPM colleagues for their ideas, comments and suggestions, as well as to Tilly De Coninck and Noëlle Laudy for their support with logistics and the production of the report.

James Mackie
Study Team Leader
European Centre for Development Policy Management (ECDPM)

Executive summary

1. This document reports on a joint-evaluation of intra-governmental mechanisms that promote policy coherence for development (PCD) in the European Member States and Institutions. The evaluation was commissioned and managed by the French Ministry of Foreign Affairs, with the support of a steering group that included, besides France, representatives from Germany, Belgium, the Netherlands and the European Commission.

2. This joint-evaluation is part of a series of studies initiated by the Heads of Evaluation for External Cooperation of the EU Member States and the European Commission. The series of studies focuses on how the Maastricht Treaty precepts of *coordination, complementarity* and *coherence* (the '3Cs') have been translated into practice, and with what impact.[1]

3. The Terms of Reference for the evaluation outlines three interrelated specific objectives derived from its global objective. They stipulate that the evaluation should analyse and assess the mechanisms for promoting intra-governmental coherence that have been introduced in the administrations of the Members States and the European institutions since the late 1990s, with a view to:
   a. *"Judging their relevance and effectiveness, as well as their efficiency, impact and sustainability, within their specific contexts;*
   b. *Formulating proposals to improve the relevance and effectiveness of the mechanisms analysed, without neglecting efficiency, impact and sustainability requirements;*
   c. *Enabling politicians and officials in Member States and in European institutions to learn the lessons from experience about effective PCD mechanisms and use these more widely".*[2]

1 More information on the overall 3C joint-evaluation initiative can be found on the following website: http://www.three-cs.net

2 (2006) Evaluation studies under the 3C initiative. Evaluation study 1.4: Evaluation of the EU institutions' and Member States' mechanisms promoting policy coherence for development.' Draft Terms of Reference: 7

4. The evidence that informed the main conclusions and recommendations presented in this final report was collected using four different approaches:
   - A review and analysis of available literature, EU policy documents and evaluation reports relating to PCD;
   - The production of Country Profiles with information on the approach to promoting PCD in EU Member States and the EU institutions, and the subsequent verification and further refinement of these profiles in consultation with relevant government officials;
   - Seven Case Studies to examine in greater detail selected individual mechanisms to promote PCD in Finland, France, Germany, Spain, Sweden, the European Parliament and the Commission;
   - An opinion survey among PCD specialists in the EU;

5. This study benefited from the results of a preparatory *'Scoping Study'* on EU mechanisms that promote Policy Coherence for Development, which was commissioned by France in 2004 to learn more about policy coherence and the existing mechanisms for its promotion.[3] Whereas the *Scoping Study* had a more 'fact-finding' focus, this evaluation looks further into how the mechanisms function in order to judge their relevance and effectiveness, as well as their efficiency, impact and sustainability within their specific contexts. Both studies focused on intra-governmental policy coherence for development – defined as consistency across all policies of an OECD country in terms of their contribution to development – and only considered formal PCD promotion mechanisms.

6. A PCD mechanism in this current Study is taken to mean a mechanism that is a clearly identifiable object of study with concrete features, such as a name and some terms of reference that include PCD as a purpose even as part of a wider scope. Clarity on who is involved, and defined operating ways, are the other elements that qualify the mechanisms.

Concepts & Methodology

7. On a conceptual level the study developed further the classification of PCD mechanisms into three types, (i) Policy Statements, (ii) Administrative & Institutional mechanisms, and (iii) Knowledge & Assessment mechanisms, first advanced in the *Scoping Study* and proposed the need to see these as part of a *PCD System* in which different mechanisms work together in a complementary fashion. A systems view also brings out more clearly the importance of situating the mechanisms in their operating context which the study considered both in terms of approaches to

3 ECDPM and ICEI (2005) EU Mechanisms that Promote Policy Coherence for Development. A Scoping Study, Amsterdam: Aksant Academic Publishers.

government (continuum from consensus to majoritarian) and approaches to policy change (continuum from holistic to particularistic).

8. An effort was also made to consider other generic characteristics of PCD mechanisms (level of formality, nature of competence, policy scope and degree of specialisation on PCD). The typology of PCD mechanisms developed on the basis of these various concepts and characteristics was then used in the selection of case studies.

9. An intervention logic diagram was developed to situate PCD mechanisms in terms of the intended effects and a set of five evaluation questions, with associated judgement criteria and indicators, was agreed on with the Steering Group in order to focus the study. The evaluation questions were also designed to cover the five standard DAC evaluation criteria.

10. Seven PCD mechanisms were then selected for case study field mission using a number of criteria agreed with the Steering Group. The case studies included two inter-ministerial committees in France and Spain, an inter-department policy consultation system in the European Commission, an external policy advice committee in Finland, a parliamentary committee at the European level, a whole-of-government bill on global development in Sweden and a cross-government action programme on the MDGs in Germany

Findings & Analysis

11. *The Country Profiles* built on the work done in the *Scoping Study* to identify some 85 different PCD mechanisms in existence around the EU (Member States and EU Institutions). This represented a 15% increase compared with the number of mechanisms identified in the *Scoping Study*. Growth was particularly marked in the category of Administrative & Institutional mechanisms. On the other hand, only nine examples of the Knowledge & Assessment type were found. It was also noted that the large majority (80%) of mechanisms were not PCD-specific but used for various policy purposes including the promotion of PCD. In terms of the Policy Statements most member states have restricted themselves to statements in the proper sense of the term and only a few have taken the extra step of passing these into law. As far as Administrative & Institutional mechanisms go the most common forms were inter-ministerial or inter-departmental committees or committees to look at coherence between development and one other policy sector. There were also a few parliamentary committees which performed a semi-institutional role on PCD outside government but still within the national system of governance. Informal mechanisms, which for methodological reasons had to be excluded from

scope of the study, were nevertheless seen as an important aspect of the promotion of PCD.[4]

12. The data from the Country Profiles was also analysed in terms of different groupings of member states (Table 3.3) and it was observed that six member states (DK, FIN, IRL, NL, SW and the UK) had established an above average number of PCD mechanisms of all three types. A second group (AT, BE, DE, FR and LUX) also showed well above average activity in establishing Administrative & Institutional type mechanisms but were below average on the other two types. However, when the analysis was taken further it was found that the biggest distinction was between a group of member states (SW, DE, IRL, FIN, DK, UK & AT) who had consolidated responsibility for development cooperation in a single ministry (MFA or ministry for development) and another group (GR, IT, ES, PT & FR) where this was dispersed over a number of ministries (Diagram 3.2). While both groups were close to average in terms of Policy Statements, the former group had progressed considerably further in terms of establishing PCD operational mechanisms of either of the Administrative & Institutional or the Knowledge & Assessment types.

13. *The Literature Review* indicated that authors and academics, like government officials, had at first had difficulties moving beyond more theoretical analyses of PCD to practical considerations. The real breakthrough seems to have come with the attention the OECD DAC paid to the subject in the late 1990s. Work from that period then translated through into a decision from the DAC to put PCD on the agenda of the Peer Review system. In parallel, PCD increasingly started to feature on the agenda on EU-level development policy discussions. Thereafter published material on coherence shows a much greater focus on the practical measures required to put PCD into practice. Interestingly this corresponds to the period in the early part of the current decade, identified in the Country Profiles, of substantial growth in the number of operational PCD mechanisms actually being established. More recently PCD is gradually being picked up in commissioned evaluations both as one issue in broader evaluations and now finally as a subject of evaluation in its own right.

14. *The Opinion Survey* collected responses from some 24 PCD specialists[5]. From these it emerged that there is a relatively high degree of consensus on the promotion of

4 In order to limit the object of Study it was decided at an early stage to focus on formal PCD mechanisms. These were defined as broadly responding to the following characteristics: an official name and some terms of reference that included PCD as a purpose; clarity on who was involved; and defined ways of operating. Informal PCD mechanisms, which do not meet these criteria, might include any process of an ad-hoc or more systematic collaborative nature which is recognised by some of those directly involved as playing a role in the promotion of PCD, but which is not officially recognised and/or consciously budgeted for and managed.

5 These specialists are all government officers working on the promotion of PCD on a daily basis. This represents a 35% response rate from a list of 62 persons contacted from around the EU.

PCD among specialists in government ministries and the European Commission. PCD is generally seen as best promoted via an inclusive approach, involving the full variety of aid and non-aid policy sectors in a member state or EU institution, supported by good institutional coordination. Good relations between government departments are at a premium and adequate resources need to be made available. Sharing lessons between governments across the EU has been a valuable source of inspiration. On the other hand responses indicated that while policy statements and clarity on mandates are important, by and large specialists are not that keen on an excessively formalised system. Rather they prefer to rely on developing dialogue and interaction between different parts of government.

15. *The responses to the first two Evaluation Questions* on the origins and relevance of the PCD mechanisms surveyed in the case studies indicated that they were indeed all well adapted to the government context from which they emerged and showed a generally high degree of *relevance* to the promotion of PCD. Given the variety of different types of mechanism studied this implies that there is a good deal to be learnt from a closer examination of the cases. A few of the mechanisms surveyed did not yet have clear mandates on PCD but their potential relevance in terms of promoting PCD was nevertheless confirmed. External influences, such as the debate in the DAC or in the EU, had been important in feeding the process of their establishment, but the drivers for this process were, in all cases the government itself and generally the ministry responsible for development. Civil society, while very present in earlier stages of the debate in the 1990s that fed the wave of policy statements on PCD, had been less important in the process of establishing the more operational mechanisms. Civil society organisations were however being involved in on-going dialogue in some cases and it was generally anticipated they would have an increasing role in monitoring of progress achieved though the modalities to achieve this were usually not yet in place.

16. Evaluation Questions 3 and 4 addressed issues of effectiveness, efficiency and impact. Overall the study concluded that the mechanisms examined were relatively *effective*, but constraints on effectiveness were identified in all cases. The most common obstacles included lack of adequate political support, unclear mandates and insufficient resources. On *efficiency*, interviewees generally felt that the PCD mechanisms they were working with were efficient; however, the evaluation found that in the absence of monitoring tools the basis for such judgements was not always very solid.

17. Assessing *impact* was one of the more difficult aspects of the Study both for various methodological reasons (short time span that mechanisms are in place, difficulties of isolating cause and effect, limited resources, etc) and because it was noted that there was no common view among stakeholders as to what impact was being

sought and opinions on this issue varied widely. All the case studies were able to point to examples of impact of different types ranging from policies in other sectors that had been changed or adapted due to the work of the PCD mechanism, through improved reporting on PCD, to simply increased levels of awareness on PCD. Examples of impacts achieved and success stories are given in brief in the report and in more detail in the appendices. Although nearly all stakeholders felt their mechanisms were having an impact they also found it hard to quantify this impact. This appeared to be largely because stakeholders still had fairly imprecise ideas about the results they were seeking to achieve with the mechanism they were involved with and had in fact not even really started to set up monitoring and evaluation systems for their work on PCD. This in turn meant *effectiveness* and *efficiency* were largely judged in terms of the operation of the mechanisms themselves and less in terms of what impact they were achieving. Lack of clarity on mandates and goals were therefore a general weakness as was limited resources. However, the biggest concern was the degree of political support for PCD with many cases of initial enthusiasm and commitment seeming to wane over time.

18. The final Evaluation Question considered the issue of *sustainability* and this also picked up on the need for continuing political interest and backing as a key ingredient. The fact that most of the PCD mechanisms studied were in fact based on existing policy mechanisms, adapted or in the process of being adapted by having PCD added to their list of concerns, suggested a generally high degree of sustainability. Evidence collected also pointed to the need for government to take a long term perspective on promoting PCD thereby underlining the importance of sustainability as an issue.

Main Conclusions of the Study

19. In conclusion the Study proposed that we are witnessing a new phase in the promotion of PCD that could be characterised as largely *experimental*. This label refers as much to the youth of many of the PCD mechanisms studied as to the way they are being operationalised by actors involved and indeed viewed by other stakeholders. Mandates often still lack clarity, goals are not yet very precise or operational, modalities are still being refined and ways of overcoming obstacles, such as how best to maintain political support over the transition from one government to the next, are still being investigated. Above all there is as yet a very limited sense of longer term planning in the work and little or no strategic thinking on how to maintain support for PCD over extended periods that cover the life cycle of *several* governments. A few more farsighted interlocuteurs of the study understood the necessity for such longer term planning if real results are to be achieved in PCD, but by and large the time horizons stakeholders appeared to be working with are much shorter.

20. A second important point is that the experimental and somewhat tentative feel of a lot of the work on PCD and the various instances of apparently declining political support over time witnessed by the research team even led to the conclusion that it is still *unclear how politically committed EU governments and institutions really are to PCD*. EU governments possibly simply underestimate the scale of the effort required to achieve impact. The need to see PCD as a long-term endeavour certainly still has to be pressed home. Strategies for sustaining strong political support for PCD over such an extended period seemed to be particularly vital to put in place.

21. A third key conclusion reached is that while many respondents underlined the importance of linkages between different actors and stakeholders and the value of formal and informal networking for PCD promotion and identified gaps in the tools they had to work with, there is, as yet, little formal recognition of the need for collaborative work between several different but complementary PCD mechanisms. The value of the *PCD System* concept, involving all the three types of mechanism, interacting with the broader context in which they operate, which was identified at the start of the Study, would therefore seem to be a particularly useful notion to retain.

Recommendations – Possible Guidelines for Promoting PCD

22. The main recommendation of the study is that EU governments need to urgently move beyond the current phase of the promotion of PCD that we have characterised here as *experimental*. It is perfectly understandable that there should be a need for a period of experimentation with the implementation of still relatively new policy commitments and it is recognised that the promotion of PCD is not an easy task, but it is also important that experience gained is consolidated and problems that emerge are addressed rather than be allowed to drift. While recognising the recent commitments that have been made at the EU level to further promote PCD, which build on and further operationalise the original commitment in the Maastricht Treaty, the results of this evaluation show that to put these commitments into action requires strong, broad-based and sustained political will over time and that this is not always forthcoming. EU governments therefore need to continue to address this challenge and ensure that the political will to promote PCD is maintained and strengthened.

23. That said it is also clear that the efforts that have been made to establish mechanisms to promote PCD in various member states and in the EU institutions that are described in this report and the accompanying appendices deserve serious attention. In particular they can provide much "food for thought" for those member states that have only recently embarked on this path.

24. The report therefore ends by proposing a set of possible guidelines for mechanisms to promote PCD which builds on the notion of the *PCD System* developed during the Study and brings out various steps required to address a number of the weaknesses and obstacles identified during the research. The value of having all three types of mechanism, that is: (i) Policy Statements, (ii) Administrative & Institutional mechanisms, and (iii) Knowledge & Assessment mechanisms, is underscored. The need for clarity of mandates, a long term strategy, links with other stakeholders, informal as well as formal networking, adequate resources and persuasive and flexible approaches are all underlined. Above all the need for strategies to strengthen and maintain political support for PCD over the longer term through involving parliaments, civil society, academia and the media is strongly emphasised.

1 Introduction

1.1 Introduction

1.1 Purpose of & background to the Evaluation

This evaluation is part of a series of six joint evaluation studies that have been initiated by the Heads of European Union Member States' evaluation services and the European Commission (EU-HES). The studies aim to assess the role played by the Maastricht Treaty precepts of coordination, complementarity and coherence in European Commission and EU Member States' development cooperation policies.[1]

This particular study focuses on the mechanisms which have been put in place by the EU Member States and the EU Institutions with the purpose of promoting Policy Coherence for Development. As such, the study differs from the other five evaluation studies under this initiative in that it exclusively looks at one of the three Cs, whereas other studies examined at least two of them in conjunction. Coherence was one of the 'three Cs' – *coherence, coordination and complementarity* – that were incorporated in the Treaty on the European Union at the time of the Treaty of Maastricht (1992) when the development cooperation programmes of the European Community were given a legal basis for the first time. In addition to being the only one of the 3Cs which is not explicitly referred to by name in the Treaty, coherence also differs from the other two Cs in that it speaks about development cooperation in relation to other policy sectors. In the so-called 'coherence article' (130V) of the Maastricht Treaty, the need to ensure that all external policy should be coherent with the Community's development was thus worded as follows:

> *"The Community shall take account of the objectives referred to in Article 130U in the policies that it implements which are likely to affect developing countries."* [2]

The study specifically focuses on *mechanisms* that have been established over the years since Maastricht to promote this objective of policy coherence for development or 'PCD' as it is now commonly known.[3]

1 For more information on the other joint evaluation studies and on the wider initiative, please visit http://www.three-cs.net

2 Article 130V and 130U were later combined into article 178 of the 1997 Amsterdam Treaty.

The Terms of Reference for this evaluation outlines three interrelated specific objectives for this study which can be derived from its global objective. It stipulates that the evaluation should analyse and assess mechanisms for promoting intra-governmental coherence that have been introduced in the administrations of the Members States and the EU institutions since the late 1990s, with a view to:

i. *"Judging their relevance and effectiveness, as well as their efficiency, impact and sustainability, within their specific contexts;*
ii. *Formulating proposals to improve the relevance and effectiveness of the mechanisms analysed, without neglecting efficiency, impact and sustainability requirements;*
iii. *Enabling politicians and officials in Member States and in European institutions to learn the lessons from experience about effective PCD mechanisms and use these more widely".*[4]

In order to prepare the ground the Steering Group for this evaluation agreed to first conduct a *'scoping study'* in order to learn more about policy coherence and the existing mechanisms for its promotion. The current evaluation therefore builds on the results of the Scoping Study.

In this evaluation, a 'PCD mechanism' is taken to mean a mechanism that is a clearly identifiable object of study with concrete features, such as a name and some terms of reference that include PCD as a purpose even as part of a wider scope. Clarity on who is involved, and defined modus operandi, are the other elements that qualify the mechanisms. Many of these mechanisms have other roles as well, but this evaluation only examines their PCD role and does not pretend to cover any other broader role they may have. For this evaluation, we distinguish between three different types of mechanisms which can contribute to the promotion of PCD:

i. Explicit **Policy Statements** on coherence which translate external policy pressures into a declaration of what the government intends to do to, indicating intent, providing focus and guiding officials and other actors;
ii. **Administrative and Institutional Mechanisms** (such as inter-departmental coordination committees in government, or a specialized coherence unit) to promote coherence in the definition and further refinement and mutual adjustment of different policies and the execution of the commitment;
iii. **Knowledge Input and Assessment Mechanisms** (information and analysis capacity) to support an evidence-based approach to policy formation to underpin and inform the need for policy coherence (ECDPM & ICEI 2005: 17, 18).

3 A *'Scoping Study'* was commissioned and completed before the launch of this evaluation, for the purpose of learning more about policy coherence and the existing mechanisms for its promotion: ECDPM and ICEI (2005) *EU Mechanisms that Promote Policy Coherence for Development. A Scoping Study*, Amsterdam: Aksant Academic Publishers.

4 (2006) Evaluation studies under the 3C initiative. Study 1.4: Evaluation of the EU institutions' and Member States' mechanisms promoting policy coherence for development.' Draft Terms of Reference: 7

In the literature on policy coherence for development, many different types and forms of coherence are identified. This study will solely focus on what the *Scoping Study* identified as 'intra-governmental coherence'. This type of coherence refers to the process of creating coherence across all policies and actions on a national level with the government in question's development policy. In the context of this evaluation, this will not only include mechanisms established by the EU Member States to promote PCD in their own policy but also mechanism established within the EU institutions.

As for the other five joint evaluation studies under the 3Cs initiative, this final report should not be seen as being the only goal of this evaluation. Like the other studies, this study is expected to produce evidence, lessons and recommendations to strengthen the quality and effectiveness of European development assistance. Many of the more detailed lessons to be learnt, particularly from the case studies and the opinion survey, cannot be captured in this final report but are provided in the attached annexes and in the appendices in separate volumes.

1.2 Origins of debate on PCD

In the European Union, the debate on policy coherence for development is usually traced back to 1992 when the Maastricht Treaty (TEU) included an article on the subject. Since then the debate on the value of the concept of coherence has strengthened and moved beyond Europe to international fora such as the DAC, the UN and the Paris High-Level Forum on the Effectiveness of Aid. It has also progressed internally in the EU institutions and among the EU Member States.

Interest in policy coherence for development reflects the need to improve the effectiveness of development cooperation which is often negatively affected by decisions in other policy sectors or instruments. PCD is also a response to developing countries who point at policy incoherences to justify their demands for donors to make more serious efforts towards sustainable development and it is a recognition that ODA is far from being the only or most important international financial flow as far as progress on development is concerned

From the literature review in the Desk Study for this evaluation and what it reflects in terms of action taken by member states in Europe a picture emerges of four rough phases in the attention paid to PCD. It is useful to keep this periodisation in mind throughout the examination of the evidence collected in this Study. These phases are outlined in the following table:

Table 1.1: **Phases in the debate on PCD in Europe**

A	Up to 1992	First reflections	Debates on consistency in European external policies and first thoughts on PCD provides basis for articles in Maastricht Treaty
B	1992 – 1999	Making the case	TEU articles prompt highlighting of incoherence cases and debates on concepts and definitions. From mid-90s, importance of PCD is increasingly picked up in broader international circles. Concrete progress in Europe is slow.
C	Early 2000s	Wider recognition & search for solutions	OECD/DAC Peer Review system starts to cover PCD. Issue picked up in MDGs. Donors start to establish PCD mechanisms.
D	Mid 2000s on	Experimentation, knowledge sharing & consolidation	More systematic and widespread attention paid to PCD. EU governments seeking to learn lessons from first experiences of promoting PCD.

It is interesting to note how, throughout these four phases, the incidence of the three different types of PCD mechanisms which we introduced in the previous section expands and follows on from each other:

- Agreement on specific policy statements or legal provisions can of course be clearly dated and indeed our starting point is the approval of the TEU in 1992;
- Institutional and administrative mechanisms then also start to gradually appear as governments seek to implement the policy statements.
- Knowledge of cases incoherence and of experience on promoting PCD can be seen to play an important part in the evolution of the debate. In the initial stages of the debate this role is played out through informal work by NGOs and other interested actors. In due course however, the appearance of more formal sharing of knowledge and assessment can be seen to grow and one can start to talk about real mechanisms for knowledge sharing;

The Study's literature review is summarized[5] later in this report, but it is useful here to briefly examine the basic notion of coherence as it was laid out in the Treaty in 1992 and then see how it has evolved in later EU texts.

While the Maastricht Treaty is the generally acknowledged starting point for most European debate on PCD the Treaty was not without ambiguity. Thus in some of the earlier literature relating to the TEU, authors sought to explain the difference between coherence and consistency, words which are often used inter-changeably in policy documents, but can be seen to have different meanings. The following quote is perhaps the clearest in making the distinction:

5 The Literature Review is also available in full in the Desk Study Report in the appendices

'(...) coherence and consistency are by no means identical concepts: they in fact have very different meanings. Consistency in law is the absence of contradictions; coherence on the other hand refers to positive connections. Moreover coherence in law is a matter of degree, whereas consistency is a static concept. Concepts of law can be more or less coherent, but they cannot be more or less consistent – they are either consistent or not'.
(Tietje in Molina [undated]: 243).

However it has also been noted that the different translations of EU treaties have contributed to the obscuring of the difference between the two concepts. Examining the articles relating to EU external relations in general, and not just development, Simon Duke both highlights this problem, and at the same time minimizes its real importance, pointing out that the real issue is the overall sense of what is conveyed:

'The official English language versions of the Single European Act, the Treaty on European Union (TEU), and the Consolidated Treaty on European Union (CTEU), refer to the need for 'consistency.' The French and German texts however refer respectively to cohérence and Kohärenz. (...)The difference between consistency and coherence has been the subject of legal scrutiny but, when viewed from a political perspective, the terms are not significantly at variance since they both point in the direction of co-ordinated activities with the objective of ensuring that the Union speaks with a 'single voice' ' (Duke 1999: 3).

There was also debate about whether the coherence or consistency was 'directional'. In other words, was it development policy that had to be coherent with and adjusted to other policies or the other way round (Hoebink & Molett 2004: 37)? The TEU from Maastricht onwards however does not appear to 'subordinate' development cooperation to other policy areas in any way. What was also clear at the time that the coherence requirement only applied to the EC and not to the broader EU.

This debate on the strength, 'direction' and scope of the coherence article(s) in the Treaty went on through the 1990s and right up into the discussion on the Draft Constitution in 2004 with NGOs in particular following it closely, although officials were often also sympathetic to the arguments[6] . Even though the Draft Constitution never became law this broadening is now reflected in EU policy in the *European Consensus on Development* approved by Council December 2005.

6 In 2003 even the IGC Secretariat, in its editorial and legal comments on the Draft Constitution, argued for the creation of a set of new articles on *coherence* (Art III-1 to 5) which would have given far more strength to the need for all Union policies to be coherent with development cooperation policy. As an ECDPM report noted at the time they in fact 'upgraded' a sentence from a place in the development cooperation section, not just to the start of the external actions chapter, but right to the beginning of Part III of the Draft Constitution. If this had been passed the Draft Constitution would have given a higher status to the importance of coherence with development policy than in previous texts. (Mackie J, H Baser, J Frederiksen & O Hasse, October 2003 *Ensuring that Development Cooperation Matters in the New Europe*, ECDPM study for DFID)

Box 1.1: **Coherence in the Draft Constitution and EU Consensus on Development**

Draft EU Constitution:
"The Union shall ensure consistency between the different areas of its external action and between these and its other policies'" (Article III-292.3)
&
"The Union shall take account of the objectives of development cooperation in the policies that it implements which are likely to affect developing countries" (Article III-316)
(Draft Constitution, OJ C310 16 December 2004)

European Consensus on Development:
"(...) the EU's commitment to promoting policy coherence for development, is based upon ensuring that the EU takes account of the objectives of development cooperation in all policies that it implements which are likely to affect developing countries, and that these policies support development objectives" (Para 9,).
Quoted in European Commission, Commission Staff Working document SEC(2006) 335 final

While article 130v/178 of the Treaty on European Union (TEU) is frequently cited in development circles, in other policy fields this article is rarely referred to and reference is made instead to Article C of the Common Provisions and its provisions for consistency in EU external action (see for example Duke 1999). This does imply that, unless officials from other policy sectors happen to be directly familiar with the development cooperation articles of the Treaty, their understanding of the requirements on coherence will tend to be based on the *consistency* provisions. Though useful, these provisions do not give quite the status to development cooperation that can be found in the specific PCD provisions later in the text. In addition the *consistency* article as it stands in the TEU only refers to consistency *within the area of external relations* and is therefore more about Europe speaking with a 'single voice' (Duke 1999). The *coherence* article on the other hand goes much further and refers to coherence between *all policy sectors*. As the quotes in the box show however, the scope of the *consistency* article would have been broadened in the Draft Constitution.

The other important point to stress is that a key difference between the two Articles is that Article C refers to the Union, whereas Article 130v only refers to the Community. While it is commonly understood that this Article should also be respected by the Member States and the proposals for the Draft Constitution show that this was the direction in which the debate was moving, the fact that Article 130v only refers to Community policies means that it does not legally bind the Member States to action on PCD in their bilateral programmes. Nevertheless, the 1992 Treaty does mark the acceptance by EU governments of the importance of taking account of the objectives of development cooperation in policies which are likely to affect developing countries and therefore a clear step forward for PCD.

In the period that followed during the last years of the 1990s and in the beginning of this new millennium, there seems to be a more wide-spread acceptance of the importance to promote policy coherence for development, and more measures are taken accordingly. Mechanisms are being set up by the EU Member States to increase the coherence for development of their own internal policies, whereas the Commission and EU institutions have also taken steps to attempt to further promote coherence in their areas of influence. One could say that these mechanisms were perhaps further given legitimacy by the conclusions of the EU Council meeting of the 12th of April 2006, in which the Council invited

> *'(...) the Commission and the Member States to provide for adequate mechanisms and instruments within their respective spheres of competence to ensure PCD as appropriate.'*

The interest of this Study thus lies precisely in the closer examination that it allows of the response that the EU Member States and Institutions are making to this invitation and in the opportunity it creates for sharing the results of their experiences in this respect amongst themselves.

2 Conceptual Framework & Methodology

In this Chapter, the study's conceptual and methodological approaches are briefly described. More detailed information on these points can be found in this study's Inception and Desk Reports reproduced in Appendices in separate volumes, while the annexes to this report also include more information.

2.1 Conceptual Framework

This section, briefly introduces three elements that have been used to construct a conceptual framework for this study. This was developed during the inception phase to underpin the methodological approach of the study and situate its findings. A more detailed argumentation of this framework can be found in Appendix 1.

A. Mapping the PCD process: The promotion of policy coherence for development should be seen as part of the regular process of policy formulation, refinement and change, and as part of a broader goal to improve the effectiveness of policy. As such, the practice of promoting PCD can be distinguished into two types of activities: (1) *Strengthening PCD* (systems that encourage officials to consider how best to achieve PCD throughout the policy formulation process); (2) *Resolving incoherence* (established fora where issues of incoherence can be resolved).[1]

Compatible with its approach to policy formulation and change, a government can choose to put in place one or more of the three types of mechanisms, which were introduced in section 1.1 of this report:

Within this framework a government will then have to make a choice between various specific mechanisms at its disposal and develop its own approach to promoting policy coherence. Four principal contextual factors can be identified:

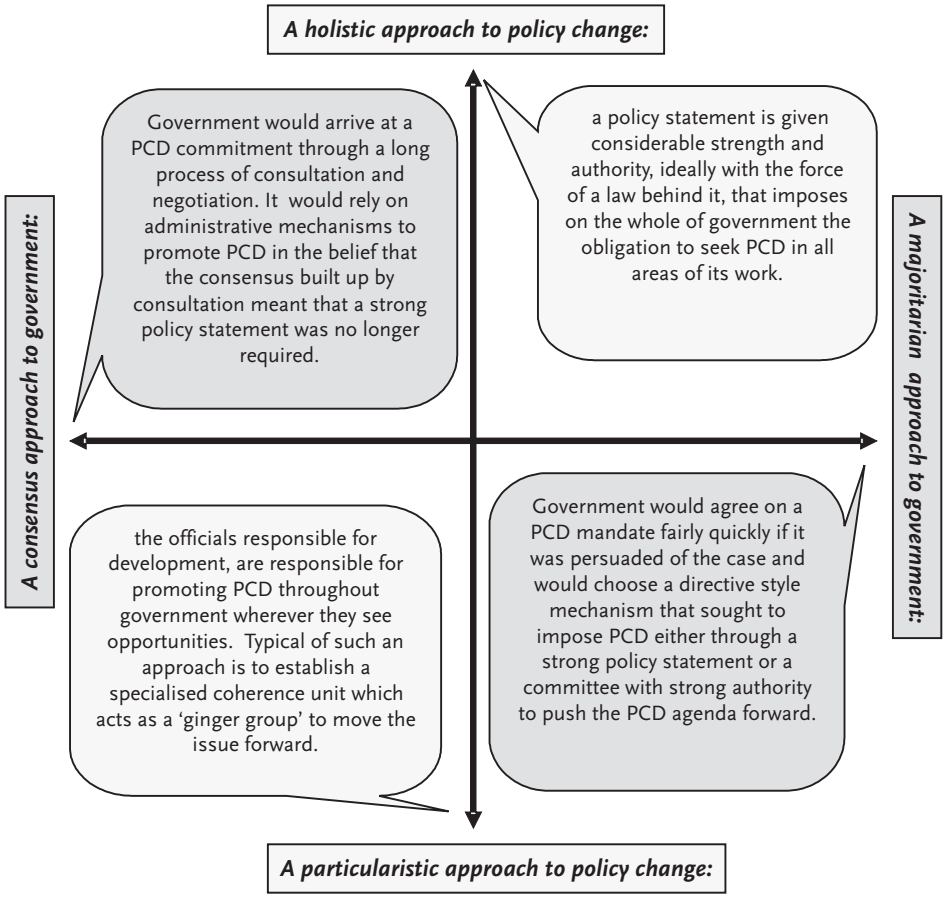
1. ***Governance and administrative traditions*** in the country concerned
2. The government's overall ***approach to policy formulation and change***

1 In situations where it is not possible to decide which policy prevails, and were full coherence is not possible, this practice may also include the managing of political trade-offs.

3. ***Levels of political will*** in the government to support for a specific policy, or in this case ***for promoting PCD***
4. ***External support*** for development policies, and the need for other policies to be coherent with it.[2]

Finally, the nature of a governance system in any country is an important factor that determines the government's choice and effectiveness of a PCD mechanism, as is the institutional balance of powers (parliamentary system versus semi-presidential system) and how consensus is built in this system. Government traditions and systems vary across Europe. Political scientists typically look at the degree of centralisation of power and other factors to compare governments but it is also important to consider how they approach policy change. These two factors can be graphically represented on a

DIAGRAM 2.1: **Approaches to government & policy change**



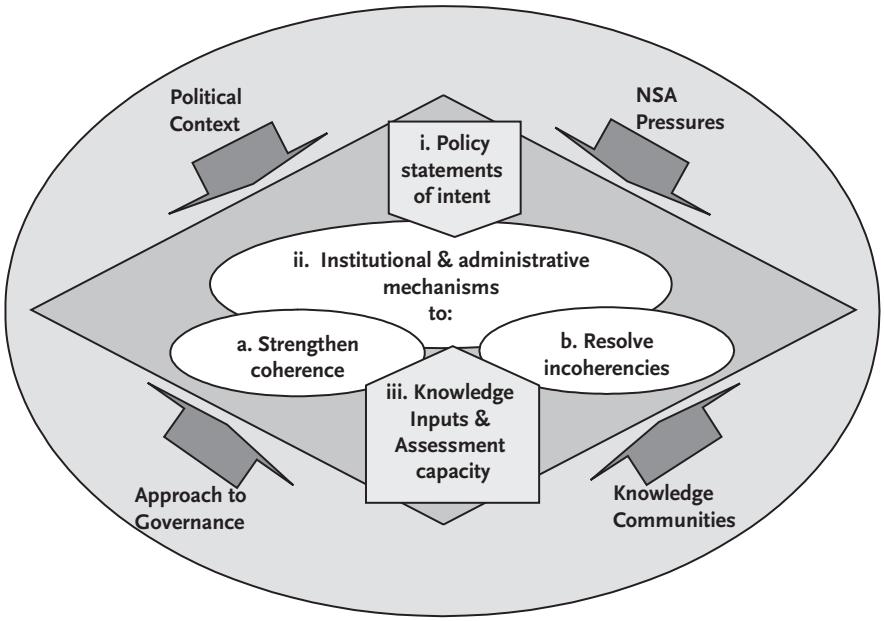
2 External in this case can mean both outside government and outside the country

simple diagram as follows with approaches to government (eg. following the political scientist Lijphart)[3] on one axis and approaches to policy change on the other (Diagram 2.1).

B. Systems approach: Although this study has the individual PCD mechanism as its primary object, it examines these mechanisms as part of a system (Diagram 2.2) which can consist of a combination of mechanisms of different kinds and types. These mechanisms are interconnected, mutually supportive and relate by various links to key aspects of the broader context in which the system operates. While our study will clearly focus on the PCD mechanisms themselves, it will do so with the broader system in which they operate in mind.

The way these three types of PCD mechanisms work together will vary from case to case. The relative strength or weakness of each mechanism within the system is dependent on the needs and the nature of the political and government context in which the system operates. PCD mechanisms can also be imagined to operate at different levels in the government policy formulation hierarchy. This positioning affects the authority of the mechanism and the role it can play and will therefore also be a factor in its effectiveness.

DIAGRAM 2.2: **A PCD System: PCD mechanisms in their operating context**



3 For a comprehensive analysis of the differences between majoritarian and consensus approaches to government, please refer to: Lijphart A., Patterns of democracy. Government forms and performance in thirty six countries. Yale University Press. New Haven and London : 1999

The three types of PCD mechanism, the work they do, the context in which they operate as a system can be graphically represented in diagram 2.2.

C. Characteristics of a PCD mechanism: In addition to being of a particular nature in terms of their function, PCD mechanisms exhibit other basic practical characteristics that can enable us to understand and classify them. Four basic characteristics can be used as the basis for a possible typology:

a. **Level of formality** – i.e. formal, institutionalised mechanisms or informal ones. In the second type the capacity of mechanisms to generate binding decisions is obviously smaller, but informal mechanisms can nevertheless be important.
b. **Nature of competence** – i.e. is their mandate or a political or a technical nature. Clearly fewer decisions are taken at the second technical level, particularly in so far as the content of policies is concerned.
c. **Policy scope** – i.e. do they cover a range of policies or only a limited number that is coherence between development and one other policy sector. Scope thus refers to the sum of policies and instruments that are covered by the mechanism.
d. **Degree of specialisation on PCD** – i.e. are they highly specialised in promoting PCD and set up for that specific purpose, or do they have a wider range of tasks

In principle there are obviously many combinations of these four characteristics but given the study's focus on formal mechanisms that promote PCD, we have distinguished the following four relevant groups:

– Group 1: Mechanisms with a political competence and specialised in PCD
– Group 2: Mechanisms with a political competence and non-specialised
– Group 3: Mechanisms with a technical competence and specialised in PCD
– Group 4: Mechanisms with a technical competence and non-specialised

2.2 Methodology: General Approach

The general methodological approach for the evaluation was developed in four steps.

First, on the basis of official documents, statements and related publications, the impact diagram for the evaluation was constructed (Annex D). This diagram displays the main principles and objectives of the process of promoting policy coherence, as well as the global impact which this promotion is expected to contribute to. In the diagram, the main mechanisms and corresponding actions in the context of intra-governmental PCD are also mentioned, based on the reflection on the *Scoping Study*, as well as the outputs and subsequent outcomes which these mechanisms and actions are believed to contribute to. The diagram can be consulted in Annex E of this report;

Five Evaluation Questions were subsequently identified to clearly delineate and contextualise the main evaluation criteria of this study. The questions were also related to the five standard OECD/DAC evaluation criteria. At the same time it was recognized that, as most of the mechanisms under study are relatively new, it would be correspondingly more difficult to answer questions on impact and sustainability than on relevance, effectiveness and efficiency. The five questions were identified as follows:

1. To what extent and why did the process of establishing the selected intra-governmental PCD mechanisms respond to specific constraints and produce mechanisms that are particularly suited to these parameters?
2. How and why are the selected intra-governmental PCD mechanisms relevant in promoting intra-governmental PCD in their particular national context?
3. How effective and efficient are the selected intra-governmental PCD mechanisms in achieving their objectives within their context? In cases where governments have established several intra-governmental PCD mechanisms, to what extent and how do these mutually reinforce each other or do they perhaps work at cross purposes in some respects?
4. What are the key factors contributing to the success of the selected intra-governmental PCD mechanisms and their impact on intra-governmental PCD and why? What are the mechanisms' strengths and weaknesses in this respect?
5. What (and why) are the main factors influencing the sustainability of the selected intra-governmental PCD mechanisms?

As a third and final step of preparing the methodological approach, these five Evaluation Questions were operationalised with 'judgment criteria', which in turn were further associated with specific indicators. Using this structure has the advantage that it enables the evaluation team to systematically analyse and structure the evidence 'upwards' to present the study's findings, which the reader can trace back to the various methods with which they were collected. On the basis of this evaluation grid and the guidance from the TOR, a sequence of methods was proposed that was most fit to collect the required data within the given scope and budget of this evaluation.

2.2.1 Approach to each phase of study

The Terms of Reference for the Evaluation requires the use of case studies as a key tool in the evaluation methodology. The use of case studies enables the closer analysis of specific mechanisms and allows for meetings with different stakeholders involved (eg. in ministries and related institutions, in partner organizations and national actors involved, such as NGOs or the media, etc.). Such field work also gives researchers a deeper grasp of the reality of these mechanisms especially by helping them to understand how they are perceived by stakeholders, and by seeing how they operate in their specific governance system.

Four main methods were used to collect the evidence for the evaluation's response to the Evaluation Questions that were identified.

- A Literature Review
- Country Profiles for all EU Member States and the EU Institutions themselves
- The series of seven Case Studies of individual PCD mechanisms
- An Opinion Survey of PCD experts in the EU

These four steps in the study and their products (full reports in the appendices to this study) were phased through the evaluation as follows:

TABLE 2.1: **Sequencing of the Evaluation Data Collection Methods**

Inception Phase	Conceptual framework, methodology, construction of impact diagram & first phase of **Literature Review**
Desk Study Phase	Official document analysis, **Country Profiles**, verification with EU officials Second phase of **Literature Review**
Case Study Phase	Seven **Case Studies** a. Development Policy Committee, Finland (DPC-FIN) b. Policy for Global Development, Sweden (PGD-SW) c. Inter-Ministerial Committee for International Cooperation, Spain (CICI-ES) d. Comité Interministeriel de la Coopération Internationale et du Développement (CICID-FR) e. Programme of Action 2015, Germany (AP2015-DE) f. Development Committee, European Parliament (EP-DEVE) g. Inter-Service Consultation system, European Commission (EC-ISC)
	Opinion Survey of PCD Specialists

2.2.2 Selection of Case Studies

The selection of mechanisms for case studies was based on the evidence collected in the *Scoping Study* and then updated in the Country Profiles. During the inception phase a few criteria were then identified for the selection of case studies. During the desk phase these were adapted into eight steps that guided the selection process and are summarised in the text box below and applied in the following summary table 2.1.

The final selection included six case studies which already had been identified in the Scoping Study and only one new mechanism was added out of the four additional ones examined. Doubts about feasibility eliminated three cases from the grand total of sixteen examined. Box 2.1 summarises the outcome of the selection process, and the seven mechanisms which were finally selected.

Box 2.1: **Eight steps towards identifying the case studies**

Step 1: Scoping Study list: This *Scoping Study* short list of 12 PCD mechanisms was selected from more than 60 known mechanisms in EU member states. It was accepted that some limited additions could be made if interesting cases were identified that were not otherwise represented .

Step 2: Geographical Distribution: The list of 12 included none from New Member States and only one in Southern Europe (Spain). A check was therefore made for other cases in countries in these two groups, but no new mechanisms were found that were sufficiently operational or in place long enough to provide the basis for an evaluation.

- This implied retaining the case in Spain despite it not meeting all the proposed criteria;
- The list included 2 EU institutions: it was felt important to include at least one if not two EU institution cases. As the Council Working Groups had just been evaluated for PCD it was felt most interesting to have both an EC and an EP case;
- After consultation with the EC, the Inter-Service Consultation Process was selected.
- In sum, the available cases include (the region codes are for use in summary table):
  - CEU Central EU: France, Luxembourg
  - SCA Scandinavia: Sweden, Finland, Denmark
  - NCE North Central EU: UK, Netherlands, Germany
  - SEU Southern EU: Spain
  - NMS New Member States: none
  - EUI EU Institutions: EC, EP

Step 3: Avoidance of Duplication. This reason disqualified two potential cases:

- The study of the Policy Coherence Unit in The Netherlands (in the *Scoping Study* list of 12);
- Council Working Groups covered in the recent CEPS study (not in *Scoping Study* list).

Step 4: Types of PCD Mechanisms: The *Scoping Study* argued that governments typically resort to three principal types of measures in defining their approach to promoting PCD.

- The short list contained the following number (codes for use in table) for each type:
  - POL: Policy Statements: 3 cases
  - IA: Institutional /Administrative measures: 7 cases
  - AA: Assessment/Advisory capacity: 4 cases

Step 5: Characteristics of PCD Mechanisms. PCD mechanisms also exhibit basic practical characteristics which can enable us to understand and classify them, such as their level of formality, the nature of their competence, their policy scope and their degree of specialisation. Focusing on formal mechanisms only, these can be grouped into various combinations.

- The Inception Notes identified **four groups** of different combinations (cf. section 3.1 above)
- The short list however had very few PCD specialised cases (Groups 1 & 3) to choose from. This constraint meant that only one of these two cases could really be taken so as not to give undue importance to PCD specialised mechanisms in the sample and therefore one of the four Groups was not represented in the selection.
- A further Group 3 mechanism (Luxembourg – PCD Desk), not identified in the *Scoping Study*, was also added to the list to increase the scope for selection.

Step 6: Approaches to Government. This involved applying the classification from the political scientist Lijphart (cf. section 3.1 above) using his first cluster of five variables for his *executive-parties* dimension: (i) distribution of executive power; (ii) executive-legislative relationships; (iii) number of parties; (iv) electoral system and (v) interest group systems.These ratings cover a range of 4 (max: +2 to min: -2). They are ascribed to each EU member state by Lijphart, but he does not cover the EU Institutions. For the cases covered the maximum and minimum values were +1.2 (UK) and -1.44 (Finland) giving a maximum range of 2.62

Step 7: Approach to Policy Change. As described in the Inception Note this relates to the government's approach to policy change on a range from 'holistic' to particularistic'. Sufficient evidence for this proved to be difficult to obtain for all cases so this step was dropped.

Step 8: Feasibility in terms of the availability of sufficient material and stakeholder willingness to cooperate with and support the evaluation was checked for each likely case study.

- This is only an elimination criterion that does not relate to the characteristics of the cases.
- Cases eliminated by this were then replaced by other cases exhibiting similar features.

2.2.3 Main limitations of the study

From the outset, the study team was faced with the challenge of studying a very complex, crucial and essentially political aspect of European development policy and operations under a limited budget. These constraints however obliged the team to make a carefully thought through selection of mechanisms to study in relation to the overall topic, and to keep the study relatively clear and focused. Early on in the study, the following main limitations for this evaluation study were foreseen:

- The high number of processes and mechanisms dealing with coherence required intensive work to collect and structure the data. The analysis therefore had to be selective, concentrating on the most essential information;
- The large number of documents tackling one or more areas of coherence, thus making the "synthesis work" more difficult;
- The short period available for each case study visit for assessing mechanism and interviewing key persons did not allow for a full range of standard techniques for data collection (e.g. focus group discussions), but meant that the field visits had to focus on a limited number of individual structured interviews;
- A shortage of indicators of outcomes used by the MS and the EC for their activities, i.e. designed, collected and analysed in a systematic manner, over and beyond the useful project monitoring reports could be found in some locations.

Appendix I to this evaluation report presents more specific and elaborate summary tables and information on these aspects of the study's methodology:

- Methods of data & information collection;
- Methods of data & information analysis;
- Methods of judgement;
- Quality assurance.

TABLE 2.2: **Summary of Application of the Case Study Selection Criteria**

	PCD Mechanism	Member State / EU Institution	Step 1 Scoping Study	Step 2 Geogr.	Step 3 Duplic.	Step4 Type	Step 5 Group	Step 6 Govt	Step 7 Policy Change	Step 8 Feasible	Select? Yes/No
1	New Africa Policy	Denmark	Y	SCA		POL	4	-1.2	?		
2	Inter-service Quality Support Group	EC	Y	EUI		IA	4	n.a.	?		
3	Development Policy Committee	Finland		SCA		***AA***	4	-1.44	?	Y	Y
4	Programme of Action 2015	Germany	Y	NCE		POL/AA	2	-0.64	?	Y	Y
5	Policy Coherence Unit	NL	Y	NCE	**X**	IA	3	-1.16	Partic		N
6	Coherence memo: agriculture & development	NL	Y	NCE		POL	1	-1.16	Partic		
7	Policy for Global Development	Sweden	Y	**SCA**		POL/AA	2	-0.76	**Holistic**	Y	Y
8	Development Committee	EP	Y	**EUI**		IA	2	n.a.		Y	Y
9	Inter-service Quality Support Group	EC	Y	EUI		IA	4	n.a.	Holistic	**N**	N
10	Inter-Ministerial Committee for International Cooperation	Spain	Y	SEU		IA	4	+0.6	?	Y	Y
11	House of Commons Internatl Development Committee	UK	Y	NCE		IA	2	+1.2	?	Y	N
12	CICID & Policy for Development	France	Y	CEU		IA/POL	4/2	+1	?	Y	Y
13	Policy Coherence Desk	Luxemburg		CEU		IA	3	-0.44	Partic	N	
14	Strategic Plan for Develpmt. Cooperation	Poland		NMS						**N**	N
15	Inter-Ministerial Work Group	Czech Rep.		NMS						N	N
16	Inter-Ministerial Committee	Greece		SEU						**N**	N
17	Inter-Service Consultation	EC		**EUI**		IA	4			**Y**	Y
	Analysis of Result of Selection:	**7 cases**	**5 from Scoping Study + 2 new**	**2 SCA 1 NCE 1 CEU 1 SEU 2 EUI**		**1 AA 1POL/AA 1 POL/IA 3 IA**	**0 – G1 3 – G2 0 – G3 3 – G4 1 – G4/2**	**2 +ve 3 –ve Range: 1.76 of 2.64**	**Criteria dropped**	**5 not feasible**	

Unique features are in ***bold-italic***. Key determining factors (positive or negative) are in **bold**. Selected cases are highlighted. Abbreviations used are in Box 3.1.

3 Main Findings

This chapter presents the evidence collected during the evaluation which has informed its findings, conclusions and recommendations. As mentioned in the introductory chapter four approaches were used to gather evidence:

1. A review of **literature**, **policy documents** and **evaluation reports** relating to PCD;
2. The production of **country profiles** for EU Member States and the EU institutions;
3. Seven **case studies** of selected individual mechanisms to promote PCD;
4. An **opinion survey** among PCD specialists in the EU.

The full reports and analysis of this work are available in the appendices to this report. In this chapter, the main findings of the first, second and fourth approach are summarised in separate sections. Key points from these are then combined and compared with the findings from the case studies to give inclusive responses to the evaluation questions.

3.1 Literature Review

Introduction

A key aspect of this study concerned a review of a selection of the available literature, which was done with the main aim of seeing what has previously been written about the purpose, value and origins of PCD mechanisms, and the promotion of PCD in general. The literature was examined to find out more about when European governments started to establish PCD mechanisms, what type of mechanisms they chose for, and how they fared.

The literature was linked to the main conclusions of our conceptual analysis completed during the evaluation study's inception phase, and particularly looked into how the incidence of the three different types of PCD mechanism identified in the conceptual framework[1] expands and follows on from each other.

1 As mentioned in the introduction of this report, the 3 types of PCD mechanisms identified in the *Scoping Study* (ECDPM and ICEI 2005: 17, 18) are as follows:
   i. Explicit Policy Statements on coherence
   ii. Administrative and Institutional Mechanisms
   iii. Knowledge Input and Assessment Mechanisms.

The evolution of literature on PCD

Policy Coherence for Development can first and foremost be seen as a response to an external critique:

- As a response to critics who are neither convinced of the need nor of the effectiveness of development cooperation; or
- As a response to developing countries who point at incoherencies to justify their demands for donors to make more serious efforts towards sustainable development.[2]

The literature review thus noted two general developments in the more recent publications on PCD:

1. First of all, the gradual acceptance of PCD as an important element for evaluations of development cooperation is leading to a more constant production of evidence on the promotion of PCD;
2. Secondly, due to the acceptance of PCD in evaluations and other documents with a more explicit operational purpose, as well as the fact that PCD is slowly becoming more tangible, the literature is also becoming more practical and operationally focused.

Despite the progress made, the reviewed literature also shows the elusive and contested nature of PCD. As was mentioned in this report's introduction, the different translations of EU treaties have contributed to the obscuring of the difference between consistency and coherence, and there were also differences of view on whether the coherence or consistency was 'directional'. The debate on the strength, 'direction' and scope of the coherence article(s) in the treaty continued through the 1990s and right up into the discussion on the Draft Constitution in 2004.

Despite the continuing debate, the TEU clearly marks the acceptance by EU governments of the importance of taking account of the objectives of development cooperation in policies which are likely to affect developing countries, and therefore a clear step forward for development. Even though the Draft Constitution never became law, the formal decision to cover the EU and not just community policies is now reflected in EU policy in the *European Consensus on Development*, which was approved by Council December 2005.

Exploring motivations to translate commitments into action

Much of the literature that was published in the first years following the signing of the Maastricht Treaty pointed out that the drive to implementing PCD first came from outside the EU's formal institutions and members, with civil society organisations cam-

2 As will be argued later on, this is especially true now that ODA levels are on the rise again so that this argument can no longer be purely conducted in quantitative terms.

paigning for concrete steps to implement PCD to be taken by the European authorities. Well researched and imaginative presentation of cases of incoherence proved fertile ground for attracting the public eye.

Many of these cases of incoherence related to the Common Agricultural Policy and to Fisheries Policy. In 1993, European NGOs started a campaign against EU-subsidised meat exports being dumped in West Africa. The subsidies were clearly shown to undermine European aid projects in the Sahel to encourage meat production. Similar policy incoherencies resurfaced later in the South-African region, and in 1996 two other cases were brought forward by civil society, respectively on fisheries and the so-called 'Chocolate Directive'.[3] Other cases of incoherence that were raised more recently related to, intellectual property rights, migration, the untying of aid and arms exports.

In the present decade we may observe that some, albeit slow, progress has been made with advancing PCD on the EU level, at least at the level of explicit policy statements. This progress is perhaps best captured by comparing the 2000 European Commission's *Development Policy Statement* with the 2005 European Union's *Consensus on Development*. While the 2000 DPS only referred to the need for efforts to ensure that Community development policy objectives are taken into account in the formulation of other policies that are likely to affect developing countries, the EU Consensus was much stronger as it mentioned that it *"(...) is important that non-development policies assist developing countries' efforts in achieving the MDGs"* (EU 2005: Art. 35). Besides this difference, the EU Consensus also recognised the complex and demanding nature of the PCD process, and mentioned the need to strengthen PCD *"(...) procedures, instruments and mechanisms at all levels, and secure adequate resources and share best practice to further these aims"* (*Ibid.*).

The final version of the *European Consensus on Development* is relatively specific about the promotion of PCD. In the document, the commitment statement made in article 35 is operationalised into more concrete commitments on issues including trade capacity building, removing trade distortions, security and development, and the environment. These specific issues were prioritised earlier that year by the Council of the European Union, in its conclusions of 24 May 2005, partly on the basis of an important, but relatively overlooked EC communication entitled *'Policy Coherence for Development: Accelerating Progress towards Attaining the Millennium Development Goals'*. The Council specifically identified twelve key policy areas where it was going to seek action on PCD.

3 In the former case, the European Union was blamed for having simply exported its surplus fishing fleet problem by concluding fisheries agreements which allowed European fishermen free fishing rights in developing countries' waters at the Community's expense. Research was supported from inside the German ministry, which aimed at collecting evidence to support action at the EU level on increasing policy coherence for development in the fisheries sector. In the case of the Chocolate Directive, with big industry lobbying for the lifting of the ban on cocoa butter alternatives, the Commission proposal was not passed as there was no unanimous vote from the Member States (Hoebink 2001: 21).

These were repeated in a Commission Staff Working Paper that was released on 7 March 2006, in the context of its Work Programme 2006–2007. During this period, the European Parliament also worked to promote PCD in a number of their reports and resolutions. As a result the debate at the European level has become far more specific.

The European Consensus' reference to the MDGs also serves to illustrate, as discussed below, that a few years into the new millennium external sources had become an important reference point for European government action, with MDG 8 being directly linked to the EU's commitments to PCD.[4] Given the slow progress on PCD in the 1990s compared with movement in the current decade to further promote PCD and examining the literature it would indeed seem that the decisive agents of change were external rather than internal to the EU.

In addition to the UN debate on the MDGs and the efforts of other multilateral bodies such as the WTO[5], the Development Assistance Committee (DAC) of the Organisation for Economic Co-operation and Development (OECD) played a crucial role in getting EU Member States to actually start establishing PCD mechanisms. The first indication of their interest in PCD actually goes back to the previous decade. In 1996, the OECD strategy document, '*Shaping the 21st Century: the Contributions of Development Co-operation*', referred to PCD as key to increasing the effectiveness of development cooperation. This commitment was further operationalised in 2002, when the OECD approved the ministerial declaration *'Action for a Shared Development Agenda'*.

Besides the direct link to MDG 8, other more recent OECD publications have related the need for PCD to the other MDGs. One publication from 2005 argues that if the MDGs are to be attained, the focus of the developed countries has to broaden beyond their Official Development Assistance. It acknowledges that in many developing countries, the volume of ODA is increasingly shrinking in relative terms, when compared with other external finance flows such as trade earnings, foreign direct investments and remittances. It is also noted that governments often lack the overview to ensure that these flows work together and contribute to one common development goal (OECD 2005a: 30).

During this period, the central focus of attention to PCD in Europe thus shifted from a focus on policies at the European level to intra-governmental policy coherence for development, through emphasising on the need that countries' national policies should

4 The UN Millennium Declaration, gives the need to 'develop a global partnership for development' as the eighth MDG. This objective covers the actions needed to increase coherence between the purposes of Official Development Assistance and other public policies that affect developing countries. Different EU Member States have produced MDG 8 progress reports, many of which refer to what is being done to further the PCD commitments (eg. Sweden, Belgium and the Netherlands).

5 The WTO has played a role in communicating the importance of PCD to non-development audiences. For example, it emphasised the important role played by trade in promoting development and reducing poverty in the declaration adopted at the WTO Ministerial Meeting in Doha in 2001 (Ashoff 2005: 33).

not undermine the objectives and results of their development policies, and should when feasible support the attainment of these objectives.

At the same time both the UN and OECD are membership organizations and their priorities are driven by what member governments, EU governments among them, bring to the table. The increased attention at the international level can thus also be seen as a symptom of the recognition of the need among governments to better understand and exchange ideas on tackling incoherence, a subject that they were being regularly challenged on by NGOs and others. The DAC was probably the first place where the EU Member States turned to in order to 'compare notes' on PCD. The fact that the OECD decided in 2000 to include PCD in the Peer Reviews, implies that the member governments were convinced of the importance of PCD, recognized that they were unsure how to best promote it, and were keen to exchange ideas, information and experiences on what worked and what didn't work.[6]

In sum while the literature usually chooses the date of the Maastricht Treaty (1992) as the most convenient moment to set the start of a concern with PCD in Europe, it also notes that very little practical progress was made on promoting PCD during the rest of the decade. Instead that period is more marked by discussion on examples of incoherence and on debates about the nature of coherence. It is only as from about 2000 that a more regular debate emerges in DAC circles about what member governments, European and other, are actively doing to promote PCD.

The theory and practice of promoting PCD

Besides Hoebink's work in the 1990s, other authors such as Robert Picciotto, Guido Ashoff and Lyndsay McLean Hilker have also made important contributions to the PCD debate and the DAC played a role in encouraging work through seminars and publications. Central to the work of Hoebink and Picciotto are the various typologies for different levels or types of coherence which they identify. These typologies are useful in improving our understanding of the complexity of promoting policy coherence, in illustrating the number of actors involved and in pointing at inter-linkages between different levels.

As was mentioned in the previous section, out of the different types of coherence, *intra-governmental coherence* (similar to Hoebink's type 2 – between different sectors of policy), has emerged as the most important area for further work. This type has become the focus of the drive for PCD. It is also the most visible and concrete form of coherence, where collective action is possible (such as committed to by the EU Member

6 As a side remark on the DAC's work, it should be noted that in recent publications no links are explicitly made between MDG8, PCD, and the commitments in the Paris Declaration (see for example the DAC's 2005 Development Cooperation Report).

States during the April 10 and October 17 2006 Council conclusions). It is the form that is usually sought after when cases of incoherence come to public attention and therefore also the most clearly communicable type of PCD, as shown by the NGO campaigns during the period of 1992-2000 referred to above.

Analysing the German case in particular, Ashoff (2005: p.18) makes the useful point that as globalization intensifies and cross-frontier societal interactions diversify, increase and speed up the need for PCD becomes more acute as more and more areas of government policy tend to have external effects which can impact negatively on developing countries. He examines the causes of incoherence in some depth and suggests (2005, pp.34-40) a limited list of four different types of **causes of incoherence** which he suggests lie in the areas of: (i) societal and political norms of a country; (ii) political decision-making, (iii) policy formulation and coordination, and (iv) at the conceptual level. PCD mechanisms clearly need to be geared to counter as many as possible of these causes.

Linked to the understanding of causes, rationales and types of PCD, authors and organisations commonly identify certain approaches to promote PCD in their publications. Examples include 'PCD solutions' proposed by OECD/PUMA (1996), the UK House of Commons International Development Committee (2005), Lyndsay McLean Hilker (2004), and various other EU Member States, research institutions and advisory councils (see Euforic 2000).

As becomes clear from studying these options, in the period from 1992-2000, most organisations and researchers working on PCD assumed that the commitment made in the Maastricht Treaty was sufficient, and focussed on assessing the scope for enhancing PCD, evaluating what was done to promote PCD, and registering cases of incoherences that can be dealt with. This changed after 2000, when more recent publications started to consider a strong national or European statement as a key requirement to further action on promoting intra-governmental PCD.

Some of these measures identified in the literature have gradually become referred to as 'mechanisms': formal and systematic efforts that can drive and set in motion movement towards PCD in a given context. The need to establish such mechanisms has now become formally recognized. Thus in the EU GAERC Council Conclusions of 10 April 2006, the importance of the joint responsibility of the three institutions in promoting PCD is underscored and the Council invites: *'(…) the Commission and the Member States to provide for adequate mechanisms and instruments within their respective spheres of competence to ensure PCD as appropriate.'*

Whereas initially the mechanisms that were proposed were mostly of a particularistic nature and proposed specialised units in charge of taking the PCD agenda forward,

several OECD governments have in more recent years moved towards more 'whole of government' approaches which aim to promote policy coherence across all sectors. Experience outlined in DAC research suggests that the success of these holistic approaches depends on effective dialogue with a range of policy communities, as well as a willingness to engage with policy making lessons and experiences from other sectors. This is sometimes referred to as the 'two-way street' of PCD (OECD 2005a: 39).

Besides forging EU wide decisions on PCD, such as in April 2006, the Council of the European Union itself also works to promote coherence in various fields. In a recent study by the Centre for European Policy Studies (CEPS), the various Council PCD working groups were evaluated in detail. Basing itself on studies of the 12 thematic areas identified in the May 2005 Council Conclusions on PCD, the study reached the conclusion that it seems easier to ensure PCD in the policy-formulation processes in the European Commission than in the Council. The main reason for this being that EC decisions are made through a process whereby all interests are represented and cleared at the central level (the College of Commissioners), whereas the majority of decision-making in the Council takes place through nine sectorally-divided ministerial formations and numerous subordinate bodies (CEPS 2006: i).

Among the CEPS study's general conclusions on PCD in the EU is the remark that the role played by EU presidencies is absolutely fundamental to promoting PCD, as they set the agenda of the Council meetings. The presidencies further steer PCD by representing the EU Council to the other EU institutions and externally. It has therefore often been through the involvement and commitment of individual Member States that the PCD agenda was moved forward on the EU level. The most recent example is the Finnish EU Presidency of 2006, which emphasised the importance of PCD (CEPS 2006: II).

Evaluating PCD

As a result of the many commitments that are made to promote PCD, it has also increasingly become an aspect covered in evaluations of the development aid of the European Commission and the Member States.

From a selective assessment of thirteen evaluation reports for the Netherlands, the UK, Denmark and the European Commission, we can conclude that most evaluations remain true to their general categorisation as 'evaluations of development assistance'.[7] Where an evaluation refers to coherence, it most often concerns internal coherence (coherence between the different development interventions of a Member State in a

7 The evaluations were selected from a sample of 615 evaluation reports that are available at EuropeAid's online 'Data Base of Evaluation Studies Undertaken by EU Member States and the European Commission in External and Development Cooperation': (website accessed July 15 2006) http://ec.europa.eu/comm/dg/aidco/ms_ec_evaluations_inventory/evaluationslist.cfm

given geographical or thematical area), and sometimes the coherence of these interventions with those undertaken by other donors. In evaluations managed by the European Commission, there is often a separate evaluation question that focuses on the 3Cs. In the EC's Country Strategy evaluations, for example, an analysis is often included on how the Commission's strategy and interventions have been affected by other EU policies. This can lead to important findings, such as in the 2005 Ghana Country Strategy Evaluation which concluded that conflicts or synergies with other EU policies could not be confirmed because policy and programming documents do not identify possible linkages between the cooperation strategy for Ghana and other EU policies. Besides this fundamental point, the evaluation also includes some 'dossier-specific' information on PCD, and as such can be helpful to identify policy areas or sector where there are certain needs related to PCD.

In the reports examined from the three Member States, in many cases the analysis is not very comprehensive. 'Not coherent' is frequently used as a synonym for 'not-well thought out' and often coherence is viewed as a positive outcome of policy coordination with other donors. All these reports suggest that development evaluations are currently not well equipped to evaluate progress made on intra-governmental policy coherence for development, the main reason would seem to be that they are often budgeted within projects or programmes. The formal recognition by EU Member States of the importance of (intra-governmental) PCD, such as stated in the April 2006 EU Council Conclusions or in the December 2005 EU Consensus on Development therefore still needs to be translated into clear mandates and adequate resources for evaluation.

From 2000 onwards the DAC started to include a separate chapter devoted to PCD in the Peer Reviews of its members' development programmes. This decision led to an increase of exchanges between governments on the topic, and more public communication of both good and bad practices by different DAC members. Cases of policy incoherence (such as arms exports) were brought out and good practices in promoting PCD were commended in the reports. They are however not well suited to ranking performances and because the Peer Reviews cover a variety of subjects they cannot do in depth assessments of PCD efforts. A quick reading of these demonstrates the wide range of experience and progress achieved on PCD across the 25 EU Member States. The OECD's own conclusion on the overall picture (for all their 30 members) conveyed by these comments is that:

> *"While there is a growing number of policy coherence commitments and an emphasis on development results, DAC members need to do further work on setting up action plans, specific timeframes and results-based frameworks for policy coherence."* (2005, p.137)

Conclusion

The literature on PCD often exhibits an interesting similarity with the promotion of PCD in practice: whereas authors find it relatively easy to theorise on PCD, make strong statements and advocate for the need to further promote it, the literature (including the evaluation reports examined) has the same difficulties as the policy and decision makers when it comes to putting it into practice. Gradually the literature on PCD is becoming less preoccupied with political statement and basic concepts and moving more towards the practical 'how' and methodology questions. PCD is not yet systematically and comprehensively covered in evaluations but, significantly, through the DAC Peer Review system, PCD is gradually becoming an established part of the good governance debate on aid management and effectiveness.

The literature also signals that there is an increase in explicit policy statements which contain commitments by individual Member States or on an EU level to further the promotion of PCD. Furthermore, these commitments are strengthened by the individual Member States' and the Union's dedication to achieve the MDGs.

3.2 Country Profiles

Introduction

A series of PCD profiles for each Member State were prepared, as well as a separate profile for the EU institutions. An overview table in Annex C summarises the mechanisms identified and the groups into which they have been classified. The analysis in these profiles was subsequently verified and, where possible, enriched in consultation with officials in EU Member States and Institutions.

TABLE 3.1: **Comparison of identified mechanisms: Scoping Study & Desk Study**

	Scoping Study 2005	***Present Desk Study 2006 (& growth)***
Total identified mechanisms	74	85 (+15%)
Of which numbers by types of PCD Mechanisms		
1. Explicit Policy Statements	28	31 (+11%)
2. Administrative / Institutional	38	45 (+18%)
3. Knowledge Input and Assessment	8	9 (+13%)
Of which:		
Those identified in new EU Member States	3	8 (+166%)

A total of 85 PCD mechanisms were identified, representing an increase of some 15% on those noted in the *Scoping Study* (ECDPM and ICEI 2005: 45–47). The relative higher increase of Administrative/Institutional mechanisms indicates that over the past couple of years more reflection and follow-up action has taken place on operationalising the commitments to promote PCD, rather than in restating commitments. Half of the new identified mechanisms are located in new member states.[8]

The exchange of information back and forth with government officials in just about all EU Member States over a period of several months indicated a high degree of interest in the subject of PCD and a generally strong willingness to engage with the study team to complete the Country Profiles. This experience suggests a growing concern with PCD which is also translating through into government officials reflecting on what mechanisms they have available or need to create to promote PCD. Given the number of positive responses from the officials that were contacted, a relatively complete and accurate inventory of PCD mechanisms has been established, together with the 2005 Scoping Study being the only one in its kind, and a key output of this study.

Analysis of the Country Profiles

This section summarises our analysis of the country profiles; the complete analysis can be found in Appendix II. Eight key conclusions emerge from this analysis:

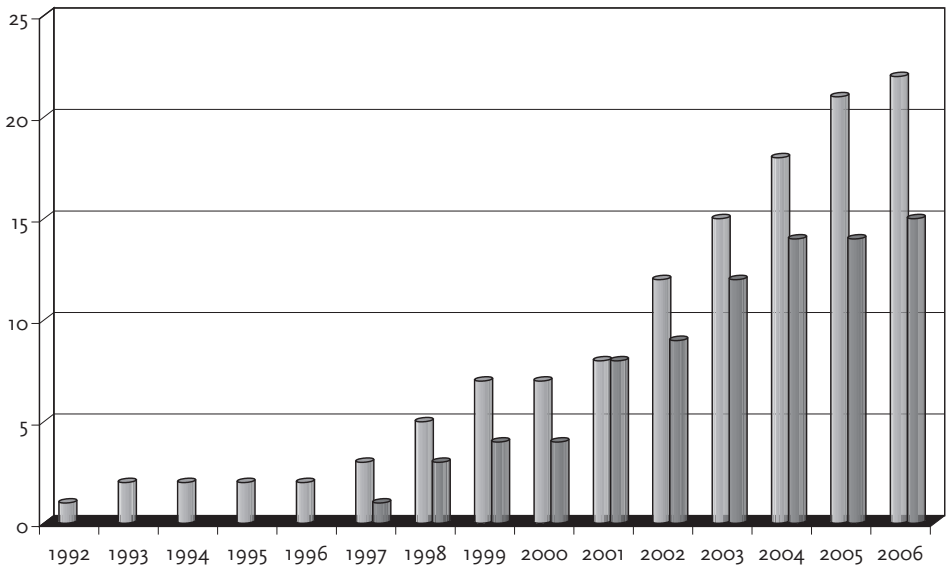
1: Quantitative progress on establishing mechanisms
Whereas the comparison of the data with the results of the Scoping Study shows some progress in the number of different types of mechanisms, the proportions of the three groups of mechanisms have remained more or less constant: the biggest group is the institutional and administrative mechanisms, followed by the explicit policy statements and, at quite some distance, the knowledge input and assessment mechanisms

The first new element that emerges from the new data collected is some indication of the overall progress governments have made in passing two crucial thresholds in their pursuit of PCD:

1. The first explicit acknowledgement of the importance of PCD in a policy statement, law or other official document; and
2. The date of the first sign of movement on putting this commitment into action by establishing one or other more operational mechanism to promote PCD.

8 Various new member states officials also told us about their plans to establish new mechanisms. While these could not be listed in the Country Profiles before they were operational, this does confirm the growing concern in PCD and underlines the value of information exchange on what mechanisms work and how.

Diagram 3.1: **Progress made in establishing PCD Mechanisms**[9]



Light gray: Number of EU MS and Institutions who have refered to PCD in official documents.
Dark gray: Number of EU MS and Institutions who have operationalised PCD and put in practice

The data, displayed in this cumulative graph, shows that only half a dozen years after the signing of the Maastricht Treaty, Member States really began with making official statements putting these commitments on PCD into practice. By 2006, 21 member states have issued policy statements on PCD, while only 14 have begun to translate these statements into concrete actions.

2: A relatively low number of mechanisms that specialise on PCD
Among the mechanisms that were identified, more than eighty percent belonged to either Group 2 or Group 4: mechanisms of respectively political and technical competence that focus on PCD as well as on other issues (Table 3.2). A smaller number of mechanisms have a technical competence with a pure PCD specialisation, while an even smaller group have a political competence combined with a specialised PCD mandate.

The table shows that the majority of member states have opted to adapt existing mechanisms for policy formation and coordination and add a PCD mandate to the other tasks these mechanisms already had. Such an approach obviously has merits in terms

9 The data on explicit references to PCD is based on the official publication dates of policy statements by EU Member States and Institutions. The data on when PCD was operationalised and translated into practice is based on information from officials for the Country Profiles, as well as on document research.

of ensuring that the mechanisms are well integrated into the government machinery. On the other hand setting up a completely new and PCD dedicated mechanism more clearly signals a break with the past and the introduction of a new approach.

TABLE 3.2: **Groups of PCD Mechanism by Characteristics**

PCD Mechanisms	*Political mandate*	*Technical mandate*	*PCD specific*	*PCD & others*	*Total identified*	*% of total*
Group 1	X		X		6	7%
Group 2	X			X	36	39%
Group 3		X	X		12	13%
Group 4		X		X	38	41%
Total[10]					92	100%

3: Different forms and types of explicit policy statements

As indicated in the introduction, the bulk of mechanisms identified that were identified are in the first two categories of Explicit Policy Statements and Administrative Institutional Mechanisms. Only nine mechanisms were identified in the Knowledge Input & Assessment category. For the Policy Statement, it was found that the most usual form of this type of mechanism is an official policy statement or strategy paper and this is found in many EU member states. There are only a few cases where the authorities have gone further and passed a legal instrument of some form.[11]

Some governments have, in addition to a general policy statement or act, taken a more sector-by sector approach concluding inter-ministerial agreements of different forms with ministries responsible for policy areas that can have a significant impact on development.[12]

10 As a total of seven mechanisms were categorised as belonging to two different groups – as their competence and degree of specialisation didn't allow for them to be classified as belonging to one group – these mechanisms were counted for both groups. Hence the total of 92 in this table is higher than the total of 85 mechanisms that were identified.

11 The first of these is of course the Maastricht Treaty applying to the European Commission. Austria, Spain and the UK have adopted Acts on international development which refer to PCD. In the British case this also requires the Minister to report on steps taken to achieve the MDGs (including MDG8 and its PCD requirement). Sweden has passed its Bill which makes it incumbent on all ministers to ensure the policies of their department support global development.

12 Denmark promotes intra-governmental PCD through the formulation of 'integrated policies' agreements between development and other policy sectors such as trade. This approach is also followed by the Netherlands with its '*Memorandum on coherence between agriculture and development policy*'.

4: Three main types of Institutional & Administrative Mechanisms
The following main types of Institutional and Administrative Mechanisms were identified:

a. Inter-ministerial committees for development cooperation in one form or another (e.g. France, Portugal, Spain, Italy, Greece, Ireland and Luxembourg). Such committees are of course logically a valuable tool for encouraging internal debate and decision making on PCD. In other countries the national EU affairs committee was identified as an important place for general policy coherence debates to take place;

b. Other countries had committees on a more sector to sector basis to ensure policy coherence between usually two different sectors such as trade and development or conflict and security and development;

c. There are also several cases of parliamentary development committees performing semi-institutional roles on PCD outside government but nevertheless inside the national governance institutions (including Ireland, UK and the EP).

5: Only nine Knowledge & Assessment Mechanisms identified in the EU
The low number of Knowledge and Assessment mechanisms is potentially a worrying sign. This could mean that EU Member States and Institutions have not yet understood the importance of making substantial investments in their capacity to analyse and assess issues concerning policy coherence for development. Underinvestment in this area could also mean that only well known cases of incoherence really receive sufficient attention in terms of analysis and learning lessons, while other less well known cases or those where the negative impacts of incoherence has not yet been recognized are not sufficiently identified or properly analysed.

At the same time however it should also be noted that in some Member States, there is a preference for organising the knowledge input and assessment function in a more informal manner. Whereas this has often been very efficient and effective, it does not guarantee that sufficient staff time and capacity is allocated to securing sufficient knowledge input and assessments of PCD.[13]

Two different main types of Knowledge Input & Assessment were identified:

13 It can also be argued that part of this knowledge input and assessment work can be outsourced to other stakeholders in society, such as CSOs and academics. From the literature analysis, it can however be concluded that these stakeholders also tend to concentrate on known cases of policy incoherence. Moreover, their access to officials and 'bargaining power' is often lower than those of professional lobby groups. A key asset of governmental knowledge and input assessment mechanisms is that they are well placed to work in a non-partisan manner.

a. A few countries have set up multi-stakeholder reference groups of different types (e.g. Czech Republic, Finland, Germany);

b. The Netherlands and Sweden have opted for a more academic approach, respectively through an Advisory Council on International Affairs and a section in the MFA dedicated to commissioning academic studies on PCD as well as other matters.

6: Informal approaches to promote PCD should also be taken into account
A further category of mechanism which was not included in our survey was however highlighted to the study team by various officials contacted who stressed the importance to them of informal mechanisms to promote PCD such as internal networks and informal working parties.[14] Respondents in Denmark were particularly keen on the importance of such informal approaches.

7: Three groups of European countries and their progress towards PCD
The following table compares the average number of different types of mechanism established by the countries in different parts of the EU with the overall EU averages.

TABLE 3.3: **Grouping Member States by EU Region**

Average Number of Mechanisms	*Explicit Policy Statements*	*Administrative/ Institutional*	*Knowledge Input & Assessment*
All MS (n=26)	1.15	1.73	0.38
New MS (n=10)	0.50	0.10	0.10
Nordic+ (DK, FIN, IRL, NL, SW, UK)	1.83	3.33	1.00
Central EU (A, B, D,F, L)	1.00	2.60	0.20
Southern EU (GR, I, P, E)	1.25	1.50	0.25
European Institutions	4.00	5.00	1.00

From this it is apparent that the Nordic+ group are the most active and score well above average in the number of identified mechanisms established of each type. The New Member States are clearly very much at the beginning with more explicit policy statements than anything else and still have a long way to go in terms of establishing more operational mechanisms. The Southern European group of countries is however closest to the overall EU average in its combination of average numbers of mechanisms of each type.

However, when closely examining the differences between the individual members of the different groups, the lack of homogeneity in approaches suggests that a grouping that is linked more closely to behavioural factors might be more helpful. It is possible to do this and suggest, based on the data gathered for the Country Profiles, the follow-

14 As explained in footnote 5 above the study focused primarily on formal PCD mechanisms.

ing grouping of Member States into groups of countries having reached different stages of achievement in progress on promoting PCD:

1. *No explicit reference to PCD:* A first group consists of countries which do not make reference to policy coherence for development in their official policy documents. These countries are Cyprus, Hungary, Lithuania, Malta and Slovenia. All of these countries have only recently joined the European Union and some of them are still in the process of elaborating development policies and professionalizing their institutions to deliver on them;

2. *Recognise PCD but limited implementation:* A group of six Member States (Belgium, Estonia, Greece, Italy, Poland, Slovak Republic) who have adopted explicit policy statements which refer to PCD, but who have not yet translated this commitment into Institutional & Administrative mechanisms to promote PCD. Although all of these explicit policy statements do refer to PCD, they do not always explicitly refer to intra-governmental PCD;

3. *Recognise PCD & have established operational mechanisms:* A total of 14 EU member states (Austria, Czech Republic, Denmark, Finland, France, Germany, Ireland, Latvia, Luxembourg, Netherlands, Portugal, Sweden, Spain, UK) have operationalised and put in practice mechanisms which aim to promote intra-governmental PCD. A limited number of additional member states use informal approaches to further the PCD process, or have institutional mechanisms which play a role in promoting PCD which is not recognised and registered in an official policy document or terms of references.

The European Institutions form a somewhat distinct group which is similar to the third group. Both the two European Institutions to be covered by case studies in the present evaluation (The European Parliament and the European Commission) have a strong policy underpinning by means of the Treaty on European Union, and in addition the constitutional treaty, when adopted. They have also put in place different mechanisms which can promote PCD, including the Impact Assessment Tool, the Inter-service Quality Support Group (iQSG), the Inter-Service Consultation (ISC or CIS) process and the Development Committee of the European Parliament.

8: Major variation in assignment of responsibility for development cooperation
In all member states development policy and PCD is the responsibility of the Ministry of Foreign Affairs, except for the UK and Germany where development cooperation has its own separate ministry. These overall similarities however hide some major differences which become apparent when a more detailed examination is conducted. If one sets aside the new EU Member States from 2004 – where there is still a certain fluidity

as new government departments are being established – two major groups of member can be distinguished:

– The first group all have a particular unit or desk within the ministry which has specified responsibility to encourage PCD. In most cases this is a department for development policy (Sweden, Germany, Ireland, Finland, Denmark, UK, Austria), but in a few cases the attribution is even more specific and PCD appears in the actual title of the unit or desk (Netherlands, Luxembourg).

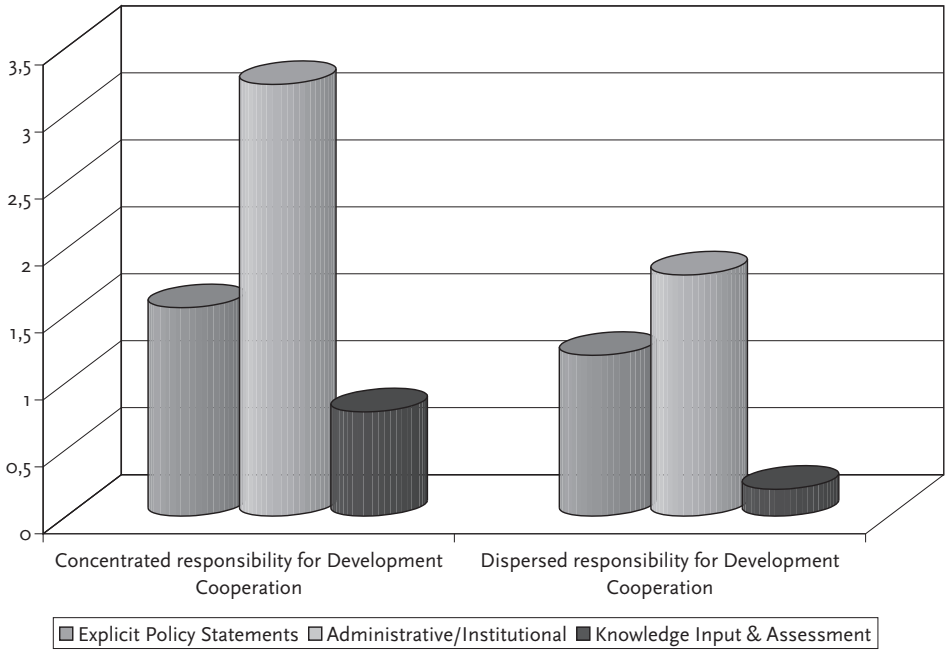
– A second group of member states exhibit a very different feature and that is a greater distribution of responsibility for development cooperation over a whole group of ministries even though the ministry of Foreign Affairs has the lead. In this system, evident in differing forms in most Southern European countries (Greece, Italy, Spain, Portugal and France), an important role is ascribed in each case to an inter-ministerial committee on development cooperation which is recognised as the prime focus for discussion on PCD. However, in most of these cases it is also understood that each ministry retains a high level of prerogative in their respective policy area and the debate is far more often about coordination within the overall national development cooperation programme than about coherence between policy areas.[15]

When looking at the differences between these two groups in terms of the average number of PCD mechanisms per type, some interesting differences can be observed (Diagram 3.2). In particular it is noteworthy that while both groups have a similar average number of policy statement type mechanisms, the group of countries with dispersed responsibility for development cooperation are far less active in establishing more operational mechanisms of either of the other two types. Secondly both groups have clearly tended to go a larger number of administrative and institutional type mechanisms and less knowledge and assessment mechanisms.

In sum, while virtually all EU Member States recognise the leadership of the Ministry of Foreign Affairs on development cooperation issues, their manner of organising responsibility for encouraging PCD appears to be strongly affected by the degree of consolidation of their development cooperation systems within government. Where this is concentrated in a single ministry the tendency then seems to be to ascribe to a department of development policy, or occasionally a more specific unit, the main responsibility for encouraging PCD. In other words it would seem that as responsibility for development cooperation becomes more tightly consolidated in a single ministry it then becomes more possible to strengthen the development policy function and specifically the promotion of PCD.

15 It should be noted that in some of this second group of countries (France, Spain) efforts are underway to consolidate the development cooperation programme more in the ministry of foreign affairs and that in so doing consideration is being given to assigning a clearer PCD promotion role to this ministry.

Diagram 3.2: **Member States by Degree of Consolidation of Development Cooperation**



On the other hand where responsibility is more dispersed, the priority in achieving greater policy coherence is first to tackle internal coherence between different parts of the development cooperation programme. While it is not impossible to encourage intra-governmental PCD between policy sectors in these circumstances it is clearly more difficult. On the other hand one may postulate that there may be a secondary coherence effect simply through the fact that development cooperation is a shared responsibility that brings several ministries together into regular policy dialogue. However, our profiling exercise does not offer adequate evidence to support such a conclusion.

3.3 Main findings from the Opinion Survey

Introduction

One of the four methodological tools that the evaluation team used for collecting the evidence for this report was an online survey, that was set up and sent to a list of 62 PCD specialists.[16] The purpose of the survey was to collect a spread of opinions on what

16 The term 'PCD specialists' is used here and in the Opinion Survey for this Study to refer to public officials from the EU member states and institutions who specifically work on the promotion of intra-governmental PCD. Some of them are members of the informal EU PCD network, while others also had earlier provided inputs to the country profiles.

works and does not work in terms of promoting PCD. 30 of these targeted respondents had already been in contact with us during earlier phases of this study, and 29 of the targeted respondents were members of the informal EU PCD network. Eight respondents were both members of the network and had earlier contributed to the study. Over a period of two weeks, the survey gathered responses from 24 people, which represents a response rate of 35% when including indirect responses.[17]

In the introduction to the questionnaire, participants were explicitly asked not to share the official views of their ministries, but rather their professional opinions, experiences and ideas as PCD practitioners. The focus on opinions rather than facts ensured that the collected data would complement the evidence collected through the other methodological tools: the literature review, country profile mailing and the seven case studies.

In order to identify patterns of responses an attempt has been made to group respondents from different countries to see if the responses are similar across certain subregions. Disaggregated responses were processed and analysed for the following three groups:

- *The New Member States* (Estonia, Latvia, Lithuania, Czech Republic, Slovenia, Slovakia, Hungary, Poland, Malta, Cyprus);
- *The Nordic+ group* (Netherlands, UK, Ireland, Denmark, Sweden, Finland);
- *The Central EU group* (Belgium, France, Germany, Austria, Luxembourg).[18]

Due to the low number of responses, it was decided not to include disaggregated data for the Southern Member States and the European Commission. However, the results for these two groups have been included in the overall analysis of the questions. Please refer to Appendix XI for the full Opinion Survey report; the following section presents its main findings.

Four overall main findings

The following four main findings can be drawn from the responses to this survey:

1: Relative consensus on the promotion of Policy Coherence for Development

The responses to the survey first of all show a relatively high degree of agreement on how intra-governmental PCD can best be promoted. This is the case despite the fact that responses were sent by officials working in sixteen different Member States and the Commission and thus represent a rich diversity of approaches to government and policy.

17 Indirect responses are respondents which were not directly contacted by us, but who completed the survey after receiving the link to the electronic survey through their colleagues.

18 Please note that these three groups, as well as the group of Southern European Member States and the European Commission as a separate group, do not represent any official EU geographic groupings.

2: Policy coherence is best promoted via an inclusive approach, in which good institutional coordination is most important

The responses to all the six questions stress the need for an inclusive approach to coherence, involving a full range of actors both within and outside government or EU institution, in which the promotion of PCD depends on the existence and good functioning of clear policies and political support, institutional coordination, and knowledge input & assessment functions. The large majority of issues, actor groups and types of mechanisms which were listed in the survey were on average rated as 'important'.[19] This confirms the validity of earlier research during this study out of which these were drawn, in particular the conceptual framework, the literature review and the analysis of country profiles.

The responses to the different survey questions also show that of the three different types of mechanisms which were proposed to the respondents at the beginning of the survey, institutional coordination mechanisms were considered most important. Respondents reinforced this emphasis by considering political leadership, good relations and networking between civil servants in different ministries, and institutional structures that allow this to happen to be most important of all for PCD.

3: Policy coherence for development is a relational issue and requires a lot of resources

The responses to all six survey questions, but in particular to questions 1 to 4, emphasised that good relations between government officials is the most important issue for the promotion of PCD. The emphasis of the respondents on this issue suggests that PCD is best promoted gradually by improving the relations between government officials, while supported with sufficient resources, knowledge and political leadership.

The responses also emphasised the importance of coordination between PCD specialists and decision-making at the EU-level concerning intra-governmental policy coherence for development. This importance can be positive, for instance through sharing lessons between Member States and EU Institutions, and through deciding at the EU level of what should be done on PCD in the intra-governmental context.[20] Conversely a lack of consensus at the EU level on how to move forward on PCD can also negatively affect progress in the area.

19 In fact, all the issues that were listed were at least considered important, and of the actor groups which were mentioned only 'other levels of local or provincial government' were considered relatively un-significant.

20 For example the EU Council Decisions on PCD which were made in April and October 2006, but also the process around the DAC Peer Reviews.

4: PCD as a process needs space, adequate conditions and appropriate flexibility, and should not become too formalised

In addition to general emphasis on the importance of good relations and dialogue between government officials mentioned above, the responses would seem to suggest that although participants are convinced of the importance of a clear policy statement on PCD, they feel that this policy statement should not lead to a too strong formalisation of the PCD process and should not prescribe actions and procedures. This does not mean that respondents feel no formal mechanisms are needed, because their responses show clearly they do see the importance of individual formal mechanisms, but rather reflects a recognition that too rigid procedures could frustrate or negatively affect the PCD process.

Instead, the responses seem to suggest that respondents prefer a process where all ministries gradually learn about the importance of and their possible roles in the PCD process, while these actions are justified by a policy document setting out the overall purpose, priority and direction of policy coherence. Adequate resources in terms of time as well as human and financial resources were all considered essential for allowing this process to happen.

The success stories which were sent in by the respondents indicate that progress has mostly been on creating or improving the conditions to allow PCD to be promoted. Challenges which remain include the difficulty of dealing with entrenched national interests in general, and the relationship between the EU and its Member States.

Analysis of differences between the three country groups

Besides the analysis of the overall responses, the respondents were, as indicated above in the introduction to this section 3.3 (p.56), divided into five different groups of countries for the purposes of detecting different patterns of responses and to allow for cross-comparisons to be made. Respondents from three of these five groups were systematically cross-examined for the six different questions:

Whereas the Central EU and Southern EU groups mostly stressed the political nature of the PCD process, Nordic respondents emphasised the importance of cooperation and 'persuasion' leading to action at both the civil servant and political level. New Member States attached quite some importance to the production and dissemination of information on PCD promotion.

Among the three geographic groups which were cross-examined, the Nordic+ group attached most importance to knowledge input and assessment mechanisms, followed by the Central EU group. The respondents from the New Member States unanimously

considered inter-ministerial committees and the improvement of dialogue between civil servants to be essential for the promotion of PCD.

All geographic groups agreed on the relatively low importance of strong legal enshrinement and institutionalisation of PCD, given the relatively low weights attached to PCD laws and procedures. Nordic+ countries did however consider PCD action plans to be of almost essential importance.

Compared with the Central EU group and the New Member States, the Nordic+ countries see a more major role of their parliaments in promoting PCD. All country groups unanimously agreed on the importance of European cooperation to advance on PCD.

Besides pointing at the differences in approach to policy change and government between the different country groups, perhaps the most important reason for the differences between the Nordic+ group, the Central EU group and the New Member States is that the last group has a shorter history in development cooperation. Civil servants who work on development policy still have a stronger 'change agent' role to play in order to create the legitimacy for their field of work, as well as for PCD.

3.4 Responses to the Evaluation Questions

Introduction

In this section, all the evidence collected during the evaluation, through the case studies, literature review, country profiles and questionnaire analysis, is presented and discussed per evaluation question. The 7 case studies are referred to in this section by their respective abbreviations:

- DPC-FIN (Development Policy Committee in Finland),
- CICID-FR (The Comité interministeriel de la cooperation internationale et du développement in France),
- CICI-ES (Inter-Ministerial Commission for International Cooperation in Spain),
- AP2015-DE (Programme of Action 2015 in Germany),
- PGD-SW (Policy for Global Development in Sweden),
- EP-DEVE (The Development Committee of the European Parliament) and
- EC-ISC (The Inter-Service Consultation mechanism of the European Commission)

3.4.1 Evaluation Question 1: Origins

> ***To what extent and why did the process of establishing the selected intra-governmental PCD mechanisms respond to specific constraints and produce mechanisms that are particularly suited to these parameters?***

The first EQ sought to collect material on the origins of the PCD mechanisms examined in the case studies in order to assess how they represented a response to particular circumstances in each case and how any constraints encountered had been overcome. This was based on the hypothesis advanced in the conceptual framework that that PCD mechanisms were likely to a large extent to be situation specific and designed according to governance traditions in each country. The Judgement Criteria used for this EQ therefore examined issues such as the effect of the national and international debate on coherence and sought to identify the 'drivers of change' in each case. Interviewees were also questioned on obstacles to change and whether dissatisfaction with previous mechanisms had been a factor.

The most important finding is that the basic hypothesis underlying this Evaluation Question is confirmed. In other words all the mechanisms were clearly well adapted to the governance approach of each country or the EU level in which they operated. None of the mechanisms studied therefore appeared to be 'imported' from outside in any sense, rather they all exhibited a good fit with local circumstances.

Role of national and international debates

The evidence collected from the case studies suggests that an active public debate on PCD by and large does not appear to have been an immediate major factor in promoting the establishment of the PCD mechanisms studied. However, it is important to trace back the history of the cases a bit further. Thus in the Swedish case the government in fact promoted a public debate itself in the preparation of the PGD and equally in the German case, the commitment to PCD documented in the Red/Green coalition agreement of 1998 and formalised in the AP2015 in 2001 is ultimately a product of a national debate on PCD in the 1990s. In the EP-DEVE case a key factor motivating MEPs to pick up coherence issues as subjects for reports has also clearly been the contacts they have had with civil society organisations: NGOs primarily but also academics. Finally, in Finland although government officials point to international debates as the main influence on their decision to create a PCD mechanism their approach to doing so, namely to ask the existing external advisory group, the DPC, to address the issue clearly indicates that public debate on the subject was an important factor.

On the other hand it emerged clearly that the European level debate on PCD between groups of Member States and in the EU institutions over the past few years has had a

strong and recognised influence in several of the five member state cases (in particular for the cases of DPC-FIN, CICID-FR & CICI-ES, though also in the other two cases) as well as in the two EU level cases. Behind this European debate the wider international debate and evolving thinking on PCD (in the DAC, the UN, or on the MDGs, or on global public goods, etc) is also clearly a very important push factor for governments in all cases though to some extent these debates have been interpreted differently from country to country.

One of the conclusions of the literature review was that in practice it is difficult to disconnect the national debate from the European debate. As the European Union and the aforementioned multilateral organisations can all be characterised as membership organisations, the European and international debates may have been influential precisely because the European Member States wanted it to be. Similar points on the connection between the national and European level were made by the questionnaire respondents, as the importance of sharing lessons between Member States and EU Institutions making EU decisions on what should be achieved regarding intra-governmental PCD was emphasised. Conversely, it can be suggested that lack of progress on either side can constrain progress on the other.

Change agents and obstacles to change

Governments themselves, and particularly the relevant part of the Ministry of Foreign Affairs or the development ministry, seem to have been key change agents in all the national cases. In some cases an internal tension was however noted between the MFA as a whole and the department responsible for PCD suggesting that even inside ministries the argument was not entirely won and that there was continuing resistance within government.

In the two European level cases (EP-DEVE and EC-ISC) the mechanisms are existing mechanisms that have had a policy coherence role for some time though it is only recently that this is being recognised as potentially a good method of promoting PCD. In these two EU cases the agent of change differs. DG DEV within the Commission on the strength of the debate among Member States in Council, is the principal change agent in the EC-ISC case; whereas the MEPs themselves appear to be the main change agents in the EP-DEVE case although this is more a product of the subjects they see as politically interesting than as a result of any conscious or systematic decision to pursue a PCD agenda.

Interestingly, although civil society has had some involvement in all cases, except perhaps in the two inter-ministerial committee cases (CICID-FR and the EC-ISC), and the contribution of civil society to raising questions of incoherence in the first place is widely recognised, it does not seem that civil society organisations have been the main push factors in this particular stage of establishing operational PCD mechanisms.

Rather the main push in all cases seems to come from within the government system (also in the EU level cases) itself.

Nevertheless, the case study reports provide interesting examples of NGO's involvement in the mechanisms some of which are illustrated in Table 3.4 and useful information on the role they play in the PCD system.

TABLE 3.4: **Civil Society's role in promoting PCD – Some evidence from the case studies**

PGD-SW	***AP2015***
In Sweden, NGOs have for a long time been active in pointing to the lack of coherence between public policies. Their actions have contributed to high levels of public support to development cooperation, and provided strong inputs during the formulation of the Policy for Global Development in 2003. Swedish NGOs remain active on the issue and a 'shadow report' on the PGD was recently published by a coalition of NGOs. Yet their involvement in the actual implementation of this government Bill has so far been limited. Since the adoption of the PGD in 2003 government has not been able to take concrete steps to establish a 'Citizens forum' on the PGD, although page 55 of the Bill clearly mentions that *'society as a whole must be involved'*.[21]	The German Programme of Action stresses the importance of public support for PCD and the central role of alliances and awareness-building. Two instruments were implemented to stimulate this: 1) a "Dialogue Forum 2015", composed of high level representatives of the private sector and civil society, the media, Federal Parliament and the Federal states and municipalities and; 2) a public awareness campaign. Although the Dialogue Forum provides opportunities for NGO engagement, albeit in a rather formal setting, interviewees did feel that NGOs were presently insufficiently involved in promoting PCD. This was also seen as an obstacle to building up civil society pressure on political bodies for further action.
DPC-FIN	
In the case of the Finnish Development Policy Committee, NGOs and other Non-state Actors have a more direct involvement in promoting coherence through their representation on the Committee. There was a consensus among the interviewees in the case study that the involvement of a wide variety of actors was the main factor behind the Committee's success, which includes representatives from political parties, the private sector, NGOs and the research community.	

The relative lack of involvement of civil society noted in the case studies can be interpreted as a direct result of the fact that at this stage all the cases had moved beyond the agreement of policy statements on PCD and the issue was more about how to put these into practice. Once the policy statements have been agreed then it is a logical next step that civil servants in each government seek to find ways to implement them and establish operational mechanisms to make sure this happens, providing of course there are sufficient continuing pressures on them to do so. This latter push therefore does not seem to have been provided so much by continuing external pressure from civil society, but rather seems to have come from peer group debate on the subject in fora such

21 (Gov. Bill 2002/03:122 page 55)

as the DAC or the EU Council working groups. The three examples in the box above also indicate that there is a continuing role envisaged for civil society in the monitoring of progress on PCD. At the same time it would seem, in some of the cases, that exactly how best to manage this monitoring role is not yet well established.

Variations in response have also depended on local circumstances, thus in the two cases in France and Spain (CICID-FR & CICI-ES) the priority has been first to promote greater consistency in the national development programme and PCD is seen as a goal that still needs to be tackled. In a fairly real sense therefore the lack of consistency in the national programme for development commitment is an obstacle that needs to be overcome before any concerted move to promoting PCD can really be made.

All the mechanisms examined in the case studies have encountered obstacles in starting work. The only real common thread that emerges however is that in different ways they have each had to establish their legitimacy as a policy making instrument and argue the case for promoting PCD. In other words although a policy statement on PCD may well have been agreed and often at a high level, putting it into practice is another matter as considerable resistance can be expected from different quarters. Establishing an operational mechanism to promote PCD therefore requires continuing commitment over time.

Response to Evaluation Question 1

In all the cases examined the PCD mechanisms put in place clearly respond to particular local circumstances, but at the same time there is also a large measure of external reflection that has influenced not so much the form of the mechanism but more the need to establish them and thinking on their role and objectives. Thus these cases confirm the importance of the influence of the debate in the DAC on government thinking on PCD that was first identified in the Literature Review earlier in the Study. Equally, in several cases, the value of the PCD debate and sharing of experience at the EU level is also recognised as an important source of inspiration. The cases also suggest that civil society influence on the process has not been that significant in this phase of establishing operational PCD mechanisms, but rather more at an earlier stage in the process when policy statements were being formulated.

The evidence collected also shows that the form each PCD mechanism studied has taken is heavily influenced by local practice with many of the cases being essentially existing policy mechanisms on to which the PCD promotion function has been grafted. The one exception to this is the case of the Swedish PGD, a policy statement type mechanism, but one which is more far reaching than others in that it takes PCD to its logical conclusion and adopts a full *whole of government* approach which is then moreover enshrined in law. In this case the role of public debate and civil society influence is far more evident than in the other cases.

Similar conclusions emerged from the Questionnaire and the literature review, although some interesting differences can also be observed. The review of the literature suggests that CSOs and NGOs were more involved and engaged on PCD in the first few years following the signature of the Maastricht treaty than in more recent times. As such, they have done important work in putting and keeping PCD on the agenda, where it was slowly picked up by government and responsible civil servants. The findings from the Questionnaire also noted that respondents considered their own colleagues in government to be more important for the promotion of coherence, compared to public actors. In particular, the media was not considered to play a very important role. These conclusions were further strengthened by the country profile analysis, as the overwhelming majority of the 85 identified mechanisms did not systematically involve Civil Society actors.

3.4.2 Evaluation Question 2: Fit within government systems

> ***How and why are the selected intra-governmental PCD mechanisms relevant in promoting intra-governmental PCD in their particular national context?***

This second Evaluation Question addresses the relevance and appropriateness of the PCD mechanisms, in relation to the particular national context in which they function. With this aim in mind, judgement criteria were formulated to collect evidence on the mechanisms' mandates, coverage and degree of alignment with international thinking on PCD, and looked into the contextual, institutional, internal and policy relevance of the mechanisms that were studied in more detail.

Aspects of Relevance

The overall finding was that all the mechanisms examined are well integrated into their governance systems in each country or at the EU level and therefore relevant to the promotion of PCD. At the same time all also have individual limitations or constraints which are perhaps more evident from looking at the different types of relevance examined (cf. below: Table 3.5 – Types of Policy Relevance).

In terms of policy relevance and institutional relevance there is no real difficulty: all the cases are in line with national policy and, in the way they are designed and structured, well integrated into national or EU level institutional systems that they belong to. In practice, however, the institutional relevance can at times be limited by the degree of different government departments' willingness to work with the PCD mechanism. Equally, in terms of relevance to national or EU political contexts there is no obvious lack of relevance, but the manner and level in which each mechanism relates to the political context varies considerably. Some thus operate at a ministerial level, others at a whole of government level and two are really outside, though closely asso-

ciated with, government (an external advisory committee: the DPC-FIN and a parliamentary committee: EP-DEVE). Thus it became clear that the political position of each of them had its own limits and thus the mechanism, though relevant in itself, was not always adequate on its own. In other words the political relevance of each of them could well be enhanced if the mechanism was not just viewed on its own but could be integrated in a broader more comprehensive system for promoting PCD. The findings from the questionnaire also support this conclusion, as the majority of respondents agreed on the need for an inclusive approach to PCD which depends on the existence and good functioning of clear policies and political support, institutional coordination, and knowledge input & assessment functions. The concept of a *PCD system,* already advanced earlier in the Study, thus started to emerge as one worth retaining.

In relation to the PCD system, the results of the country profiles analysis clearly indicate that a lot of progress on this matter is yet to be made. The results show that in 2006, 21 member states had issued policy statements on PCD, while only 14 had begun to translate these statements into concrete actions. Only eight member states and the European Commission had mechanisms of all three categories, whereas the others do not yet have put in place knowledge and assessment mechanisms.

Finally in terms of internal relevance there is again a good match, with the work of all the mechanisms corresponding closely with their respective mandates on PCD. At the same time several of the mechanisms do not yet have a clear PCD mandate, but nevertheless do exhibit a clear potential relevance to the promotion of PCD. Both the EU level cases are still not really recognised as mechanisms that promote PCD, but the awareness is growing that they are already to some extent performing this function thereby already both demonstrating their relevance and pointing to their further potential for this task were it to be formally instituted.

The country profiles analysis further showed that the majority of member states had opted to adapt existing mechanisms for policy formation and coordination and add a PCD mandate to the other tasks these mechanisms already had. Such an approach obviously has merits in terms of ensuring that the mechanisms are well integrated into the government machinery. On other hand setting up a completely new and PCD dedicated mechanism more clearly signals a break with the past and the introduction of a new approach.

Overall then, it became apparent that although their relevance was not in question, most of the instruments examined would benefit from additional support from complementary mechanisms of different types, a clearer mandate or greater political backing. Even the Swedish PGD, seen by many as the ultimate mechanism, has limitations on its own and shows that the linkages with other mechanisms are vital to success. The German AP2015 seems to be the best 'installed' mechanism but there is still a question

mark over continuing political backing. The general view thus emerging suggests value of concept of *PCD system* with several complementary PCD mechanisms working together.

Mandate and alignment with international debate

The influence of the international debate on PCD was clearly visible in different ways in all the case studies and there was evidence that both the debate in the DAC and that in the EU context had an impact on officials involved in the operation of the PCD mechanisms and the role they saw them playing. There was also reference to the MDGs as a framework in which the mechanisms were expected to work though this was more or less explicit in different cases. However, the emphasis given to PCD and therefore to the international debate on the subject varied considerably between cases with officials in some cases not seeing it as an immediate priority as far as they were concerned (eg: persons involved in CICI-ES or EP-DEVE) and some even suggesting that another concept, that of *shared interest* (eg. some of the stakeholders in the CICID-FR), was perhaps more useful than PCD.

The other policy areas that the mechanisms examined were enabled to cover was explicitly comprehensive in three cases (PGD-SW, AP2015-DE and EC-CIS); potentially very broad in one other case, though in practice the range of other policy areas covered was smaller due to limited capacity (DPC-FIN); institutionally constrained but potentially fairly broad given the right political approach in another (EP-DEVE) and not yet clear in the two national cases which did not yet have clear PCD mandates (CICID-FR and CICI-ES). In these latter two cases, which are also those where development cooperation is not yet consolidated in one or two ministries, the instruments involved all those ministries with a direct stake in the national development programmes with the purpose first and foremost of encouraging coordination on development programmes. The analysis of the country profiles indicates that the degree of embeddedness and relevance of PCD also depends on the distribution of the responsibility for development cooperation in a particular member state or EU institution. On the basis of this analysis, it could be suggested that as responsibility for development cooperation becomes more tightly consolidated in a single ministry, possibilities to strengthen the development policy function and specifically the promotion of PCD will increase. In practice however a number of policy areas came back consistently in discussions as the most commonly covered with regard to PCD. Agriculture (the CAP), trade, security and migration were the most commonly referred to across all the case studies.

Response to Evaluation Question 2

All the seven mechanisms examined in the case studies exhibit a high degree of relevance and are well integrated into their institutional settings. All of them are based on national or EU government and administration traditions. In most cases the PCD mandate has in fact been added on to an existing policy mechanism which has obvious advantages in terms of integration. The two mechanisms where PCD is not yet formally part of their mandates also demonstrate a good degree of potential relevance for promoting PCD.

Practical relevance can however be more limited than theoretical relevance. This was particularly apparent when it came to political relevance where it was apparent that though each mechanism was relevant in itself, the relevance might have been increased if the mechanism was part of a broader PCD system. In other words there was in all cases a clearly identifiable need for support from other complementary PCD mechanisms, evidence therefore that confirms the usefulness of the PCD system concept advanced earlier in the Study.

Stakeholders in all the mechanisms also saw themselves as responding in some measure to PCD related international debates such as on the MDGs or in the DAC. The debate on PCD within the EU was clearly an important factor in helping officials to progress with the establishment of mechanisms to promote PCD and stakeholders regularly identified the mechanism in which they were involved as a response to this debate.

TABLE 3.5: **Types of Policy Relevance**

Case	*Policy Relevance*	*Institutional Relevance*	*Internal Relevance*	*Contextual Relevance*
CICID-FR	Corresponds with national policy objectives, but no explicit reference yet to PCD	Mechanism is well integrated, but meets only once a year, so relatively low interest from ministries not involved in the co-secretariat	Tasks are in line with its main objective	Lack of linkages with other actors, PCD does not appear systematically on its agenda
CICI-ES	The CICI is relevant within the current Spanish development policy framework	The mechanism is relevant within the national institutional setting for policy formulation, particularly as a 'tail end' mechanism; yet the relevance for PCD is not recognised by all ministries due to the absence of direct negotiations and dialogue in CICI meetings	Led by the State Secretary's office, which gives a strong push towards improving aid effectiveness & consistency, but capacity to engage in intra-governmental dialogue on PCD is rather limited.	Its contextual relevance has been improving through adjustments of its statutes, but its role in addressing intra-governmental PCD has been very limited to date
AP2015-DE	Cabinet decision on AP 2015 puts achievement of better PCD at heart of national policies; Conflict potential with other policies with different objectives	BMZ has an extended right to scrutinise other departments' draft legislation for compliance with development policy; to be involved at an early stage in the inter-departmental coordination procedure and has a pro-active right if development policy interests are affected	Low internal relevance, reflected in discontinuities in coordination and lack of capitalisation, as well as understaffing, when taking into consideration the programme's scope.	The mechanism functions in an elaborate legal framework for inter-ministerial consultation, cooperation and conflict resolution
DPC-FIN	Mandate aligned with government's development policy; linked to its execution	Inter-ministerial coordination and cooperation has historically been weak, but is increasing since Finland's accession to the EU	Outputs & activities correspond closely to mandate; main perception is that mechanism is functioning well.	The mechanism's design ensures contextual relevance and sufficient inclusion of different stakeholders

TABLE 3.5: **Types of Policy Relevance (continued)**

Case	*Policy Relevance*	*Institutional Relevance*	*Internal Relevance*	*Contextual Relevance*
PGD-SW	Policy considered relevant by all. yet many stress that the PGD is clear on 'what', but less on 'how'; some questioned its relevance to Paris Declaration	Most respondents considered that the PGD is gradually becoming more and more institutionally relevant, although the perceived institutional relevance is lower among the general public and NSAs compared to government officials	The policy is seen as consistent with the 'Swedish way of doing things', despite critique on lack of transparency and a too 'rosy' picture on policy coordination between ministries	Reaching consensus on the implementation of the PGD turned out to be more time-consuming than reaching consensus on the PGD itself
EC-ISC	The ISC does not integrate formally the aims of the EC development policy, neither does it integrate ensuring PCD as an explicit aim.	Mechanism is extremely well integrated in EC institutional practice. Part of daily work of EC officials to comment on or initiate inter-service consultation, as one of the stages of the intra-DG coordination process. Has contributed to embedding of coordination culture in EC working practice	The ISC is designed to include all policy issues dealt with by the EC. Final formal stage of coordination among various Dgs after use of informal ways to ensure coordination	The mechanism's design corresponds to its official purpose, but DG Dev has insufficient capacity to use it fully to promote PCD. Its rules mean, it cannot be used to change cases where agreement has been reached by Dgs with exclusive mandate
EP-DEVE	The objective of coherence for development is featured in all fundamental institutional and legal texts of the EU	DEVE benefits from a certain consensus to promote international solidarity & members are usually committed to their 'own' policy, resulting in a Committee active in defending development objectives even when it means confronting other policies, including internal EU policies that may be more appealing to electorate	PCD is not a central thread in the EP and does not feature specifically in the mandate of DEVE; yet there is a feeling that DEVE is becoming increasingly strong in defending its own vision not only at the EP level but within the EU institutional setting	The mechanism can be most effective in directly-development related issues that fall under the co-decision principles ; in the EP, it has difficulties to promote PCD when it interferes with other committees competences

3.4.3 Evaluation Question 3: Effectiveness & efficiency

> ***How effective and efficient are the selected intra-governmental PCD mechanisms in achieving their objectives within their context? In cases where governments have established several intra-governmental PCD mechanisms, to what extent and how do these mutually reinforce each other or do they perhaps work at cross purposes in some respects?***

This EQ was formulated with the purpose of increasing the study's understanding of how effectively and efficiently PCD mechanisms are functioning in their respective contexts. These questions were also examined at a more systemic level, to look at each mechanism's links, relations and degree of synergy with other PCD mechanisms. Judgement criteria considered the design of the mechanism, different stakeholders' perceptions on their functioning and their contribution towards the promotion of intra-governmental. Furthermore, information was collected on the resources available to the mechanisms, as well as their relative strengths vis-à-vis coherence mechanisms of other policy sectors and pressures from other broader policy processes, again from a systems perspective and in terms of possible links with other PCD mechanisms.

Overall the case studies found that efficiency was not much in question by stakeholders involved and the research did not pick up on major issues of inefficiency in the way the mechanisms worked individually. There was little or no monitoring and evaluation of the mechanisms' work as yet. However, there was more questioning on effectiveness with stakeholders able to point to a good number of limiting factors in all cases.

Design, contribution and resourcing of the mechanisms

Three of the seven case study mechanisms did not have a clear mandate to promote PCD although in one case (EP-DEVE) this could be construed from the broader legal framework in which it operated. A fourth case (EC-CIS) is a general policy coherence mechanism though not one that has been specifically designated to promote PCD, but it can be used for this purpose. It was felt that such lack of clarity on roles inevitably reduced the effectiveness of the mechanisms as tools for promoting PCD although some were nevertheless already being used for this purpose. Other aspects of lack of clarity, for instance on the involvement of different actors or on transparency, also hampered different mechanisms' work and reduced effectiveness.

Effectiveness was thus seen as limited to varying degrees in all cases. In some this is due to a lack of clear focus or mandate on PCD and the first priority should be to strengthen the mandate. Thus in the two national cases where the PCD mandate was not clear it was still felt that the mechanism could be effective if the mandate was clarified and strengthened. Similarly in the two EU level cases where the PCD mandate was

not explicit, it was felt the mechanism had already had an effect in promoting PCD but this could be enhanced if the mandate was clarified.

In fact in all cases stakeholders argued that the mechanisms had contributed to progress on PCD to varying degrees and the mechanisms were generally perceived as efficient. Yet the question of efficiency was one that many respondents did not find easy to answer suggesting that the people involved in running the mechanisms were not strongly output focussed. This was probably also linked to an observed general lack of monitoring systems related to the work of the mechanisms: in other words those involved are by and large not measuring output and therefore it is difficult to appreciate their degree of (in)efficiency.

A lack of resources was generally not held up as a major problem in any of the cases, but it was clearly a limiting factor in many of them. This seemed to suggest that while the mechanisms reviewed were not seen as inefficient or ineffective by stakeholders, any major increase in effectiveness that might be sought would mean that resource questions would need to be considered in most cases.

The mechanisms' relative strength in national policy processes

In all cases stakeholders felt any lack of effectiveness had more to do with lack of political support and political clout of development within government and among other ministries than anything else. The same point can be made about the two EU cases: the political weight of DG DEV, with respect to the other DGs in the EC-ISC case, or DEVE with respect to the other EP committees.

Formally political backing may look good on paper, but in practice this may not extend much beyond MFA. In the CICID-FR and CICI-ES cases the influence of the mechanisms only covers the development actors in government, although this definition does include a broader circle than in other countries because responsibility for development is less concentrated in a single ministry than in the other national cases. Questions of differing interpretation of the PCD policy by different ministries is also identified in several cases

One judgment criterion specifically looked at the degree to which a broader *PCD system* existed around the specific mechanism under study. The German and Swedish cases were most advanced in this respect and the value of having several different PCD mechanisms working in a complementary fashion was clearly a positive factor. However, even in these two cases, insufficient linkages with other mechanisms of different types that could also support PCD[22], was an issue suggesting that such linkages are important but also difficult to maintain and use effectively.

The success stories shared by the respondents to the questionnaire indicate that progress towards PCD has mostly been made in the creation of or improvement to the condi-

tions to allow PCD to be promoted, including the improvement or establishment of dialogue between different government departments and ministries. Many countries have chosen to first promote PCD in areas that were relatively lobby-group-free, such as the debate on cotton production and trade, to, in a sense, 'clear the path' to promote PCD in areas with stronger national interests. Remaining challenges include that despite the progress made in some Member States in areas such as trade, in many policy areas these domestic interests still prevail. In addition, it was mentioned in the responses to the questionnaire that lack of progress on the EU level is hindering progress on PCD at the individual MS level.

Response to Evaluation Question 3

Overall while the efficiency of the PCD mechanisms studied was not much in question, the effectiveness gave rise to considerable debate during the research interviews. Clarity of mandates, roles and modes of operation were limiting factors in nearly all cases with varying degrees of lack of clarity on the specific PCD mandate of the mandate being one of the most important obstacles in four out of the seven cases. Lack of resources was also a limiting factor but was generally not cited as the most acute problem. The efficiency of mechanisms was not much in question by the stakeholders themselves and little evidence of serious inefficiencies in the way they operated was identified.

The biggest impediment to effectiveness which was cited in all cases was the question of the degree of political support. This was particularly associated with the regularly held view that development was not a politically strong department within government.

Good linkages with different government departments and stakeholders were widely viewed as an important way of increasing effectiveness. In the two cases of the AP2015-DE and the PGD-SW where the government had established several complementary mechanisms for promoting PCD there was evidence that this brought benefits in terms of effectiveness and that failure to use these properly and ensure systematic inter-linkages had a negative impact.

The concept of a 'PCD system' involving all three types of PCD mechanism was therefore confirmed as an important way to achieve greater effectiveness.

22 For example, in both the Swedish and German cases the link between the policy units responsible for promoting PCD and the knowledge and assessment mechanisms in place (the Expert Group on Development Issues in Sweden, and the Dialogue Forum 2015 in Germany) showed clear weaknesses which impaired the performance of the whole PCD system in place.

3.4.4 Evaluation Question 4: Strengths & weaknesses

> What are the key factors contributing to the success of the selected intra-governmental PCD mechanisms and their impact on intra-governmental PCD and why? What are the mechanisms' strengths and weaknesses in this respect?

The fourth EQ further explored each PCD mechanism's strengths and weaknesses, again as perceived by different actors, with the aim of identifying key factors to explain the functioning of the mechanisms, as well as their impact on intra-governmental PCD. The judgement criteria sought to trace back this impact, as well as looked into the mechanism's own capabilities and system to track progress through monitoring and evaluation activities. In parallel, evidence was collected on perceived disincentives or incentives to the mechanisms' functioning, as well as the relative influence and importance of political backing. Finally, information was collected on the influence of informal processes on the impact of the promotion of PCD.

Impact, strengths and weaknesses of the mechanisms in the PCD process

The case studies provide considerable evidence that stakeholders believe that their mechanisms are all having some impact on PCD; but it is also evident that the levels of impact vary considerably and that what is seen as a positive result in some cases would not be considered adequate in others. Thus in some cases stakeholders were able to point to policies in other fields that had been changed as a result of their work whereas in other cases success was measured more in terms of raising awareness (Some examples are provided in Table 3.6). This is of course partly related to the fact that the PCD mandates of the case study mechanisms vary considerably in strength and therefore what is seen as impact will also vary in people's perceptions. In some cases it is also clear that achieving this impact has not always been plain sailing and that heated debates have occurred between officials of different ministries. This is in itself encouraging as it suggests that discussions were getting to the core issues. Finally the age of mechanisms is another important factor that can be expected to affect impact, thus the three mechanisms with the most clearly defined PCD mandate (AP2015-DE, PGD-SW and DPC-FIN) have only been operational between five and three years at the time of the field missions.

The strength of the policy statement or mandate was clearly a factor for success. In both the Swedish and German cases it is clear that officials operating the PGD and the AP2015 feel that the whole of government approach of their mechanisms strengthens their hand and enables them to ask difficult questions of their colleagues in other government departments.

In most cases the involvement of a wide range of stakeholders is seen as an important factor for successful work on PCD as is illustrated by the DPC in Finland where the range and representativeness of the members of the committee of different groupings within the spectrum of social and political actors in development in Finland are seen as its greatest strength. The EP-DEVE is another case in point. Stakeholders there also emphasised the importance of linkages with others for PCD promotion work. In their case links with NGO networks and other sources of knowledge were seen as particularly important. At the same time, this factor is also quoted as important in mechanisms operating inside government where the more ministries that can be involved the better. Equally stakeholders widely recognise the value of informal networks in promoting PCD. Associated informal networks clearly play an important role in the way most of the case study mechanisms work on PCD.

TABLE 3.6: **Examples of Outcomes and Impacts of PCD Mechanisms**

AP2015-DE	***DPC-FIN***
Some examples of how the mechanism has contributed to the promotion of PCD include: 1) In 2001, the inter-departmental Committee on export guarantees adopted guidelines on the ecological, social and development issues in the allocation of government export credit insurance; 2) Successful campaign against protectionism on sugar which built on alliances at the national and international levels; 3) The campaign on fair trade was a successful collaboration between three ministries. Another outcome is an exchange programme of staff between different ministries in Germany. The exchange programme has helped to integrate the perception of all Ministries involved and to find practical modalities for promoting coherence.	It is was found that the DPC's activities make an important contribution to the debate on coherence in government circles and the wider development sector in Helsinki and progress is certainly being achieved in this area. Members were able to point to policies in other sectors (trade, defence, migration) where inputs by the committee had brought about policy change. This was also confirmed by government officials in different departments. Some government officials felt the committee had a good sense of timing and chose the right topics which clearly increased its effectiveness. The view was also expressed that the committee was open and transparent in its work and by organising seminars and meetings and publishing articles in the media was good at reaching out to a wider public.
PGD-SW	***EP-DEVE***
One of the tangible outputs of the PGD where real progress can be seen is the annual PGD progress report. These reports, to which all ministries are to contribute, are widely considered to be useful and informative. Their progressively improving quality and informative nature reflect the improvement of the writing process facilitated by the Development Policy Department. This process is also seen to contribute to increasing levels of ownership of the PGD in different policy sectors, as well as to the creation of a 'knowledge base' on PCD.	The Development Committee is increasingly engaging in PCD-related issues, which it furthers through issuing reports, defending positions in plenary parliament sessions, and related activities. An analysis over time of the number of reports issued by the EP-DEVE show that more than 40% of members' own initiative reports address PCD related concerns so far in the sixth term of legislation compared to 12.5% and 6% respectively in the previous two terms.

The results from the questionnaire survey also showed that in the opinion of respondents, institutional coordination processes are the most important factor for success in the promotion of intra-governmental PCD and a lack of dialogue between government departments to be the biggest obstacle. The implication is of course that PCD is mostly considered as a matter for civil servants, and as primarily a question of relations between government departments and ministries and linkages that work at different levels in the government system. At the same time, however, most of the respondents to the survey are themselves civil servants and their view from inside may tend to underemphasise the importance of linkages outside the government machinery.

An important source of weakness lies in the complexity of the issues that have to be dealt with in PCD. This can be a serious problem. Stakeholders' lack of knowledge of other policy areas is often a limitation to effective action. Concepts and information need to be kept up to date. This was, for instance, a problem in the EP-DEVE case as MEPs and Secretariat officials did not necessarily have a good in-depth knowledge of other policy areas, but the same is true inside ministries.

In addition to the complexity of the issues involved there can also be difficulties with persuading colleagues in other parts of government. The respondents to the questionnaire found that the second-highest perceived obstacle was the resistance from other ministries. In the case studies this also emerged, for instance in Spain it was felt that MFA officials do not always have the right debating and persuasion skills to argue the case for PCD and persuade their colleagues in other ministries. Of course this is not always the case, but it was seen there as a problem resulting from the different types of training received by economists and diplomats in Spain. Even if the training and persuasion or advocacy skills of MFA/development officials is not in itself a problem, it is clear that the complexity of the issues involved means that well prepared dossiers and the effective use of up to date knowledge and evidence is a key factor for success.

Respondents to the questionnaire also stressed the importance of such capacity related issues. The need for more human and financial resources was highlighted, as was the need for information and back-up from a PCD unit, as well as the need for capacity development of civil servants who work on PCD issues. In the case studies resource issues were seen as a possible limiting factor, but were not in fact cited as the major weakness in most cases.

Incentives and political backing

The question of political support for PCD comes up regularly in all the case studies, in the opinion survey and in the literature review. There is no doubt therefore that strong political backing is a key factor for success. While commitment to PCD can be strong in restricted circles the wider commitment of government is regularly called into question in the case studies. Thus even when policy is clearly stated and the MFA or

development ministry is committed to PCD support from other quarters in government often declines over time after initial enthusiasm with the policy statement. In the opinion survey lack of political leadership was cited as the third most important obstacle to PCD just after the lack of dialogue between ministries and resistance from other ministries.

It was evident that both the caliber and political status of the persons involved in many of the case study mechanisms directly affected the political weight of the mechanisms and in turn their impact. Thus in the EP-DEVE case political backing from the rest of the Parliament was very dependent on the political weight and connections of the MEPs in DEVE. It was argued this could be enhanced if the mandate of DEVE could be formally enhanced to include PCD. The fact that CICID in France was chaired by the Prime Minister gave it weight. The fact that AP2015-DE was a decision taken at Cabinet level was seen as the most important factor for the success it has had.

A lack of wider political backing or a lack of real debate in particular fora (DPC and CICI) acted as a disincentive. Equally a sense that their work was having limited impact commonly acted as disincentives for persons involved in PCD mechanisms. Thus in the EP-DEVE case the question of what decision procedure was to be used on any particular issue, could act as an incentive or otherwise as DEVE could clearly had greater power with co-decision than with other procedures.

Respondents to the questionnaire, also raise the issue of incentives to staff as a powerful factor affecting success in the promotion of PCD. People need to feel they understand why they need to work differently to promote PCD, and that they will achieve something useful or be rewarded by making progress in this area. As one respondent remarked, *'(...) there are few natural heroes'*.

In the case of the DPC-FIN members of the committee are not remunerated but only have their expenses paid, so incentives lie more in the degree of personal interest and the scope for networking provide by the committee as well as in the degree to which members felt their work had an influence on government. Some questioned how seriously the government took the DPC and this certainly acted as a disincentive.

M&E capacity of the PCD mechanisms

A general lack of monitoring and evaluation systems for the work of most of the mechanisms was observed during the course of the case study research. Monitoring would also be hampered in a number of cases by the lack of clarity on implementation and work plan. That said some steps were being taken in terms of monitoring and evaluation in selected cases. In the case of AP2015-DE a specific study (Ashoff, 2005) had been commissioned to set a base line for the Ministry's work on PCD and in the PGD-SW the operation of the mechanism involves a series of annual reports on PCD by

different government departments so progress was being monitored to some extent. Some of the mechanisms also have a role to play monitoring progress made by government more widely on promoting PCD. This is for instance part of the role of the DPC in Finland and the EP-DEVE can have a valuable role as a mechanism to monitor the PCD work of the European Commission and of Council although this is not widely recognised (CEPS, 2006).

In the case of the PGD-SW, the majority of interviewees expected that systematic monitoring and evaluation of the PGD's implementation would have a positive effect on the implementation of the policy. Monitoring would in particular allow for a more 'sustained pace' in implementing the policy (through systematically collecting data and reporting on a set of mutually agreed indicators which could both coordinate public servants and inform follow-up decisions by the relevant decision makers, whereas most people felt the implementation was still at a too early stage for evaluation. Monitoring and evaluation was thus considered important to help revitalise, adjust and adapt the policy to new realities.

A selected number of evaluation reports that were examined during the review of the literature suggested that development evaluations are currently not well equipped to evaluate progress made on intra-governmental policy coherence for development.[23]

Response to Evaluation Question 4

During the research for the case studies, stakeholders involved in all the different mechanisms where the PCD mandate was clear, generally argued that their mechanisms were having some degree of impact on PCD. In the two cases where the PCD mandate was not yet established it was also possible to detect that impact on PCD would be possible if the mandate was properly established. In the other cases where impact was evident its nature and extent varied considerably. Linkages with other actors and informal networks were an important factor for success as was the resources available and the capacities of the actors engaged in any particular mechanism.

The key factor for success was however generally agreed to be the extent of political backing enjoyed by the mechanism. The status of the initial policy statement was important in establishing this but also the political standing of the actors involved. There was a common feeling that even if political backing was generally strong at first or in particular parts of government there was a tendency for it to wane over time and the wider commitment of government beyond the MFA or the development ministry was regularly questioned.

Institutionalised monitoring and evaluation systems were by and large lacking in the case studies reviewed.

23 The evaluation reports reviewed showed that in many cases the analysis of PCD is not very comprehensive. 'Not coherent' is also often used as a synonym for 'not-well thought out' and often coherence is viewed as a positive outcome of policy coordination with other donors.

The main reason would seem to be that they are often budgeted within (clusters of) projects or programmes. The formal recognition by EU Member States of the importance of PCD, as for instance stated in the April 2006 EU Council Conclusions or in the December 2005 EU Consensus on Development therefore still needs to be translated into adequate resources for evaluation.

In a recent report, the DAC also recognises that a lot of progress still needs to be made on improving the 'evaluability' of PCD in the different member states and EU institutions: *"While there is a growing number of policy coherence commitments and an emphasis on development results, DAC members need to do further work on setting up action plans, specific timeframes and results-based frameworks for policy coherence."* (2005, p.137)

3.4.5 Evaluation Question 5: Sustainability

> ***What (and why) are the main factors influencing the sustainability of the selected intra-governmental PCD mechanisms?***

The last Evaluation Question looked into the main factors influencing the sustainability of the PCD mechanisms in relation to the national context in which it functions. It examined the degree of 'institutional embeddedness' of the mechanisms and whether they had managed to become relatively permanent parts of the policy formulation process, with wide political support and decreasing opposition. Judgement criteria also looked into the development of the mechanisms institutional status, capacity and resources, as well as into the capacity of the mechanisms to adapt and re-new themselves to respond to changing circumstances.

Institutional development and embedding of the mechanisms

Continuing political interest and backing is clearly the strongest issue affecting sustainability across all the cases. The five cases (DPC-FIN, CICID-FR, CICI-ES, EP-DEVE and EC-CIS) where the mechanism is an existing instrument of government to which the PCD mandate has been or could be added all seem to have a secure future pointing to one advantage of such an approach. Moreover, the addition of the PCD mandate is in some cases seen as a positive addition which has or is expected to enhance the relevance of the mechanism itself. These mechanisms are thus all well embedded in government and the question then becomes more one of whether the promotion of PCD will continue to be seen as a key part, or could be made into one, of their mandates.

Continuing political support is thus as important as embedding and institutionalisation. At the same time political support needs to be sufficiently widespread and that of the government of the day is probably not adequate. This is illustrated by the AP2015-DE case which was established by a coalition that is no longer in government

and there are already signs of it receiving less backing. Interestingly, although the Swedish PGD is also a mechanism that is heavily dependent on political backing, yet it is seen as very secure largely because of the cross-party support it has and the very strong popular backing for development issues in Sweden. What is also interesting in the Swedish case is that some respondents put a perspective of two to three decades on the usefulness of the PGD saying the agenda will gain in relevance over time. This brings out well the long term nature of the task of promoting PCD though the lack of monitoring systems also means there is little awareness of the actual speed of progress made.

The responses to the opinion survey attached relatively low importance to a strong legal enshrinement and institutionalization of PCD, given the low weights attached to PCD laws and procedures. On the contrary the pattern of response, as well as some explicit remarks from individual respondents, suggested that too much formalization could lead to general, abstract discussions and little concrete movement. Linked to this point, the country profiles also highlighted the importance of informal mechanisms with various officials stressing the value of internal networks and informal working parties in promoting PCD. Respondents in Denmark were particularly keen on the importance of such informal approaches.

No signs of major opposition to PCD as a principle or policy goal were picked up in the case studies though it was clear that in most cases fairly robust debates did occur from time to time on specific issues of incoherence. In one case it was suggested that where PCD clashed with 'national interests' then PCD could not always be expected to win and in another, stakeholders suggested that a search for 'shared interest' was perhaps more useful as a policy goal than a search for PCD.

Institutional status, capacity and resources

The resources available to support the work of the case study mechanisms are generally modest across all the case studies, but yet not seen as the major constraint. However, if this is linked to the clarity and degree of institutionalization of the mechanism's PCD mandate one can see that in a context of modest resourcing, and if the PCD mandate is not strong, then work on the promotion of PCD tends to lose out to other priorities. On the other hand in a case such as the DPC-FIN where the PCD mandate is strong, and one out of only two tasks of the Committee, then modest resources is not a major impediment. The two policy statement type mechanisms (AP2015-DE and PGD-SW) appear to have the most resources at their disposal though these are still limited.

The institutional status of the mechanisms studied is very variable and the case studies demonstrated the need to distinguish between the institutional status of the mechanism itself and that of its PCD mandate. Where the mechanism in question has been or is being adapted to promote PCD, the status of the mechanism itself is usually solid

and the issue is really one of how much importance is or will be attached to the PCD promotion mandate. For this there are major variations with the PCD mandate being currently institutionally strong in some cases (DPC-FIN), de-jure strong but de-facto not yet clearly articulated and effective (EC-CIS), de-jure weak but de-facto effective (EP-DEVE) and still institutionally very weak (CICID-FR and CICI-ES). In the other two cases (AP2015-DE and PGD-SW) the institutional status of both the mechanism and its PCD mandate is strong.

Capacity to adapt and self-renew

Five (DPC-FIN, EP-DEVE, EC-CIS, CICID-FR and CICI-ES) out of the seven case studies involve existing internal government policy mechanisms which, to differing degrees, are have been or need to be adapted further to promote PCD. All of them show signs of potential in this respect and it is therefore more a question of the ambition of the stakeholders involved to ensure these mechanisms are fully adapted to maximalise their potential for PCD promotion work. The fact that it is existing policy mechanisms that are being adapted for this purpose is a good indication that they will continue to be adaptable and capable of renewal in the future.

The other two mechanisms (AP2015-DE and PGD-SW) are policy statement type mechanisms. Of these two the PGD in Sweden shows the greater signs of adaptability and permanence as it is already adapting itself to the way stakeholders work and vice versa and it is clearly seen as long-term feature of Swedish policy making in external relations. With AP2015-DE this is less clear. There are already signs that the instrument is not adapting fast to new political circumstances and certainly in the eyes of some stakeholders it is an instrument that is linked to a past coalition government and may therefore be vulnerable to future changes in the political landscape.

Response to Evaluation Question 5

Continuing political interest and backing is clearly the strongest issue affecting sustainability across all the cases. No outright opposition to PCD per se was identified in the case studies but where it clashes with 'national interests' it encounters limits.

institutionalisation The degree of of the mechanisms themselves clearly helps sustainability in cases where political support is variable over time, but political commitment is still required to ensure that the mechanisms have a strong PCD mandate. Thus adapting existing and well established policy mechanisms so that they also cover the promotion of PCD is a common approach adopted in 5 out of 7 of the case studies and clearly helps to embed work on PCD in the government policy formulation system, but this is not adequate in itself and must be accompanied by a clear PCD mandate.

The opinion survey also suggested that strong institutionalisation of PCD mechanisms was perhaps not the most important factor as it can lead to general abstract discussions and little effective work. Rather it stressed the value of informal mechanisms.

The availability of resources, human as well as financial, is clearly an issue for sustainability in some of the cases but it does not emerge as the strongest factor. However, there was evidence to show that low resourcing combined with a weak PCD mandate can mean that PCD work then loses out in the prioritisation of tasks carried out by the mechanism. On the other hand if the PCD mandate is strong, low resourcing is not a major impediment.

All the case study mechanisms where PCD had been or was being added to the mandate of an existing policy mechanism (5 out of 7) showed good signs of adaptability and potential for renewal which is reassuring in terms of the sustainability of the mechanism and its PCD mandate. For the other two mechanisms (AP2015-DE and PGD-SW) sustainability was much more closely linked to the strength and spread of the political support base for the mechanism. Thus for AP2015-DE, the mechanism which has a strong PCD mandate was seen as too closely linked to the political programme of one government and showed little signs of adaptability and was therefore seen as potentially rather vulnerable. Whereas the PGD-SW case was clearly very solidly based on strong popular support for development cooperation and broad cross-party support for PCD and the mechanism itself, and this seemed to translate through into good signs of adaptability.

4 Analysis of Data and Findings

This chapter first analyses the evidence collected during the study using the framework provided by the five standard DAC Evaluation Criteria and then moves on to considering how the evidence relates to a number of elements of the Conceptual Framework developed at the start of the study. Finally the Logical Impact Diagram from the Inception Note is reviewed and updated in the light of the evidence collected.

4.1 Analysis of evidence per DAC Evaluation Criteria

In this section the findings from the different data sources for this evaluation study are analysed for the five standard DAC evaluation criteria. These criteria are linked to the evaluation questions as follows:

TABLE 4.1: **Relationship of Study Eqs to DAC Evaluation Criteria**

	Evaluation Questions				
DAC Evaluation Criteria	***1***	***2***	***3***	***4***	***5***
1 Relevance	X	XX			
2 Effectiveness	X		XX	X	
3 Efficiency			XX	X	
4 Impact			X	XX	X
5 Sustainability	X			X	XX

As with the responses to the evaluation questions in the previous chapter, the analysis of the findings for the DAC criteria includes the evidence gathered through the different methodological approaches.

4.1.1 Relevance

The case studies show that overall the mechanisms selected exhibit a high degree of relevance to the task of promoting PCD. In the previous section of this report, in response to EQ2, the mechanisms were also shown to be relevant in different ways, that is to the policy and political context in which they operate and to the institutional

arrangements in their country of operation or EU institution. The fact that selected mechanisms are relevant in this way has also much to do with their individual origins, as brought out in the responses to EQ1, and demonstrates the importance of one of the studies hypotheses that PCD mechanisms need to fit within the governance context in which they operate. The internal relevance of the work actually carried out in relation to the existing mandate of the mechanisms is also good. Problems arise, however, more in terms of how explicit the PCD mandate is and therefore in how much the mechanism is relevant to promoting PCD in practice rather than just in theory.

At the same time the way in which the case study mechanisms are relevant varies considerably, which in turn implies that there is a good deal to be learnt from comparing the different case studies and seeing how their contribution is relevant in each case.

Thus the two inter-ministerial committees (CICI-ES and CICID-FR)[1] are seen as *potentially* very relevant if their mandates could be extended to clearly include the promotion of PCD as an important task. The potential relevance of these two mechanisms lies especially in the way they bring a selection of government departments together at a high level to discuss development policy and how to ensure its integration. The operation of such inter-ministerial committees implies good preparation at lower levels and therefore good communication between departments which is seen, by the respondents to the opinion survey, as a key method for improving PCD. The political level at which these inter-ministerial committees operate is also highly relevant in terms of creating political support for PCD.

The two EU institution cases (EC-ICS and EP-DEVE) both already carry out considerable work on coherence, but this is again not formally recognized and it is felt that their effectiveness and impact could be greatly improved if this was recognized. The EP-ICS operates within the Commission as the final stage of the inter-DG coordination process before policies are approved by the College of Commissioners. In this respect it is rather similar in its operation to the work that goes into the preparation of inter-ministerial committees in a member state government and has a similar direct relevance to the promotion of PCD, but it needs to be more clearly seen as a tool in this respect and DG DEV invest in it accordingly. The relevance of Development Committee in the European Parliament to the promotion of PCD is equally demonstrated by actual practice but neither MEPs nor committee secretariat officials fully recognize how they are contributing to the promotion of PCD. If this were explicitly recognised and accepted as an important priority for the work of the Committee it is felt the work on PCD could be far more effective.

1 The abbreviations used for the case studies are introduced at the start of section 3.4 in the previous chapter.

The remaining three cases (PGD-SW, AP2015-DE and DPC) are all clearly very relevant as mechanisms for promoting PCD and are widely recognized as such both internally and by other actors both within and outside government. The DPC in Finland is relevant first because it has a strong formal and practical focus on PCD but also because it fits in well with the Finnish system of consensus building and brings in to the government policy making ambit the views of a wide variety of stakeholders. The DPC is the only Knowledge & Assessment type PCD mechanism examined and its relevance was shown to be very strong in the way it contributes knowledge, promotes debate and builds political support all of which are highly relevant tasks in the promotion of PCD as emerges consistently across the various sources of evidence in this study. The other two cases in Germany and Sweden are both Policy Statement type PCD mechanisms. Their relevance lies both in the statements themselves and the high political level at which they have been promulgated, but also in the systems for implementation within government that they engender.

4.1.2 Effectiveness

Overall it was concluded that most mechanisms were considered to be relatively effective but limited to varying degrees in all cases. Various obstacles inhibiting effectiveness were identified, the most common of which was lack of adequate political support, but unclear mandates, unclear operational objectives and insufficient resources were also cited.

The DPC and PGD-SW are seen as reasonably effective at promoting PCD, but in both cases the evaluation identified steps that could be taken to improve effectiveness. In the case of AP2015-DE effectiveness was felt to be difficult to assess because of the very broad scope of its work, but on balance and given some of the characteristics of the mechanism it was felt to be effective in terms of promoting PCD.

In the two cases of CICID-FR and CICI-ES which as yet have no formal PCD mandate and therefore could not be expected to be effective on PCD, the evaluation nevertheless found that these mechanisms could potentially be made into effective tools for promoting PCD. The CICID-FR had already been effective in a limited way by raising PCD as an issue in France.

Equally as PCD is not part of the official mandate of the EP-DEVE, its effectiveness depends on the degree of initiative taken by the Members and the Secretariat and the use of the room of manoeuvre offered by the procedures of the EP. Similarly for the EC-ICS, next to the effectiveness of the mechanism itself as a general policy coherence tool, the capacity of DG Development to use it to make Commission policies more development friendly is an important factor in achieving effectiveness.

In each case, lacunae which hamper effectiveness were identified and many of these could well be rectified giving the willingness to strengthen the mechanism:

- The prime factor limiting the effectiveness of the DPC was the lack of a clear interlocuteur inside government to which it could relate on PCD;
- Both the CICID-FR and the CICI-ES require clear PCD mandates to be effective;
- The lack of a clear PCD mandate was also an issue in the EP-DEVE case though it was already operational on coherence;
- For the EC-ICS case there was already a general policy coherence mandate but the value of the tool for PCD needed to be recognised and properly exploited
- The lack of capacity and resources were an impediment to several of the cases including the PGD-SW, the EP-DEVE, DPC and the CICI-ES;
- The effectiveness of both the PGW-SW and the AP2015 could be improved by having clearer operational objectives, more political support, and monitoring and evaluation systems.

The majority of these issues can thus be brought back first, to sharpening and operationalising PCD mandates and second to better equipping mechanisms with resources and instruments to improve and track performance over time. In effect then most of these issues are related to the more fundamental question of governments' real commitment to promoting PCD and whether or not they are willing to establish strong mechanisms to pursue this goal.

Linked to this is the issue of how active external stakeholders such as parliament, civil society and the media are in communicating the importance of action to promote PCD so as to convince policy makers of the need to do so.

The analysis of the country profiles underlined the relative absence of mechanisms with a knowledge input and assessment function in the EU, and a general lack of attention to this aspect. In the responses to the opinion survey these were considered relatively less important than the other two types of mechanisms (explicit policy statements and administrative/institutional), but their important role in the PCD process was nonetheless acknowledged by all. The relatively lower importance of the mechanisms may be related to the more 'supporting' role that is attributed to them, but knowledge input and assessment mechanisms also play a role in consolidating PCD work, building up external support (including long term political support), and in providing inputs that can improve the effectiveness of the institutional mechanisms inside government. The DPC is a case in point in this respect.

The observation that it is often difficult to translate the promotion of PCD into operational, quantitative targets is vital; as from the case studies it appeared that such targets had not been set for *any* of the mechanisms under study which in turn makes it more difficult to assess effectiveness. The opinion survey and country profile analysis

support the conclusion that most EU Member States and the EU institutions have been effective in increasingly putting in place or upgrading the 'infrastructure' that can be used to promote PCD, but less effective in making use of this infrastructure to actually promote the issue.

4.1.3 Efficiency

For the most part the stakeholders questioned in the case study work felt that the mechanisms were by and large efficient. But as already indicated evidence collected from all the different sources during the study suggests that the promotion of intra-governmental PCD is in most cases not yet sufficiently operationalised and translated into clear, quantitative targets. In the absence of clear targets, it is difficult to reach clear conclusions on the efficiency of PCD mechanisms. This would suggest that during the case study work interviewees were in fact reflecting mostly on the general efficiency of the mechanisms *themselves*, and not so much on their efficiency in stimulating progress towards PCD.

Indeed, for a sector that puts a lot of emphasis on evaluation, reading the case study reports suggests there was surprisingly little interest in monitoring progress and results. This observation is also born out by the fact that to the knowledge of the evaluation team there is so far only one case of an independent external evaluation that has looked into the efficiency of a mechanism to promote PCD. This external evaluation focused on the Dutch Policy Coherence Unit, and examined the efficiency and effectiveness of the Unit by focusing on three of the 'dossiers' on which it was active: cotton subsidies, product norms/market access, fisheries and development (ECORYS-NEI 2005: 32, 33)[2].

Assessments of progress and result-oriented planning were absent in most of the case studies, or were done only in a fairly limited fashion. By and large respondents in the case studies did not identify inefficiency as a major issue, and in the absence of focused monitoring and evaluation systems they tended to assume efficiency as a given. This was also reinforced by the fact that many of the mechanisms were operating with very limited budgets and manpower, and essentially seeing what they could achieve with the resources they had. In effect people involved in running the mechanisms were by and large not yet systematically measuring the outputs and outcomes of their work, thus making it difficult to appreciate their degree of (in)efficiency.

The analysis of the opinion survey also identified several obstacles to the efficient functioning of the PCD mechanisms, as perceived by EU specialists in the area. The

2 For these three dossiers, the evaluators looked at the efficiency of the Dutch PCD unit by looking into :
1. relation between input and output;
2. realisation of the input within the time planned;
3. organisation of the project themes and how their activities were monitored.

respondents considered a lack of resources to be a serious obstacle to the promotion of PCD, which they rated as nearly as big an obstacle as a lack of political leadership. However, the two highest obstacles were resistance from other ministries and a lack of dialogue between government departments. This lack of dialogue, which was rated highest of all, is of course also related to efficiency and the use of available resources, as the management of a PCD unit needs to prioritise in which policy processes it can make an input, based on the human resources it has available.

With the exception of the French CICID, which is not yet systematically working on promoting PCD, all case study reports mentioned that a lack of available resources was perceived to restrict the efficiency of the mechanism in promoting PCD. In the case of the EC-ICS, it is not so much the level of resources available in the ICS itself, but rather the resources available in DG DEV to enable it to make best use of the mechanism in order to promote coherence.

4.1.4 Impact

As already indicated stakeholders interviewed in the course of the case study work generally argued that their mechanism was having some impact in promoting PCD[3]. When questioned on how they judged this most could point to some policy change in other policy areas or rise in awareness on PCD. However, understandings of what impact could be expected varied considerably[4] and it is clear there is as yet no generally accepted standard across the EU as to what sort or level of impact it is realistic to seek in the pursuit of PCD. The debate is apparently not far enough advanced for that.

Methodologically, in addition to the difficulty in deciding what constitutes impact, there are a number of other problems in assessing impact; notably the issue of ascribing impact purely to one source in a complex policy debate. It is thus not possible to be sure that what policy change has been achieved in favour of PCD can be attributed to the sole action of the PCD mechanism under study. Second, the resources available to the Study did not permit a detailed qualitative or quantitative impact assessment and the case studies therefore had to limit themselves to asking interviewees to identify examples of impact themselves. Finally there is a question of time as the three mechanisms with the most clearly defined PCD mandate had only been operational between three and five years at the time of the field work. In the context of the study's other find-

3 The Intervention Logic Diagram from the Inception Phase the Study also pointed to a more distant notion of impact, that is the impact that more PCD friendly policy has on development work on the ground, but it was not feasible to assess this within the constraints of this Study. This point is also taken up again in section 5.3.

4 This question also relates to the approach followed. It is clear that the impact sought by a holisitic approach such as adopted with the PGD is much greater and can be expected to take far longer to achieve than a more particularistic approach such as adopted by the Dutch government with a PCD Unit that adopts more of a case by case strategy.

ing that the promotion of PCD should be seen as a long term task, this is a relatively short time to achieve much impact.

Despite these difficulties of both a definitional and a methodological order the case studies do show that the mechanisms individually are having impact and some examples of these were given in Table 3.6 in the previous chapter

In another effort to identify impact, the Study invited respondents to the opinion survey to share success stories on their country's efforts to promote PCD. What emerged was that it seems that member states countries have chosen to first seek to promote PCD in areas that were relatively free of strong lobby groups, such as cotton subsidies, with the aim of gradually creating momentum to also promote PCD in areas with more entrenched national interests. Several success stories pointed to the improvement of working relations between civil servants working in the MFA or development ministry and those in other ministries, which were believed to contribute to this momentum that could provide opportunities for policy impact. To illustrate these points, the following two success stories are reproduced here:

Box 4.1: **Success stories that were shared by questionnaire respondents**

"We have a system whereby [our department] automatically feeds in to the weekly trade brief that our department for trade prepares for the Commission's Article 133 meetings. We have a good record of working closely with our trade colleagues to develop lobbying positions that we feel comfortable with from a development angle. Staff exchanges between departments and the fact that we have a significant budget to support trade development work has helped in addition to a fairly big group of staff [in our department] that have strong knowledge of trade issues from developing country perspectives."

"A success story in [our country] has been the overall development friendliness of the [national] position in the Doha round and the interaction on Aid for Trade with the ministry of economic affairs. In addition, successes have been scored on concrete product standards where the developing country interest was accommodated in the final EU or national standards for relevant products such as SPS inspection standards for cut flowers, biodiversity products and ochratoxin in coffee..."

At the same time, respondents emphasised that many EU Member States and institutions still face uphill struggles to secure success and impact in their work on promoting PCD. As some respondents noted, they were still facing the challenge to ensure the use of *"ODA for poverty reduction objectives"*, and others were very frank that *"We have to implement coherence from the beginning"*. Another respondent summed up the challenges as follows: *"How to overcome the challenge of timing, lack of knowledge, will to coordinate and the strict guarding of "territories" by different departments and ministries."*

In the case study work, stakeholders in the five cases of EP-DEVE, EC-ICS, DPC, AP2015-DE and PGD-SW were clear the mechanisms had had impact and in all cases respondents could point to examples of impact. Even in the two cases where the PCD mandate was not well defined there were indications of progress. Thus in the French case CICID respondents felt they had had impact in generating increased awareness on the issue of PCD and that the mechanism had the potential to have considerably more impact in this area because of its nature. The CICI in Spain was felt to have had impact in its general work and on consistency in the use of ODA but not in promoting PCD.

Despite these positive findings, the case studies also noted several cases where impact was not reached, and even where a lack of political will created serious obstacles to achieving impact. The issue of a mechanism's legitimacy and recognition as promoting PCD was also highlighted in a number of case study reports. Thus, for instance, EP-DEVE is not recognized by other institutions (Council, EC, and DAC) as a potential ally in the promotion of PCD which also reduces the potential impact it might have.

Acknowledging these more critical points, and emphasising that PCD is first and foremost an issue of relations between different policy actors (as is also evident from the two success stories quoted in the box above) requiring systematic political reinforcement from civil society actors, parliament and the cabinet, it was concluded that most of the mechanisms had contributed to impact on PCD, and that their work was increasingly promoting a situation where new non-development policies were incorporating points and issues that would ensure that they would not conflict with or counter-act developing policies. The case studies however also signaled that in most cases, the mechanisms had not yet succeeded in gaining access to policy processes relating to the 'hard issues' with entrenched domestic national interests.

The responses to the questionnaire also made clear that progress in the national debates on PCD is very much linked to the progress made at the European level, and vice-versa. The responses emphasised the importance of coordinating between PCD specialists and decision-makers at the EU-level on intra-governmental PCD and the value of such tools as the list of 12 policy areas agreed as targets sectors for promoting PCD was noted[5]. Besides the recent EU Council decisions, the DAC peer review process is also believe to have a positive impact on the further promotion of intra-governmental PCD in EU member states and in the EC. Conversely a lack of consensus at the EU level on how to move forward on PCD can also negatively affect progress in the area.

The EU level debate can potentially also cause difficulties for the promotion of PCD because member states may feel that for sectors where policy is agreed at the EU level (community or intra-governmental pillars) they are not in a strong position to promote

5 The list of 12 PCD Commitments agreed by the GAERC on 24 May 2005 is given in Annex E.

PCD. Thus, ensuring the coherence of, for instance, trade policy with development is not something that member states control individually but must necessarily involve an EU level discussion at a certain stage. However, the EC's Staff Working Document on PCD presented to Council on 10 March 2006 (Ref: 7247/06) makes it clear that

> *"Improved policy coherence starts from* ***two points****. One is the capitals of Member States where development actors must ensure that development interests are taken into account by actors responsible for non-aid policies when taking national positions. The other is the Commission, which is in a central position to secure adequate follow-up to the Council conclusions on PCD, as many non-aid policy issues at stake originate in Brussels"* (7.3.2006, SEC[2006]335 final, p.4)

This summarises well the additional complexity of promoting PCD in the EU context, but also makes it clear that both national and EU levels actors have their roles to play in the process.

4.1.5 Sustainability

The question of sustainability is already well covered above in the response to EQ5. Suffice it to say here that sustainability is by and large not seen as a major problem in the case studies at least in so far as the sustainability of the mechanisms themselves is concerned. The issue is more whether the commitment to promoting PCD is sustainable over time.

At the same time it is clear that sustainability is an important issue for PCD mechanisms. All the evidence collected from different sources confirms that the promotion of PCD is a long term endeavour and cannot be expected to be achieved from one day to the next. A respondent in Sweden even suggested that the PGD would really come into its own over a period of some 20 to 30 years, although this comment should also be related to the ambitious nature of the PGD project and a more modest step by step approach would expect to see results more quickly in each individual step towards PCD.

Five of the seven case studies involve the use of existing policy mechanisms which have been or are in the process of being adapted to also include PCD in their mandates. Such a choice is astute as it ensures first that the mechanism is well adapted to the policy process in the country concerned, and second because the chosen mechanism has already demonstrated its ability to survive through periods of political change. Thus with this Study's seven case studies it is relatively clear that the sustainability of the five established mechanisms can be taken more or less as a given and it is really only with the Swedish PGD and German AP2015 cases which are entirely new constructs that sustainability might be in question.

For PGD-SW the evidence on sustainability is however good in that the PGD is solidly based on the high levels of Swedish popular support for development cooperation and on a seemingly strong cross-party political consensus. The sustainability of AP2015-DE is however more doubtful as the Programme was initiated by a coalition government that is no longer in power and there are indications that political support for the Programme is starting to wane.

The continuing political commitment to PCD in each of the seven case studies is more difficult to judge though there are indications. Thus in the German case PCD remains high on the agenda even though AP2015 may appear to have less support. In Finland, Sweden and in the EU institutions political commitment to PCD currently also appears to be strong. Even in Spain the political commitment seems to exist even though this had not translated through into a PCD mandate for the CICI. Only in France therefore, out of the seven case studies, is the degree of political commitment questionable and future progress on the issue will depend very much on the outcome of the forthcoming elections.

4.2 Analysis of data per elements from Conceptual Framework

Characteristics of PCD mechanisms
In section 2.1 of this report, four types of basic characteristics of PCD mechanisms were identified that could be used to analyse the roles and functions of different PCD mechanisms and in the selection of case studies. The characteristics were (a) level of formality, (b) nature of competence, (c) policy scope and (d) degree of specialisation in PCD. In the event, for methodology reasons, it was decided to look only at formal mechanisms, the few PCD specialised cases were not feasible for different reasons and all the cases chosen had a broad policy scope.

The following table therefore provides an overview of the characteristic that showed the most variation (nature of competence) across the seven PCD mechanisms which were the object of case studies. The type[6] of mechanism is also indicated and a column showing the degree of *formality of the PCD mandate* has also been added and this feature has been used to order the cases in the table from the most to the least formal PCD mandate.

6 Type 1: Explicit Policy Statement; Type 2: Administrative/Institutional Mechanism; Type 3: Knowledge Input & Assessment Mechanism.

TABLE 4.2: **Characteristics of Case Study Mechanisms**

	Type	*Nature of competence*	*Level of formality of PCD mandate*
PGD-SW	1	Primarily technical competence, with some political role	Formal PCD mandate
DPC-FIN	3	Primarily technical competence, with some political role	Formal PCD mandate
AP2015-DE	2	Primarily technical competence with some political role	Formal PCD mandate
EC-ISC	2	Purely technical competence	General policy coherence mechanism though no formal PCD mandate
EP-DEVE	2/3	Primarily a political role, but also with a technical competence	No formal PCD mandate, but de-facto regularly active on PCD
CICID-FR	2	Both a technical competence and a political role	No formal PCD mandate as yet, though occasional PCD action
CICI-ES	2	Both a technical competence and a political role	No formal PCD mandate as yet

The table brings out both the variations in the formality of the PCD mandate and the fact that all seven mechanisms have a technical competence at some level, while only a few also have a political mandate. Even the Swedish PGD, which was the only Type 1 Policy Statement selected does not have a purely political role but also exhibits some technical competences. Both the Type 3 Knowledge & Assessment mechanisms (DPC and EP-DEVE) are not purely technical but also have a political role in that they offer an opportunity for political views from civil society to be expressed on PCD issues though they do not have a power of decision.

The strongest variations between the seven mechanisms are thus in the nature of their role in the promotion of PCD. Whereas some of the mechanisms, such as the PGD-SW and the EC-ISC, depend on political leadership from outside to be able to work on promoting PCD, other mechanisms such as the CICID-FR are able to function in a relatively more pro-active manner and can potentially influence the PCD agenda in a more direct way. It should however be noted that the borders between technical and political roles can become somewhat blurred in practice, as civil servants can respond to their mandates by playing a more pro-active 'change-agent' role, whereas politicians operating in these mechanisms sometimes have a more technical role to play, for instance by discussing and filtering information for their colleagues in parliament.

Mapping and understanding PCD Systems

This study has looked at individual PCD mechanisms. This choice was made in order to limit the object of study and make it more manageable. However, one of the main conclusions of our analysis has been that it is useful to see individual PCD mechanisms as a part of a broader *PCD system*. Thus although a lot can be learned by study-

ing the functioning of the seven PCD mechanisms chosen for case studies on their own, it also became apparent in each of them that the mechanism under study had linkages with other mechanisms or was in fact inhibited in its work by the lack of such linkages. Thus the Finnish DPC would have benefited from a formal interlocuteur on PCD in government, ideally some form of inter-ministerial committee, but instead had to rely on the Cabinet or the EU committee to occasionally consider issues of PCD among all their other policy coordination work. Or again, the officials responsible for the implementation of the Swedish PGD were hoping, but had so far been unable, to set up an civil society forum to provide additional knowledge and information and encourage public debate on PCD.

While most of these linkages come out in the individual case study reports the following table presents a quick summary from the Country Profiles of the possible component mechanisms of the *potential PCD systems* in each of the five EU Member States from the case studies and the EU level. All these mechanisms were listed in the Country Profiles because they were identified by officials in the country concerned as policy instruments that in some way contributed to promoting PCD. In the table the PCD mechanisms examined in the case studies are highlighted in bold. The table has been organised in columns to show clearly the incidence of the three types of mechanism and the groups by characteristic to which they belong.

When analysing this overview of PCD systems in these 5 countries and at the EU level, the first feature that emerges once again is the relative lack of knowledge and assessment mechanisms. In one case, France, there is in fact none listed at all though the case study report does bring out that there is a potential such mechanism in existence, the HCCI[7], that could conceivably be designated for this purpose and given a PCD mandate. Otherwise it is apparent that in each of these countries there are already in place the potential components of a PCD system with at least one mechanism of each of the three basic types. However, to operate as a system these mechanisms need to be seen as such and not as separate unrelated instruments. From the case studies it is apparent that this is not really the case in any of the situations examined.

Furthermore, in several of the case studies, it was also noted that the existing knowledge and assessment mechanisms were often relatively weak in their functioning and equally many of the administrative/institutional mechanisms were insufficiently strong to manage the amount of information that is required for the effective promotion of PCD. The main reason for this is that their mandates often do not prioritise or even formally require them to work on PCD, and as a result PCD is often given insufficient time and resources and dealt with in an ad-hoc manner, when the opportunity arises in the margin of other official functions.

7 HCCI: Haut conseil à la coopération internationale

TABLE 4.3: **Table of potential PCD systems in case study countries**

	Explicit PCD Policy Statements	***Group*** [8]	***Administrative& Institutional Mechanisms***	***Group***	***KnowledgeInput & Assessment***	***Group***
EU	- *Maastricht, Amsterdam & Nice Treaties* (art. 178)	2	***- EC Inter-service Consultation***	**4**	- *Impact Assessment*	4
	- *2000 Development Policy Statement; 2005 EU Consensus*	2	- *EC Country teams* - *CSP/ RSP programming*	4 4		
	- *Communication* (2005) 134 on PCD	2	- EC Inter-Service Working Group	4		
	- Various *European Council conclusions* [9]	2	***- EP Development Committee***	**2**	***- EP Development Committee***	**2**
FIN	- *Development Policy 2004* focuses on coherence	2+1	*Inter-Ministerial theme-based groups* at ministerial and civil servant level	4+3	***- Development Policy Committee***	**4+1**
	- *Development issues discussed in other policy documents*	2	- *Cabinet Committee and Government Secretariat for EU Affairs*	2		
			- Integrated bilateral negotiations with partner countries	4/3		
FR	- 2005 *Cross-cutting document on the French Policy for Development*	2	***- Inter-Ministerial Committee for International Cooperation and Development***	**4**		
			- *Inter-Ministerial Committee for European Economic Cooperation*	4		
			- Interministerial mission *"Official Development Assistance"*	4		
DE	***- Programme of Action 2015***	**2**	- *Policy coherence dialogue between Dgs of ministries* (as part of the Programme of Action 2015)	1	- *BMZ Dialogue forum*	1
			- *Inter-departmental committees* (export, security)	3		
			- *Task Force 2015*	4		
			Specific divisions in BMZ	3/4		
ES	- *Master Plan for Cooperation 2005–2008*	2	***- Inter-Ministerial Committee for International Cooperation***	**4**	- *Development Cooperation Council (Annual Reports)*	4
	- Article 4 of the *International Development Cooperation Act* (1998)	2	- *Inter-Territorial Committee for International Cooperation*	4		
			- *The Cooperation Council*	4		
SW	***- Policy for Global Development (PGD, 2003)***	2	- *Department for Development Policy*	4	- *Special unit for follow-up, review & reporting on PGD*	4

8 The groupings used in this table refer to those defined in the Conceptual phase of the Study and relate to the characteristics of the mechanisms: namely whether they have a political competence or not and are PCD specialised or not. They are fully explained at the end of paragraph 2.1 of this Report.

9 In particular the Council Conclusions of May 2005, April 2006 and October 2006.

Although potential components for forming a *PCD system* in each case study country are presented in this table, the research indicated that the value of these potential PCD systems are often less than the sum of its parts because they are not recognised as such. Far more needs to be done therefore to ensure that these mechanisms are seen as complementary parts of one system by giving them clear interrelated mandates and promoting interconnections between them.

Approaches to government and policy change

One element of the Study's conceptual framework was the hypothesis that a country's approach to government and to policy change would strongly determine the way it decided to approach the task of promoting PCD. A graph was constructed with *approaches to government* following a classification from the political scientist Lijphart (1999) along the horizontal axis and *approaches to policy change* on the vertical axis.[10] While Lijphart himself assigns the places on the horizontal axis for the five countries the study was not able to identify usable data to place countries on the vertical axis with any degree of objectivity. It therefore proved impossible to use the vertical axis on *approaches to policy change* for the analysis of the evaluation findings.

However, the evidence resulting from the analysis of the national contexts in which the seven case study PCD mechanisms function does appear to at least roughly match with Lijphart's characterisation of countries' *approaches to government*. Thus it would be consistent with Lijphart's characterisation that a country like Finland, which he sees as having a strong *consensus approach to government*, resorts to a multi-stakeholder mechanism like the DPC. Equally, countries like France or Spain, which Lijphart describes as having a more *majoritarian approach to government*, would opt for more centralised approaches such as inter-ministerial committees. However on the basis of the data available to the study it is not possible to test this possible correlation systematically and this line of analysis therefore needs to remain at the level of a hypothesis. Thus the value of this observation lies merely in that it invites the reader to examine a range of possibilities for different types of approach that can be adopted and to consider how particular PCD mechanisms suit particular approaches to government. The other implication of course is that a mechanism that works well in one government context may not be as suitable in another.

4.3 Analysis of evidence in relation to the Study's Impact Diagram

As part of the Inception Note of this Study an impact diagram on PCD was prepared. This is reproduced in Annex D with a number of the improvements discussed below incorporated.

10 This graph (Diagram 2.1) can be found on page 31 of this report.

Reviewing this diagram with the benefit of the research conducted during the study, it is first of all apparent that the diagram is very largely confirmed by the evidence collected. Elements of all the items proposed in the original diagram were identified during the study. Two overall comments can however be made.

First, the original diagram is too limited to formal mechanisms and should ideally also reflect the fact, confirmed at various points that during the study, that informal mechanisms play an important role in the promotion of PCD. Second, the schematic representation at the higher levels of the diagram in the areas of Outcomes-Impacts-Global Impact would benefit from further work so as to increase the clarity of the causality. However this area goes well beyond the scope and resources of this study and the evidence collected does not provide an adequate basis for making any useful comments at this level. In other words the reflection in the present study is based on the acceptance of the general proposition that increased PCD will have a positive impact on the effectiveness of development cooperation and ultimately on poverty reduction. The study does allow for some more detailed comments to be made on the lower levels of the diagram.

Context: Evidence of the importance of all the elements listed here was identified during the study. However, in the EU context it is useful to specify more clearly that the *Various experiences of MS with PCD,* which is listed in the diagram were channelled both through the discussions in the DAC and through the growing debate within the EU Council working groups and technical seminars organised at the EU level. There are of course also useful exchanges between smaller groups of Member States such as in the Nordic+ Group which have also contributed and these have now been inserted in the diagram. Finally, this is one place where the influence of the informal networks can be indicated, particularly as there is now a specific PCD network between PCD specialists in ministries around the EU and the Commission.

Selection of Mechanisms & Enabling Actions: Again here the original diagram is a good representation of the scope of elements evident on the ground. However, all the elements shown under each of the three types of PCD Mechanism, around which this column in the diagram is organised, are not in existence in each country or situation examined. Thus each mechanism studied and each national PCD system to which they belong pick up some but not all of these elements. The major missing element from the diagram at this level, however, is the fact that it does not represent graphically the linkages between the three different types of mechanism. Rather the three types of mechanism only appear to be linked through their outputs in the next column. Given that the study brought out the importance of a *systems approach* to PCD and the need for governments to establish at least one of each type of mechanism an attempt has been made bring these inter-relationships out more clearly in the diagram. Again it is useful to reflect the importance of informal networks here.

Outputs: The outputs originally suggested for the first two types of mechanisms reflect reality though they could be a bit more detailed. Thus for the Policy Statements it is felt important to reflect that they provide a basis for political consensus building and increasing political support. Equally for the Institutional and Administrative mechanisms their outputs should include a visible increase in coordination and discussion levels between government departments at all levels and also ideally, reports on the progress achieved relative to the policy statements. The relative lack of attention to Knowledge and Assessment mechanisms observed by the study across the EU means that the outputs suggested here for this type of mechanism are typically missing in the majority of the countries visited. For instance public information levels on PCD are generally low and little is being in most places done to address this.

Outcomes & Impacts: As already indicated above this level of the diagram is somewhat beyond the scope of the present study as it is less about the PCD mechanisms themselves and more about the impact more coherent policy would have on the ground. This would have required a different methodology with at least some field work in developing countries. In this light, it should however be noted that throughout the present study, the term 'impact' has been used not so much in the sense it is used in the diagram, but more in the sense of the impact of the mechanisms on the promotion of PCD and therefore on the achievement of the outcome identified in the diagram, that is: *Improved intra-government policy coherence for development*.

Overall therefore, with these various suggested improvements, this impact diagram represents a useful tool for stakeholders seeking to build up and improve the PCD system in their country; the validity of the tool having being confirmed through the research done in this study.

5 Main Conclusions and Lessons

5.1 A new phase in promoting PCD

Early in the Study the analysis of the data provided by the Country Profiles showed that some five years after the Maastricht Treaty (1992) first evoked coherence as a principle for EC development cooperation, a series of EU Member States started to issue policy statements of different forms echoing this first commitment. Another five years later, by 2002, a dozen Member States had made such policy commitments and eight had started to take steps to put the commitment into practice by establishing different types of operational mechanisms. The first conclusion to be drawn from this Study is therefore that now, some 15 years after Maastricht, a new phase in the progress towards the effective promotion of PCD (Policy Coherence *for* Development) can be identified. Progress however remains slow and fairly tentative with this new phase essentially being characterised by experimentation with a wide variety of new operational mechanisms. So far, moreover, the Study has identified only limited evidence of clear positive results in terms of policy change and greater levels of PCD.

This Study has thus taken place at a moment when some first lessons can be drawn on the experience of this period of experimentation. This is particularly interesting because so far, to our knowledge, only one other independent evaluation study focussing on progress in promoting intra-governmental PCD has been done and that is the June 2005 evaluation of the PCD Unit in the Ministry of Foreign Affairs in The Netherlands.

The '*experimental*' label given to the five PCD mechanisms examined in case studies at national level and the two at EU level, can be justified for various reasons. First of all the time period over which the mechanisms studied have been working on PCD is limited[1] and the mandates of four out of the seven mechanisms do not yet even clearly indicate that the mechanisms are indeed expected to promote PCD. Second, throughout the seven cases there is still varying degrees of lack of clarity on what type of impact is sought in terms of promoting PCD. Third, other aspects of lack of clarity in terms of the involvement of actors (eg. different ministries), role and modus operandi still persist in all cases. Fourth, there is as yet only very limited discussion on the need for monitoring

1 3 to 6 years for the five member states instruments; longer for the EU level instruments but without this work being recognised as the promotion of PCD.

and evaluation of the work of the mechanisms, suggesting that mechanisms are not yet solidly established in people's minds as here to stay. Finally, while most of the mechanisms studied are in fact set up in a way that does suggest some degree of continuity is expected in their work, there is as yet still only a very limited sense of longer term planning in relation to how they intend to promote PCD over time.

It would thus seem that after the first effort was made to approve Policy Statements and then establish Administrative & Institutional mechanisms, the main concern in this current phase is to work with the new mechanisms and see how best to make them operate effectively. At the same time it was noted that only a very limited number of Knowledge & Assessment Mechanisms have been established. Among other things this has meant that, despite some examples to the contrary, the drive towards greater PCD is often poorly informed and has become heavily focussed on the efforts of government officials and, overall, only limited efforts are currently being made to involve other stakeholders such as academia, civil society or even parliamentarians and politicians beyond the relevant ministers. Given the important inputs that these other stakeholders can make to the PCD debate in terms of knowledge, awareness raising and public and political support, such an approach could risk undermining the whole PCD effort if pursued for any length of time.

5.1 Political pressures

Political commitment of the government in power and its active backing were regularly identified in the Study findings as the key ingredients for achieving results in promoting PCD. This is not a surprising finding so it is important to explore this in more depth. In fact, the case studies, taken as a group, leave the overall impression that the governments concerned have been somewhat half-hearted in their commitment to PCD. Alternatively, they perhaps simply underestimate the effort required. They have of course declared their good intentions in terms of approving adequate policy statements and followed this through by establishing one or other operational mechanism to get the PCD agenda moving, but in all the cases we then observe difficulties with maintaining the initial levels of political support. For instance the case studies made it apparent that while the whole government or cabinet and even the president or prime minister were often all mobilised behind PCD at the time the policy statement was approved, it later becomes largely the affair of the ministers of development and foreign affairs and the wider government no longer feels that concerned by the issue. This then leaves us with the question of how seriously the governments really take PCD and whether they really have the commitment to taking tough PCD decisions when these might arise. This is of course also a function of how strong a place development cooperation has in the priorities of government institutions, the familiar reality often being that development is of secondary importance after issues of national interest and

the politicians responsible for it are not usually the real political heavy weights in any government or EU institution.

The impression was gained therefore that there was in fact only a limited amount of pressure to push governments to go on insisting strongly on the need to pursue PCD. There was certainly consistent evidence of peer group pressure exercised through the DAC Peer Review and discussions at the EU level and international debate surrounding the MDGs were quoted regularly as a valuable influence. However, in none of the cases examined was there evidence of continuing strong political pressure from parliament, civil society or the media that might motivate governments to maintain a strong commitment to PCD. In effect then, once the PCD policy statement was approved it would only be the ministers of development that would go on feeling a certain level of pressure from among their peers; and other government ministers might well feel they had done their bit and could move on to other more pressing concerns. Actual progress on PCD would then be entirely contingent upon the effective support the development minister receives at cabinet level.

Another important point that emerged from several of the case studies was the need to envisage the promotion of PCD on a medium to long term time horizon. One respondent in Sweden made it clear that they saw the impact of the Swedish PGD only really becoming apparent after 20 to 30 years and in Spain, some respondents pointed to the fact that to achieve real impact a consistent effort covering several legislatures was needed. There was certainly a general level of awareness that promoting PCD is a long term activity, but not all interviewees were as explicit as this about the time horizon they had in mind. Rather people were talking more in terms of the natural cycle of governments and considering whether a policy statement or other mechanism would survive from one government to the next. If the appropriate time horizon should indeed be longer, then this has implications. How does one, for instance, sustain political support for PCD over a period of a couple of decades? What can be done to build multi-party consensus in parliament to ensure continuing commitment to PCD when government changes? What are the implications for forward planning of work on promoting PCD? What level of impact can one hope to achieve over different shorter and longer periods of time? Can one envisage a PCD promotion strategy that evolves over time through various phases? All questions that currently do not really seem to be being asked by stakeholders in the mechanisms studied for whatever reasons[2]. The paradox is, of course, that the time horizons and attention span of politicians are generally short term and yet promoting PCD, which depends on their political support, is clearly a long term undertaking.

2 Stakeholders may of course lack the capacity to really ask these questions at this juncture, but even if this is the prime reason, it would again suggest that we are witnessing a period of experimentation with PCD instruments during which stakeholders are step by step uncovering obstacles and issues and do not yet have the capacity to stand back and do the more careful analysis required to draw all the lessons from these first experiences.

In other words the promotion of PCD requires not just political support, but that this support should be at a high enough level, well anchored across government and maintained over quite some period of time going beyond the normal 4-5 year life of one government. The implication is therefore that long term cross-party support in parliament is essential for PCD and this in turn implies that any sustained campaign to promote PCD must be able to count on widespread public support over time.

5.3 Systems Approach

One important conclusion from the case studies and other material collected during the Study is that installing one mechanism to promote PCD is not enough. A system of complementary mechanisms, which are also recognised as working in a broader context with outside stakeholders and influences, is necessary to tackle the promotion of PCD in a serious manner. The concept of a *PCD System* involving several mechanisms and actors working in a complementary fashion was advanced at an early stage in the Study. Such a *PCD System* should include at least one of each of the three types of mechanisms identified: a Policy Statement, an Institutional & Administrative mechanism (internal to the government machinery) and a Knowledge & Assessment mechanism that brought in outside knowledge and involvement as well as help in preparing in-depth analysis. In all the case studies it emerged that linkages with other PCD promoting instances was important and blockages were experienced as a result of the absence of other complementary mechanisms.

Thus typically, stakeholders involved in Institutional & Administrative type mechanisms quoted lack of good technical knowledge as a serious impediment. Equally the strength of Policy Statements on PCD was clearly an important tool and those involved in the one Knowledge & Assessment mechanism examined (DPC-FIN) complained about the absence of a real interlocuteur inside the government machinery, in other words an Institutional mechanism, to which they could relate their work on a regular basis. The need for establishing several complementary mechanisms was thus widely recognised in different directions. Moreover, not only did interviewees point to the need for support from other formal mechanisms, but there was also frequent reference to the importance of *informal* linkages[3] in taking PCD forward and they recognised the influence of the broader political and social context in which they worked. Thus the PCD system must be seen as including not just three types of formal mechanisms, but also the informal linkages with the broader context and group of stakeholders. At the same time the complexity and time consuming nature of the processes required to promote PCD do mean that informal processes on their own are clearly insufficient.

3 Informal links: both external between stakeholders and internal between officials in different departments.

There is thus a need for both a *formal PCD system* made up of several complementary mechanisms (one from each type at a minimum) and an *informal system*. In other words the formal system needs to be seen in the context of a wider *informal* system with a web of linkages to various stakeholders that provide the *formal PCD system* with support in a variety of ways. The Study thus confirmed the value of the *PCD System* concept and indeed provided insights that enrich the original idea.

5.4 CD promotion in practice

Pragmatic first steps. The case studies and the opinion survey of PCD specialists showed that the first steps taken by governments in establishing operational PCD mechanisms have generally been pragmatic, fitting in well with established ways of doing things in each particular governmental context. The one exception to this is of course the case of the Swedish Policy for Global Development where a much more ambitious approach was taken although it is still built on crucial features of the Swedish governance tradition in terms of consensus building and the involvement of different stakeholders. Even the German Action Programme for 2015, which goes some way towards emulating the PGD's 'whole of government' approach, remains essentially an element of a regular political programme of one coalition government and does not seek to go beyond the realms of regular policy making as the Swedish PGD sought to do with its rather more all encompassing approach and in the way it was rooted in a major public and parliamentary consultation exercise.

On relevance in the choice and design of mechanisms. This pragmatism and the decision to set up mechanisms that duplicate or adapt existing approaches to policy formulation so that they encompass the PCD mandate means that all the mechanisms studied had a good degree of relevance in contextual, institutional and political terms. A couple of the case studies (FR-CICID and ES-CICI) looked at mechanisms where the PCD mandate had not yet been confirmed and was still a matter for discussion, but even here the case for the relevance of these mechanisms also being used to promote PCD was easily made. At the EU level the need for work on PCD was seen first at Council level, but there is also recognition that two existing policy mechanisms in the EC and the EP, which were the objects of the two present case studies, are in fact already active on PCD and could be more consciously and systematically used for that purpose

The range of different options chosen by governments is in fact quite impressive when taken as a whole. Yet all the mechanisms studied demonstrated relevance and were indeed also able to identify how they were making some useful contributions. While the mechanisms are all rather 'tailor-made' to the specific governance systems in each Member State, there are still lessons to be learnt from each of them, not least because in each case different solutions have been found to similar problems. At the same time

the Country Profiles and the Opinion Survey indicate a certain level of commonality in thinking across the EU suggesting that there is a growing exchange of ideas and experience between Member State governments. The DAC Peer Reviews, identified as an important driver of change in the Literature Review, also point to this as does the activity of the EU level 'informal PCD network' of ministry officials that has emerged during the past year. The publication by the EC of a regular biennial EU PCD report as from 2007 should further consolidate this process of exchange and cross fertilisation.

On efficiency and effectiveness. Reflection on whether different mechanisms are effective and efficient in promoting PCD is so far fairly limited. In the past couple of years, periodic PCD progress reports have started to feature in the work programmes of several of the mechanisms studied and the new EU level biennial PCD report planned for late 2007 will be another useful step in this direction. However, in the cases examined, monitoring and evaluation is very limited indeed and across the EU, as already indicated, there is so far only one case of an independent external evaluation of an established PCD mechanism. Rather it appears that by and large governments have not really started to ask themselves these questions yet.

This general lack of reflection on these issues made it more difficult for the Study to pin down whether the mechanisms examined were seen as efficient and effective even in the eyes of their own stakeholders. It was of course possible to gain an impression of whether the mechanisms operated efficiently and effectively in themselves, and this was generally positive, but the longer term impact of their work on actually promoting PCD was much harder to determine with any degree of precision. To begin with, at least two mechanisms (CICID-FR & CICI-ES) were not directly effective[4] in promoting PCD simply because this was not yet on their agenda although their potential for effective use in this direction was judged to be good.

Obstacles to effectiveness. Quite a long series of different potential obstacles to effectiveness emerged from the case studies and the opinion survey. The lack of clarity on the mechanisms' precise mandates on PCD was relatively common (four out of seven) in the case studies and as such was one of the most serious obstacles to effectiveness. A lack of resources, capacity and specialised skills in arguing complex cases in different disciplines was another regular source of difficulty as was insufficient information and in-depth knowledge. Lack of participation of other stakeholders in the debate, academia, civil society and political actors also emerged as a problem in several cases, suggesting a more general problem of lack of inter-linkages and system thinking. However, the lack of adequate political support was most commonly quoted as the primary obstacle. The very number of these obstacles indicates that there are serious difficulties to be overcome if one seeks to make a PCD system truly effective and that there is still a long way

4 Both inter-ministerial committees have in effect already discussed some PCD issues (eg. migration, debt, tied-aid) but on an ad hoc basis, rather than in any proactive and purposeful attempt to promote PCD.

to go before mechanisms to promote PCD are securely established and in a good position to do an effective job.

Data from the country profiles also suggested that that EU member states with responsibility for development cooperation consolidated in one ministry were generally further ahead in establishing operational PCD mechanisms (Administrative & Institutional mechanisms as well as Knowledge & Assessment mechanisms) than those member states where such responsibility was dispersed between many actors. Consolidating responsibility for development cooperation in one ministry as the Spanish case study indicated was the objective of the government there, would therefore seem to make the task of promoting PCD somewhat easier to carry forward.

On impact & barriers to PCD. What impact was sought by the stakeholders of each mechanism was not always easy to identify in clear terms. The Study proposed that this might be judged on the basis of examples of policies that had been adapted and changed in favour of PCD after an intervention by the mechanism. Interviewees were able to point to such examples in each case study but also emphasised that such changes were never absolute but were rather matters of degree involving a certain give and take. In one case, interviewees suggested that the notion of *shared interest* was perhaps a more realistic goal in that it indicated that coherence ultimately worked both ways and that the development interests could not always be expected to prevail. Proponents of each of the cases also identified such general positive results as *raising awareness* or *advancing the debate on PCD,* but although such results are clearly positive steps forward, it is virtually impossible to quantify them or indeed attribute them purely to the work of the mechanism under discussion. Impact is therefore evident in nearly all the cases examined and there is good reason to believe that it could be stronger if some of the weaknesses observed in the mechanisms (such as lack of clarity in mandates) were addressed. But at the same time, in the absence of a clearly stated view of what type and level of impact it is realistic to seek to achieve, it will be hard to formulate clear result-oriented action plans and progress will continue to be hard to measure. Clarity on goals therefore seems to be an essential first step for planning action, then for monitoring and finally for achieving impact.

In addition to impact in PCD being hard to quantify, it is evident that there are natural limits to PCD, chief amongst these being that other policy areas will also be seeking to encourage policy coherence from their side. The ultimate outcome will then be a function of government prioritisation and the relative political weight attached to different sectors. From the development perspective there is likely to always be a certain level of policy incoherence that it becomes impossible to iron out.

On sustainability. There are of course two ways of addressing this question: the sustainability of the mechanism as such, or the sustainability of its impact on the promotion

of PCD. Because most of the mechanisms are set up in an 'accepted' format within the governance framework of each Member State or use existing EU level systems, the mechanisms themselves show good signs of sustainability. On the other hand the sustainability of their work on promoting PCD or, going even further, of the sustainability of their impact on PCD, is much more questionable. To a great extent the answer to this latter, more important question comes round again to that of sustaining broad cross-party political support for PCD. At the same time, as it is indeed quite a task to maintain such political support over time, it may indeed well be a strategically shrewd move to graft the promotion of PCD function on to a mechanism that has already showed good signs of durability. The sustainability of the mechanism is thus not irrelevant even though it is the sustainability of the impact on PCD that is eventually the more important issue.

5.5 Conclusion

Overall then a picture emerges from the Study of a major and **growing effort** being made across the EU, in the past five years, to establish a series of operational mechanisms to promote PCD. This follows on from a period where the emphasis was more on the drafting and approval of policy statements. Inevitably perhaps as governments and the EU institutions seek to operationalise these policy commitments the current phase is also one of **considerable experimentation** during which problems and obstacles are identified and gradually overcome. By the same token many of these operational mechanisms do not yet exhibit a strong sense of well established and smooth functioning instruments. Time horizons are still limited in stakeholders' minds, there is as yet **limited attention paid to monitoring and evaluation** and work plans are not always yet worked out over several years. There is also a sense that in many member states whole PCD systems are not yet fully present and that, while individual mechanisms have indeed been set up, these often still need to be supported with the establishment of other types of complementary mechanisms to complete the system. Thus, for example, if the stakeholders of an Institutional & Administrative mechanism are citing problems of inadequate information and knowledge, the solution would seem to lie in the parallel establishment of a strong Knowledge & Assessment mechanism to support their efforts. The Study thus confirms the **importance of adopting a *PCD System* approach** that combines different types of mechanism together in one complementary whole and fully recognises the importance of linkages with all different stakeholders and the political and social context in which it operates.

Not surprisingly political support comes out as a crucial factor in the promotion of PCD. Evidence from the Study enables some more detailed reflection around this question. The issue of sustaining broad cross-party political support over time, including from one government to the next, and ensuring that it is maintained at a high enough

level are two key points. This then implies the **need for strategic thinking on how such political support can be generated and maintained** which would involve some discussion on the push factors that will ensure PCD retains the high profile that first enabled strong policy statements to be approved. Peer group pressure from other governments, via the EU or the DAC is clearly also important. However, ultimately it is also a question of ensuring that parliaments, civil society, academia and the media are involved and that the general public continue to be made aware of the costs of incoherence so as to create and maintain a political climate in which PCD becomes second nature throughout government and not just in ministries of foreign affairs and development.

6 Recommendations

6.1 General recommendations

The Terms of Reference, invites the evaluation team to make recommendations which *"(...) are to be directed, not only to the specific mechanisms evaluated or to the institutions having put them in place, but to the entire group of Member States, European institutions, and cooperation partners."*[1]

The main recommendation that has to be made picking up on the conclusions of this study is that EU governments need to move beyond the current phase of the promotion of PCD that we have characterised here as *experimental*. While it is understandable that a certain degree of experimentation is required with new policy directions and mechanisms to promote them, the results of this evaluation show that in order to respond adequately to the EU commitments towards intra-governmental PCD, it is important to consolidate the experience and move forward into a phase of regular implementation. It is also clear that to do this requires strong, broad-based and sustained political will to promoting PCD.

It is now 15 years since the Maastricht Treaty first brought the objective of intra-government policy coherence for development to the European Union stage. In the introduction to this report it was noted how long it then took for this first commitment to be followed by others at the national member state level and then for the first operational PCD mechanisms to be established to put these commitments into practice. A good number of EU member states still have some distance to go in doing this and new member states in particular are keen to learn from the experience of those who were able to start the process earlier. However, these latter member states which did start first on experimenting with operational PCD mechanisms now have a responsibility to take things the next step forward, learn the lessons of their experiences and consolidate on them by regularising and mainstreaming the promotion of PCD in their policy work. In particular, in order to respond to the commitments to PCD which were made at the EU level, both groups of member states and the EU institutions need to address

1 (2006) Evaluation studies under the 3C initiative. Evaluation study 1.4: Evaluation of the EU institutions' and Member States' mechanisms promoting policy coherence for development.' Draft Terms of Reference: 7

the key issue of how to sustain political backing, and probably therefore also public interest, in PCD in the longer term.

6.2 Proposed general guidelines for mechanisms to promote PCD

One of the outputs of this study that are specifically requested in the TOR, is the drafting of a tentative set of *"Proposed general guidelines for creating effective internal policy coherence mechanisms"*.

The main findings of this evaluation study suggest that the following would be the main ingredients for a successful approach to PCD. A key conclusion of the study however, is that there is no single 'best solution' to promote PCD, as our research has shown that mechanisms do need to be adapted to the local traditions and practice of government and approaches to policy change. The following suggestions should therefore be seen more as a check list of elements that it is deemed would be useful to consider and their use should carefully adapted to each different context:

1. *PCD System* – The first basic point to consider is the need to take an integrated view and recognise that there are likely to be a variety of needs which cannot all be met by one single PCD mechanism operating on its own. Adopting a systems view also ensures that full account is taken of the role of a wider group of stakeholders and of the context in which the PCD mechanisms operate. The value of a *PCD System* approach is thus a key conclusion of the study.

2. *All 3 Types of Mechanism* – On the basis of this study it is recommended that the bottom line for a PCD System is to have at least one of all three types of PCD mechanism. In practice it may be necessary to have several Institutional and Administrative type mechanisms but at least one appears to be essential. The need for the Policy Statement is fairly self-evident and generally accepted. Provision for a Knowledge & Assessment mechanism, though often forgotten, is in fact also essential in the view of the evaluators. The mechanisms then need to work together in a complementary fashion with good dynamic and proactive inter-linkages between them at different levels.

3. *Clear mandates* – It is essential to ensure that what PCD mechanisms are established have clear mandates that specifically mention the promotion of PCD as a key priority. This also applies, and probably even more so, if existing policy mechanisms are being adapted to cover the promotion of PCD in addition to any existing tasks they may have.

4. *Consolidation of responsibility for development cooperation* – Those EU member states with responsibility for development cooperation consolidated in one ministry were found to be generally further ahead in establishing operational PCD mechanisms, than those member states where such responsibility was dispersed between many actors. Consolidating responsibility for development cooperation would therefore seem to make the task of promoting PCD somewhat easier to carry forward.

5. *Long term strategy* – Promoting PCD is not a short term task, but one that takes time and it is therefore necessary to plan a strategy over time and particularly one that is able to cope with changes in government and the need to renew the political mandate for PCD at regular intervals.

6. *Political support strategy* – Effective PCD promotion requires high-level, broadly based and sustained political support. It is useful to see how this can be provided and whether it is necessary to put in place a specific strategy to enhance political support. In practice this point implies the mechanism has a direct link with the head of government and in some way the ability to engage all the ministers in appropriate discussions. But it also implies that the policy is well rooted in cross-party debate in parliament and finally that there is either existing strong public support for development cooperation or that efforts are made to build that up in order to provide the popular political base on which to construct the necessary political support for PCD inside government.

7. *Links with Civil Society, NGOs, Academia and the Media* – The study found only limited interaction between most of the PCD mechanisms under study and civil society. This emerged as one important area for improvement not least in order to build up the public and political support base to sustain the work of the mechanisms as discussed under the previous point. In addition however, these stakeholders have a lot to offer in terms of improving the knowledge and evidence base required for effective PCD work. Official actors do have problems coping with the wide variety of subject material that needs to be covered in PCD work and it is therefore important to sustain in this with knowledge and expertise both from within government and from outside.

8. *Visibility* – Again related to both the previous point and the one before on political support, some form of communication strategy should be an essential part of a strategy to promote PCD. Stakeholders both within and without government need to understand what work is being done on PCD and the value of that work

9. *Adequate resources* – The promotion of PCD requires resources, both human and material. Adequate provisions need to be made available for this and not just on an ad-hoc basis but over time. Specific expertise and skills are also needed, such as

technical knowledge of different policy areas with which development specialists will come into contact (eg, trade, security, migration, etc) and negotiation and persuasion skills.

10. *Persuasive & flexible approaches* – This point emerges more from the opinion survey than from the case studies, yet there was also evidence in the latter to support the view that coercive approaches are not the most effective route to achieving PCD. Rather, it emerged that PCD specialists are generally persuaded that it is best to work flexibly through consensus building and where possible seek shared interests with other policy sectors.

11. *Goal setting, planning, monitoring and evaluation* – As with any programme of action, and promoting PCD is no exception, it is important to seek to be as clear as possible on the goals to be achieved and the impact sought. In turn this enables adequate forward planning and the basis on which to conduct monitoring and evaluation. Progress reports are also an essential tool for increasing visibility and building public awareness and political support for PCD.

12. *Informal networks* – Finally, do not underestimate the importance of informal networks both internally within government and externally with other stakeholders. The study came across considerable evidence of the value of informal networking to support the promotion of PCD for instance through identifying issues, supporting thinking, encouraging knowledge sharing, building and maintaining broad based political support and finding compromises. Even beyond the national policy sphere, linkages with other practitioners across Europe have clearly also been an important influence on moving things forward and need to continue to be encouraged. Although the nature of such networks and an inherent part of their value is that they should remain flexible and informal, their growth and the linkages they provide can be actively supported by sympathetic department heads and senior management in government so as to encourage officials at all levels to use them proactively.

Annex A: Terms of Reference

1. Introduction

The Group of Heads of the Evaluation Services for External Cooperation of the Member States and the European Commission (EU-HES) agreed in 2000 to the desirability of joint evaluations to assess the role played by the Treaty on European Union (the Maastricht Treaty, 1992) concepts of *co-ordination, complementarity* and *coherence*, in the European Union's development co-operation policies and operations. The general aim of these evaluations is to determine to what extent these so-called "3Cs" have been applied and with what impact. The evaluations are expected to produce evidence, lessons, and recommendations to strengthen the quality of European development assistance.

These Terms of Reference are a follow up of the general Terms of Reference for Evaluating and Learning about co-ordination, complementarity and coherence that were adopted at the EU-HES meeting in Brussels on June 16, 2004. During that meeting, it was agreed to undertake an initial set of six specific evaluation studies that are relevant to the 3C initiative. Each of these evaluations will be undertaken by a group of interested Member States and/or the European Commission. The present study will be commissioned by representatives from the Evaluation Services in France (lead agency), Germany (partner), Belgium (partner), the Netherlands (partner) and the European Commission (partner).

2. Background and context

2.1 The Coherence Debate

Policy Coherence for Development (PCD) is generally accepted as a key issue in the achievement of more effective development cooperation, and as such an affirmed goal by a number of international institutions.

In the case of the EU, the Treaty on European Union created the legal basis for the Community policy on development cooperation, and introduced at the same time three

principles to guide the policies: *Co-ordination, Complementarity* and *Coherence*[1]. Article 130V (178) states that "the Community shall take account of the objectives referred to in Article 130U (178) (which refer to development cooperation) in the policies that it implements which are likely to affect developing countries"[2]. In the common provisions of the Treaty on European Union, article C establishes that "the Union shall in particular ensure the consistency of its external activities as a whole in the context of its external relations, security, economic and development policies. The Council and the Commission shall be responsible for ensuring such consistency. They shall ensure the implementation of these policies, each in accordance with its respective powers". It is understood that this objective of consistency, which is obligatory for the European Union, should also be behind actions taken by the Member States.

In 2005, the EU took a strong initiative on policy coherence. The European Commission issued a Communication on Policy Coherence for Development as part of its MDG 'package'. The Council issued Conclusions on the Communication on 24 May 2005 (9266/05). These commit the Council, Commission and EU Member States to action on policy coherence, and to biennial reporting on progress. The Commission and EU Member States also placed policy coherence at the heart of the new 'European Consensus for Development'. These are being followed up through a work programme that will be approved by Council and implemented by Council, Commission and Member States. An EU informal network on policy coherence for development will help coordinate and oversee implementation of this work programme. The importance of PDC has also been affirmed by the OECD Development Assistance Committee in the 1996 document *Shaping the 21st Century, The Contributions of Development Co-operation*. In 2002, OECD once again insisted on the need of policy coherence for a successful development assistance, this time in the Ministerial Declaration *Action for a Shared Development Agenda*.

Policy Coherence for Development is also an issue within the United Nations' Millennium Development Goals. The eighth goal "Develop a global partnership for development" covers important actions needed to achieve greater coherence between the purposes of Official Development Assistance (ODA) and other public policies (market access, treatment of foreign debt, access to new technologies...). Development policies are more and more looked onto in a wider light covering neighbouring policy fields, such as trade, fisheries, agriculture, and security. The commitments to PCD, however, have not yet fulfilled the expectations.

1 See Paul Hoebink (2001): *Evaluating Maastricht's Triple C*. CIDIN (Nijmegen), working documents for the 3C Steering Commitee.

2 The number of the articles of the Amsterdam Treaty is given in brackets. Articles 130 U (177) and 130 X (180) refer to the aspects of complementariness and coordination respectively, and article 130 Y (181) refers to cooperation between the Community and member countries with third countries and with multilateral organisations.

The requirement for coherence in development policies and in development co-operation is based on reasons of both effectiveness and quality. Effectiveness, because promoting coherence is a way to improve the impact of the limited funds available for development aid, and quality because coherence analyses allow the detection of interference and incompatibility – and the identification of complementary aspects – amongst the various components of the policies upon implementation. The aim is therefore to increase the degree of coherence in public policies in order to achieve better results in terms of international development. As stated by the OECD, "greater development coherence in OECD governments' policy stances will allow the benefits of globalisation to be more equitably distributed and shared"[3].

A working definition of coherence, presented by OECD, reads that coherence "means working to ensure that the objectives and results of a government's development policies are not undermined by other policies of the same government which impact on the development countries, and that these other policies support development objectives, where feasible"[4].

2.2 Institutional changes

The international recognition of the necessity of PCD has given incentives for actions at the European institutional level: in the EU institutions and in the EU Member States. Insights in the need to review the overall institutional set-up and the culture of the donor organisations, in order to deliver effective development policies, led to a wave of reform processes during the late 1990s and in the beginning of the new century. These reforms presented a window of opportunity to the application of the principles of co-ordination, complementarity and coherence.

The enlargement of the European Union with 10 new Member States in May 2004 gave rise to further institutional changes. With the new College of Commissioners with changes in the interrelationships between different sectors of external policy, and with the constitutional project on hold, we have entered a period when new structures and arrangements are likely to be established. In addition, the changing global aid architecture, including the role of the UN and International Financial Institutions, has implications for the role of the EU and how to promote greater coherence for development. It can therefore be of great relevance to extract lessons learned from the last years' arrangements. What mechanisms have had the greatest impact on promoting coherence, how and why?

The **relevance** of this evaluation study lies in the potentially high political impact that these relatively new mechanisms can have, at Member State level and at the European

3 OECD Observer (2003): *Policy Coherence: Vital for global development*, Policy Brief, July.
4 Ibidem.

Union level. Incoherent policies are not only inefficient on different levels, but also hinder long-term structural change with regard to development in general, and in achieving the MDG and fighting poverty in particular.

Approximately five years have passed since the first wave of reforms processes mentioned above started, and the first mechanisms were put in place. It is therefore timely to assess whether these mechanisms have had an impact on the promotion of coherence.

2.3 The Scoping Study

In the end of 2004, when the draft terms of reference were to be drawn up for each of the six "3C" evaluations, it became clear that this particular subject – mechanisms promoting PCD – was too much of an unfamiliar territory. In order to learn more about policy coherence and the mechanisms promoting it, a scoping study was undertaken. The aim of the scoping study was to identify all operational coherence mechanisms put in place in the Member States and in the European Institutions[5].

One of the precise objectives of the scoping study was to define more specifically which type of coherence the evaluation is to focus on.

The scoping study confirmed five types of coherence:

(1) *Internal coherence*: a development policy should be drawn up to achieve consistency between goals and objectives, modalities and protocols without interference from other objectives.
(2) *Intra-government coherence*: more consistency should be achieved across all policies and actions of an OECD country in terms of contribution to development. The strategic options in the more relevant policies for developing countries should be reviewed in order to prevent – or make up for – any decisions that go against development objectives.
(3) *Inter-governmental coherence*[6]: policies and actions across different OECD countries should be more consistent in terms of their contribution to development, in order to prevent the behaviour of one from unnecessarily interfering with, or not reinforcing, the activity of others in the same environments or countries.
(4) *Multilateral coherence*: consistency across bilateral policies and actions by donors and those by multilateral organisations should be promoted.

5 The scoping study report can be found in Annex III
6 This aspect of coherence is closely related to the concept of donor coordination and harmonisation. However, whereas coordination and harmonisation refer to instrumental aspects, coherence refers to the content and objectives of political action. From this point of view, there may be policy coherence amongst donors without coordination.

(5) *Donor-recipient coherence*: recipient countries should be encouraged to set up policies that will allow them to take advantage of the international climate to enhance their economic and social progress.

Although noting the importance of all these types of coherence, this evaluation study will focus solely on intra-governmental coherence (including coherence within EU institutions). This type of coherence is the most relevant in two aspects: (i) in order to draw fruitful lessons from functioning mechanisms and (ii) to avoid duplication since the other types of coherence will be dealt by other evaluation studies with in the 3C programme.

3. Evaluation objectives

The overall objective of this evaluation study is to assess the extent to which the coherence principle can be observed in the institutions and development policies of the European Union and the Member States. The focus of this evaluation will be on different mechanisms having the promotion of PCD as an explicit objective, set up by the Member States and the European institutions since the late 1990s. *The mechanisms will be evaluated on the criteria of relevance, effectiveness, efficiency, impact and sustainability.*

For the purpose of this evaluation study, *mechanism* should be interpreted in its largest sense including specific institutional settings, committees, working groups, and national policies that intend to enhance PCD.

This evaluation is meant to provide general lessons on the impact and effectiveness of coherence, and on how coherence can be promoted through institutional mechanisms. The outcomes of the study should contribute to a joint learning process among the European institutions, Member States, and cooperation partners. The recommendations provided by the consultants are to be directed, not only to the specific mechanisms evaluated or to the institutions having put them in place, but to the entire group of Member States, European institutions, and cooperation partners.

As stated in the EC Communication on PCD for Millennium Development Goals (April 2005), a general requirement for all actions and (evaluation) studies is that its results shall **contribute to the achievement of the MDG and to Poverty reduction**.

The specific objectives of this study are to analyse and assess the mechanisms promoting intra-governmental coherence that were introduced in the administrations of the Members States and the European institutions since the late 1990s, with a view to:

i. Judge their relevance and effectiveness, as well as their efficiency, impact and sustainability, within their specific contexts;

ii. Formulate proposals to improve the relevance and effectiveness of the mechanisms analysed, without neglecting efficiency, impact and sustainability requirements;
iii. Enable politicians and officials in Member States and in European institutions to learn the lessons from experience about effective PCD mechanisms and use these more widely.

The expected results of the study are:
– Building on the basis of the scoping study, to provide a comprehensive and analytic overview of existing PCD mechanisms in all MS and in European institutions;
– An identification and assessment of the processes leading up to the establishment of the mechanism/provisions and their targeting on intra-governmental coherence;
– An assessment of the relationship between the mechanisms introduced, or the measures taken, and the expected outcomes;
– Proposals to enhance the relevance and effectiveness of different categories of mechanisms within their contexts;
– An assessment of the replicability of the identified mechanisms in other contexts;
– Proposed general guidelines for creating effective internal policy coherence mechanisms

4. Coverage and Evaluation Questions

The scoping study, which is to be considered as a working document for this evaluation study, provides a first inventory of the existing PCD mechanisms. It is in the scope of this evaluation to further deepen this inventory, to estimate the mechanisms respective efficiency, and to do an in-depth evaluation of a selection of mechanisms. Field studies to the capitals where the selected mechanisms are installed will be required and possibly additional field missions to 1-2 partner countries.

4.1 Coverage

Building on the scoping study, this evaluation will cover all mechanisms for intra-governmental coherence in the Member States and in the European institutions. The inventory has already been done, as well as a proposed selection of 12 mechanisms for the in-depth evaluation, but the comprehensive and analytical overview needs to be elaborated. From this elaborated analyse, 6-8 mechanisms for the case studies are to be proposed by the consultants to the Steering Committee, which takes the final decision.

4.2 Evaluation questions

The evaluation will take into consideration the evaluation criteria and seek to answer the following questions. The following is an indicated list of questions that will be revised during the Inception Phase of the study, and validated by the Steering Committee.

Relevance:

- How relevant is the mechanism in promoting intra-governmental coherence for development policies?
- How well do the actions of the mechanism correlate to its official orientations?
- How well do the actions of the mechanism answer to the internationally recognised demand for PCD?
- To what extent does the mechanism produce effects in terms of greater coherence on MS/EU external policy?

Effectiveness:

- What are the obtained results, as compared to the plans?
- How strong is the causal link between the application and use of each of the mechanisms and the effects perceived in terms of coherence?
- Were political will, commitment, strategies, procedures and resources adequate to achieve the set targets?
- What are the strengths and weaknesses of the mechanism?
- What constraints have been met and how have they been dealt with?
- Have there been an action plan, and if so, has it been followed?
- How effective is the follow up on actions taken?
- What incentives/disincentives are experienced by officials that help or hinder the full application of the mechanism(s)?
- What steps have relevant actors taken, jointly or individually, to ensure the effectiveness of the mechanism(s)?

Efficiency:

- How is the relation between the cost of the mechanism and the obtained results?
- Can the mechanism's efficiency be estimated in terms of aid efficiency?
- Could the same results have been achieved with less resource?

Impact:

- What are the estimated short, medium and long-term effects of the actions undertaken?
- Can a qualitative estimation be done of the mechanism's impact?
- Can a quantitative estimation be done of the mechanism's impact?
- Are there any unintended (positive or negative) effects?

Sustainability:

- How assured is the future of the mechanism?
- How well has the mechanism been institutionalised?
- What type(s) of institutional setting seem to have a more positive impact on policy coherence for development?

5. Approach and methodology

This evaluation study asks for two things: a comprehensive overview of all existing mechanisms, and an evaluation of a selection of mechanisms. Given this dual purpose, the study will take a two-step approach.

During the first phase, the desk study phase, the collection of information will result in an elaborated analysis of the already existing inventory. Following this first part, a selection of mechanisms will be done in consultation with the Steering Committee. The mechanisms will be selected on the basis of *relevance*, *feasibility* and *added value*. A fourth criteria well worth to be considered is that the mechanisms should not be too *politically sensitive* in the eyes of the owner, as that could lead to selective and biased results. Finally, the *interest of the relevant stakeholders* in evaluating the mechanisms at this point and their willingness to participate fully are also to be concerned in the final selection.

To ensure the relevance and to provide lessons to policy makers, the mechanisms evaluated should be clearly identifiable as *coherence mechanisms* in terms of their objective(s), stakeholders, institutional setting and expected outcomes. As stated above, it is important for this particular evaluation to note that the mechanisms evaluated should be of the intra-governmental type i.e. mechanisms that promote policy coherence between different fields within a government.

This evaluation study has an **added value** for all the Member States and the European institutions since it assesses the effectiveness of different mechanisms put in place and their impact on development assistance and since it also contributes to the work programme for implementation of the 2005 Council Conclusions on Policy Coherence for Development. For the new Member States, which are elaborating their development policies, there may be an additional added value in the study since it focus on lessons learned. The same is true for the "old" Member States and European institutions that have yet to implement mechanisms promoting PCD.

There is also an added value with this study for a wider audience in the Member States and in the European institutions. For all departments/units dealing with policies that have an impact in one way or another on development policy: Foreign Ministries, Developing Agencies, Agricultural Ministries, Finance Ministries (Trade and Development), the RELEX Group of DGs, Parliaments...

The *feasibility* of the study is directly related to the willingness of the MS, EC and EP officials responsible for the respective mechanisms to cooperate with the evaluation, and their degree of openness. This can be ensured by choosing mechanisms that are situated at a well-defined level of governance.

The second part of the study will be an evaluation study of 6-8 selected cases. During this phase, field studies will be conducted, enabling interviews with officials close to the mechanisms.

The consultants are requested to design and elaborate a theoretical approach to the issues addressed in these Terms of Reference. The theoretical approach should permit an elaboration of an analytical framework that allows for a further specification of the evaluation questions. The approach taken and the methodology proposed are to take into account the particular nature of this type of process – an instrumental-oriented evaluation. The following principles should be taken into consideration when defining the methodology:

- A mix of pertinent methods for data/information collection should be used. Examples are: review of secondary sources, documentation and/or literature; semi-structured interviews with key informants; field observation studies. The data/information processing techniques/procedures are to be explained and specified.
- Key informants should be stakeholders directly involved with the work and/or the methods of the mechanism, and external stakeholders that can provide unbiased information about the mechanism's effects.
- Verification of the interviews should take place with the stakeholders in and outside the mechanisms. Methods to be used are: statistical evaluation; triangulation; feedback to stakeholders.
- It should be ensured that the findings follow logically from the data analysis and that the interpretations are based on transparent assumptions.
- It should be ensured that the recommendations are fair, unbiased by personal views and sufficiently detailed to be operationally applicable.

6. Management

The progress of the present evaluation will be followed, and piloted, by a *Steering Committee* consisting of representatives from the Evaluation Services in France (lead agency), Germany (partner), Belgium (partner), the Netherlands (partner) and the European Commission (partner).

The Steering Committee will convene at critical moments of the evaluation for review, discussion and oversight. In the *preparatory phase*, the Steering Committee is responsible for the approval of the Terms of Reference. During the *Desk phase* the Committee will comment on the desk phase report and participate in the selection of mechanisms. In the *Case/field study phase* the Committee will comment on the case study reports and on the draft report. The quality of the final report will be assessed according to the criteria that can be found in annex 1.

The lead agency will directly oversee the work of the consultants and prepare the meetings of the Steering Committee. The decision on how the report will be disseminated will be taken at a later phase.

7. Implementation

7.1 Inception phase

The *Inception phase*, which corresponds to approximately 5 % of the total study, will result in an *Inception Report* including a theoretical approach towards the issues addressed by the evaluation. This should lead to an analytical framework that allows a further specification of the evaluation questions. With a good argumentation, these should be completed, or reconsidered, by the consultants. The inception report should further define adequate sources of information, set criteria for assessing the responses to each of the questions addressed, and present appropriate methods for information and data collection, processing and analysis.

7.2 Desk study phase

The main objective of the desk study phase (approximately 25 % of the total study) is to provide a deeper insight of the existing PCD mechanisms, by building on the scoping study. An elaboration of the analytical and comprehensive overview will allow for a better international comprehension and comparison. This phase will also lead to the final selection of the mechanisms for the case studies. In view of the results of the scoping study, and on the basis of relevance, feasibility, and added value, the consultants should in the *desk study report* propose a final selection of 6-8 mechanisms. When validating the report, the Steering Committee will decide on the selected mechanisms.

7.3 Case study phase

Following the satisfactory completion of the desk study, and the final selection of mechanisms, the consultants will proceed to the case studies. This will be the main part of the evaluation (approximately 50%) where each of the selected mechanisms is to be analysed in-depth, with guidance of the evaluation questions. The purpose of the field studies to the different capitals is to complete the comprehensive overview with specific findings and details. The results of the case studies will be presented to the Steering Committee in *Field Reports*.

7.4 Reporting phase

The consultants will deliver the Draft Evaluation Report to the lead agency, which immediately will distribute it to the members of the Steering Committee. The lead agency will then organise a meting where the draft report will be discussed in the presence of the consultants.

On the basis of the comments received from the Steering Committee, the consultants will make amendments and submit the Final Evaluation Report.

8. Consultants profile

A lead consultant will carry out the evaluation. She/he should hold a post-graduate degree in social science, political science and/or development studies with at least 10 years of relevant experience. The lead consultant is responsible for the organisation of the evaluation and will therefore specify and explain her/his organisation in the tender proposal.

The lead consultant will propose a team at a senior level with extensive experience with respect to analysis and evaluation of policy-related multi-stakeholder processes. The highly qualified team, led by the lead consultant, is recommended to be multi-disciplinary to match the specific specialist fields required by the evaluation.

Innovativeness regarding the design of the theoretical approach and methodology for the evaluation is considered an asset.

The consultants will be required to interact on a regular basis with the Steering Committee, and to promote the general learning with respect to the outcomes of the evaluation by defining, in their proposal, regular inputs to the 3C learning platform.

9. Dissemination and follow-up

After approval of the final report, the Steering Committee will proceed with the Dissemination of the results (conclusions and recommendations) contained within the report.

The Steering Committee will (i) make a formal *Judgement on the Quality* of the evaluation (see Annex 1); (ii) draft a 2-page *Evaluation Summary*; (iii) agree on the distribution of the report.

Annex B: Glossary of terms

PCD Mechanism & Types of PCD Mechanisms[1]

PCD Mechanism	Mechanism for the promotion of Policy Coherence for development. In the study, we only recognise a PCD mechanism when it has a name, some degree of institutionalisation, clarity on the involvement of stakeholders, and a defined way of working.
Policy Statements on Coherence	As a PCD Mechanism policy statements translate external policy pressures into a declaration of what the government intends to do to. The statements indicate intent, provide focus and guide officials and other actors.
Administrative and Institutional Mechanisms	These mechanisms promote coherence in the definition and further refinement and mutual adjustment of different policies and the execution of the commitment.
Knowledge Input and Assessment Mechanisms	These mechanisms support an evidence-based approach to policy formation which underpins and informs the need for policy coherence.

Types of PCD[2]

Inter-governmental coherence	Policies and actions should be consistent across different OECD countries in terms of their contributions to development, to prevent on e from unnecessarily interfering with, or failing to reinforce, the others in the same environments or countries.
Internal coherence	Coherence of the development policy itself, which should be drawn up to achieve consistency between its goals and objectives, modalities and protocols.
Intra-governmental coherence	Consistency across all policies of an OECD country in terms of their contribution to development.
Multilateral coherence	Consistency should be promoted across the policies and actions of bilateral donors and multilateral organisations
Donor-recipient coherence	Countries receiving donor contributions should be encouraged to set up policies that allow them to take full advantage of the international climate to enhance their economic and social progress.

1 ECDPM & ICEI 2005: 20, 21
2 Based on Picciotto 2004 in ECDPM & ICEI 2005: 19

OECD DAC Criteria for the Evaluation of Development Assistance[3]

Relevance	The extent to which the aid activity is suited to the priorities and policies of the target group, recipient and donor.
Effectiveness	A measure of the extent to which an aid activity attains its objectives.
Efficiency	Efficiency measures the outputs — qualitative and quantitative — in relation to the inputs. It is an economic term which signifies that the aid uses the least costly resources possible in order to achieve the desired results. This generally requires comparing alternative approaches to achieving the same outputs, to see whether the most efficient process has been adopted.
Impact	The positive and negative changes produced by a development intervention, directly or indirectly, intended or unintended. This involves the main impacts and effects resulting from the activity on the local social, economic, environmental and other development indicators. The examination should be concerned with both intended and unintended results and must also include the positive and negative impact of external factors, such as changes in terms of trade and financial conditions.
Sustainability	Sustainability is concerned with measuring whether the benefits of an activity are likely to continue after donor funding has been withdrawn. Projects need to be environmentally as well as financially sustainable.

Approaches to Government and Policy Change

Consensus approach to government[4]	This approach to government attempts to include as many people as possible and is characterised by a more proportional representation approach. In a consensus model, majority rule is considered only as a minimal requirement, rather this model seeks to maximise the size of its majority. Its rules and institutions aim to achieve broad participation both inside and outside the government and broad agreement on policies.
Majoritarian approach to government	The majoritarian approach to government relies on the majority of people to take decisions, and on a more centralised State. Institutions are conceived in order to facilitate the emergence of a ruling majority.
Holistic approach to policy change	An approach to policy change which works through a mainstreaming, whole of government approach in which the responsibility for promoting policy coherence for development is shared by all concerned.
Particularistic approach to policy change	An approach to policy change which concentrates the responsibility for promoting PCD in a dedicated and defined unit.

3 The *DAC Principles for the Evaluation of Development Assistance*, OECD (1991), Glossary of Terms Used in Evaluation, in 'Methods and Procedures in Aid Evaluation', OECD (1986), and the *Glossary of Evaluation and Results Based Management (RBM) Terms*, OECD (2000).
http://www.oecd.org/document/22/0,2340,en_2649_34435_2086550_1_1_1_1,00.html (accessed 04-05-06)

4 Lijphart 1999: 2

ANNEX C: **Summary table of identified PCD Mechanisms**

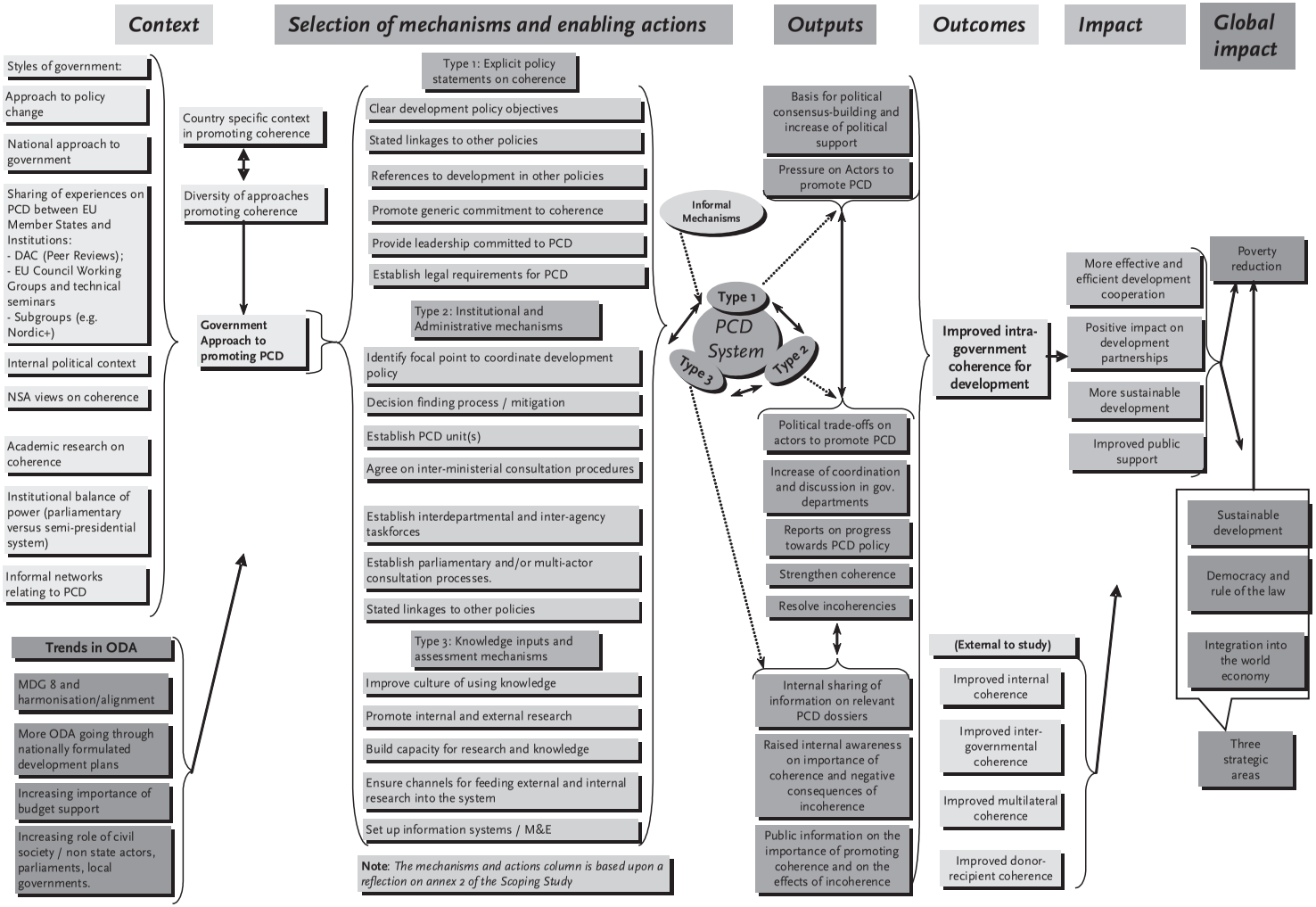
EU Member State or Institution	Year when PCD became an Issue	Explicit Policy Statements	Group	Administrative/ Institutional	Group	Knowledge Input and Assessment	Group
Austria	- **2002** ('Federal Act')	- Federal Act	2	- Inter-ministerial Private Sector and Development Platform	4		
				- Joint working group with Ministry of Finance	4		
Belgium	- **1999** ('Law on Development Cooperation')	- Policy Outline for Development Cooperation	2	- Inter-Departmental Committee on Central Africa	4		
Cyprus	- Not yet						
Czech Republic	- **2002** ('Foreign Aid Programme')	- Concept of Foreign Aid Programme for the period of 2002-2007	2/4	- Inter-Ministerial Working Commission	4	- Development Centre	4
Denmark	- **1998** (adoption of 'Act on International Development Cooperation')	- New Africa Policy	2	- Department for Development Policy	4		
		- Danish Strategy for Trade, Growth and Development	2				
Estonia	- Not yet						
EU Institutions	- **1992** ('Maastricht Treaty')	- Maastricht Treaty (art. 177)	2	- CSP/ RSP programming	4	- Impact Assessment	4
		- 2000 Development Policy Statement; 2005 EU Consensus on Development.	2	- Country teams	4		
		- Commission's Communication (2005) 134 on PCD	2	- Inter-Service Working Group	4		
		- European Council conclusions	2	- Inter-service Consultation	4		
				- Development Committee (European Parliament)	2		
Finland	- **1993** ('Strategy Paper')	- 'Development Policy 2004' focuses on coherence	2/1	- Inter-Ministerial theme- based groups at ministerial and civil servant level	4/3	- Development Policy Committee	4/1
		- Development issues discussed in other policy documents *	2	- Cabinet Committee and Government Secretariat for EU Affairs	2		
				- Integrated bilateral negotia- tions with partner countries	4/3		

EU Member State or Institution	Year when PCD became an Issue	Explicit Policy Statements	Group	Administrative/ Institutional	Group	Knowledge Input and Assessment	Group
France	- **2005** ('cross-cutting document')	- 2005 Cross-cutting document on the French Policy for Development	2	- Inter-Ministerial Committee for International Cooperation and Development	4		
				- Inter-Ministerial Committee for European Economic Cooperation	4		
				- Interministerial mission "Official Development Assistance"	4		
Germany	- April **2001** ('Program of Action 2015 approved')	- Programme of Action 2015	2	- Policy coherence dialogue between Dgs of ministries (as part of the Programme of Action 2015)	1	- BMZ Dialogue forum	1
				- Inter-departmental committees (export, security)	3		
				- Task Force 2015	4		
				- Specific divisions in BMZ	3/4		
Greece	- **2004** 'Action Plan refers to coherence'	- Hellenic Action Plan					
Hungary	- **2005** ('Summary of Activities')						
Italy	- **2004** ('Publication of the guidelines')	- Policy debates in the Council of Ministers	2	- Inter-Ministerial Committee on Economic Planning (CIPE)	4		
Ireland	- **2002** ('report of the Ireland Aid Review Committee')	- White Paper on Irish Aid (September 2006)	2	- Inter-departmental Committee on Development, chaired by the Minister for Foreign Affairs, to strengthen coherence in Government approaches to development	1	- Technical and Specialist Section within Irish Aid (which includes a coherence unit)	3
				- Parliament's Joint Committee on Foreign Affairs	2		
				- Inter-departmental trade and development coordination committee	3		
				- Coherence meetings within Irish Aid	3		

EU Member State or Institution	Year when PCD became an Issue	Explicit Policy Statements	Group	Administrative/ Institutional	Group	Knowledge Input and Assessment	Group
Latvia	- **2006** ('publication of the Policy Programme')	- Basic Principles for Development Cooperation (with reference to the need to 'harmonise' with EU development policy objectives)	2				
		- Development Cooperation Policy Programme of the Republic of Latvia 2006 – 2010 (refers to coherence)	4				
		- Annual Development Cooperation Policy Plans	4				
Lithuania	- Not yet						
Luxembourg	- **2004** ('Declaration')	- Declaration on the policy for development cooperation and humanitarian action	2	- Inter-Ministerial Commission for Development Cooperation	4		
				- Inter-ministerial working groups between Foreign Affairs and Agriculture, Environment and Health	4		
				- Policy Coherence Desk (2004) in Development Cooperation Directorate	3		
Malta	- Not yet						
Netherlands	- **2002** ('Policy Memorandum on coherence')	- Dutch foreign policy (promotes coherence between development trade, agriculture, product standards, fisheries, etc.)	2	- Directorate General for European Cooperation (DGES)	4	- Advisory Council on International Affairs	4
		- Memorandum on coherence between agriculture and development policy	1	- Inter-departmental coordination mechanisms on EU policies (e.g. trade at the Ministry of Economic Affairs)	4		
		- Annual budget memoranda and that on the state of the (European) Union	2	- Policy Coherence Unit to represent interests of developing countries in national policy formulation	3		
				- EU Coordinating Committee	4		
				- EU screening committee	4		
				- Informal EU policy coherence for development network	3		

EU Member State or Institution	Year when PCD became an Issue	Explicit Policy Statements	Group	Administrative/ Institutional	Group	Knowledge Input and Assessment	Group
Poland	- **2003** ('Strategy Document')	- 2003 strategic plan	2				
Portugal	- **1999** ('publication of the strategy paper')	- Reference to various types of coherence in 1999 strategic plan	2	- Inter-Ministerial Commission for Co-operation and its Permanent Secretariat	4		
				- Inter-Ministerial Commission for European Affairs	4		
Slovakia	- **2003** ('publication of the Medium-Term Strategy')						
Slovenia	- **2005** ('reference in Report Slovenian International Development Cooperation 2002-2004')						
Spain	- **1998** ('signing of the Act')	- Master plan for Cooperation 2005–08	2	- Inter-Ministerial Committee for International Cooperation	4	- Development Cooperation Council	4
		- Article 4 of the International Development Cooperation Act (1998)	2	- Inter-Territorial Committee for International Cooperation	4		
				- The Cooperation Council	4		
Sweden	- **2003** ('publication of the Government Bill')	- Policy for global development (PGD)	2	- Department for Development Policy	4	- Unit for follow-up review and reporting on PGD	4
United Kingdom	- **2002** ('adoption of the International Development Act')	- White Paper, International Development Act and the International Development (Transparency and Reporting) Act	2	- Cabinet Committees on Foreign Affairs and Defence, and sub-commit- tees on conflict and EU trade policy	2	- House of Commons International Develop-ment Committee	3
		- Shared Public Service Agreement targets with the Department for Trade and Industry, The Ministry of Defence, The Treasury and The Foreign Office	2	- Inter-departmental Working-Group on Development (IWGD), chaired by DFID	4	- The Commission for Africa and PCD: First Report of Session 2004–05	3/4
				- International Development Committee of the UK Parliament	2		
				- Cabinet Ministerial Committee on asylum and migration with sub committee on migration	2		
				- Remittance Task Force	2		
				- Overseas Corruption Unit	2		
Total identified mechanisms	**PCD recognised as an issue**	**Number of explicit policy statements**		**Number of administrative / institutional mechanisms**		**Number of knowledge / advisory mechanisms**	
85	**22 of 26 EU MS and Institutions (85%)**	**30**		**45**		**10**	

Annex D


Context
Selection of mechanisms and enabling actions
Outputs
Outcomes
Impact
Global impact
Styles of government:
Approach to policy change
National approach to government
Sharing of experiences on PCD between EU Member States and Institutions:
- DAC (Peer Reviews);
- EU Council Working Groups and technical seminars
- Subgroups (e.g. Nordic+)
Internal political context
NSA views on coherence
Academic research on coherence
Institutional balance of power (parliamentary versus semi-presidential system)
Informal networks relating to PCD
Country specific context in promoting coherence
Diversity of approaches promoting coherence
Government Approach to promoting PCD
Trends in ODA
MDG 8 and harmonisation/alignment
More ODA going through nationally formulated development plans
Increasing importance of budget support
Increasing role of civil society / non state actors, parliaments, local governments.
Type 1: Explicit policy statements on coherence
Clear development policy objectives
Stated linkages to other policies
References to development in other policies
Promote generic commitment to coherence
Provide leadership committed to PCD
Establish legal requirements for PCD
Type 2: Institutional and Administrative mechanisms
Identify focal point to coordinate development policy
Decision finding process / mitigation
Establish PCD unit(s)
Agree on inter-ministerial consultation procedures
Establish interdepartmental and inter-agency taskforces
Establish parliamentary and/or multi-actor consultation processes.
Stated linkages to other policies
Type 3: Knowledge inputs and assessment mechanisms
Improve culture of using knowledge
Promote internal and external research
Build capacity for research and knowledge
Ensure channels for feeding external and internal research into the system
Set up information systems / M&E
Note: The mechanisms and actions column is based upon a reflection on annex 2 of the Scoping Study
Informal Mechanisms
Type 1
PCD System
Type 2
Type 3
Basis for political consensus-building and increase of political support
Pressure on Actors to promote PCD
Political trade-offs on actors to promote PCD
Increase of coordination and discussion in gov. departments
Reports on progress towards PCD policy
Strengthen coherence
Resolve incoherencies
Internal sharing of information on relevant PCD dossiers
Raised internal awareness on importance of coherence and negative consequences of incoherence
Public information on the importance of promoting coherence and on the effects of incoherence
Improved intra-government coherence for development
(External to study)
Improved internal coherence
Improved inter-governmental coherence
Improved multilateral coherence
Improved donor-recipient coherence
More effective and efficient development cooperation
Positive impact on development partnerships
More sustainable development
Improved public support
Poverty reduction
Sustainable development
Democracy and rule of the law
Integration into the world economy
Three strategic areas

Annex E: The Council's 12 PCD Commitments[1]

Trade: The EU is strongly committed to ensuring a development-friendly and sustainable outcome of the Doha Development Agenda and EU-ACP Economic Partnership Agreements (EPAs). The EU will further improve its Generalised System of Preferences, with a view to effectively enhancing developing countries' exports to the EU. The EU will continue to work towards integrating trade into development strategies and will assist developing countries in carrying out domestic reforms where necessary.

Environment: The EU will lead global efforts to curb unsustainable consumption and production patterns. The EU will assist developing countries in implementing the Multilateral Environmental Agreements (MEAs), and will work to ensure that the capacities of developing countries are taken into account during MEA negotiations. The EU will continue to promote pro-poor environment-related initiatives and policies, and will strengthen the integration of environmental and climate change concerns into its own polices.

Climate Change: The EU recognizes that one of the greatest environmental and development challenges in the twenty-first century is that of mitigation and adapting to climate change, and that lasting progress in achieving the MDG's will be enhanced by the success of the international community in implementing the Kyoto Protocol and reinvigorating the international negotiations to ensure a post 2012 arrangement in the context of the UN climate change process. In this context the EU reconfirms its commitment to the Kyoto Protocol and its determination to develop a medium and long-term EU-strategy to combat climate change, consistent with meeting the 2 degree objective as outlined in the European Council's conclusions of the 23rd of March 2005.

Security: The EU will treat security and development as complementary agendas, with the common aim of creating a secure environment and of breaking the vicious circle of poverty, war, environmental degradation and failing economic, social and political structures. The EU will enhance its policies in support of good and effective governance and the prevention of state fragility and conflict, including by strengthening its response to difficult partnerships/failing states. The EU will strengthen the control of its arms exports, inter alia, with the aim of avoiding that EU-manufactured weaponry be used against

1 Extracted from: 24 May 2005 GAERC Conclusions, in (European Commission, Commission Staff Working document SEC(2006) 335 final, p.3).

civilian populations or aggravate existing tensions or conflicts in developing countries. The EU will promote cooperation in fighting corruption, organised crime and terrorism.

Agriculture: The EU will continue its efforts to minimise the level of trade distortion related to its support measures to the agricultural sector, and to facilitate developing countries' agricultural development.

Fisheries: The EU will continue to pay particular attention to the development objectives of the countries with which the Community will engage into bilateral fisheries agreements. Within the context of the new EU policy on fisheries partnership agreements with third countries which is being implemented since 2003, the EU will continue to encourage the conclusion of fisheries agreements in order to contribute towards rational and sustainable exploitation of the surplus of coastal States' marine resources to the mutual benefit of both parties.

Social dimension of globalisation, employment and decent work: The EU will contribute to strengthening the Social Dimension of Globalisation with a view to ensure maximum benefits for all, both men and women. The EU will promote employment and decent work for all as a global goal.

Migration: The EU will promote the synergies between migration and development, to make migration a positive factor for development.

Research and innovation: The EU will promote the integration of development objectives, where appropriate, into its RTD and innovation policies, and will continue to assist developing countries in enhancing their domestic capacities in this area. The EU supports global, regional and national efforts in research for development to address the special needs of the poor in the areas of health, including prevention and treatment of HIV/AIDS, agriculture, natural resource and environmental management, energy, in particular renewable energy and energy efficiency, and climate.

Information society: The EU will address the digital divide by exploiting the potential of Information and Communication Technologies as a development tool and as a significant resource for attaining the MDGs.

Transport: The EU will address the special needs of both land-locked and coastal developing countries by promoting the intermodality issues for achieving network interconnectivity as well as security and safety issues.

Energy: The EU is strongly committed to contribute to the special needs of developing countries by promoting access to sustainable energy sources and by supporting establishing interconnection of energy infrastructures and networks.

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Annex G: Information on the Study Team

The Study was conducted in collaboration between ECDPM, ICEI and PARTICIP GmbH. To take full advantage of the expertise available in the three partners, a core team of five persons was formed as well as an Advisory Group. The Advisory Group was closely involved in conceptual thinking, methodological and process design and provided a sounding board for proposals, ideas and comments as the study progressed. The core team prepared the tools, performed the desk reviews and interviews and elaborated (intermediary) outputs and proposals.

The core study team included the following persons:
- Dr James Mackie (ECDPM) Team Leader
- Gwénaëlle Corre (ECDPM), Expert
- Marie-Laure de Bergh (ECDPM), Expert
- Niels Keijzer (ECDPM), Programme Assistant
- Dr René Madrid (PARTICIP), Senior Expert

René Madrid provided the team with specific inputs particularly on evaluation methodology and the design of the data collection tools. Work on the case studies was distributed among all members of the core team and some of the advisory group depending on the knowledge and value added particular team members could bring to the study of specific mechanisms. The Advisory Group consisted of Dr. Paul Engel, Jean Bossuyt and Geert Laporte at ECDPM and Dr. José Antonio Alonso and Christian Freres at ICEI.

At ECDPM, Dr. Paul Engel, has led the Centre's support to the '3Cs' joint evaluation process since 2003 and the *Scoping Study*. He has extensive academic and professional experience in terms of conceptualising, designing and implementing evaluation methodologies and ways to facilitate multi-stakeholder innovation processes. James Mackie, Jean Bossuyt and Geert Laporte, ECDPM Programme Coordinators, have led and participated in numerous thematic/country evaluations; they combine long-standing experience in assessing multi-stakeholder policy processes with a thorough knowledge of the EU institutions. Gwénaëlle Corre has a well grounded knowledge of the EU institutions and extensive experience as a process facilitator in EU institution/civil society policy discussions. Marie-Laure de Bergh has been involved in the '3Cs' joint evaluation facilitation and learning process and most recently has worked on the issue

of coherence in the context of the debate on the renewal of the EC's Development Policy Statement. Niels Keijzer is a Programme Assistant who also worked on the *Scoping Study*.

Dr. José Antonio Alonso, economist and Director of ICEI, recently led an international team evaluating the largest Ibero-American cooperation programme, CYTED, establishing a methodology which is being adapted to other evaluations. Dr. Alonso is an expert in the Spanish development cooperation consultative council, where he is involved in the working group on policy coherence for development. Research Associate Christian Freres participated in the DAC Informal Poverty Reduction Network's initial donor survey as well as in the assessment of the EC Development Policy Statement of 2000. Both were involved in the earlier Scoping Study.

René Madrid is a Senior Partner of PARTICIP with more than 15 years of experience in development aid. He has extensive experience in evaluation at the project, programme, and policy level and is familiar with the EC's overall methodological approach of the evaluations in which he is frequently involved as a methodological expert. Since 2000 he has worked on EC thematic evaluations on good governance, water and sanitation, rehabilitation, population and development, gender and food aid and food security.

Annex H: Information on the Steering Group

The steering group for this joint evaluation study was led by France, and supported by Belgium, Germany, the Netherlands and EuropeAid. The individual members of the steering group were as follows:

France:
- Aude de Amorim, Evaluation Office, DGCID - MAE
- Emma Hagre, Evaluation Office, DGCID - MAE
- Claude Fandre, Evaluation Office, DGCID - MAE
- Michael Ruleta, Evaluation Office, DGCID - MAE

Germany:
- Maria Tekuelve, BMZ

Belgium:
- Dominique de Crombrugghe de Looringhe, Special Evaluation Office, SPF Affaires Etrangères, Commerce extérieur et Coopération au développement

Netherlands:
- Gerard van der Zwan, IOB

EuropeAid:
- Pieter van Steekelenburg, Joint Evaluation Unit

Evaluation of the EU Institutions & Member States' Mechanisms for Promoting Policy Coherence for Development

This evaluation study provides an in-depth look at the efforts to promote intra-governmental policy coherence for development that were made by the European Member States and Institutions since the late 1990s. A variety of institutional mechanisms have been put in place in the EU, for which this study proposes a typology of three categories: explicit policy statements, institutional coordination mechanisms, and knowledge input & assessment mechanisms. Case studies on mechanisms in Finland, France, Germany, Spain, Sweden, the European Commission and the European Parliament provide more detailed descriptions of current practice. On the basis of the evidence collected, the evaluation study concludes that despite good progress, these efforts remain as yet somewhat experimental and questions whether EU member states and institutions really possess the political will to ensure that the pursuit of policy coherence for development is maintained over the longer term. The report concludes by proposing a set of possible guidelines for mechanisms to promote PCD which builds on the notion of a 'PCD System' developed during the study and suggests various steps that can be taken to address the weaknesses and obstacles identified.

Evaluation Services of the European Union | 2007

ISBN 978-90-5260-286-8

Distributed in North America by Transaction Publishers

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