

EVALUATION ROADMAP			
TITLE OF THE EVALUATION/FC	Evaluation on Joint Programming		
LEAD DG RESPONSIBLE UNIT	DEVCO 08	DATE OF THIS ROADMAP	09 / 2015
TYPE OF EVALUATION	Mixed evaluation	PLANNED START DATE	12 / 2015
		PLANNED COMPLETION DATE	09 / 2016
		PLANNING CALENDAR	<a href="http://ec.europa.eu/smart-regulation/evaluation/index_en.htm">http://ec.europa.eu/smart-regulation/evaluation/index_en.htm</a>
<b>This indicative roadmap is provided for information purposes only and is subject to change.</b>			

A. Purpose
(A.1) Purpose
<p>The evaluation shall assess to what extent the Joint Programming (JP) process has achieved its objectives, with particular attention to relevance, effectiveness, efficiency, sustainability and coherence. The added value of Joint Programming at EU level will also be assessed in comparison to bilateral programming and to other coordination mechanism. It should take stock of the lessons learnt and provide recommendations for the improvement of the programming. The evaluation results will be used for the upcoming reviews of the EU instruments and programming and it will provide the necessary evidence for further assessing EU donor coordination and the Agenda for Change.</p>
(A.2) Justification
<p>The justification for this evaluation derives from:</p> <ul style="list-style-type: none"> <li>• The political commitments for joint programming which recommend it as an important area for evaluation</li> <li>• The 2015 work programme of the Evaluation Unit within DG DEVCO which includes an evaluation of Joint Programming. It has been requested by the main stakeholders within DG DEVCO and EEAS to have it launched in 2015 in order to have its results by 2016 to be used for the reviews (ad hoc and midterm) of EU programming. It will feed into the Mid-term review of the Union's instruments for financing external actions planned for 2017<sup>1</sup>.</li> <li>• The legal base – Article 12 of the Common Implementing Regulation (CIR) 2014 which asks the Commission to “evaluate the impact and effectiveness of its sectoral policies and actions and the effectiveness of programming, where appropriate by means of independent external evaluations”</li> </ul>

B. Content and subject of the evaluation
(B.1) Subject area
<p>Joint Programming of external assistance has been a longstanding commitment from the EU institutions and the EU Member States (MS) in the framework of the international aid and development effectiveness agenda. The EU and MS have adopted earlier frameworks for Joint Programming and expressed commitment to move forward on Joint Programming of their external assistance to partner countries (Council Conclusions 2004, 2006, 2007, 2009 and 2010).</p>

<sup>1</sup> <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2014:077:0095:0108:EN:PDF> (Article 17)

Commitments on Joint Programming at Council Conclusions level were laid down in the EU Common Position for the Fourth High Level forum on aid and development effectiveness in Busan in 2011<sup>2</sup>. In a two page annex the Joint Programming framework includes its context, scope and principles. Joint Programming was further enshrined in the Regulations establishing the Development Cooperation Instrument<sup>3</sup> and the European Neighbourhood Instrument<sup>4</sup> under the general budget of the Union, the European Development Fund and their related programming instructions.

According to the EU Common Position, Joint Programming is a process whereby the EU and MS (and other interested donors and partners) take strategic decisions based on a comprehensive view of donors' support to a given partner country. EU Joint programming therefore refers to the joint planning of development cooperation by the EU development partners working in a partner country.<sup>5</sup>

Its core elements are:

- Joint analysis of and joint response to a partner country's national development strategy identifying priority sectors of intervention - together they form what is called a "joint strategy";
- In-country division of labour: who is working in which sectors
- Indicative financial allocation per sector and donor.

The joint analysis and joint response are primarily developed at partner country level by EU delegation and EU Member States' representatives in the country. They are ideally aligned on a partner country's national development strategy and are synchronised to the partner country's strategy and programming cycles.

The timing of the Joint Programming should be *synchronised*: the joint strategy should match the timing of the partner country's national plan so that the Donor Partners are planning at the same time and for the same period as the government and can therefore be more responsive to national needs. Joint programming documents can replace bilateral programming documents if their quality meets the requirements respectively set by EU and MS involved.

#### (B.2) Original objectives of the intervention

In accordance with the provisions of Annex II to the Council conclusions on the EU Common Position for the Fourth High Level Forum on Aid Effectiveness, Busan, November 2011, the objectives of Joint Programming were to:

- Enhance the effectiveness and coherence of EU and Member States' aid
- Increase the impact and delivering better results
- Reduce fragmentation
- Increase transparency, predictability and accountability
- Be open to all relevant development stakeholders

<sup>2</sup> "EU Common Position for the Fourth High Level Forum on Aid Effectiveness" (Busan, 2011) – *European Union strengthening Joint Multi-annual Programming*:

[https://www.consilium.europa.eu/uedocs/cms\\_data/docs/pressdata/EN/foraff/126060.pdf](https://www.consilium.europa.eu/uedocs/cms_data/docs/pressdata/EN/foraff/126060.pdf)

Also reiterated in the "Council Conclusions on the EU common position for the First High Level Meeting of the Global Partnership for Effective Development Co-operation (Mexico City on 15-16 April 2014)" *FOREIGN AFFAIRS Council meeting Brussels, 17 March 2014*. <http://www.consilium.europa.eu/en/workarea/downloadasset.aspx?id=15603>

<sup>3</sup> Regulation (EU) No 233/2014

<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2014:077:0044:0076:EN:PDF>

<sup>4</sup> Regulation (EU) No 232/2014

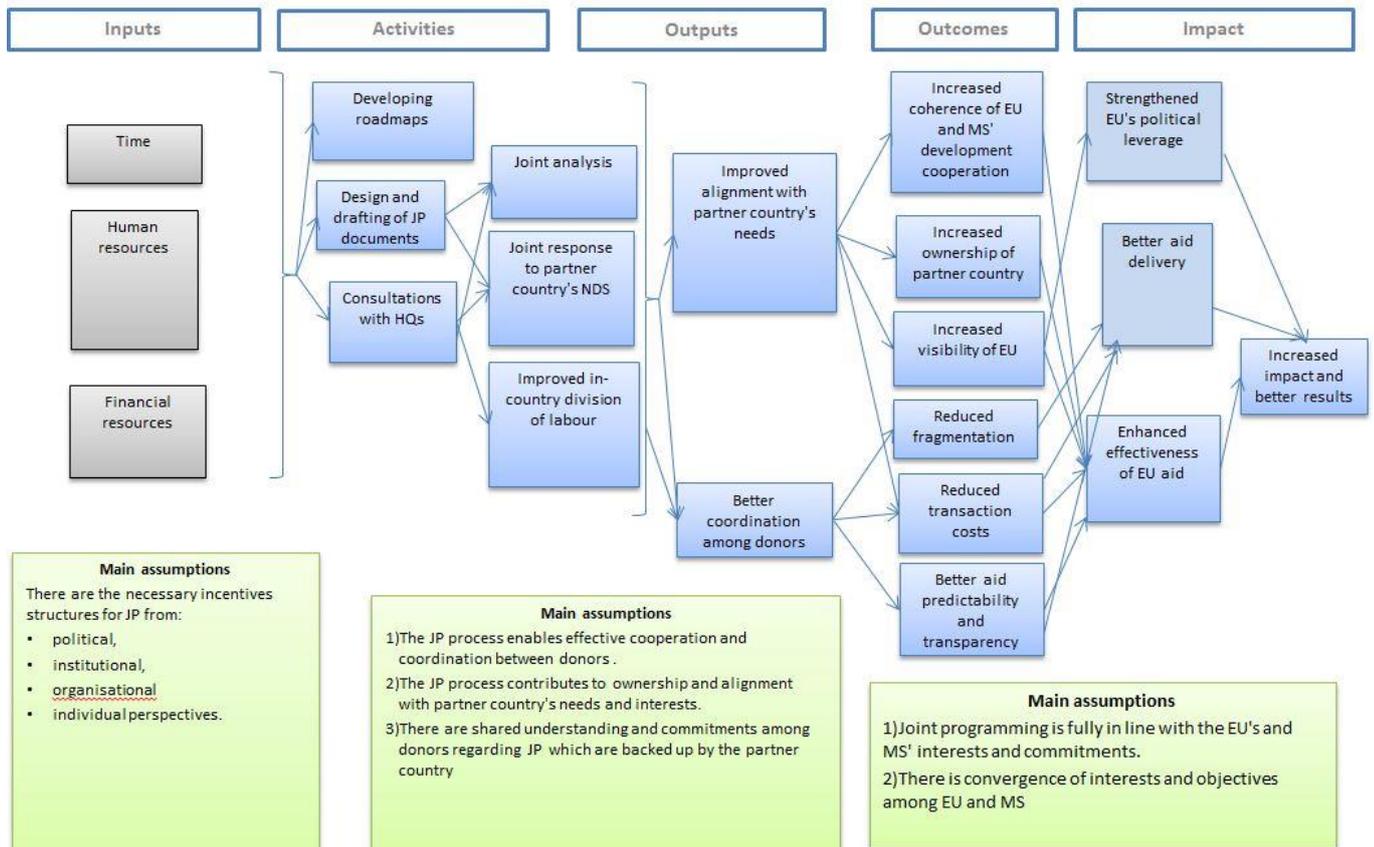
<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2014:077:0027:0043:EN:PDF>

<sup>5</sup> See EU Joint Programming Guidance Pack, available at: <http://capacity4dev.ec.europa.eu/joint-programming/minisite/eu-joint-programming-guidance-pack-2015>

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

The programmatic documents do not include an intervention logic of the joint programming process. The following intervention logic has been drawn together with the Inter-service Steering Group (ISG)<sup>6</sup> members as a basis for further discussion and validation with the main stakeholders. The evaluation will go through the Intervention Logic and test the main assumptions made when going through the logical chain from inputs to impact.

## Draft Intervention Logic of JP



### C. Scope of the evaluation

(C.1) Topics covered

The evaluation covers the Joint Programming process (retrospective) to identify lessons learned and provide recommendations for the future (prospective). By Joint Programming process one should understand the process as a whole that started with the first discussions about the possibility to undertake Joint Programming in a specific country, the decision made in this respect, the drafting and approval of the programmatic documents, the monitoring of the joint strategies and their outcomes (from the Intervention Logic).

It will cover the period 2011-2015 and all geographical regions, with specific case studies in order to illustrate the process. From the 23 countries with Joint Programming documents<sup>7</sup>, the following case studies have been **preliminarily identified**, taking into account availability of data and geographical balance: Bolivia, Burundi, Cambodia, Ethiopia, Georgia, Ghana, Guatemala, Mali, Morocco, Mozambique, Myanmar, Senegal, Uganda and

<sup>6</sup> See point E for the composition of the Group

<sup>7</sup> <http://capacity4dev.ec.europa.eu/joint-programming/document/joint-programming-tracker>

Zambia. The list of the case studies will be adjusted during the inception phase.

A comparative analysis will be undertaken for case studies by assessing the situation before and after the Joint Programming and also between a Joint Programming case study and a case study with other coordination structures in place. In this respect, it is suggested to include Zambia, since it had been decided not to move to Joint Programming based on the argument that current processes already met the Joint Programming objectives. Assessment of this case could help to compare Joint Programming cases with a non-Joint Programming, which could provide further insight in the added value of Joint Programming.

#### (C.2) Issues to be examined

Following consultations with the members of the Inter-service Steering Group, the following issues have been identified to be further examined. This is an indicative list which will be discussed and can be refined during the inception phase of this evaluation.

The evaluation should focus on the assessment of the **added value of Joint Programming and** additional benefits for the various stakeholders (Member States HQs and field staff, governments of partner countries) in comparison to bilateral programming and to other coordination mechanisms.

The assessment will be done by covering the following aspects:

##### a. Relevance

It will be assessed **to what extent the current objectives and assumptions of Joint Programming were and are still valid**, i.e. responding to critical needs and problems affecting the effectiveness of the development policy. It should be considered how the enabling environment for Joint Programming has changed over time and what were the driving factors supporting and/or hindering that change. It should also analyse its relevance for the partner country.

##### b. Effectiveness

Main question is **to what extent the objectives of Joint Programming have been achieved or are in the process of being achieved**. In addition it will be assessed what the **determining factors** were which influenced the achievement (or non-achievement). When doing so, a key element is to assess the incentive structures for Joint Programming for the various stakeholders from political, institutional, organisational and individual perspectives. A particular emphasis should be put on the partner countries' role.

##### c. Coherence

To what extent has the Joint Programming been **in line and responsive to** the relevant policies of the EU, EU Member States and other donors?

##### d. Efficiency

Main questions to be addressed are **how the inputs were used in order to achieve the outputs and whether resources were used in the right way**. When dealing with these questions, the following aspects should be taken into account:

- Time and resources invested in the process of Joint Programming by the headquarters (HQ) of the Commission and of the European External Action Service in Brussels, delegations and MS (desk-based and in-country support to the process in developing roadmaps, design and drafting of Joint Programming documents, Joint Programming implementation and monitoring, etc.).
- The quality of Joint Programming outputs and process (learning curve effect).
- Adequacy of HQs targeted Joint Programming guidance and promotion
- Relationship between HQs' and decentralised levels in decision making on Joint Programming
- Effect on transaction costs for donors in the short- and long-term (for instance through joint/shared analysis; sharing of workload; relationship between Joint Programming documents and bilateral programming documents; effects on donors' coordination)
- Effect on transaction costs for partner countries

##### e. Sustainability

Main question is to assess whether and/or how **Joint Programming could become a natural and regular tool for EU and MS cooperation** and could be embedded in the EU and MS processes and procedures for

programming, and what the main factors are in order to ensure this sustainability, including ownership by partner countries.
(C.3) Other tasks
N/A

D. Evidence base
(D.1) Evidence from monitoring
<p>For this evaluation, data will be used from the following sources (non-exhaustive):</p> <ul style="list-style-type: none"> <li>- Joint Programming final documents</li> <li>- Joint Programming intermediary documents</li> <li>- Past bilateral programming documents of Member States</li> <li>- Past programming documents of the EU Institutions</li> <li>- Minutes of Meetings and key correspondence</li> <li>- Relevant Reports</li> <li>- Documents from Partner Countries</li> <li>- Field visits will be undertaken during the course of the evaluation for in-depth study of a number of interventions</li> <li>- The <b>framework for monitoring</b> from the joint strategy in each partner country should provide the appropriate indicators.</li> </ul>
(D.2) Previous evaluations and other reports
<p>Some relevant EU evaluations looked at the joint programming process in the framework of the strategic country level evaluations such as the one in Haiti:  <a href="https://ec.europa.eu/europeaid/strategic-evaluation-eu-cooperation-republic-haiti-2008-2012_en">https://ec.europa.eu/europeaid/strategic-evaluation-eu-cooperation-republic-haiti-2008-2012_en</a></p> <p>Several studies have been/are being carried out concerning the joint programming process and aid effectiveness, in general, among which the most relevant are the following ones:</p> <ul style="list-style-type: none"> <li>• A study from the Commission Joint Research Centre on Aid fragmentation<sup>8</sup></li> <li>• A study by the European Centre for Development Policy Management (ECDPM) which looks at political economy of Joint Programming (ongoing)</li> <li>• A study commissioned by the European Parliament: The Cost of non-Europe in Development in Development Policy<sup>9</sup></li> </ul>
(D.3) Evidence from assessing the implementation and application of legislation (complaints, infringement procedures)
Not applicable
(D.4) Consultation
<p>The beneficiaries of the evaluation are the European Commission (DG DEVCO and DG NEAR), the High Representative /Vice-president of the Commission (and her service, the European External Action Service, EEAS) and EU delegations in partner countries.</p> <p><u>The main stakeholders for this evaluation</u> (non-exhaustive lists):</p> <p>Member States' Stakeholders</p>

<sup>8</sup> <https://ec.europa.eu/jrc/en/publication/fragmentation-development-aid> and [http://www.ael.ethz.ch/downloads/2015/Papers/Buscaglia\\_and\\_Garg.pdf](http://www.ael.ethz.ch/downloads/2015/Papers/Buscaglia_and_Garg.pdf)

<sup>9</sup> [http://www.europarl.europa.eu/RegData/etudes/etudes/join/2013/494464/IPOL-JOIN\\_ET\(2013\)494464\(ANN03\)\\_EN.pdf](http://www.europarl.europa.eu/RegData/etudes/etudes/join/2013/494464/IPOL-JOIN_ET(2013)494464(ANN03)_EN.pdf)

- Evaluation services within the Member States
- Programming services within the Member States
- Member States' Embassies in partner countries

#### Partner countries' Stakeholders

- Governments of the partner countries
- International organisations present in partner countries
- Other donors present in partner countries
- Non-state actors

#### Stakeholders' consultation

1. Evaluation roadmap
  - ✓ Feedback can be provided on this roadmap via the European Commission website (it should preferably be sent within the first 4 weeks following publication).
2. Inception and desk phase
  - ✓ During the inception and desk phase, the stakeholders will be consulted via phone/email/face to face discussions. The use of interviews, surveys, questionnaires and other tools will be considered and decided upon during the inception phase. Their contributions will be considered when finalising the Inception and Desk phase reports.
3. Field phase
  - ✓ During the field phase several partner countries (among the ones identified for the case studies) will be visited by the evaluation team. The evaluators will meet the main stakeholders in the partner countries relevant for the scope of the evaluation. Interviews, focus groups, small workshops will be organised in the field. After the conclusion of the field missions, debriefing sessions will be organised with the staff from the respective Delegations and with the members of the ISG in Brussels.
4. Draft Final Report
  - ✓ Once the Draft Final Report has been approved, a stakeholder workshop will be organised together with the Member States in order to discuss the findings, the conclusions and the preliminary recommendations. The results of the discussion will be integrated in the revised version of the report.
5. Dissemination
  - ✓ A dissemination seminar will be organised in Brussels on the basis of the Final Report once the evaluation has been completed.
  - ✓ Member States may also present the findings, conclusions and recommendations of the evaluation at national level in the framework of various events.

(D.5) Further evidence to be gathered

Not applicable

### **E. Other relevant information/ remarks**

The evaluation lead and responsibility lie with DG DEVCO Evaluation Unit. An Inter-service Steering Group will assist DG DEVCO Evaluation Unit in the management of the evaluation. Its principal functions will be to:

- Discuss and comment on the Terms of Reference drawn up by the DEVCO Evaluation Unit
- Discuss draft reports produced by the evaluation team
- Ensure the evaluation team has access to and consults all information sources and documentation on activities undertaken
- Discuss and comment on the quality of work done by the evaluation team
- Provide inputs to the Quality Assessment Grid
- Provide feedback on the findings, conclusions and recommendations of the evaluation

The group will consist of DG DEVCO Evaluation Unit (lead), the Joint Programming teams in EEAS and DG DEVCO as well as representatives from the Secretariat-General, DG NEAR and regional and thematic representatives from EEAS and DG DEVCO. Because of the joint nature of Joint Programming, this will be also a

joint evaluation. Therefore, the evaluation units and/or Joint Programming experts of the MS have been invited to participate in the evaluation process. Until now, France, Italy and the Netherlands expressed their interest to be actively involved in the evaluation process.