



# **External Evaluation of the Partnership Instrument (2014 – mid 2017)**

## **Final Report - Annexes**

**June 2017**

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*Evaluation carried out on behalf of the European Commission*



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## **External Evaluation of the Partnership Instrument**

### **Final Report - Annexes**

**This evaluation was commissioned by the Partnership  
Instrument Unit of the Service for Foreign Policy  
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**The report consists of:**  
**Short Summary**  
**Volume I: Final Report**  
**Volume II: Final Report - Annexes**

**SHORT SUMMARY**

**VOLUME I: FINAL REPORT**

Executive summary

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2. Methodology

3. Answers to the evaluation questions

4. Overall conclusions and recommendations

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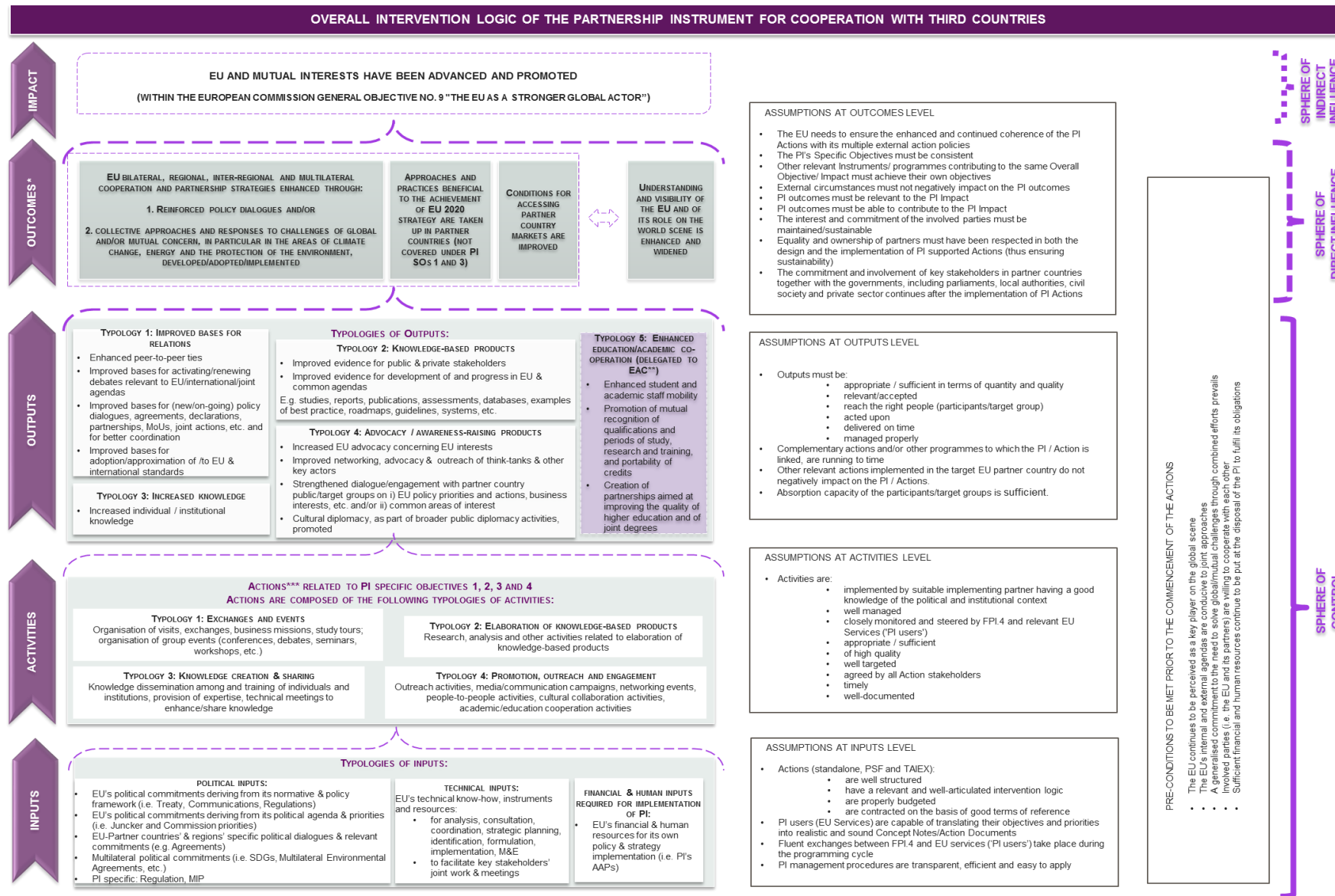
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## Main acronyms and abbreviations

AAPs	Annual Action Programmes
CBMM-China	Capacity-Building for Migration Management in China
CIR	Common Implementing Regulation
CITD	Capacity-building Initiative for Trade Development in India
CSO	Civil Society Organisation
DCI	Development Cooperation Instrument
EAP	Environmental Action Programme
EDF	European Development Fund
EEAS	European External Action Service
EFIs	External Financing Instruments
EIP	European Innovation Partnership
EU	European Union
FPI	Foreign Policy Instruments
FTA	Free Trade Agreement
GAMM	Global Approach to Migration and Mobility
GPGC	Global Public Goods and Challenges
GTKE	Getting To Know Europe
HLD	High-Level Dialogue
HoD	Head of Delegation
HoU	Head of Unit
HQ	Headquarters
HRVP	High Representative / Vice President
IA	Impact Assessment
ICI	Instrument for industrialized and other high income countries
IFM	Innovative Financing Mechanism
ILO	International Labour Organisation
IOM	International Organisation for Migration
ISC	Inter-Service Consultation
MBI	Market-Based Instrument
MFF	Multiannual Financial Framework
MTR	Mid-Term Review
OPC	Online Public Consultation
PI	Partnership Instrument
PSF	Policy Support Facility
RfS	Request for Services
SDG	Sustainable Development Goal
SESEI	Seconded European Standardisation Expert for India
SP	Strategic Partnership
TACD	Transatlantic Consumer Dialogue
TAIEX	Technical Assistance and Information EXchange instrument
TCs	Third Countries
TEU	Treaty on the European Union
TFEU	Treaty on the Functioning of the European Union
TOR	Terms of Reference
TTIP	Transatlantic Trade and Investment Partnership
UNFCCC	United Nations Framework Convention on Climate Change

## **Annex 1: Monitoring and Evaluation framework**

### **1A - PI Intervention Logic**



\* The term 'outcome' equals the term 'result' as in the new instructions from the Secretary General linked to the Better Regulation Guidelines and the development of Strategic Plans of DGs. Due to the fact that the PI is an external action instrument with a strong influence of OECD/DAC terminology, the term outcome will be used.

\*\* PI funds for the implementation of the Erasmus+ Programme are transferred to DG EAC. The implementation, monitoring and evaluation of these funds is subject to the provisions of the Regulation (EU) No 1288/2013 of the European Parliament and of the Council of 11 December 2013 establishing 'Erasmus+' and is beyond the scope of the management of the PI.

\*\*\* PI actions are either standalone or PSF/TAIEX. Standalone actions are of a longer-term and structural nature. PSF and TAIEX actions are more ad-hoc, reacting to short-term needs or building ground for future standalone actions, in support of the PI strategy.



## 1B – PI common indicators



PI Indicator Fiches  
Final agreed.docx

## 1C – Glossary

Short form	Meaning
Process	<p>Actions under the PI are mainly concerned with helping to make something happen. Normally there will be a process under way, or which needs to be developed, and which ultimately leads to the desired change.</p> <p>This process may need to be initiated, or moved forward in some way, or perhaps enhanced (these terms are expanded on below) to improve the chances of the Action contributing to a desired impact.</p> <p>Process is used as a generic term for any line of action, or thinking, or policy development in a partner country or in a mutual relationship.</p> <p>Examples could be processes which work towards influencing the attitude of the partner government; developing a partnership; building a strategic relationship; bringing legislation closer to EU interests; dismantling trade barriers, etc.</p>
Initiate (a process)	<p>This relates to getting a process started for the first time.</p> <p>Verbs used in Action documents include initiate, start, mobilise, set-up, install, build, create, identify, establish.</p>
Move forward (a process)	<p>This relates to taking an established process and making it progress more efficiently and effectively.</p> <p>Verbs used in Action documents include assist, support, contribute, foster, help, provide, enable, facilitate, engage, promote, maintain, further.</p>
Enhance (a process)	<p>This relates to working on an established process and improving it, for example in terms of quality or reach. This is a step further than merely moving the process forwards.</p> <p>Verbs used in Action documents include enhance, expand, develop, deepen, maximise.</p>
Subject	<p>In most cases, we would like to know what the process which we are trying to influence is concerned with. Rather than specifying in advance a list of all possible subjects from which to choose, please describe in a few words what the main thrust of the process is.</p> <p>In the specific case where the process is leading up to some kind of change in a piece of legislation, or adoption of international standards, please state briefly what is the relevant subject of the legislation, or standards.</p> <p>For indicators OC8, OC9 and OC10, which are specific to trade, investment and business, please state which trade practices or barriers to market access are being targeted, or what the particular trade agreements or components of agreements cover.</p> <p>For other indicators, the meaning is defined in the indicator fiche.</p>

Event	<p>Event is used to cover the widest possible range of Activities under an Action. The classification has 6 categories: please choose the one which best describes the event:</p> <ul style="list-style-type: none"> <li>a) <i>Visits, exchanges, study tours</i></li> <li>b) <i>Business missions</i></li> <li>c) <i>Technical meetings (see explanation which follows)</i></li> <li>d) <i>Group events (conferences, debates, workshops, seminars)</i></li> <li>e) <i>Training</i></li> <li>f) <i>Outreach and advocacy (including networking events, cultural collaboration activities)</i></li> </ul>
Technical meetings	<p>Technical meetings are intended to describe meetings of equals (experts), discussing a specific technical subject. Other categories of event, such as training or group events, will have wider audiences and varying levels of knowledge.</p>
Occasions	<p>At output level we wish to record effort. For indicators OP1 and OP2 we therefore ask you to record the number of occasions where the basis for a process has been improved in some way, rather than the number of processes influenced.</p>
Sector of participants	<p>We would like to know the background of the participants in the events. The classification used is:</p> <ul style="list-style-type: none"> <li>i) <i>Government</i></li> <li>ii) <i>Business/private sector</i></li> <li>iii) <i>Academia</i></li> <li>iv) <i>Civil society</i></li> <li>v) <i>Media</i></li> <li>vi) <i>Other</i></li> </ul>
Target audience	<p>For public/media/communication campaigns (indicator A3), please describe in a few words who the targeted audience is.</p>
Campaigns	<p>For indicator A3, the word "campaign" is used in its broadest sense to include all types of outreach and advocacy: websites, leaflets, social media, posters, press releases, policy briefs, opinion pieces. Sometimes, a campaign will be composed of different activities and will run for a substantial amount of time if not the whole duration of an Action. At other times, a campaign will be more focused and implemented only at a particular limited point in time. The key issue is that the target audience are generic and are not targeted individuals or companies, in which case the activity would be described as an "event".</p>
Knowledge-based products	<p>This covers studies, reports, publications, assessments, databases, examples of best practice, roadmaps, guidelines, systems, etc., in other words specific outputs which add to the evidence base.</p>
Written statements	<p>For indicator OP8, we are interested to measure the output from events in terms of written statements: in other words statements which indicate that the event produced something concrete, such as joint statements, resolutions or agreements. The key thing is that they are written and not verbal.</p> <p>Only written statements that are products of the event are to be counted. If at the margins of the event some other written statements are made not related to the subject and purpose of the event, these should not be counted. Nor should oral statements</p>

	made for example during press conferences be counted.
Approaches	Approaches, objectives and policies. This relates to the partner country's stated or inferred position about a particular subject. Our involvement is in order to influence a present or future direction.
Practices	Practices, legislation and standards. This relates to how the partner country puts its approaches into actual practice, when related to a particular subject. Our involvement is in order to influence existing practices (or initiate them)
[country]	In the guidance, and examples of indicators, where [country] appears please replace it with the name of the relevant country, or countries, or if required a region.
<b>Words of a qualitative nature</b>	
Justification	<p>This is a specific kind of narrative remark and is the most important part of the indicator system. Due to the nature of the PI (an instrument which influences rather than one which can make direct changes) it is vital to add depth to the indicators. This applies equally to the baseline statements, the targets and the final values.</p> <p>For a number of output and most outcome indicators it is necessary to say <u>why</u> it is thought that a particular thing has happened, i.e. to justify the assessment.</p> <p>1. narrative remarks to say why it is thought that the basis for a particular process has been improved (output indicators 1 and 2); 2. narrative remarks to say why it is thought that a process has been initiated, moved forward or enhanced (outcome indicators 1, 2, 3, 4, 6, 7 and 8), influenced (outcome indicator 5) or a contribution made towards advancing it (outcome indicators 9 and 10).</p> <p>This will be a qualitative judgement based on the best information available at the time. Imagine that you have been asked the question "Why do you think that the process has been moved forward/ influenced? Why do you think the process has been advanced? What evidence is there?" and record the reasons, however subjective they may be.</p>
Status of agreement	<p>For indicator OC10 we are interested in EU trade and investment agreements with partner countries and the point at which we intervene. For this we use the word "status", at three levels:</p> <p><i>Negotiation</i> <i>Implementation</i> <i>Enforcement</i></p>
Perception	<p>For indicator OC11 we record the change in EU companies' perceptions of the business, trade and investment climate in partner countries. This is to be recorded as</p> <p><i>Much more positive</i> <i>More positive</i> <i>About the same</i> <i>More negative</i> <i>Much more negative</i></p>

## Annex 2: Evaluation approach

### 2A – Evaluation Questions Matrix

Evaluation question	Judgement criteria	Preliminary Indicators	Sources of evidence
<b>Evaluation criterion: Relevance</b>			
<p><b>EQ 1: To what extent do the overall objective (PI Regulation, Article 1(1)), the four specific objectives (PI Regulation, Article 1(2)), the thematic priorities (PI Regulation, Annex) and the design of the PI respond to:</b></p> <ul style="list-style-type: none"> <li>▪ <b>EU priorities identified at the time the instrument was adopted (2014)?</b></li> <li>▪ <b>Current EU priorities, in particular as regards its strategic relationship with countries covered by the PI, given the evolving challenges and priorities in the international context?</b></li> </ul> <p><i>EU priorities can be understood differently, both the PI-regulation and Europe 2020 strategy gives some indication on what exact EU priorities.</i></p>	<p>1.1 The PI <b>design</b> (e.g. PI scope and focus) (i) responded to EU priorities at the time of adoption; and (ii) continues to respond to current EU priorities given the evolving challenges and priorities in the international context<sup>1 2</sup></p>	<p>1.1.1 Stakeholder views and documentary evidence confirm that the overall and the four specific objectives of the PI (i) responded to EU priorities in 2014; and (ii) continue to respond to current EU priorities</p> <p>1.1.2 Identification of EU priorities in its relations to partners at the time the PI was adopted</p> <p>1.1.3 Identification of evolving challenges and changing needs in the international context</p> <p>1.1.4 Identification and graphical depiction (in a timeline) of congruence/divergence of the PI against the evolving context</p> <p>1.1.5 Stakeholder views and documentary evidence confirm that the PI objectives reflect global challenges, including</p>	<p>Review and analysis of:</p> <ul style="list-style-type: none"> <li>• Background documents</li> <li>• Legal documents</li> <li>• Programming documents</li> <li>• PI policy framework documents</li> </ul> <p>Consultation programme with:</p> <ul style="list-style-type: none"> <li>• FPI staff</li> <li>• Members of PI Implementation Working Group</li> <li>• Members of PI Committee</li> </ul>

<sup>1</sup> The TOR indicate that the discussion on relevance should in particular discuss the extent to which PI-supported actions have responded to global challenges in the area of climate change, energy and environment. We do not consider this as a separate evaluation question but as evaluation judgement criterion, looking into how these global challenges are reflected in the PI objectives.

<sup>2</sup> Under effectiveness, impact and sustainability, the TOR ask to collect evidence on the extent to which the PI is flexible to respond to changing needs. We do not treat it as a separate evaluation question but consider that this is part of the discussion on the relevance of the instrument, which will look into the needs that the PI aims to address, how they have evolved since the creation of the PI and if the PI is still the most appropriate instrument to address them.

Evaluation question	Judgement criteria	Preliminary Indicators	Sources of evidence
<p><b>Focus on to what extent the PI has maintained relevance in a changing policy context. Comparison between stated objectives of the PI and strategic EU priorities.</b></p> <p><b>This will require evidence on the PI's capacity (in the sense of design and fitness for purpose) to address EU priorities. Including to what extent PI programming has addressed challenges of global concern and promoted Union and mutual interest.</b></p>		specifically those related to climate change, energy and environment	<ul style="list-style-type: none"> <li>Political staff at Delegations</li> </ul> <p>Mid-term and final evaluations of sample of PI funded actions</p>
	<p>1.2 The PI is flexible enough to respond to changing needs (e.g. changed policy priorities, summit/high-level dialogue conclusions, written agreements such as MoUs, changed contexts)</p>	<p>1.2.1 Evidence and examples of the extent to which the AAPs have adapted to / reflected the evolving international context / changing EU priorities</p> <p>1.2.2 Mechanisms are in place to ensure the PI responds to changing EU priorities</p>	
	<p>1.3 The 2014 CIR regulation is aligned and helps address needs and priorities in the implementation of the PI (<b>process</b>)<sup>3</sup></p>	<p>1.3.1 Stakeholder views and documentary evidence confirm that the CIR are aligned and helps address needs and priorities in the implementation of the PI</p>	
	<p>1.4 The PI has been used as an instrument of last resort and has not funded activities that could have been supported through other means</p> <p><i>Moved from ToR EQ 2 sub-question</i></p>	<p>1.4.1 The PI is used when no other funding is available</p>	

<sup>3</sup> The TOR indicate that the discussion on relevance should in particular discuss the extent to which the PI helps to translate political commitments into concrete measures. We do not consider that as a separate question but as a judgement criterion to assess whether or not the PI is an appropriate instrument.

Evaluation question	Judgement criteria	Preliminary Indicators	Sources of evidence
<b>Evaluation criteria: Effectiveness, impact, sustainability</b>			
<p><b>EQ 2: To what extent does the PI deliver results against the instrument's objectives, and specific EU priorities?</b></p> <p><i><b>NOTE: Sub-question from ToR: "To what extent has the PI contributed to the European Union's priorities for smart, sustainable and inclusive growth?" has been removed since it is already covered under EQ 2 (i.e. objective 2 of the PI Regulation - external dimension of Europe 2020)</b></i></p> <p><i><b>Indicators for Specific Objectives are adapted from the document "Guidance on Indicators for the Actions of the Partnership Instrument". Evaluators suggest the use of "outcome indicators" which match the outcomes presented in the PI intervention logic.</b></i></p> <p><i><b>Approaches and processes are understood as defined in the accompanying glossary to the guidance of indicators (i.e. approaches is what actors would like to do and practices is what actors actually do).</b></i></p>	<p>2.1 PI financed actions contribute to advancing and promoting EU's and mutual interests, and more specifically towards the four specific objectives set out in the PI Regulation (including the extent to which the PI through its suite of supported actions has responded (or are intended to respond) to global challenges in the area of climate change, energy and environment)</p>	<p>2.1.1 Number of processes related to both non-state level and state-level / sub-state level (bilateral, regional, multi-lateral) partnership strategies and policy dialogues which have been influenced</p> <p>2.1.2 Number of processes related to partner country approaches / practices to challenges of global concern which have been influenced</p> <p>2.1.3 Number of processes related to the positions partner countries take in the run-up to or during regional/international fora which have been influenced</p> <p>2.1.4 Stakeholder views and documentary evidence confirm that the PI actions reflect global challenges related to climate change, energy and environment</p> <p>2.1.5 Number of processes related to partner country approaches / practices beneficial to the achievement of the Europe 2020 strategy which have been influenced</p> <p>2.1.6 Number of processes related to partner country practices on trade, investment and business which have been influenced</p> <p>2.1.7 Number of processes related to the removal of barriers to</p>	<p>Review and analysis of:</p> <ul style="list-style-type: none"> <li>• Programming documents</li> <li>• Implementation reports</li> </ul> <p>Consultation programme with:</p> <ul style="list-style-type: none"> <li>• FPI staff</li> <li>• Members of PI Implementation Working Group</li> <li>• Members of PI Committee</li> <li>• Political staff at Delegations</li> </ul> <p>Review of documentation for all funded actions up to agreed cut-off date (see above) and completion of first database</p> <p>Follow-up contacts (e-mails, telephone) with implementing partners and PI project managers</p> <p>Mid-term and final evaluations of sample of PI funded actions</p>

Evaluation question	Judgement criteria	Preliminary Indicators	Sources of evidence
		<p>market access, investment and business which have been influenced</p> <p>2.1.8 Number of processes related to the negotiation, implementation or enforcement of EU trade and investment agreements with partner countries which have been influenced</p> <p>2.1.9 Evidence and key perceptions of the business, trade and investment climate in partner countries</p> <p>2.1.10 Stakeholder feedback of the PI contributions to increasing visibility of the Union's interests and values and promotion (by means of for example public diplomacy, outreach activities)</p> <p>2.1.11 <i>External circumstances</i> remain favourable to the realisation of the potential of the PI in terms of:</p> <ul style="list-style-type: none"> <li>• Continued perception by partners that the PI respects the principle of equality and ownership of partners</li> <li>• Continued commitment of involved third parties (partners and stakeholders in TCs)</li> <li>• Stable international environment</li> </ul> <p>2.1.12 <i>Internal conditions</i> support the realisation of the potential of the PI in terms of:</p>	



Evaluation question	Judgement criteria	Preliminary Indicators	Sources of evidence
		<ul style="list-style-type: none"> <li>• Internal coherence of the PI and complementarities/synergies between supported action</li> <li>• Coherence of the PI and other EU relevant instruments / EU external action policies</li> </ul> <p><i>(see the coherence evaluation criterion below)</i></p>	
	<p>2.2 The PI mainstreams, where relevant, EU policy priorities (e.g. gender, climate change) and other issues highlighted for mainstreaming in the instrument, and deliver on the commitments including the financial allocations</p>	<p>2.2.1 Proportion of climate related activities of PI budget vis-à-vis 20 % spending goal (as specified in 'A budget for Europe' Commission Communication)</p> <p>2.2.2 Number of actions where there is evidence of the integration of:</p> <ul style="list-style-type: none"> <li>• Gender related issues</li> <li>• Climate change considerations</li> <li>• Principles of democracy, equality, respect for human rights and fundamental freedoms and the rule of law (Art.3 of the PI Regulation)</li> </ul>	
	<p>2.3 The PI processes are conducive / lead to programming, identification / formulation of effective Actions (PI Regulation, Articles 4-7)</p>	<p>Stakeholder views and documentary evidence confirm that:</p> <p>2.3.1 The setting of the priorities on a multi-annual basis is strategic (long-term thinking evidenced in the MIP)</p> <p>2.3.2 There is clarity regarding the availability of resources and budget allocation over time</p> <p>2.3.3 The adopted AAPs provide evidence that the priorities set in the MIP have been</p>	

Evaluation question	Judgement criteria	Preliminary Indicators	Sources of evidence
		<p>followed (or it can be explained why this is not the case)</p> <p>2.3.4 PI users are capable of translating their objectives and priorities into realistic and sound Concept Notes / Action Documents</p>	
<p><b>EQ 3: What lessons can be learned from the programming and implementation of PI assistance to improve the effectiveness, impact and sustainability of financial assistance?</b></p> <p><i>Note: EQ 3 moved from the ToR section "Leverage" and adapted to reflect more the lessons learned and conclusions. Answers to this question is heavily informed by EQ1 and EQ2.</i></p> <p><i>EQ3 also includes EQ7 of the TOR ("How could the PI be enhanced to achieve its policy objectives more effectively?") as the formulation of recommendations will directly relate to the lessons learnt.</i></p>	<p>3.1 There is scope to enhance the programming / implementation of PI assistance to improve its effectiveness, impact and sustainability of the instrument and its actions</p>	<p>Stakeholder views and documentary evidence confirm that:</p> <p>3.1.1 Lessons learnt on how programming and implementation can be enhanced to improve the impact and sustainability of the PI and its actions</p> <p>3.1.2 Areas where the PI has been more successful to date and areas where there is scope to improve the effectiveness and impact of financial assistance</p> <p>3.1.3 Depending on the nature of each action, degree to which funded actions are sustainable, i.e. would continue with a reduction of / in the absence of EU funding or have influenced a process</p>	<p>Consultation programme with:</p> <ul style="list-style-type: none"> <li>• FPI staff</li> <li>• Members of PI Implementation Working Group</li> <li>• Political staff at Delegations</li> </ul> <p>Mid-term and final evaluations of sample of PI funded actions</p> <p>OPC</p>
<b>Evaluation criterion: Efficiency</b>			
<p><b>EQ 4: To what extent is the PI delivering efficiently?</b></p> <p><i>EQ4 will also address the point made in EQ7 of the TOR ("How could the PI be enhanced to achieve its policy</i></p>	<p>4.1 The ratio of administrative costs (defined as "PI Support Expenditure" in the Draft General Budget of the EU) to overall budget is reasonable and proportionate</p>	<p>Stakeholder views and documentary evidence confirm that:</p> <p>4.1.1 Ratio of administrative costs to overall budget versus benchmarks from other EFIs is proportionate</p>	<p>Review and analysis of:</p> <ul style="list-style-type: none"> <li>• Legal documents</li> <li>• Programming documents</li> </ul>

Evaluation question	Judgement criteria	Preliminary Indicators	Sources of evidence
<p><b>objectives more efficiently?"): as the formulation of recommendations will directly relate to the lessons learnt.</b></p>		<p>4.1.2 PI administrative costs are reasonable in relation to the instrument's overall budget</p>	<ul style="list-style-type: none"> <li>• Implementation reports</li> </ul>
	<p>4.2 The PI is implemented flexibly and adaptively in response to needs</p>	<p>4.2.1 Estimated time from concept note to approval is proportionate</p>	<p>Consultation programme with:</p> <ul style="list-style-type: none"> <li>• FPI staff</li> </ul>
	<p>4.3 Budget execution is efficient in terms of time taken from commitments to payments</p>	<p>4.3.1 Estimated time from budget commitment to payment is proportionate</p> <p>4.3.2 Feedback from implementing partners, PI project managers and key staff on:</p> <ul style="list-style-type: none"> <li>• De-committed amounts and accuracy of financial allocation planning</li> <li>• Differences between planned and actual schedule of implementation and nature of delays (if any) affecting disbursement and implementation</li> </ul>	<ul style="list-style-type: none"> <li>• Members of PI Implementation Working Group</li> <li>• Political staff at Delegations</li> </ul> <p>Mid-term and final evaluations of sample of PI funded actions</p> <p>OPC</p>
	<p>4.4 The administrative burden is reasonable and not excessive (<i>and as a 2<sup>nd</sup> step we will explore the possible simplification options</i>)<sup>4</sup></p>	<p>4.4.1 Feedback from implementing partners, PI project managers and key staff on the adequacy of administrative / management procedures</p> <p>4.4.2 Management procedures are transparent, efficient and easy to apply</p>	

<sup>4</sup> The EQM initially included an indicator on "Fluent exchanges take place between FPI.4 and PI users during the programming cycle" and an indicator on "Areas of improvement in relation to administrative / management procedures" which are dealt with under judgement criterion 7.5 and included in the lessons learned under the effectiveness question (EQ3).

Evaluation question	Judgement criteria	Preliminary Indicators	Sources of evidence
		4.4.3 Approximate amount of time/resources to deal with administrative and management procedures	
	4.5 The PI is aligned with the implementing rules of the CIR	4.5.1 Stakeholder views and documentary evidence confirm that the PI is aligned with the implementing rules of the CIR, in terms of:  (i) implementation;  (ii) provisions on the financing methods;  (iii) rules on nationality and origin for public procurement, grants and other award procedures;  (iv) climate action and biodiversity expenditure;  (v) involvement of stakeholders of partner countries;  (vi) common rules and  (vii) monitoring and evaluation of actions	
	4.6 There is an appropriate monitoring and evaluation system in place (including processes and indicators) for measuring performance and results at the level of - the PI - individual actions	Both at the level of the PI and of individual actions:  4.6.1 There are processes and indicators in place to measure performance and results of the actions  4.6.2 Roles and responsibilities for M&E are clearly defined and	

Evaluation question	Judgement criteria	Preliminary Indicators	Sources of evidence
		<p>understood</p> <p>4.6.3 The processes in place are appropriate / enforced</p> <p>4.6.4 The indicators in place are reasonable / achievable</p> <p>4.6.5 Reporting templates are adequate for reporting on the indicators</p> <p>4.6.6 The reports / indicators feed back in the overall PI processes</p>	
<b>Evaluation criterion: EU added value</b>			
<p><b>EQ 5: To what extent do the PI actions add value compared to interventions by Member States or other key actors?</b></p> <ul style="list-style-type: none"> <li>• <b>Where the PI is operating in the same field as EU Member States and other key actors, does it offer added value in terms of size of engagement, particular expertise, and/or particular weight in advocacy?</b></li> <li>• <b>What would be the most likely consequences of stopping or withdrawing the PI support?</b></li> </ul> <p><i>Note: sub-question added by evaluators</i></p>	<p>5.1 Issues addressed by the PI require action at EU level</p> <p><i>Note: second judgement criteria is an addition by evaluation team</i></p>	<p>See indicators on relevance as they assess the degree to which the support provided addresses a need:</p> <p>5.1.1 Stakeholder views and documentary evidence confirm that the benefits provided by the PI could not have been achieved by other instruments / programmes at national and subnational level in terms of:</p> <ul style="list-style-type: none"> <li>• Size of engagement</li> <li>• Expertise</li> <li>• Influence</li> </ul>	<p>Consultation programme with:</p> <ul style="list-style-type: none"> <li>• FPI staff</li> <li>• Members of PI Implementation Working Group</li> <li>• Members of PI Committee</li> <li>• Political staff at Delegations</li> </ul> <p>Review of documentation for all funded actions up to agreed cut-off date and completion of first database</p>
<p><b>EQ 6: To what extent has the PI leveraged further funds and/or political or policy engagement?</b></p>	<p>6.1 The PI has increased political and policy engagement with the EU (strategic partners)</p>	<p>6.1.1 Evidence of greater political engagement by other actors such as partner countries</p>	<p>Follow-up contacts (e-mails, telephone) with implementing</p>

Evaluation question	Judgement criteria	Preliminary Indicators	Sources of evidence
<p><b>Note: the evaluators consider that the leverage of the PI is one of the added value the EU instrument is expected to bring. The question related to leverage constituted a separate entry in the initial EQM but it will be actually assessed under EU added value. The definition of a specific evaluation question and corresponding judgment criteria and indicators will allow the conclusions to feed into the overall evaluation in a coherent manner.</b></p>	<p>6.2 The PI has contributed to the leveraging of funding from other actors</p>	<p>6.2.1 Evidence of other funding leveraged (e.g. private or other sources)</p>	<p>partners and PI project managers Mid-term and final evaluations of sample of PI funded actions OPC</p>
<p><b>Evaluation criteria: Coherence, consistency, complementarity and synergies</b></p>			
<p><b>EQ 7: To what extent does the PI facilitate coherence, consistency, complementarity and synergies</b></p> <ul style="list-style-type: none"> <li>• internally between its own set of objectives and actions</li> <li>• vis-à-vis other EFIs</li> <li>• Vis-à-vis other EU policies and instruments, and</li> <li>• With intervention by other actors (including EU Member States) ?</li> </ul>	<p>7.1 The different PI actions are aligned with EU interests</p>	<p>7.1.1 Stakeholder views and documentary evidence confirm that the different PI actions are guided by clear rationale and appropriate consideration to core EU interests</p>	<p>Review and analysis of:</p> <ul style="list-style-type: none"> <li>• Background documents</li> <li>• Legal documents</li> <li>• Programming documents</li> <li>• Implementation reports</li> <li>• PI policy framework documents</li> </ul> <p>Consultation programme with:</p> <ul style="list-style-type: none"> <li>• FPI staff</li> <li>• Members of PI Implementation Working Group</li> </ul>
<p>7.2 The different PI actions are consistent with EU external action policies (e.g. EU trade policy, European Neighbourhood Policy)</p>	<p>7.2.1 Stakeholders views and documentary evidence confirm that the PI is consistent with EU external policies</p>		
<p>7.3 The actions complement / overlap / stimulate synergies with other EFIs (e.g. DCI) and EU instruments outside of development policy (e.g. COSME, H2020)</p>	<p>7.3.1 Stakeholder views and documentary evidence confirm that the PI complements other EFIs and EU instruments</p> <p>7.3.2 Evidence that in countries eligible for funding under DCI, ENI or IPA II, first call is made on those</p>		

Evaluation question	Judgement criteria	Preliminary Indicators	Sources of evidence
		instruments within their scope of action before resorting to PI	<ul style="list-style-type: none"> <li>• Members of PI Committee</li> <li>• Political staff at Delegations</li> </ul>
	7.4 The PI is internally coherent	7.4.1 Stakeholder views and documentary evidence confirm that the PI objectives are coherent with one another  7.4.2 Stakeholder views and documentary evidence confirm that PI funded actions are coherent with one another	Review of documentation for all funded actions up to agreed cut-off date and completion of first database  Follow-up contacts (e-mails, telephone) with implementing partners and PI project managers
	7.5 PI decision-making operationalises the coherence requirement	7.5.1. There are mechanisms in place to ensure the internal and external coherence of the PI support	Mid-term and final evaluations of sample of PI funded actions
	7.6 The PI complements / overlaps with interventions of other key actors, in particular EU Member States  <i>Note: the approach to this judgment criterion will be coordinated across EFI evaluations</i>	7.6.1. Stakeholder views and documentary evidence confirm that the PI complements / overlaps with interventions of other key actors	

## 2B – Evaluation design and evaluation tools

The evaluation focuses on a defined set of evaluation questions (EQs) covering the five mandatory evaluation criteria (as defined in the Better Regulation “Toolbox”) in addition to several other criteria that help hone in on the key issues of concern. The Evaluation Questions Matrix (EQM, Annex 2) framed and guided our approach to the evaluation.

Our methodology comprised three distinct pillars that, together, allowed us to examine the PI as a whole and in terms of specific actions. The three research pillars were sequenced so that the earlier parts shaped, informed and validated the later data collection and analysis. Each is described below.

The **first pillar** was a **meta-evaluation** that collected and analysed data on two distinct dimensions:

- The **PI as a whole**, which focused on relevance, the added value of the instrument (including its leverage), its coherence / consistency, and effectiveness and efficiency issues. Considering that the PI is a new instrument, this aspect of the evaluation was essential to explore the background and rationale behind the creation of the Instrument, and the direction taken so far by the PI, including the operationalization of objectives and priorities into AAPs and actions; the processes in place for implementing the Instrument; budget execution and administrative and management procedures; coordination and synergies (in particular internal and with other policy areas of EU external action); the EU added value in relation to programmes of EU Member States (MS) addressing the same thematic priorities; and the flexibility to adapt to an evolving policy agenda. This analysis involved a **comprehensive and systematic desk review** of the available documents on EU external action, the framing of the PI and other EFIs and relevant past evaluations of EU instruments. The full reference list is presented in Annex 3. This desk review was complemented by a series of bilateral briefings and stakeholder interviews to reflect different internal and external perspectives on the PI. Overall, **50 stakeholders were consulted, notably covering the FPI, the EEAS, the PI implementation group, EFI managers, the PI Committee, EU Delegations to Strategic Partners, and the European Parliament**. The consultation strategy, interview guides tailored to the different stakeholder categories and the list of interviews conducted can be found in Annexes 4, 5 and 6 respectively.
- The review of the PI-funded actions through the development and completion of **two databases** (one on the results and achievements of PI actions and another one on programmatic indicators) to assess the effectiveness of the funded actions, including the progress made to date in achieving or progressing towards the Instrument’s objectives, and an analysis of the factors that have influenced observed results. Over **200+ PI-supported actions were reviewed covering AAPs 2014 to 2016**.<sup>5</sup> Of these, 174 were included in the databases as content-related actions.<sup>6</sup> This exercise proved challenging as (1) there is no central database of PI results or systems to routinely capture or record this information and (2) the PI common indicators had not been deployed yet, hence the data was gathered, extracted and manually entered into the databases and retrofitted to the common indicators by the evaluators. The desk-based data collection exercise was complemented by an exhaustive consultation programme of the actions’ project managers. **51 interviews** were conducted to ensure the databases provide a solid evidence base to understand the extent to which such actions had / have the potential to contribute to the objectives of the PI. Our analysis of the databases is attached to this Report as Annex 7.

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<sup>5</sup> There are 58 action fiches in AAPs 2014, 2015 and 2016. Some of them are implemented as a single action through one or more projects (or lots). Others (like public diplomacy) contain more programmed actions in one action fiche. In addition, public diplomacy actions are implemented through calls for proposal and therefore numerous grants (projects) (such as “Getting to know Europe”, implemented through 16 projects). There are also 2 specific action fiches that provide an un-programmed envelope (PSF and TAIEX) and which are implemented through smaller and shorter-term actions which are defined through separate procedures within the scope of the relevant action fiches. Therefore, the number of actions implemented is higher than the number of action fiches.

<sup>6</sup> The remainder being non-content related or irrelevant given their mainly logistical or administrative nature.



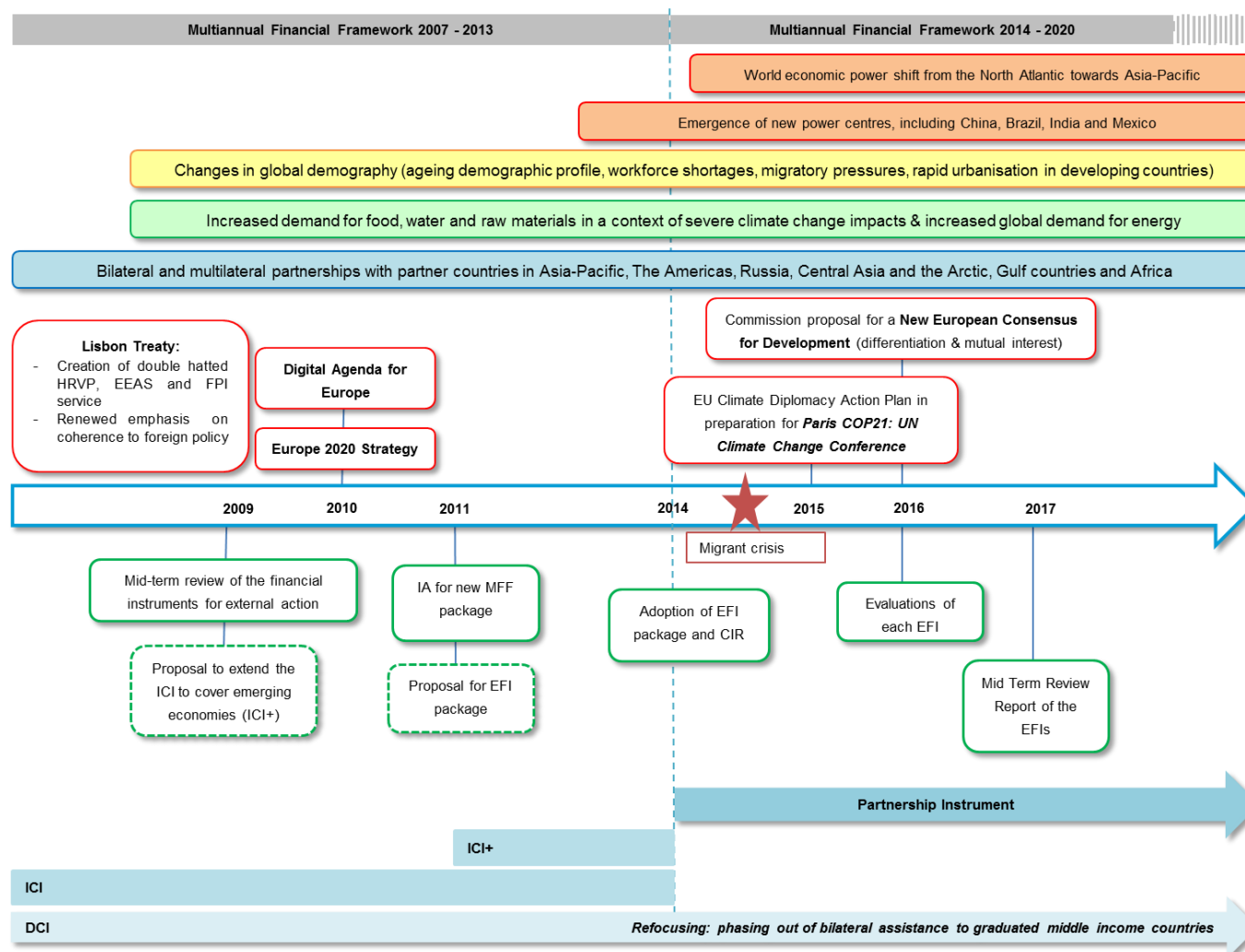
The **second pillar** of the evaluation involved **mid-term and final evaluations of different types of PI actions, covering all four specific objectives**, and including field visits in six countries (Argentina, Brazil, China, India, Mexico and the United States) and one global action (the selection of actions subject to mid-term and final evaluation was approved by the Inter-Service Group (ISG) accompanying this evaluation). By exploring the details of how different types of actions were implemented and delivered, their specific results, and the main factors and processes that facilitated or hindered their success, we examined in depth how the PI was working towards its aims and objectives. We investigated some aspects in particular, such as the interaction of PI actions with the (highly complex and diverse) surrounding context, usefulness of outputs produced, relationship to higher-level EU objectives (e.g. the Europe 2020 Strategy), coordination and synergies with other policy areas of EU external action, flexibility to changing needs, value for money, EU added value (especially in relation to the actions of MS and other actors), and leverage of funds or political capital. The mid-term and final evaluations of individual actions and the 150+ stakeholders consulted during the fieldwork have informed the meta-evaluation of the PI that is the primary focus of this report. These action evaluations provided the opportunity to consult not only EU but also external stakeholders (partner countries' representatives, implementing partners) and collect their feedback on the PI as agreed with the ISG.

Building on the data collected through these first two pillars, coordination has been ongoing across the evaluations of all EFIs.

- All evaluations were expected to feed into the **evaluation of the CIR**. Our contribution to the CIR evaluation is included in Annex 8.
- Working sessions were organised to **exchange on the (potential for) coherence, complementarities and synergies between EFIs** with all the EFI evaluation teams, as well as with the Deputy Director General of DG DEVCO in Brussels.
- A coordinated **online survey** was sent to all EU Delegations to gather their feedback on the strengths and weaknesses of the modalities of cooperation across EU partner countries. Instrument-specific questions were proposed by the PI evaluation team to gather evidence directly relevant to the PI. However, the design of the survey has constrained the analysis we performed. The way the general (non-PI specific) questions were phrased limited the possibility to generate evidence relevant for the PI. Our analysis of the survey (presented in Annex 9) is caveated to acknowledge this design constraint.

The **third pillar** of the evaluation involved an **open public consultation** which was conducted on the findings presented in this Final Report and comprised an online questionnaire as well as face-to-face stakeholder consultation meetings. These meetings were organised by the European Commission with the "PI external stakeholders" (e.g. CSOs, business representation etc.) and institutional stakeholders (European Parliament and MS representatives) and were held in Brussels in March 2017.

## Annex 3: PI Relevance to EU priorities over time



## Annex 4: Reference list

The references specific to each mid-term or final evaluation are not included below but listed separately, in the mid-term and final evaluation report.

### Policy framework<sup>7</sup>

Commission (2010), Communication from the Commission: Europe 2020 – A strategy for smart, sustainable and inclusive growth, COM(2010)2020

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Commission (2016), Strategic Plan 2016-2020 – Service for Foreign Policy Instrument

EEAS (2016), Shared vision, Common action: A stronger Europe – A global strategy for the European Union's Foreign and Security Policy

EU (2017), European Consensus for Development: 'Our world, our dignity, our future' (adopted on the basis of the Commission's proposal COM(2016)740); see for more information [https://ec.europa.eu/europeaid/policies/european-development-policy/european-consensus-development\\_en](https://ec.europa.eu/europeaid/policies/european-development-policy/european-consensus-development_en)

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Public Policy and Management Institute, the National Centre for Research on Europe and the NFG Research Group (2015), Analysis of the perception of the EU and EU's policies abroad

### Coherence

President Juncker's Political Guidelines (2014), A new start for Europe: My agenda for jobs, growth, fairness and democratic change (Opening statement in the European Parliament Plenary Session)

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Commission (2016), State of the Union

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Commission (2014), A global actor in search of a strategy, European Union foreign policy between multilateralism and bilateralism

Regulation (EU) No 233/2014 of the European Parliament and of the Council of 11 March 2014 establishing a financing instrument for development cooperation for the period 2014-2020, OJEU, 15/3/2014, L 77/44-76

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<sup>7</sup> The policy framework references will be updated throughout the desk phase. In particular, they will include various Commission communications which frame the EU's action in different areas (e.g. CSR, black carbon and Arctic communication) where support is channelled through the PI.

Commission, Programming thematic programmes and instruments, Programme on global public goods and challenges 2014-2020, Multi-annual indicative programme 2014-2017

Decision No 472/2014 of the European Parliament and of the Council of 16 April 2014 on the European Year for Development (2015), OJEU, 9/5/2014, L 136/1-9

EU Delegation, External Assistance Management Report (EAMR), Argentina, 2013/2014/2015

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EU Delegation, External Assistance Management Report (EAMR), China-Mongolia, 2013/2014

EU Delegation, External Assistance Management Report (EAMR), China, 2015

EU Delegation, External Assistance Management Report (EAMR), India, 2013/2014/2015

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Regulation (EU) No 1295/2013 of the European Parliament and of the Council of 11 December 2013 establishing the Creative Europe Programme (2014 to 2020) and repealing Decisions No 1718/2006/EC, No 1855/2006/EC and No 1041/2009/EC, OJEU, 20/12/2013, L 347/221-237

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Decision No 466/2014 of the European Parliament and of the Council of 16 April 2014 granting an EU guarantee to the European Investment Bank against losses under financing operations supporting investment projects outside the Union, OJEU, 8/5/2014, L 135/1-20

Commission (2016), Communication from the Commission, Strengthening European Investments for jobs and growth: Towards a second phase of the European Fund for Strategic Investments and a new European External Investment Plan, COM(2016)581

Commission (2012), Communication from the Commission, Enhancing and focusing EU international cooperation in research and innovation: A strategic approach, COM(2012)497

Regulation (EU) No 1291/2013 of the European Parliament and of the Council of 11 December 2013 establishing Horizon 2020 – the Framework Programme for Research and Innovation (2014-2020) and repealing Decision No 1982/2006/EC, OJEU, 20/12/2013, L 347/104-173

Regulation No 1288/2013 of the European Parliament and of the Council of 11 December 2013 establishing 'Erasmus+': the Union programme for education, training, youth and sport and repealing Decisions No 1719/2006/EC, No 1720/2006/EC and No 1298/2008/EC, OJEU, 20/12/2013, L 347/50-73

Regulation No 513/2014 of the European Parliament and of the Council of 16 April 2014 establishing, as part of the Internal Security Fund, the instrument for financial support for police cooperation, preventing and combating crime, and crisis management and repealing Council Decision 2007/125/JHA, OJEU, 20/5/2014, L 150/93-111

## **Background documents**

Commission (2011), Impact Assessment accompanying the document: Regulation of the European Parliament and of the Council establishing a Partnership Instrument for cooperation with third countries, SEC(2011)1475 and Executive summary, SEC(2011)1476

Service for Foreign Policy Instruments, "The Partnership Instrument, advancing the EU's core interests"

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### *Past evaluations of instruments pre-dating the PI*

The Evaluation Partnership (2011), Evaluation of EU Centres

Commission (2011), Study on Legal Instruments and lessons learned from the evaluations managed by the Joint Evaluation Unit

Commission (2011), Commission Staff Working Paper - Impact Assessment accompanying the Regulation on establishing a Partnership Instrument for cooperation with third countries; SEC(2011) 1475 final

Commission (2011), SWP Impact Assessment accompanying the document "Regulation of the European Parliament and of the Council establishing a financing instrument for development co-operation) SEC(2011)1469 final

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Melissen, Jan & Zweers, Wouter (2017), "High stakes of the small EU Partnership Instrument on the eve of the 2017 mid-term review", *European Foreign Affairs Review*, 22:2, pp.147-158

## **Legal documents**

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Procedure 2011/0411/COD, Proposal for a Regulation of the European Parliament and of the Council establishing a Partnership Instrument for cooperation with third countries, COM(2011)843 (online resource: <http://eur-lex.europa.eu/procedure/EN/201172?qid=1464772262763&rid=2>, last accessed 1.07.2016)

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Regulation (EU) No 236/2014 of the European Parliament and of the Council of 11 March 2014 laying down common rules and procedures for the implementation of the Union's instruments for financing external action, OJEU, 15.3.2014, L77/95-108

## **Programming documents**

### **Decision-making**

FPI.4 organogramme and thematic responsibilities

Contact details: PI implementation group, FPI staff in delegations, Steering Group members

Commission, 2014, Roadmap PI – MIP - AAP

Flow charts of the different phases of the decision-making process (Annex 2: PI Guidance Note 2014/2015)

FPI, Annual Management Plans and Annual Activity Reports

### **Intervention logic**

IL final draft for the FPI training

IL on the correspondence between programming and implementation terminology and PI & action levels

PI seminar on the PI intervention logic (14/06/2016)

### **Monitoring**

Guidance on indicators for the actions of the PI

PI indicator fiche template and fiches final

Summary of action indicators final agreed and glossary final agreed

Commission (2016), Study to develop indicators, monitoring system and to assess the first phase of implementation of the Partnership Instrument

## MIP

Commission (2014), Commission implementing decision of 3.7.2014 on the adoption of the first multiannual indicative programme for the period 2014-2017 under the Partnership Instrument for cooperation with third countries, C(2014)44538

### Annual Action Programmes & Action Fiches

Commission (2014), Commission implementing decision of 16.10.2014 on the 2014 Partnership Instrument Annual Action Programme for cooperation with third countries to be financed from the general budget of the European Union, C(2014)7423 and Summary of 2014 AAP	
Annex A	PSF
Annex B	TAIEX
Annex C	ETS Korea
Annex D	Low carbon Brazil
Annex E	Low carbon Mexico
Annex F	CECI
Annex G	EU GCC
Annex H	EU-China migration
Annex I	EU green gateway, Republic of Korea
Annex J	EU business avenues in South East Asia
Annex K	EU-India cooperation on ICT
Annex L	Schuman Fulbright fellowships
Annex M	EU gateway to China
Annex N	Public procurement initiative
Annex O	Public diplomacy
Annex P	Transatlantic
Annex Q	Support to EU-China aviation cooperation
Annex R	EU-LAC foundation
Commission (2015), Commission implementing decision of 22.06.2015 on the 2015 Partnership Instrument Annual Action Programme for cooperation with third countries to be financed from the general budget of the European Union, C(2015)4109 and Summary of 2015 AAP	
Annex S	EU-Brazil Common Agenda for Migration and Mobility 2015
Annex 1	International urban cooperation
Annex 2	Natural capital accounting and valuation of ecosystem services
Annex 3	Resources efficiency initiative in India

<sup>8</sup> This document does not include the annexes.

Annex 4	Advancing the EU's role in multilateral for a in Asia
Annex 5	PSF
Annex 6	TAIEX
Annex 7	Support to project cycle management
Annex 8	Schuman Fulbright fellowship
Annex 9	EU-Australia leadership forum
Annex 10	EU green gateway to Japan
Annex 11	EU-South Asia civil aviation project
Annex 12	EU-Canada mineral investment facility
Annex 13	Support to CETA implementation & EU Chambers' coordination
Annex 14	Public diplomacy
Annex 15	EU-Brazil sector dialogues support facility
Annex 16	Regional facility for international cooperation and partnership in Latin America and the Caribbean
Annex 17	EU-India cooperation on ICT-related standardisation, policy and legislation
Summary of 2016 AAP	
Annex 1	Platform for policy dialogue and cooperation between EU and China on emissions trading
Annex 2	Sustainable and climate-friendly phase-out of ozone depleting substances (SPODS)
Annex 3	Low carbon business action in Brazil and Mexico, phase 2
Annex 4	Low carbon action in Korea
Annex 5	EU-China cooperation on water and the China-EU Water Platform (CEWP)
Annex 6	Support to the development of an India-UE Water Partnership (IEWP)
Annex 7	Responsible supply chains in Asia
Annex 8	Schuman Fulbright fellowships
Annex 9	IP key China
Annex 10	IP key South East Asia
Annex 11	IP key Latin America
Annex 12	Cooperation on competition in Asia
Annex 13	Public diplomacy
Annex 14	Support to project cycle management
Summary of Annexes – 2016 AAP second phase	



## Concept notes

Concept note for new PI operations (PSF) in ASEAN, Regional forum on Climate Change, 2014

Concept note for new PI operations (PSF) in the Arctic Region, The EU and the Arctic: Consultation conference, 2015

Concept note for new PI operations (PSF) in China, 2015

Concept note for new PI operations (PSF), Exchange of good practices on metal by-products recovery – technology and policy challenges, 2015

Concept note for new PI operations (PSF) in Mexico, 100 days to Paris COP 21: Regional meeting of Central American Climate action non-governmental network, 2015

Concept note for new PI operations (PSF) in Argentina, Seminar and outreach activities on sustainable growth and energy efficiency: Exploring opportunities for the private sector, 2015

Concept note for new PI action in Asia and the Americas, International urban cooperation: sustainable and innovative cities and regions (2016)

Concept note, Advancing EU's role in multilateral Asia (2016)

Request for service, EU-ASEAN senior officials meeting, 2015

Concept note – Project/Action fiche, Support to the EU-China dialogue on migration and mobility

Concept note – Project/Action fiche, Low carbon business action in Mexico (2014)

Concept note – Project/Action fiche, EU-China Aviation Project

## Implementation

Commission, 2016, The PI and TAIEX users guide content

## Quality support group

ETS South Korea	<p>Project/action fiche QSG checklist standalone project QSG meeting minutes</p>
Low carbon Brazil	
Low carbon Mexico	
Clean energy India	
GCC clean energy network	
EU-China dialogue on mobility	
Green gateway Korea	
Gateway SEA	
EU-India cooperation on ICT	
Schuman-Fulbright	
Gateway China	
Public procurement initiative	
EU China aviation cooperation	
EULAC	

EU-Brazil common agenda on migration and mobility	
International urban cooperation	
Natural capital accounting	
Resource efficiency India	
Advancing EU's role in multilateral Asia	
EU-Australia leadership forum	
Green gateway Japan	
South Asia aviation	
Canada mineral investment facility	
CETA	
China carbon capture and storage	QSG checklist
Low carbon business action in Mexico	QSG meeting minutes

### Grant application forms

EU and US: Getting to know Europe, Grant Application form 19.0501, 2015

GTKE: AFI European Union film showcase

Promoting peace, sustainability and our shared future

Post-carbon cities of tomorrow, POCACITO

EU-US transatlantic civil society dialogue

Support to the EU-China dialogue on migration and mobility project

### Logframes

EU-China dialogue on migration and mobility (results framework and for applicants)

EU-India cooperation on ICT-related standardisation, policy and legislation

Low carbon business action in Mexico

EU-China Aviation project

### Terms of reference

EU and Brazil together for climate: road to Paris, 2015
Sustainable growth and energy efficiency in Argentina
Seminar on good practice in responsible business conduct: Working with the UNGPs and Corporate Social Responsibility strategies in governance and enterprises
European and Latin American local authorities on the way to Habitat III
Innovative financing mechanisms for biodiversity in Mexico
Regional seminar on climate change for Latin American CSOs

Regional seminar on climate change for Latin American CSOs, Panama
Regional seminar for customs officials on IPR
Understanding legal economic reform in China
<p>Standalone actions from AAP 2014</p> <ul style="list-style-type: none"> <li>▪ Implementation of an Emission Trading System in the Republic of Korea, Annex C</li> <li>▪ Low carbon business action in Brazil, Annex D</li> <li>▪ Low carbon business action in Mexico, Annex E</li> <li>▪ Clean Energy Cooperation with India (CECI), Technical assistance for the implementation and management of identified solar parks and Legal and policy support to the development and implementation of energy efficiency legislation for the building sector in India, Annex F</li> <li>▪ EU-GCC clean energy network II, Annex G</li> <li>▪ Support to the EU-China dialogue on migration and mobility, Annex H</li> <li>▪ EU green gateway to Korea, Annex I (lots 1 and 2)</li> <li>▪ EU Gateway / Business Avenues: Central management unit, Annex I</li> <li>▪ EU business avenues in South East Asia, Annex J</li> <li>▪ EU-India cooperation on ICT-related standardisation, policy and legislation, Annex K</li> <li>▪ Public procurement initiative, Annex N</li> <li>▪ EU and US: Getting to know Europe (Guidelines for grant applicants), Annex O</li> <li>▪ EU-US Transatlantic Civil Society Dialogue (Guidelines for grant applicants), Annex O</li> <li>▪ EU-Russia Civil Society Forum (Guidelines), Annex O</li> <li>▪ Cooperation with Northern and Southern Transatlantic dimension – Marine Protected Areas, Annex P</li> <li>▪ EU-China aviation partnership project, Annex Q</li> <li>▪ Support to the EU-LAC foundation, Annex R</li> <li>▪ Support of the EU-Brazil Common Agenda for Migration and Mobility, Annex S</li> </ul>
<p>Standalone actions from AAP 2015</p> <ul style="list-style-type: none"> <li>▪ Eurochallenge, Annex 14</li> <li>▪ Global public diplomacy, Annex 14 (Lots 1 and 2)</li> </ul>
Request for service: International conference on “Exchange of good practices on meta by-products recovery – technology and policy challenges”

## Reports

- 2015 EU-ASEAN senior officials meeting, Final report
- Internal progress report

Reports from EU Delegations to third countries
<ul style="list-style-type: none"> <li>▪ Support of the EU-Brazil Common Agenda for Migration and Mobility, progress report (1/08/2015-31/12/2015)</li> <li>▪ Support to CETA implementation and EU Chambers’ coordination, progress reports EUCCAN Grant and Service contract (1/07/2015-31/12/2015)</li> <li>▪ Feasibility study for an EU-Canada mineral investment facility, progress report (1/07/2015-31/12/2015)</li> <li>▪ EU-Canada CSDP Symposium: Strategic partners in global security (30/04/2015), Disaster</li> </ul>

- volunteers in Canada: De-brief from EU TAIEX study visit to Germany THW (11-17/06/2015) and TAIEX experts anti-counterfeiting symposium (9/11/2015)
- EU-China dialogue on Migration and Mobility Support Project, progress report (1/01/2015-31/12/2015)
  - Clean energy cooperation with India (CECI), progress report (2nd semester 2015)
  - EU-India cooperation on ICT-related standardisation, policy and legislation, progress (2nd semester 2015)
  - PSF-T analysis of problematic market access barriers in Indian legislation and practice, progress report (2nd semester 2015)
  - Resource efficiency initiative, progress report (2nd semester 2015)
  - PSF support to the clean Ganga initiative and preparation for wider EU-India cooperation on water issues, progress report (2nd semester 2015)
  - EU green gateway to Japan, progress report (July-Dec. 2015)
  - International urban cooperation: Sustainable and innovative cities and Regions – Japan, progress report (July-Dec. 2015)
  - PSF: The promotion of trade in guaranteed legal and sustainably-harvested timber in Japan, progress report (July-Dec. 2015)
  - EU public diplomacy in Japan – Death penalty, progress report (July-Dec. 2015)
  - EU public diplomacy in Japan on geographical indications, public procurement, energy and environment, progress report (July-Dec. 2015)
  - Climate change outreach in Korea, progress report (2nd semester 2015)
  - Implementation of an Emission Trading System (ETS) in the Republic of Korea, progress report (2nd semester 2015)
  - EU green gateway to Korea, progress report (2nd semester 2015)
  - PSF: Mapping low-carbon stakeholders and opportunities in Korea, progress report (2nd semester 2015)
  - Low carbon business action in Mexico, progress report (2nd semester 2015)
  - EU-Russia Civil Society Forum, progress report (2nd semester 2015)
  - EU policy and outreach partnership – Russian Federation, progress report (2nd semester 2015)
  - Collaboration of EU and Russian think tanks and journalists, progress report (2nd semester 2015)
  - EU policy and outreach partnership – USA, progress report (2nd semester 2015)
  - EuroChallenge 2015-2018, progress report (2nd semester 2015)
  - Europe & US: Getting to know Europe, progress report (2nd semester 2015)
  - PSF – EU-US CSDP symposium 2016, progress report (2nd semester 2015)
  - PSF – EU-US Going green Conference, progress report (2nd semester 2015)
  - Support of the EU Brazil common agenda for migration and mobility, report DEL, country and actions progress report, 01/01-30/06/2016
  - Report DEL, note, one reporting fiche for each project AAP 2015 and AAP 2016
  - EU China dialogue on migration and mobility support project (MMSP, country and action progress report 1st semester 2016, report EUDEL
  - EU gateway to China, country and action progress report S2 2015, report EUDEL
  - Clean energy cooperation with India, country and action progress report, 2S 2015, report DEL
  - EU India cooperation on ICT related standardization, policy and legislation, 1S 2016, country and action progress report, report DEL
  - EU India cooperation on ICT related standardization – inception phase, policy and legislation, 1S 2016, country and action progress report, report DEL
  - PSF support to the clean Ganga initiative and preparation for wider EU India cooperation on

water issues, country and action progress report, 2S 2015, report DEL

- PSF support to the India-EU climate change dialogue, 2S 2016, country and action progress report, report DEL
- PSF preparation for an EU India sustainable urbanization partnership, 2S 2016
- PSF-T analysis of problematic market access barriers in indian legislation and practice, 1S 2016
- Resource efficiency initiative, 2S 2015
- EU green gateway to Japan, country and action progress report, 1S 2016, report DEL
- International urban cooperation (Japan), 1S 2016
- EU public diplomacy in Japan – death penalty, 1S 2016
- Eu public diplomacy in Japan on geographical indications, public procurement, energy and environment, 1S 2016
- PSF EU Japan FTA food additives, 1S 2016
- PSF TPP related legislation in Japan, 1S 2016
- PSF the promotion of trade in guaranteed legal and sustainably harvested timber in Japan, 1S 2016
- Utilities sector and public procurement in Japan, 1S 2016
- Low carbon business action, Mexico, country and action progress report, report DEL, 2S of implementation
- EU green gateway to Korea, country and action progress report, report DEL, 1S 2016
- Climate change outreach in Korea, country and action progress report, report DEL, 1S 2016
- Implementation of an emission trading system in the republic of korea, report DEL
- Implementation of ILO fundamental convention 111 in ROK and the MS of the EU, report DEL,
- Mapping low-carbon stakeholders and opportunities in korea, 1S 2016
- EU-Russia civil society forum, report DEL, 1S 2016
- EU policy and outreach partnership, Russian federation, report DEL, 1S 2016
- Collaboration of EU and Russian think tanks and journalists, report DEL, 1S 2016
- EU policy and outreach partnership, USA, report DEL, 1S 2016, 2S 2015
- PSF 2016 elections event series, report DEL, 1S 2016
- Eurochallenge, 2S 2015
- GTKE, 1S 2016
- PSF CSDP, 1S 2016
- PSF going green, 1S 2016

#### Reports from HQ

- EU Gateway / Business Avenues central management unit, progress report
- EU Green Gateway to Japan: Central management unit, progress report (Sept. 2015-Jan. 2016)
- Public Procurement Initiative, progress report (Sept. 2015-Jan. 2016)
- EU-GCC Clean Energy Network II, progress report (2nd semester 2015)
- EU-China Interpreters Training Programme (email)
- EU Arctic policy outreach, progress report (2nd semester 2015)
- EU-South Asia civil aviation project, progress report (2nd semester 2015)
- International urban cooperation, progress report (2nd semester 2015)
- EU policy and outreach partnership and cultural diplomacy platform, progress report (until 31/01/2015)
- EU-US Transatlantic dialogues, progress report (until 31/01/2015)
- Support to project cycle management, progress report (31/12/2015)

- EU-Australia leadership forum, progress report (2nd semester 2015)
- PSF, progress report (2nd semester 2015)
- Academic fairs, progress report (1st semester 2015)
- Jean Monnet activities, progress report (1st semester 2015)
- Fulbright-Schuman programme 2014-2015, progress report
- TAIEX, progress report (1st semester 2015)
- EU-China aviation partnership project, progress report (2nd semester 2015)
- EU-India cooperation on ICT-related standardisation, policy and legislation, progress report (2nd semester 2015)
- EU Business Avenues in South East Asia, progress report (2nd semester 2015)
- Natural capital accounting and valuation of ecosystem services, progress report (2nd semester 2015)
- Regional meeting of Central American Climate Change non-governmental network, internal report (2015)
- Seminar and outreach activities on sustainable growth and energy efficiency in Argentina (panel), internal report – background check (2015)
- Understanding legal economic reform in China (panel), internal report (2015)
- Note from DG MARKT (2015)
- Asia pacific research and advice network, 1S 2016
- Advancing the EU's role in multilateral fora in asia, 1S 2016
- Regional facility for international cooperation and partnership in latin America and the Caribbean, 1S 2016
- Support to EU LAC foundation, 1S 2016
- EU policy outreach arctic, 1S 2016
- International urban cooperation, 1S 2016
- Business avenues in south east asia, 1S 2016
- Cooperation on competition in asia, 1S 2016
- EU gateway / business avenues central management unit, 1S 2016
- EU green gateway to japan, 1S 2016
- IP key china, asean, LA, 1S 2016
- Natural capital accounting and valuation of ecosystem services, 1S 2016
- Public procurement initiative, 1S 2016
- Transatlantic action, 1S 2015
- Support to project cycle management, 1/08/2016
- TAIEX, 1S 2016
- EU-GCC clean energy network, 1S 2016
- EU Australia leadership forum, 1S 2016
- Responsible supply value chain in asia,
  - Including public diplomacy
    - Fulbright-Schuman programme, 1/8/2016
    - Academic fairs, 1S 2015
    - Jean Monnet activities (global action)
    - Cultural diplomacy platform,
    - EU US transatlantic dialogue

- Reports (on 20/07/2016)

PSF

- 2015 ASEAN-EU senior officials meeting
- The EU-Brazil business & human rights seminar, progress report (16/09/2015) and UE-Brasil Seminario de empresas e direitos humanos, photo report
- Climate diplomacy day, progress report (2015) and European Climate diplomacy day in the US (17/06/2015, e-note from EU delegation)
- Cooperation of EU and Russian think tanks and journalists, interim / event / mission reports (including attendance list, evaluation)
- Organisation of the international conference on Exchange of good practices on metal by-products recovery: technology and policy challenges, final report (12-13/11/2015)
- EU-US CSDP symposium, progress report (2<sup>nd</sup> semester 2015) and Tweetreach snapshot
- EU-Brazil flagship event on climate change, draft programme, final report and press coverage, participants' evaluation, endorsement letter from EEAS, informal lessons learned from EUDEL, letter to EU Ambassadors in in Brazil
- EU-China Interpreters Training Programme, final report for the aptitude test
- Implementation of the EU-Singapore FTA, Draft operational report (2016)
- IFMs for biodiversity: An exchange between Europe and Mexico, Summary of outcomes: scientific seminar and bilateral meetings (19-21/04/2016)
- Final report on the Arctic conference and conference minutes (1-2/06/2015)
- Interim and final reports of the Baseline study on moving away from death penalty in South-East Asia (2015)
- Inception and interim report of the Regional campaign on death penalty in South East Asia
- EU-China legal economic reform, Mid-term report
- Anticipating the impact of China's trade policies on the EU (monthly and operational reports)
- Regional forum on climate change, final report (2015)
- Regional seminar on climate change for Latin American CSOs: Road to COP 21 (in Spanish), conclusions of the meeting
- Support to the EU-India climate change dialogue, inception report (2016)
- Support to EU market access team in South Africa, inception report (2015)
- Energy efficiency (inception and final reports), Argentina ("Crecimiento Sostenible y Eficiencia Energética en Argentina", 2016)
- Organisation of the 2015 CSDP Symposium: Advertising / Livestreaming Report on the CSDP symposium (2016), Minutes of the SPA symposium (2016), Strategic partners in a multilateral security environment (2016) and Technical report (2016)
- Mapping low-carbon stakeholders and opportunities in Korea, Final report (2016)
- Implementation of an emission trading system in the Republic of Korea, Inception report (2016)

Standalone

- CECI
  - Legal and policy support to the development and implementation of energy efficiency legislation for the building sector in India, inception report (2016)
  - First offshore windfarm project in India, monthly reports (Feb.-June 2016)
  - Technical assistance for the implementation and management of identified solar parks, inception report (2016)
- EU-China Migration and Mobility Support Project, interim report
- EU Gateway / Business Avenues, inception report (2016)
- EU-China aviation partnership project, 1<sup>st</sup> annual work plan (2016)
- EuroChallenge, inception report

- Getting to know Europe, report of activities and event reports (e.g. Europe Day Festival) (2016)
- EU-Russia Civil Society Forum
  - CSF news (event summaries)
  - Inception report (Sept. 2015-Jan. 2015)
- Going green, final report / social media report / summary of panel discussions
- Low carbon business action in Brazil, monthly reports<sup>9</sup> (only Feb-March, April)
- Low carbon business action in Mexico, only business meeting report / activities report (2<sup>nd</sup> semester 2015) / 2<sup>nd</sup> meeting with the steering committee minutes
- Cooperation with Northern and Southern Transatlantic dimension: Marine Protected Areas, inception report (2016)

#### TAIEX

- Expert mission on the EU's global approach: Technical regulations, principles, tools and standards, Bahrain (2015)
- Expert mission on conformity assessment: Train for trainers, Riyadh (2015)
- Expert mission on methods for the detection of pesticides residues in food products, India (2015)
- Info report on the visit of the Maldivian MFA to Brussels, Maldives (2016)
- STIF expert mission on urban mobility and integrated urban transportation network, Brazil (2015)
- Expert mission on climate change legislation and policies, Peru (2015)
- Expert mission on customs and government procurement, El Salvador (2015)
- Expert mission on the implementation of the trade agreement between the EU and Ecuador, Guayaquil (2015)
- Expert mission on EU regulations on non-pasteurized cheese and their implementation in the EU MS, South Korea (2015)
- Seminar on EU-Korea organic food policy, Seoul (2015)
- Expert mission in Korea to cooperate on the risk assessment of a group of electric appliances, South Korea (2015)
- Expert mission in support of the high level dialogue EU-Mexico on security and justice (Dialogue minutes, Report on the bilateral meeting with SEGOB and CNS, Forensic science), Mexico (2016)
- Expert mission on Colombia on rules of origin, Bogota (2016)
- Template of 6-month evaluation of TAIEX expert mission and reports available
- Bahrain – TAIEX Expert Mission on Training the Trainers for Conformity Assessment,
- R. Korea – Expert Mission on EU Regulations on non- pasteurized cheese and their implementation in the EU Member States,
- R. Korea - TAIEX Seminar on EU-Korea Organic Food Policy,
- Paraguay – Workshop on sustainable cities and climate change,
- Peru – Expert Mission on Climate Change Legislation and Policies,
- Ecuador – Expert Mission on the Implementation of the Trade Agreement between the EU and Ecuador,
- Colombia - TAIEX Expert Mission on Approved Exporter,
- El Salvador – TAIEX Expert Mission on Customs and Government Procurement,
- India – TAIEX Study Visit on Introduction of Electronic Procurement and Transparency Tools for Public Contracts)

#### Implementation

- List of ongoing and finalised standalone actions, state on 25/04/2016 (overview of all PI actions)

<sup>9</sup> Only Feb-March and April (files corrupted)



- Overview of upcoming reporting deadlines, state on 20/07/2016 (Action\_reports\_form\_20072016)
- State of play PI 2014-2016 (Powerpoint presentation), 2016
- TAIEX overview (as of July 2016)
- Public diplomacy in the Partnership Instrument (Powerpoint presentation), 2016
- Commission (2015), Partnership Instrument guidance note: Implementation of the Partnership Instrument
- Commission (2016), The Policy Support Facility (PSF)
- Commission (2015), The Partnership Instrument and Policy Support Facility user guide

#### **Action documents**

- EU-GCC clean energy network II, summary 2015

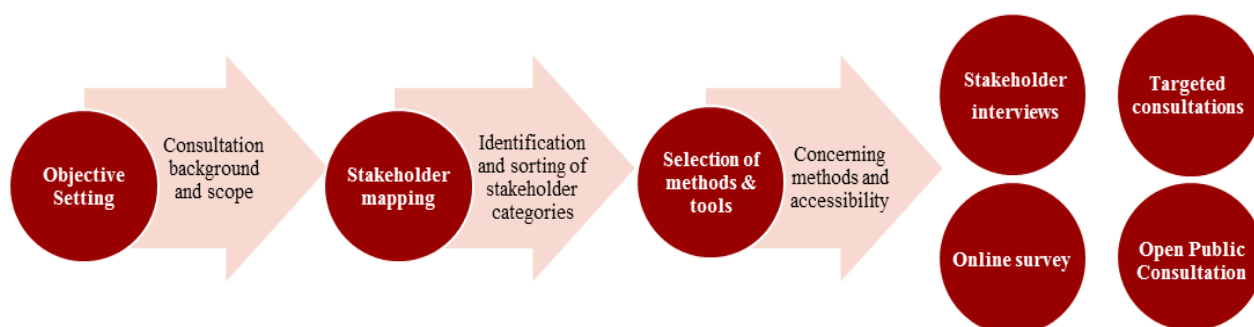
#### **MTR – Evaluation of other EFIs**

- Mid-term review – Evaluation of the EFIs, background (Powerpoint presentation, DG DEVCO, 2016)
- Indicative calendar of EFI evaluations
- Framework contract for the chapeau contract
- TOR for the evaluations of the CIR, DCI, GD and for the coherence report on the evaluations of the EU EFIs
- Inception reports of the evaluation of the CIR, DCI, GD and draft outline of the coherence report
- Note on coordination from the team leader of the chapeau contract

## Annex 5: Consultation strategy

Evaluators have applied the following steps, as defined in the Better Regulation Toolbox, to design the consultation strategy for this assignment<sup>10</sup>:

**Figure 1: Consultation strategy design**



### Setting the objectives

This step includes giving consideration to the context, scope and expected impacts of the PI as well as the scope of the consultation itself. The outset of the evaluation (in particular our preliminary review of the evidence available) allowed us to identify data gaps in the action documentary evidence. Where data gaps exist, the stakeholder consultation will aim to collect specific data or facts. Where evidence is already available, the consultation will be used for triangulation purposes and to collect stakeholders' views or opinions on the PI and the support provided – both aspects being necessary to answer the evaluation questions as framed in the EQM.

### Identification of stakeholders

Preliminary interviews (see section 1) and discussion with FPI.4 and the ISG have helped us to identify relevant stakeholders and their level of interaction / interest in the PI. The table below introduces the rationale behind the targeting of different stakeholder groups and the likely thematic focus of consultation with each for us to be able to answer the evaluation questions.

**Table 1: Consultation strategy**

Who	Why	What
Former & current FPI staff (HQ/delegations, FPI.1 & FPI.4)	Manages the PI and individual actions	Conception and operationalisation of the support (breakdown by partners/categories of partners/objectives); interface policy/implementation & EU/partners
VP Mogherini's cabinet	Defines the strategic direction of EU external action	Political direction of EU external action (incl. breakdown by partners/categories of partners/objectives) & PI as support implementation of external policies
EEAS - Heads of Delegations - Management	Integrates the political direction – horizontally and geographically	
Other EFIs	Manage financing instruments which interacts with the PI	Coordination across EFIs, complementarities/synergies/overlaps
PI implementation group	Steers the drafting of AWP and represents other DGs' interests	Operationalisation of the support, breakdown by partners/categories of partners/objectives

<sup>10</sup> The consultation strategy was agreed as part of the inception report.

PI committee	Represents MS interests	Definition of MS interests, coordination EU/MS external action & EU added value of the PI
EP	Involves in budget decision-making	Negotiations of EFI package, overall budget & EU added value of the PI
Implementing partners	Implement the supported actions	Implementation of actions
Third parties (EU partner countries, NGOs...)	Reflect on the political dimension of the support provided	Identification of mutual interest and objectives

### Selection of consultation methods and tools

The selection of the most appropriate consultation tools should take into account proportionality (the degree of interactivity needed from the stakeholders), accessibility of the tool, and any possible timing requirements within the context of this evaluation as well as other interlinking EFI evaluations. Interviews will primarily be conducted in English as this is expecting to be stakeholders' working language but the evaluation team will also be in a position to cover other EU languages should there be a particular demand (e.g. Spanish, Portuguese, and French). In the preparation of the mid-term and final evaluations, coordination will take place with the EU delegations in the field to ensure there exists a common working languages to conduct the consultations and anticipate any translation needs.

An in-depth programme of **stakeholder interviews** will be launched during the Desk Phase and will extend to the Validation Phase. The objectives of the targeted interviews are as follows:

- Feed into the meta-evaluation of the PI by collecting opinions at the higher political level on the support provided
- Triangulate (substitute the absence of) data for the mid-term and final individual action evaluations
- Contribute to the mid-term and final evaluations.

The evidence collected from the consultation exercise will cover all evaluation criteria and questions. The table below summarises the breakdown of the interviews envisaged with the different groups<sup>11</sup>:

**Table 2: Stakeholder interviews**

Key stakeholder groups (nr of interviews)	Suggested timing	Considerations
VP Mogherini's cabinet (1)	September 2016	
EEAS <ul style="list-style-type: none"> <li>• Staff at key delegations (10)</li> <li>• Coordination with FPI (1)</li> <li>• Management (4)</li> </ul>	September – October 2016	Focus on 10 strategic partners as per TOR Managing directors for Americas, Asia & Pacific, Europe & Central Asia, and Middle East
Relevant FPI staff <sup>12</sup> <ul style="list-style-type: none"> <li>• Programme managers (HQ/EU delegations) (21)</li> <li>• Former HoU FPI.4 (1)</li> <li>• FPI.1 (2)</li> </ul>	September – October 2016	
PI implementation group (11 <sup>13</sup> )	September – October 2016	Focus on DGs represented in the

<sup>11</sup> This overview does not present the interviews which will be conducted in the framework of the mid-term and final evaluations, as introduced in the case outlines included in annex 10.

<sup>12</sup> As part of the familiarization briefing, we have already interviewed the former deputy head of unit of FPI.4 to explore the rationale behind the creation of the PI and have a better understanding of the political and institutional dynamics behind it.

		steering group (minus EAC, and EEAS included above): ENER, GROW, HOME, ENV, CLIMA, DEVCO, TRADE, MOVE, REGIO and CONECT.  In the case of DEVCO we will also wish to consult with one individual with responsibility for ICI+.
Members of the PI Committee (12)	PI Committee meeting 17/10/2016	The proposed sample of 12 EU MS reflect individual MS' global role as well as the rotating Presidency of the EU since 2014 (given the continued importance of the Council in EU external relations). <sup>14</sup>
Other EFIs (8)	September – October 2016	Focus on coherence
EP (2)	October 2016	MEPs members of AFET (to discuss the direction of EU external action and the leverage of the financing instrument)

Overall, on the basis of this breakdown, we propose conducting ca. 73 interviews (face-to-face and telephone). Targeted discussion guides will be drafted for each stakeholder category and agreed with FPI.4.

As already discussed above, we will also follow-up (most likely by email) with the implementing partners to help us collect the necessary evidence to fill out the databases. In addition, as described in the mid-term and final evaluations outlines, **targeted face-to-face consultations** will take place in the framework of the individual action evaluations. They will target project managers, implementing partners and relevant stakeholders (including partner countries' representatives) to get an in-depth understanding of the selected individual actions.

Coordination with the other EFI evaluations is ongoing on two consultation methods:

- i. An online **survey with EU Delegations** to systematically collect their views on the different EFIs, the strengths and weaknesses of the support provided by the EU through these different channels and the potential interaction between the instruments in terms of the support to the implementation of EU external policies. The survey is expected to take place during the validation phase. We expect to contribute a limited number of questions to the survey as it will have a broad focus on all EFIs.
- ii. **Online Public Consultations** (one OPC for each EFI) will be implemented in the synthesis phase (February – April 2017) to consider the views of all interested individuals and organisations, get a better view of their needs and help the EFIs to reach beyond their respective usual stakeholders,. OPCs will be published after the evaluations' draft final reports are made available to the public. The evaluators will draft the questionnaire of the PI-specific OPC, design its dissemination strategy, support FPI.4 in the management of this OPC and analyse its results. The approach to the OPCs will be discussed under the leadership of the evaluation managers group to reflect the different nature of each EFI and ensure the relevance of each OPC for each EFI evaluation. The questionnaire will include a mix of closed and open questions on the PI. A summary report will be produced by the evaluators, including (a) a concise summary of contributions received, (b) a detailed analysis of the responses, highlighting differences between responses from different stakeholder groups

<sup>13</sup> We propose to interview the international relations officer from each line DG. If necessary we will also conduct short (no more than 20 minute) interviews with high level official overseeing policy coordination.

<sup>14</sup> MS representatives not included in the sample for in-depth interviews will then be invited to provide their views as part of the OPC exercise.

where relevant (d) the conclusions for each section, and (e) how the report will feed into the main evaluation. In drafting the summary report and processing the responses to the OPC the team will follow the already mentioned data protection rules<sup>15</sup> of the Better Regulation Guidelines (p.81).

In addition, the team leader of this evaluation will also participate in face-to-face consultations on the draft final report, which will be chaired by the FPI.

## Reporting

The main final report from the evaluation will include a summary of the whole consultation process. It will provide details of how and who will be consulted and will explain how it was ensured that all relevant stakeholders had an opportunity to provide inputs. In particular:

1. Indicate which groups of stakeholders have been consulted, at what stage in the process and how (public or targeted consultations);
2. Include a more detailed summary of all relevant consultations and their results. This text will be factual and avoid drawing any conclusions based on the overall share of respondents favouring or opposing the PI.
3. The results will be presented for each key evaluation question and differentiated across stakeholder groups.
4. This will include information about any diverging views between or within stakeholder groups - as well as between the public and targeted consultations, according to different dimensions within the main stakeholder categories

## Implementation of the consultation strategy

We implemented the consultation strategy in the timeframe agreed, with the following adjustments:

1. The **online survey to EU Delegations** was open between October 2016 and February 2017.
2. **Consultation of the PI Committee Members:** interviews were conducted with a sample of MS representatives defined by FPI.4 between October and November 2016. In addition, the evaluators presented the evaluation draft final report to MS representatives in the framework of the face-to-face consultations with institutional stakeholders organised in Brussels in March 2017 and at the PI Committee Meeting of 17 April 2017.
3. In addition to individual interviews with members of the **PI Implementation Group**, the evaluation team engaged with them throughout the assignment in the Interservice Steering Group meetings (to discuss the successive deliverables).
4. The interview programme was complemented by a series of interviews with EU institutional stakeholders in EU **strategic partner countries** in December 2016 – January 2017.
5. The **Online Public Consultation** was online between February and May 2017 and was complemented by a series of additional face-to-face consultations on the evaluation draft final report. The evaluators participated in a series of meetings with PI external and institutional stakeholders (including the Policy Forum on Development) that took place in Brussels in March 2017.
6. Lastly, the **interviews carried out during the fieldwork for the individual action evaluations** further fed into the evidence base. They gathered data from a wide range of internal and external stakeholders (including staff at EU Delegations, partner countries’

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<sup>15</sup> Regulation (EC) 45/2001 on the protection of personal data

representatives, implementing partners and stakeholders of PI-funded actions such as NGOs or business representatives).

The feedback gathered through these different channels consolidated the evidence base for the evaluation. It is presented in the main report while the annexes to the final report also include our analysis of the online survey (Annex 9) and of the OPC (Annex 10). In addition, we submitted a separate and self-standing report on the individual actions evaluations, which integrate and analyse stakeholders' feedback collected during the fieldwork.

## Annex 6: Interview guides

### Interview guide for Members of Federica Mogherini's Cabinet

Interviewee name	
Position / role within Cabinet	
Interview date and interviewer	

#### Introduction:

- EC background: previously policy coordinator at the Sec Gen for external policies – confirm if worked on the EC proposal to set up the PI, discuss rationale, coordination and coherence
- Brief introduction to interviewee's background, position and role in the Cabinet
- Could you describe the Cabinet's involvement / role played in relation to the Partnership Instrument, and your particular relationship with the PI?

#### Relevance of the PI

- What was the rationale behind the creation of a distinct foreign policy instrument in the EFI package? What was it expected to achieve / address as opposed to other EFIs?
- *What was the need for the PI (a worldwide non-ODA instrument)?*

The Impact Assessment Report issued in preparation of the Partnership Instrument back in 2011 identified a number of challenges that called for the creation of a new instrument, including a changing world economy, the emergence of new powers (India, China, South Africa and Brazil) playing an important role in the international agenda and the increased relevance of common challenges on the global agenda.

- In your view, were these challenges still valid at the time the PI was adopted back in 2014? What were the **main EU priorities** in its relations to (i) strategic partners, (ii) other advanced economies or (iii) middle-income countries no longer eligible for bilateral support under development assistance that justified the creation of the PI?

The **overall** objective of the PI is to **advance and promote Union and mutual interests** Following from this, the **four specific objectives** of the PI are to:

- promote policy dialogue and develop collective approaches and responses to global challenges;
- implement the international dimension of "Europe 2020";
- enhance market access and boost trade, investment and business opportunities for EU companies through economic partnerships, business and regulatory cooperation; and
- enhance a widespread understanding of the EU and promote its values and interests

- Do you think that the **overall and specific objectives** of the PI responded to EU priorities in 2014, back when the instrument was adopted? Why / why not?
- What **key changes** have taken place at the international context, and in which ways has the PI adapted to address these evolving challenges?

- Do you think that the overall and specific objectives of the PI continue to respond to EU current priorities? Why / why not?
- Is there a need to review or reformulate these objectives thinking about the future / is the PI flexible enough to accommodate these changes?

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### EU added value:

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- Where do you think the added value of the PI lays in: (*interview prompts*):
  - Specific foreign policy approach to the support provided? If so, what would be the characteristics of this approach? (other EFIs, other EU programmes / instruments)
  - Complement / substitute a support not available at any other level? (MS, subnational level, others actors)
  - Political leverage / policy engagement?
  - Financial leverage?
  - What would be the most likely consequences of stopping or withdrawing PI-financed actions?

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### Coherence, consistency, complementarity and synergies

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I would now like to talk about the coherence of the Instrument:

- First, during the drafting of the Regulation: how prevalent was the overall coherence concern? Why / what were the challenges / the potentially conflicting areas?
- Second, thinking about external coherence in practice

With reference to particular actions you would have in mind / have been more closely following

- How does the PI fit with the other EFIs? To what extent does the PI complement or stimulate synergies with other EFIs? Are there any overlaps?
- To what extent does the PI complement or stimulate synergies with EU instruments outside of development policy (Interviewer prompt as appropriate: COSME, H2020)? Are there any overlaps?
- To what extent is the PI consistent with EU external action policies (*Interviewer prompt as appropriate: EU trade policy, European Neighbourhood Policy, etc.*)? Are there mechanisms in place to ensure consistency between the PI and other EU external action policies?
- To what extent are the different PI funded actions aligned with core EU interests?
- Can you think of any examples where the different PI funded actions complement or stimulate synergies with interventions of other key actors, in particular EU Member States? Are there any overlaps with interventions from Member States that you can think of?

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### Closing remarks

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- What are the **main strengths and weaknesses** of the PI? Can you identify the areas / aspects where the PI has been more successful to date, and areas where there is scope to improve the instrument?



- In your view, has the PI supported EU external action / to what extent / why (not)? What do you think are the limitations (if any) of the foreign policy instrument?
- In your view, how could EU support be made more effective / impactful in the future? Do you see a need for any additional actions?
- Do you have any **additional suggestions or comments** that you consider could be useful in the framework of the current Mid-term evaluation of the Partnership Instrument?
- Is there anything else that you think we should be aware of that hasn't been covered?

**Thank you for your time!**

## Interview guide - EEAS\*\*

Interviewee name	
Region / position	
Interview date and interviewer	

\*\* The questionnaires are tailored to reflect the responsibilities of the Managing Directors interviewed:

- Geographical scope: the "X" in the questions below denote particular regions within the remit of responsibility of the individual Managing Directors (Americas or Asia)
- Thematic focus (Economic and global issues, and Human rights, global and multilateral issues).

### Introduction:

- Could you briefly introduce yourself and your position in the EEAS, length of time in position and current area of responsibilities?
- Could you describe your relationship with the Partnership Instrument and the role of the EEAS with respect to the PI?

### Relevance of the PI

The Impact Assessment Report issued in preparation of the Partnership Instrument back in 2011 identified a number of challenges that called for the creation of a new instrument, including a changing world economy, the emergence of new powers (India, China, South Africa and Brazil) playing an important role in the international agenda and the increased relevance of common challenges on the global agenda.

- In your view, were these challenges still valid at the time the PI was adopted back in 2014? What were the **main EU priorities** in its relations to (i) strategic partners, (ii) other advanced economies or (iii) middle-income countries no longer eligible for bilateral support under development assistance in region X back in 2014?

The overall objective of the PI is to advance and promote Union and mutual interests. Following from this, the four specific objectives of the PI are to:

- promote policy dialogue and develop collective approaches and responses to global challenges;
- implement the international dimension of "Europe 2020";
- enhance market access and boost trade, investment and business opportunities for EU companies through economic partnerships, business and regulatory cooperation; and
- enhance a widespread understanding of the EU and promote its values and interests

- Do you think that the **overall and specific objectives** of the PI responded to EU priorities in region X 2014, back when the instrument was adopted? Why / why not?
- What **key changes** have taken place at the international and regional contexts, and in which ways has the PI adapted to address these evolving challenges (flexibility)?
- Do you think that the overall and specific objectives of the PI continue to respond to EU current priorities in region X? Why / why not? Is there a need to review or reformulate these objectives thinking about the future?
- Is there scope to propose any changes to the instrument's design to better respond to priorities and evolving challenges in region X?

- To what extent has the PI been used as an **instrument of last resort**, only funding activities that could not have been supported through other instruments?

### **Thematic / horizontal focus**

- With respect to your portfolio, what needs and challenges was the PI meant to address when it was created? How was the PI meant to address these?
- How have these needs and challenges evolved over time? Has the PI adapted to these changes – how?
- What in your view makes the PI an appropriate instrument to address the needs and challenges identified as opposed to other EFIs?
- How do you expect the PI to evolve in the future in view of the changes discussed above?

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### **Effectiveness of the PI**

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- What are the main strengths and weaknesses of the support provided through the PI?
- We understand that the PI is still a relatively new instrument with only a few actions completed to date. At this early stage, can you identify any particular areas / provide examples of actions where the PI has been more successful to date, and areas where the results in the short and longer-term could be improved?
- In addition to the four specific objectives of the instrument, the PI is supposed to support a number of horizontal priorities, including in the areas of gender, climate change and human rights and fundamental freedoms. Has the PI adequately mainstreamed these EU policy priorities where relevant / to what extent are any of these horizontal priorities relevant in your policy area?
- In terms of the support available, there are concerns that the instrument has a broad scope (in terms of regions and topics covered), but that it has a limited financial envelope to address its wide ambitions. What is your view on this particular challenge?
- Do you think that the mix of topics covered by PI funded actions (with environment, climate change and trade related issues as the main topics) is appropriate? Are there any particular topics that should receive a larger budgetary share?
- In terms of specific objectives, Objective 1 concentrates 43% of the budget, followed by Objective 3 (25%) and by Objectives 2 and 4 (16% each) – is the allocation adequate or would you suggest a different distribution across objectives?
- Do you think that the budgetary allocation across regions (with Asia Pacific and the Americas as the two regions that receive the largest share) is appropriate? Are there any particular regions or countries that should receive a larger budgetary share?
- In your view, are the internal processes to identify needs and conceptualise the actions to be supported effective?
- Do these processes (Interviewer prompt: cluster discussions, drafting of concept notes, role of the Quality Support Group, preparation of action fiches) lead to the formulation of effective actions / what are the strengths and weaknesses of the internal processes?
- How has the shift to a more policy-driven process in developing the Annual Action Programmes worked in practice?
- What would you say have been the key lessons learned so far? How can programming and implementation of the PI be enhanced to improve the impact of the instrument and its actions?

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### **EU added value:**

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Where do you think the added value of the PI lays in (*prompters*):

- Specific foreign policy approach to the support provided? If so, what would be the characteristics of this approach? (other EFIs, other EU programmes / instruments)

- Complement / substitute a support not available at any other level? (MS, subnational level, others actors)
- Political leverage / policy engagement?
- Financial leverage?
- What would be the most likely consequences of stopping or withdrawing PI-financed actions in your policy area?

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### **Coherence, consistency, complementarity and synergies**

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I would now like to talk about the coherence of the Instrument: on the basis of the PI-supported actions in your policy area. In terms of overall internal coherence of the instrument in region X:

- to what extent do you think that the different PI-funded actions in region X are complementary?
- Have you identified any follow-up actions to specific actions?
- Is there any exchange of best practices between actions in the region under your remit?
- In your view, is there scope to further enhance the internal coherence of the instrument, and how?

Overall external coherence:

- To what extent do the different PI actions complement or stimulate synergies with other EFIs in your regions / policy area? Are there any overlaps? Can you think of any examples of different PI actions complementing or stimulating synergies with other EFIs in your region / policy area?
- To what extent do the different PI actions complement or stimulate synergies with EU instruments outside of development policy in your region / policy area (*Interviewer prompt as appropriate: COSME, H2020*)? Are there any overlaps?
- To what extent are the different PI funded actions consistent with EU external action policies in your region / policy area (*Interviewer prompt as appropriate: EU trade policy, European Neighbourhood Policy, etc.*)? Are there mechanisms in place to ensure consistency between the PI and other EU external action policies?
- To what extent are the different PI funded actions aligned with core EU interests in your region / policy area?
- Can you think of any examples where the different PI funded actions complement or stimulate synergies with interventions of other key actors, in particular EU Member States? Are there any overlaps with interventions from Member States that you can think of?

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### **Closing remarks**

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- Do you have any **additional suggestions or comments** that you consider could be useful in the framework of the current Mid-term evaluation of the Partnership Instrument?
- Is there anything else that you think we should be aware of that hasn't been covered?

**Thank you for your time!**

## Interview guide for FPI Programme Managers

Interviewee name	
Institution and position	
Interview date and interviewer	

### Introduction:

- Could you briefly introduce yourself and your position / Unit / Delegation, length of time in position and current area of responsibilities?
- Could you describe your involvement / role played as part of the PI and, more generally, your relationship with the Partnership Instrument?

### Scope and focus of the PI: Relevance of the PI in your policy area

The Impact Assessment Report issued in preparation of the Partnership Instrument back in 2011 identified a number of challenges that called for the creation of a new instrument, including a changing world economy, the emergence of new powers (India, China, South Africa and Brazil) playing an important role in the international agenda and the increased relevance of common challenges on the global agenda.

- In your view, were these challenges valid at the time the PI was adopted back in 2014 and are they still valid today? What were the **main EU priorities** in its relations to (i) strategic partners and (ii) other advanced economies no longer eligible for bilateral support under development assistance in your policy area back in 2014?

The overall objective of the PI is to advance and promote Union and mutual interests. Following from this, the four specific objectives of the PI are to:

- promote policy dialogue and develop collective approaches and responses to global challenges;
- implement the international dimension of "Europe 2020";
- enhance market access and boost trade, investment and business opportunities for EU companies through economic partnerships, business and regulatory cooperation; and
- enhance a widespread understanding of the EU and promote its values and interests

- Do you think that the overall and specific objectives of the PI adequately responded to EU priorities in your region / country / policy area in 2014, back when the instrument was adopted? Why / why not?
- What key changes have taken place in your region / country / policy area, and in which ways has the PI adapted to address these evolving challenges?
- Do you think that the overall and specific objectives of the PI continue to respond to EU current priorities in your region / country / policy area? Why / why not? Which specific objective(s) of the PI is closer to the interests of your region / country / policy area?
- Is there a need to review or reformulate these objectives thinking about the future?
- What are the specific needs of your region / country / policy area that the PI adequately addresses as opposed to other EU financing instruments (e.g. other EFIs, EU external action instruments, EU instruments outside of development policy)?
- Are there any needs / interests that are more adequately addressed by other EU financing instruments?

- Moving forward, what do you see as the main needs and challenges related to your region / country / policy area to be addressed with the help of the PI? Do you have any suggestions on how to address them (e.g. recommendations for revisions)?

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## Effectiveness of the PI

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- What are the **main strengths and weaknesses** of the overall support provided through the PI?
- We understand that the PI is still a relatively new instrument with only a few actions completed to date. At this early stage, can you identify any particular areas / provide examples of actions where the PI has been more successful to date, and areas where the results in the short and longer-term could be improved?
- In addition to the four specific objectives of the instrument, the PI is supposed to support a number of horizontal priorities, including in the areas of gender, climate change and human rights and fundamental freedoms: Has the PI adequately **mainstreamed these EU policy priorities** where relevant / to what extent are any of these horizontal priorities relevant in your policy area?
- In terms of the **support** available, there are concerns that the instrument has a broad scope (in terms of regions and topics covered), but that it has a limited financial envelope to address its wide ambitions. What is your view on this particular challenge?
- Do you think that the mix of topics covered by PI funded actions (with environment, climate change and trade related issues as the main topics) is appropriate? Are there any particular topics that should receive a larger budgetary share?
- In terms of specific objectives, Objective 1 concentrates 43% of the budget, followed by Objective 3 (25%) and by Objectives 2 and 4 (16% each) – is the allocation adequate or would you suggest a different distribution across objectives?
- Do you think that the budgetary allocation across regions (with Asia Pacific and the Americas as the two regions that receive the largest share) is appropriate? Are there any particular regions or countries that should receive a larger budgetary share?
- In your view, are the **internal processes** to identify needs and conceptualise the actions to be supported effective?
- Do these processes (Interviewer prompt: cluster discussions, drafting of concept notes, role of the Quality Support Group, preparation of action fiches) lead to the formulation of effective actions / what are the strengths and weaknesses of the internal processes?
- What is your opinion of the role played by the following: (i) PI IWG; (ii) PI Committee; (iii) FPI Headquarters (for Delegations); (iv) Delegations (for FPI Headquarters); and (v) stakeholders (e.g. civil society, authorities) in your region / country? Is there anything that stakeholders in these key groups could be doing differently?
- How has the shift to a more policy-driven process in developing the Annual Action Programmes worked in practice?
- Do you see any major differences between policy areas? (e.g. difference in the influence / commitment of different DGs in the decision-making process)?
- Do you think that there is an appropriate mix of the different types of financed actions (stand-alone, TAIEX, PSF)? Are there any instruments that should be used more?
- What would you say have been the **key lessons learned** so far? How can programming and implementation of the PI be enhanced to improve the impact of the instrument and its actions?

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## EU added value:

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Where do you think the added value of the PI lays in (*prompters*):

- Specific foreign policy approach to the support provided? If so, what would be the characteristics of this approach? (other EFIs, other EU programmes / instruments)
- Complement / substitute a support not available at any other level? (MS, subnational level, others actors)

- Political leverage / policy engagement?
- Financial leverage?
- What would be the most likely consequences of stopping or withdrawing PI-financed actions in your region / country / policy area?

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### **Coherence, consistency, complementarity and synergies**

I would now like to talk about the coherence of the Instrument on the basis of the PI-supported actions in your region / country / policy area. In terms of overall internal coherence of the instrument:

- to what extent do you think that the different PI-funded actions in your region / country / policy area are complementary?
- Have you identified any follow-up actions to specific actions?
- Is there any exchange of best practices between actions in a given country, policy area or falling under a specific objective?
- In your view, is there scope to further enhance the internal coherence of the instrument, and how?

Overall external coherence:

- To what extent do the different PI actions complement or stimulate synergies with other EFIs? Are there any overlaps?
- To what extent do the different PI actions complement or stimulate synergies with EU instruments outside of development policy (*Interviewer prompt as appropriate: COSME, H2020*)? Are there any overlaps?
- To what extent are the different PI funded actions consistent with EU external action policies (*Interviewer prompt as appropriate: EU trade policy, European Neighbourhood Policy, etc.*)? Are there mechanisms in place to ensure consistency between the PI and other EU external action policies?
- To what extent are the different PI funded actions aligned with core EU interests?
- Can you think of any examples where the different PI funded actions complement or stimulate synergies with interventions of other key actors, in particular EU Member States? Are there any overlaps with interventions from Member States that you can think of?

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### **Closing remarks**

- Do you have any **additional suggestions or comments** that you consider could be useful in the framework of the current Mid-term evaluation of the Partnership Instrument?
- Is there anything else that you think we should be aware of that hasn't been covered?

**Thank you for your time!**

## Interview guide for members of the PI Implementation Working Group

Interviewee name	
Institution and position	
Interview date and interviewer	

### Introduction:

- Could you briefly introduce yourself and your position / DG, length of time in position and current area of responsibilities?
- Could you introduce the relation between your line DG and the PI? (incl. e.g. how the PI is used by the DG, the objectives pursued etc.)
- Could you describe your involvement / role played as part of the PI Implementation Working Group and, more generally, your relationship with the Partnership Instrument?

### Scope and focus of the PI: Relevance of the PI in your policy area

The Impact Assessment Report issued in preparation of the Partnership Instrument back in 2011 identified a number of challenges that called for the creation of a new instrument, including a changing world economy, the emergence of new powers (India, China, South Africa and Brazil) playing an important role in the international agenda and the increased relevance of common challenges on the global agenda.

- In your view, were these challenges still valid at the time the PI was adopted back in 2014? What were the **main EU priorities** in its relations to (i) strategic partners, (ii) other advanced economies or (iii) middle-income countries no longer eligible for bilateral support under development assistance in your policy area back in 2014?

The **overall objective** of the PI is to advance and promote Union and mutual interests. Following from this, the four specific objectives of the PI are to:

- promote policy dialogue and develop collective approaches and responses to global challenges;
  - implement the international dimension of "Europe 2020";
  - enhance market access and boost trade, investment and business opportunities for EU companies through economic partnerships, business and regulatory cooperation; and
  - enhance a widespread understanding of the EU and promote its values and interests
- Do you think that the **overall and specific objectives** of the PI adequately responded to EU priorities in your policy area in 2014, back when the instrument was adopted? Why / why not?
  - What **key changes** have taken place in your policy area, and in which ways has the PI adapted to address these evolving challenges?
  - Do you think that the overall and specific objectives of the PI continue to respond to EU current priorities in your policy area? Why / why not? Which specific objective(s) of the PI is closer to the interests of your DG / policy area?
  - Is there a need to review or reformulate these objectives thinking about the future?
  - What are the specific needs of your DG / policy area that the PI adequately addresses as opposed to other EU financing instruments (Interviewer prompt: absence of other financing instruments, complementarities with own interventions, external projection of internal policies)
  - Are there any needs / interests that are more adequately addressed by other EU financing instruments?
  - Moving forward, what do you see as the main needs and challenges related to your DG / policy area to be addressed with the help of the PI? Do you have any suggestions on how to address them (e.g. recommendations for revisions)?



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## Effectiveness of the PI

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- What are the **main strengths and weaknesses** of the overall support provided through the PI?
- We understand that the PI is still a relatively new instrument with only a few actions completed to date. At this early stage, can you identify any particular areas / provide examples of actions where the PI has been more successful to date, and areas where the results in the short and longer-term could be improved?
- In addition to the four specific objectives of the instrument, the PI is supposed to support a number of horizontal priorities, including in the areas of gender, climate change and human rights and fundamental freedoms: Has the PI adequately **mainstreamed these EU policy priorities** where relevant / to what extent are any of these horizontal priorities relevant in your policy area?
- In terms of the **support** available, there are concerns that the instrument has a broad scope (in terms of regions and topics covered), but that it has a limited financial envelope to address its wide ambitions. What is your view on this particular challenge?
- Do you think that the mix of topics covered by PI funded actions (with environment, climate change and trade related issues as the main topics) is appropriate? Are there any particular topics that should receive a larger budgetary share?
- In terms of specific objectives, Objective 1 concentrates 43% of the budget, followed by Objective 3 (25%) and by Objectives 2 and 4 (16% each) – is the allocation adequate or would you suggest a different distribution across objectives?
- Do you think that the budgetary allocation across regions (with Asia Pacific and the Americas as the two regions that receive the largest share) is appropriate? Are there any particular regions or countries that should receive a larger budgetary share?
- In your view, are the **internal processes** to identify needs and conceptualise the actions to be supported effective?
- Do these processes (Interviewer prompt: cluster discussions, drafting of concept notes, role of the Quality Support Group, preparation of action fiches) lead to the formulation of effective actions / what are the strengths and weaknesses of the internal processes?
- In particular, what is your opinion of the cluster discussions that you are part of?
- How has the shift to a more policy-driven process in developing the Annual Action Programmes worked in practice?
- Do you see any major differences between policy areas? If so, how would you assess the situation in your policy area as opposed to the actions promoted by other line DGs (e.g. difference in the influence / commitment of different DGs in the decision-making process)?
- Do you think that there is an appropriate mix of the different types of financed actions (stand-alone, TAIEX, PSF)? Are there any instruments that should be used more?
- What would you say have been the **key lessons learned** so far? How can programming and implementation of the PI be enhanced to improve the impact of the instrument and its actions?

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## EU added value:

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Where do you think the added value of the PI lays in (*prompts*):

- Specific foreign policy approach to the support provided? If so, what would be the characteristics of this approach? (other EFIs, other EU programmes / instruments)
- Complement / substitute a support not available at any other level? (MS, subnational level, others actors)
- Political leverage / policy engagement?
- Financial leverage?
- What would be the most likely consequences of stopping or withdrawing PI-financed actions in your policy area?

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## Coherence, consistency, complementarity and synergies

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I would now like to talk about the coherence of the Instrument on the basis of the PI-supported actions in your policy area

In terms of overall internal coherence of the instrument:

- to what extent do you think that the different PI-funded actions in your policy area are complementary?
- Have you identified any follow-up actions to specific actions?
- Is there any exchange of best practices between actions in a given country, policy area or falling under a specific objective?
- In your view, is there scope to further enhance the internal coherence of the instrument, and how?

Overall external coherence:

- To what extent do the different PI actions complement or stimulate synergies with other EFIs? Are there any overlaps?
- To what extent do the different PI actions complement or stimulate synergies with EU instruments outside of development policy (*Interviewer prompt as appropriate: COSME, H2020*)? Are there any overlaps?
- To what extent are the different PI funded actions consistent with EU external action policies (*Interviewer prompt as appropriate: EU trade policy, European Neighbourhood Policy, etc.*)? Are there mechanisms in place to ensure consistency between the PI and other EU external action policies?
- To what extent are the different PI funded actions aligned with core EU interests?
- Can you think of any examples where the different PI funded actions complement or stimulate synergies with interventions of other key actors, in particular EU Member States? Are there any overlaps with interventions from Member States that you can think of?

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## Closing remarks

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- Do you have any **additional suggestions or comments** that you consider could be useful in the framework of the current Mid-term evaluation of the Partnership Instrument?
- Is there anything else that you think we should be aware of that hasn't been covered?

**Thank you for your time!**

## Interview guide for Members of European Parliament

Interviewee name	
Country and Political Party	
Interview date and interviewer	

### Introduction:

- Brief introduction to MEP's background, role and position
- Could you describe your involvement / role played as part of the Committee on Foreign Affairs (AFET)?
- What is your involvement with the Partnership Instrument (e.g. financial negotiations at the general level or specific interest in some actions – which ones)?
- What is the role played by the European Parliament (EP) in relation to the Partnership Instrument? Please describe the process in as much detail as possible.

### Relevance of the PI

- What do you think was the rationale behind the creation of the Partnership Instrument, which is a relatively new instrument compared to e.g. the EDF, DCI, IPA?
- What would you say are the distinctive features of this foreign policy instrument when compared with other EFIs?

The Impact Assessment Report issued in preparation of the Partnership Instrument back in 2011 identified a number of challenges that called for the creation of a new instrument, including a changing world economy, the emergence of new powers (India, China, South Africa and Brazil) playing an important role in the international agenda and the increased relevance of common challenges on the global agenda.

- In your view, were these challenges still valid at the time the PI was adopted back in 2014? What were the **main EU priorities** in its relations to i) strategic partners, (ii) other advanced economies or (iii) middle-income countries no longer eligible for bilateral support under development assistance that justified the creation of the PI?
- How / to what extent does it support EU external action / global role / what does the PI bring to the EU as a global actor?

The **overall objective** of the PI is to advance and promote Union and mutual interests. Following from this, the four specific objectives of the PI are to:

- promote policy dialogue and develop collective approaches and responses to global challenges;
- implement the international dimension of "Europe 2020";
- enhance market access and boost trade, investment and business opportunities for EU companies through economic partnerships, business and regulatory cooperation; and
- enhance a widespread understanding of the EU and promote its values and interests

- Do you think that the **overall and specific objectives** of the PI responded to EU priorities in 2014, back when the instrument was adopted? Why / why not?
- What **key changes** have taken place at the international context, and in which ways has the PI adapted to address these evolving challenges?
- Do you think that the overall and specific objectives of the PI continue to respond to EU current priorities? Why / why not?
- Is there a need to review or reformulate these objectives thinking about the future?

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### EU added value:

Where do you think the added value of the PI lays in: (*interview prompts*):

- Specific foreign policy approach to the support provided? If so, what would be the characteristics of this approach? (other EFIs, other EU programmes / instruments)
- Complement / substitute a support not available at any other level? (MS, subnational level, others actors)
- Political leverage / policy engagement?
- Financial leverage?
- What would be the most likely consequences of stopping or withdrawing PI-financed actions?

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### Coherence, consistency, complementarity and synergies

I would now like to talk about the external coherence of the Instrument.

With reference to particular actions you would have in mind / have been more closely following:

- How does the PI fit with the other EFIs? To what extent do the different PI actions complement or stimulate synergies with other EFIs? Are there any overlaps?
- To what extent do the different PI actions complement or stimulate synergies with EU instruments outside of development policy (Interviewer prompt as appropriate: COSME, H2020)? Are there any overlaps?
- To what extent are the different PI funded actions consistent with EU external action policies (*Interviewer prompt as appropriate: EU trade policy, European Neighbourhood Policy, etc.*)? Are there mechanisms in place to ensure consistency between the PI and other EU external action policies?
- To what extent are the different PI funded actions aligned with core EU interests?
- Can you think of any examples where the different PI funded actions complement or stimulate synergies with interventions of other key actors, in particular EU Member States? Are there any overlaps with interventions from Member States that you can think of?

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### Closing remarks

- What are the **main strengths and weaknesses** of the PI? Can you identify the areas / aspects where the PI has been more successful to date, and areas where there is scope to improve the instrument?
- In your view, has the PI supported EU external action / to what extent / why (not)? What do you think are the limitations (if any) of the foreign policy instrument?
- In your view, how could EU support be made more effective / impactful in the future? Do you see a need for any additional actions?
- Do you have any **additional suggestions or comments** that you consider could be useful in the framework of the current Mid-term evaluation of the Partnership Instrument?
- Is there anything else that you think we should be aware of that hasn't been covered?

**Thank you for your time!**

## Interview guide for Members of the PI Committee

Interviewee name	
Country and Organisation	
Interview date and interviewer	

### Introduction:

- Brief introduction to interviewee's background, role and position
- Could you describe your involvement with the Partnership Instrument, and in particular your role played as part of the PI Committee? (e.g. comitology scrutiny, approval of AAPs, etc.)
- What is the role played by the Member States and the PI Committee more generally in relation to the Partnership Instrument? Please describe the process in as much detail as possible.

### Relevance of the PI

- What do you think was the rationale behind the creation of the Partnership Instrument, which is a relatively new instrument compared to e.g. the EDF, DCI, and IPA?
- What would you say are the distinctive features of this foreign policy instrument when compared with other EFIs?

The Impact Assessment Report issued in preparation of the Partnership Instrument back in 2011 identified a number of challenges that called for the creation of a new instrument, including a changing world economy, the emergence of new powers (India, China, South Africa and Brazil) playing an important role in the international agenda and the increased relevance of common challenges on the global agenda.

- In your view, were these challenges valid at the time the PI was adopted back in 2014 and are they still valid today?
- What were the **main EU priorities** in its relations to (i) strategic partners and (ii) other advanced economies no longer eligible for bilateral support under development assistance that justified the creation of the PI?
- What are your country's priorities? Have your **country's priorities** in this area been aligned with EU priorities? (Interviewer prompt about regions and topics of priority for the Member State, What are the main points in common and the key differences in terms of priorities at EU and national level?)

The **overall** objective of the PI is to **advance and promote Union and mutual interests** Following from this, the **four specific objectives** of the PI are to:

- promote policy dialogue and develop collective approaches and responses to global challenges;
- implement the international dimension of "Europe 2020";
- enhance market access and boost trade, investment and business opportunities for EU companies through economic partnerships, business and regulatory cooperation; and
- enhance a widespread understanding of the EU and promote its values and interests

- Do you think that the **overall and specific objectives** of the PI responded to EU priorities in 2014, back when the instrument was adopted? Why / why not?

- What **key changes** have taken place at the international context, and in which ways has the PI adapted to address these evolving challenges?
- Do you think that the overall and specific objectives of the PI continue to respond to EU current priorities? Why / why not?
- Is there a need to review or reformulate these objectives thinking about the future?

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### Effectiveness of the PI

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- In terms of the **support** available, there are concerns that the instrument has a broad scope (in terms of regions and topics covered), but that it has a limited financial envelope to address its wide ambitions. What is your view on this particular challenge?
- Do you think that the mix of topics covered by PI funded actions (with environment, climate change and trade related issues as the main topics) is appropriate? Are there any particular topics that should receive a larger budgetary share?
- Do you think that the budgetary allocation across regions (with Asia Pacific and the Americas as the two regions that receive the largest share) is appropriate? Are there any particular regions or countries that should receive a larger budgetary share?
- Have you witnessed any particular changes in the way in which the Annual Action Programmes have been developed by the Commission? If so, could you comment on the main changes you have noticed?

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### EU added value:

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- What does the PI bring to the EU as a global actor?
- What does the PI bring to your Member State as a foreign policy player?
- In particular, where do you think the added value of the PI lays in: (*interview prompts*):
  - Specific foreign policy approach to the support provided? If so, what would be the characteristics of this approach? (other EFIs, other EU programmes / instruments)
  - Complement / substitute support not available at other levels in your Member State at national or sub-national level, or that provided by other actors?
  - Has the PI encouraged political leverage / policy engagement from your Member State or strategic countries it supports?
  - Has it encouraged additional financial leverage?
  - What would be the most likely consequences of stopping or withdrawing PI-financed actions?

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### Coherence, consistency, complementarity and synergies

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I would now like to talk about the external coherence of the Instrument.

With reference to particular actions you would have in mind / have been more closely following:

- To what extent are the different PI funded actions aligned with core EU interests / priorities?
- Can you think of any examples where the different PI funded actions complement or stimulate synergies with interventions of other key actors, in particular in your Member State?
- Are there any overlaps with interventions from your Member State that you can think of?

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### Closing remarks

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- What are the **main strengths and weaknesses** of the PI? Can you identify the areas / aspects where the PI has been more successful to date, and areas where there is scope to improve the instrument?

- What do you think are the limitations (if any) of the foreign policy instrument?
- In your view, how could EU support through the Partnership Instrument be made more effective / impactful in the future? Do you see a need for any additional actions?
- Do you have any **additional suggestions or comments** that you consider could be useful in the framework of the current Mid-term evaluation of the Partnership Instrument?
- Is there anything else that you think we should be aware of that hasn't been covered?

**Thank you for your time!**

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### Interview guide for managers of EFIs

Interviewee name	
Institutional affiliation	
Interview date and interviewer	

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#### Introduction:

- Brief introduction to interviewee's background, role and position
- Could you describe your involvement with the Partnership Instrument?

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#### Coherence, consistency, complementarity and synergies

*Prompter if need be: with reference to particular actions you would have in mind / have been more closely following*

- Can you describe the thematic (objectives) and geographical scope of instrument x?
  - How and by whom are your objectives, multiannual and annual programmes defined?
- Coherence between the PI and instrument x:
  - Potential coherence
    - What do you see as the potential area for synergies or risk of overlap with the PI?
    - Where do you see the PI could complement the action by instrument x? How?
  - Can you provide us with concrete examples (on the basis of actions funded) (coherence in practice)?
- Where there is a potential overlap:
  - How do you ensure there is no duplication of the financial support provided?
  - How do you ensure that the PI is used as an instrument of last resort only
    - With respect to instrument x?
    - Is the approach the same across all categories of partners?
- How do ensure in practice that the use of the different instruments (decision-making)?
  - Can you describe the specific steps of the decision-making process that have this objective?
    - *Possibly: can you provide an example of how coordination works in practice?*
  - To what extent do you think coordination is successful? Unsuccessful / insufficient?
  - Why?
  - How can the coherence between the instruments be enhanced?

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#### Closing remarks

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- What do you think was the rationale behind the creation of the Partnership Instrument, which is a relatively new instrument compared to *instrument x*?
- What are the **main strengths and weaknesses** of the PI?
  - Can you identify the areas / aspects where the PI has been more useful to date, and areas where there is scope to improve its use?
  - What do you think are the limitations (if any) of the foreign policy instrument?
- As part of the EFI package, in your view, what does the PI bring to the EU as a global actor?
- In particular, where do you think the added value of the PI lays in: (*interview prompts*):
  - Specific foreign policy approach to the support provided? If so, what would you say are the distinctive features of this foreign policy instrument / the foreign policy approach when compared to instrument x?
  - Complement / substitute support not available at any other level?
  - Has the PI encouraged political leverage / policy engagement compared to what can be achieved with *instrument x*?
  - Has it encouraged additional financial leverage?
  - What would be the most likely consequences of stopping or withdrawing PI-financed actions?
- Do you have any **additional suggestions or comments** that you consider could be useful in the framework of the current Mid-term evaluation of the Partnership Instrument?
- Is there anything else that you think we should be aware of that hasn't been covered?

**Thank you for your time!**

## Annex 7: Interview programme

This annex details the interviews conducted.

	<b>Note</b>
<b>EEAS</b>	5 interviews
Gerald Hatler (PI coordinator) C. Leffler (Deputy SG for economic and global issues) Roland Schaefer (Deputy Managing Director for the Americas) Veronica Cody (Head of Division Regional Affairs Asia & Pacific) Peter Hedling (Division MENA.5)	
<b>FPI and PI users</b>	56 interviews <sup>16</sup>
<p>Nona Deprez (Acting Head of Unit, FPI.4) Paolo Zingale (FPI.4) Ronan Mac Aongusa (FPI.1) Thierry Fournier (FPI.1) Genoveva Ruiz Calavera (former HoU FPI.4)</p> <p>FPI.4 programme managers of PI-supported actions (as identified in the overview provided by the evaluation lead) at HQ/EUDEL and other colleagues from EEAS/line DGs/EUDEL involved in implementation of PI actions (PI Users)</p> <p>Juan Jose Almagro Herrador Filippo Amato Duccio Bandini Sandra Bareyre Stephane Bauguil Asad Beg Paola Bellabona Lucie Berger Paolo Caridi Vincenzo Collarino Ana Teodora Deaconu Pietro De Matteis Vadim Deleu Felix Fabiny Lubomir Frebort Zoran Gogolewski Manuel Gomez-Herrero Nicolas Grosse Swati-Sain Gupta Helisene Habart Lejla Haveric Helen Henderson Outa Hermalanti Elisabeth Hundhammer Pablo Iglesias Rumbo</p>	

<sup>16</sup> In addition to a series of briefings organised when the evaluation kicked off by FPI.4.

<p>Viktorija Kaidalova Arno Kaschl Thomas Le Vaillant Cecile Leemans Thais Leray Natividad Lorenzo Ghislain Marechal Valerie Marzal Alain Matton Ugo Miretti Michel Mouchiroud Monta Neilande Ellen Pedersen Carlo Pettinelli Jutta Pomoell-Segurola Timothy Rivera Maria Rosa Sabbatelli Christoph Saurenbach Aki Taniguchi Eva Maria Troya Blanco Amela Trhulj Corinna Valente Kamil Valica Daniel Van Assche Jorg Wojahn Mohammed Zakzouk</p>	
<p><b>PI implementation group</b></p>	<p>7 interviews</p>
<p>Pedro Ballesteros Torres (ENER) Philippe De Taxis du Poet (GROW) Silvena Pesta (HOME) Andrew Murphy (ENV) Cristina Vargiolu (CONNECT) Homa Dean / Bernard San Emeterio Cordero (DEVCO) Florian Schubert (TRADE)</p>	
<p><b>Sample of PI Committee members</b></p>	<p>8 interviews</p>
<p>Poland - Agata Utnicka France - Renee-Christine Claverie Spain - Aiki Muramatsu Mauleon Portugal - Cristina Vasconcellos Germany - Jan Groschoff Sweden - Torsten Ericsson Latvia - Ieva Lapina Slovakia - Tomáš Bičan</p>	

<b>EFI managers</b>	7 interviews
Laura Auger-Perez (ICI) Thierry Rommel (ICI+ for Asia) Bernard San Emeterio Cordero (DCI) Isabelle Combes (ENI) Adrian Nicolae (Balkans) (IPA) Sarah Rinaldi (EiDHR) Marc Fiedrich (IcSP)	
<b>Strategic Partners</b>	9 interviews
Argentina (Del, Deputy HoD) Brazil (Del, HoD) Canada (Del, Deputy HoD and PI manager) China (Del, Head of Political section) India (Del, HoD, Deputy HoD) Japan (Head of Trade section, and PI managers ) Russia (Del, Head of Political section) United States (Del, HoD, Deputy HoD) South Africa (Devco, Geographical coordination Southern Africa)	
<b>European Parliament</b>	2 interviews
Neena Gill Samuel Cantell (Senior policy advisor, DG External policies)	

## Annex 8: Database analysis

The analysis of the results and indicators databases supports our assessment of the Instrument. The qualitative and quantitative evidence presented below feeds into our answers to the evaluations questions.

### Introduction

In the context of the **meta-evaluation**, the evaluation team sought to provide an overview of the different actions funded under the PI, with a focus on the development and completion of **two databases** (one on the results and achievements of PI actions and another one on monitoring indicators). The **first database includes results** from finalised and on-going actions collected based on performance information available in progress and final reports (of implementing partners and internal) and other relevant documents. The **second database includes data mapped against the common PI indicators**, which were defined in the framework of an external study tasked with developing indicators and a monitoring system to assess the first implementation phase of the PI.<sup>17</sup> The databases were expected to support our assessment of the effectiveness, including the progress made to date in achieving or progressing towards the instrument's specific objectives, and an analysis of the factors that have influenced the results, but also the efficiency, the added value (e.g. financial leverage) and the coherence of the funded actions.

The two databases were developed between August and November 2016. They were mainly based **on documentary evidence provided by the FPI**, produced both internally (Action Fiches, Concept Notes, Internal Progress Reports) or externally by the contractors implementing ongoing actions (Inception, Interim / Progress and Final Reports, Press releases, Briefings, etc.) or attending experts for TAIEX actions. Inception Reports, internal progress reports or draft log frames developed by FPI or external contractors were considered as the most helpful sources in the context of the action review carried out by the evaluation team; progress reports drafted by contractors provided relevant but partial information, which needed to be retreated to a great extent to be used for evaluation purposes. Often, the documentary evidence was insufficient or inadequate for the purpose of completing the two databases. In this view, a **systematic consultation programme of Project Managers** was carried out. It included contacts with EU delegations, the FPI, line DGs and the EEAS.

The following sections present **points of analysis for the data compiled in the two databases**, against the evaluation areas: Relevance, Effectiveness, Efficiency, EU added value and Coherence, Consistency, Complementarities and Synergies.

The sample of actions reviewed for the databases was based on a CRIS extract from September 2016. In addition to the actions listed in this extract, the review includes actions from the 2<sup>nd</sup> phase of the Annual Action Programme (AAP) for 2016 and a number of provisional actions, not listed in CRIS, but for which documentation was already made available by the FPI.<sup>18</sup> On the basis of the documentation provided by the FPI and supplemented by interviews, a total of **174 content-related actions**<sup>19</sup> were reviewed by the evaluation team and are included in the two databases. The total PI budget covered in the review was EUR 262.5 million.<sup>20</sup>

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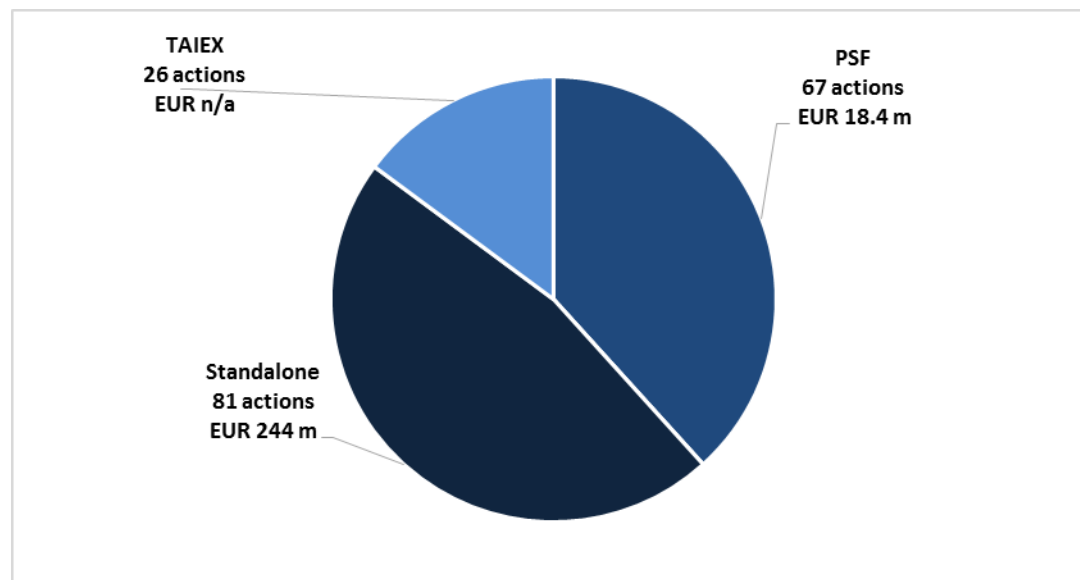
<sup>17</sup> The common PI indicators used for this evaluation were actually developed after the creation of the Instrument. Before their adoption, there was no common monitoring and evaluation framework for PI-funded actions. As a consequence, no data was collected to consistently report against these indicators. To populate the databases, the evaluators retrofitted the evidence available in the action documentation against the indicators.

<sup>18</sup> The review of some Public Diplomacy actions from the 2<sup>nd</sup> phase of the AAP 2016 was only based on the limited documentation available in a general Action Fiche (Annex 13). Thus, the implementing modalities could not be ascertained. In the absence of more comprehensive documentation, we have assumed that these were standalone actions.

<sup>19</sup> The CRIS extract on which the review was based contained a number of additional actions which were categorised as irrelevant or not content-related. A content-related action focuses on substantial objectives. It is to be distinguished from technical assistance provided to better identify, implement, monitor or evaluate PI actions. The not-content related actions

Figure 2 presents the breakdown of reviewed actions per modality of implementation and the corresponding budget shares.<sup>21</sup> The budgetary envelope allocated to standalone actions, as well as the number of actions implemented through this type of modality is significantly larger than the other two types.

**Figure 2: Number of reviewed actions per support modality**



Source: Evaluation team, based on MIP allocations and analysis of databases' results. Note: No data has been made available to the evaluators on expenditure on TAIEX actions.

The map in Figure 3 presents an overview of the reviewed PI actions by geographical region, with the corresponding budget committed to date. The map indicates that, for the sample of actions reviewed individually for the evaluation, a large majority of PI funding is allocated to Asia-Pacific and the Americas (with a stronger focus on Latin America and the Caribbean, rather than the United States of America and Canada which together total about EUR 23 m of PI funding spread across 38 actions for the reviewed period), whereas global actions total EUR 51 m. For the purpose of completing the databases, individual grants under two actions focussed on the United States of America, the *EU-US Transatlantic Civil Society Dialogue* and *Getting to Know Europe* were recorded as separate actions instead of only counting two "umbrella" actions (respectively 3 and 16 individual grants / projects), namely 19 actions overall. This was done to capture the outcomes of each project and reflect their diversity. However, as a result, the number of actions in the region of the Americas appears more significant than expected.

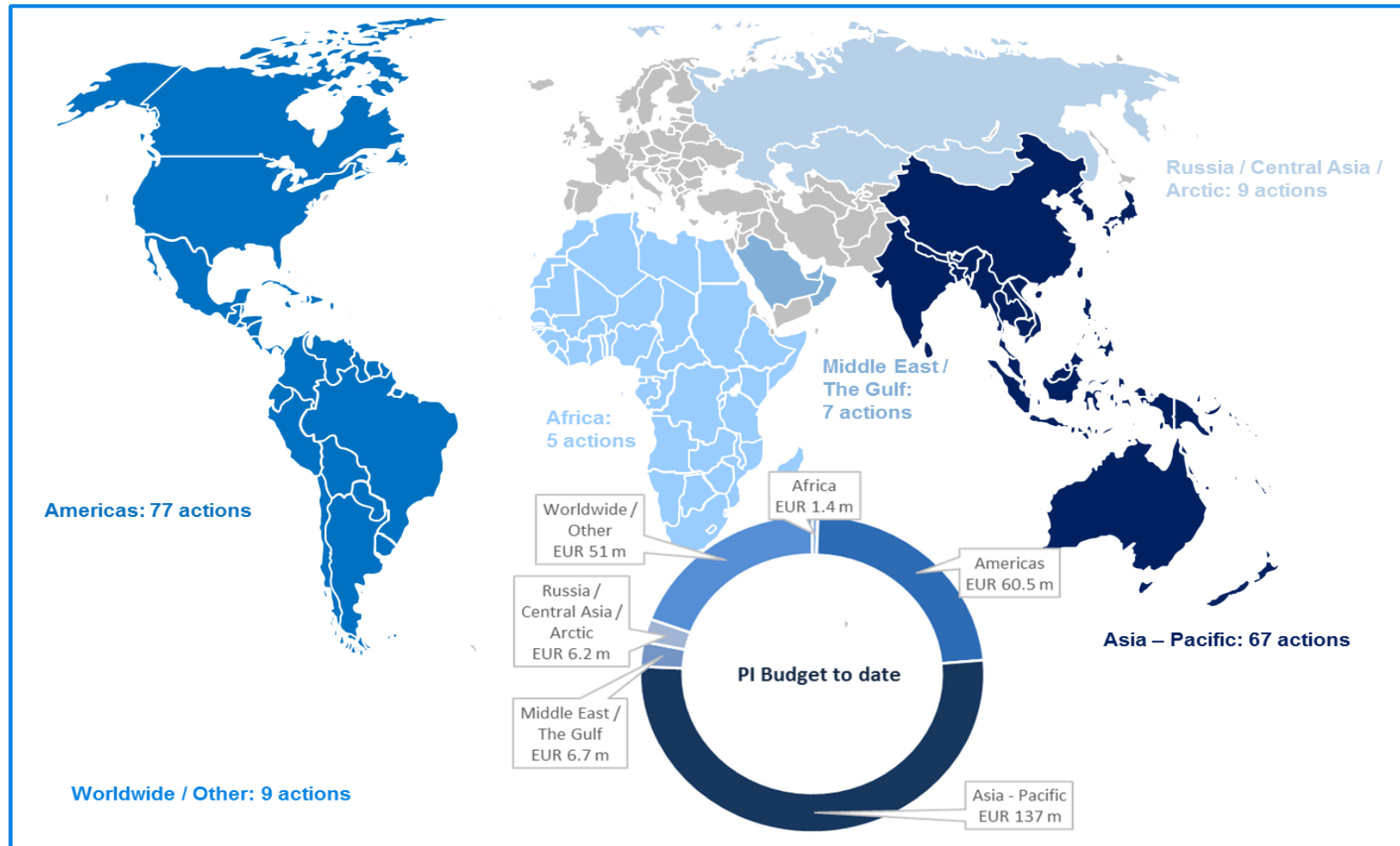
It is noteworthy that PI actions in Asia-Pacific have larger budgetary envelopes than actions deployed in the Americas. The other geographical regions covered by the PI (Africa, Middle East / the Gulf and Russia / Central Asia and the Arctic) have seen substantially less activities through the reviewed period.

are not included in the results and indicator databases. In light of this, the present analysis does not account for these actions.

<sup>20</sup> Total budget of reviewed PI actions: EUR 262,527,121. For one action, the modality was not specified so it is not included in the graph.

<sup>21</sup> The budget for TAIEX actions has not been included, as the evaluation team was not provided with financial data for individual TAIEX actions except for one (EUR 25,000).

**Figure 3: PI budget allocation and number of reviewed actions per geographical region**



The results database also enabled us to collect information on the typology of activities funded through the PI during the period under consideration and draw comparisons between the funding allocated to Strategic Partner countries<sup>22</sup> and other Partner countries. The total spend of PI funds on record for the reviewed actions focusing on Strategic Partner countries was more than EUR 130 m, or half the total PI budget for the period under consideration (EUR 262.5 m). By way of comparison, the funds allocated to country-specific actions with other partner countries during the same period were only EUR 5 m. However, other partner countries have been also covered by global / regional actions, which amounts to EUR 120 m. That represents almost half of the total funds deployed to date and it provides evidence of the global reach of the PI. On average, global / regional actions had a significantly higher budget than actions directed at Strategic Partner countries.

In terms of number of actions, almost two thirds of all actions reviewed were focused on the EU's Strategic Partner countries. The main objectives of these actions were specific objective 3 on regulatory cooperation and FTAs, specific objective 1 on global challenges and specific objective 4.2 on public and cultural diplomacy. The most frequently used types of instruments in the context of these actions are standalone and PSF actions.<sup>23</sup> Only 29 reviewed country-specific actions were focused on non-Strategic Partner countries (but these countries are also covered by global and regional PI actions), mainly falling under specific objective 3 and formulated through TAIEX and PSF instruments.<sup>24</sup>

The majority of global and regional PI activities in the reviewed sample were addressing specific objective 1 through standalone actions. Only one of the regional actions was implemented in strategic partner countries exclusively (*Low carbon business action in Brazil and Mexico Phase 2*). All the other actions are to be implemented in at least one other partner country. These actions are mainly focused on the following geographical regions:

- Latin America and Caribbean (9 actions in Argentina, Bolivia, Chile, Colombia, Costa Rica, Cuba, Ecuador, Grenada, Panama, Paraguay, Peru, Uruguay, Venezuela);
- South Asia (1 action in Afghanistan , Bangladesh, Bhutan, India, Maldives, Nepal, Pakistan and Sri Lanka) and South East Asia (5 actions in Brunei, Cambodia, Indonesia, Laos, Malaysia, Myanmar, Philippines, Singapore, Thailand, Timor Leste and Vietnam);
- The Arctic (5 actions in the Arctic states, including Iceland and Norway); and
- The Gulf (2 actions in Bahrain, Kuwait, Oman, Qatar, Saudi Arabia and UAE).

The findings of this analysis are presented in Figure 4 on the next page.

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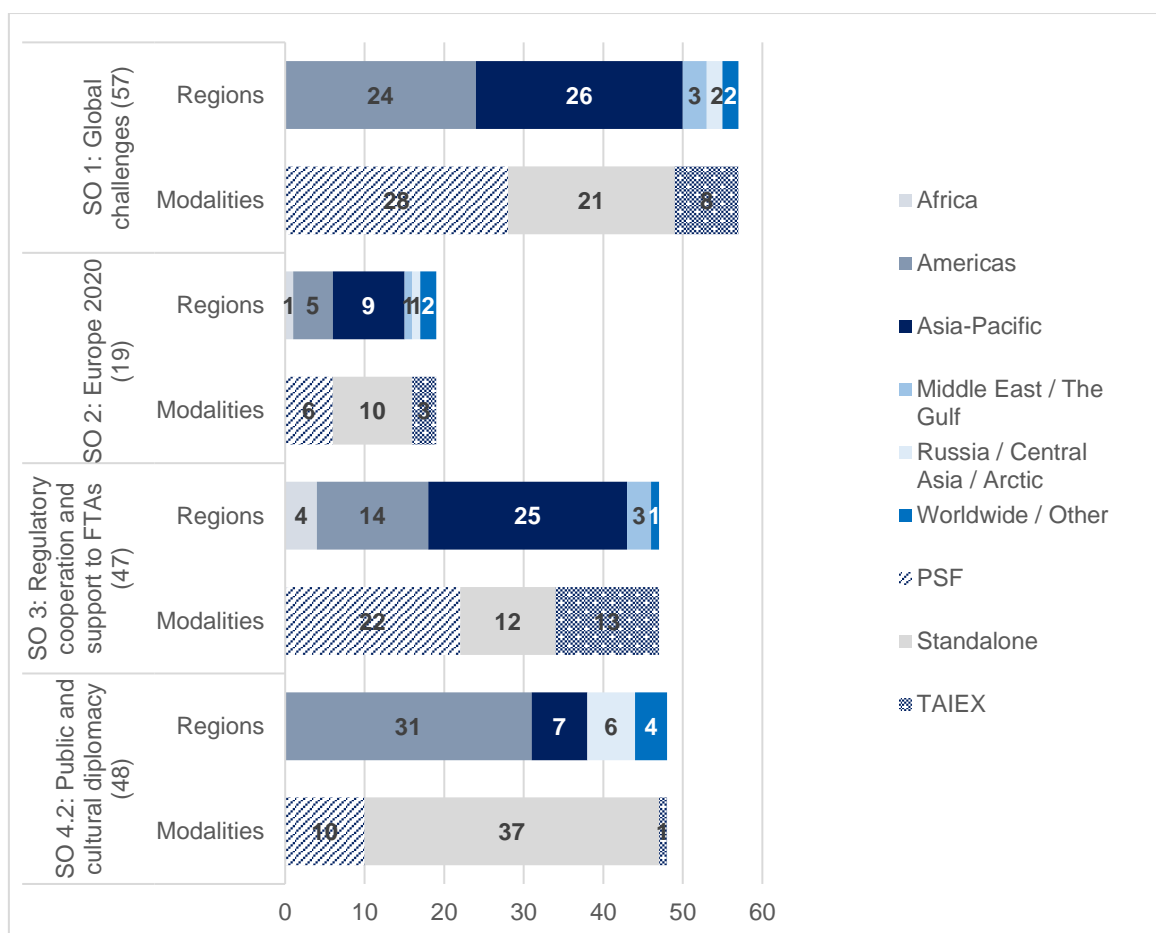
<sup>22</sup> Brazil, Canada, China, India, Japan, Mexico, Russia, South Africa, South Korea and USA.

<sup>23</sup> The objective for two PI actions in a Strategic Country was Strategic Objective 4.1 on Education which falls outside of the scope of the evaluation. This is the reason for the difference between the number of modalities and objectives in the graph.

<sup>24</sup> The modality for one PI action in a non-Strategic Partner country was not stated in the absence of documents to conduct the review.



**Figure 4: Number of actions by specific objective and modality per strategic partner countries, other countries and global / regional actions**



Note: This figure excludes one action for which there was no clearly stated specific objective and two actions falling under specific objective 4.1 which is outside the scope of the evaluation of the PI (hence the slight disparity in the total number of actions shown under each specific objective).

## Relevance

The results database recorded the baseline of each action based on documentary evidence and supplemented by interviews with PMs. To reflect on the different situations of different categories of EU partners, our qualitative analysis of the baselines for PI actions presented below distinguish between (the individual situations of) Strategic Partners and other partner countries. The following paragraphs are meant to provide an overview of the baseline situation in each Strategic Partner country and how the PI supports progress on relevant issues. In this view, not all funded projects in each Strategic Partner country are described in detail.

## Brazil

Brazil is a prominent member of Mercosur with whom an Association Agreement with a strong trade component is being currently negotiated by the EU and, since the EU-Brazil Lisbon summit in July 2007, one of the EU's Strategic Partners. The EU has a strategic interest in fostering efforts from middle income countries such as Brazil to adequately tackle the global challenge of resource efficiency. The PI supports this

interest by addressing both the environmental protection challenge and improving market access and developing trade, investment and business for European companies, notably SMEs, which is also a key objective of EU industry policy, through actions such as the *EU-Brazil Sector Dialogue Support Facility (SDSF)*, *Low Carbon Business Action in Brazil* and the *Plant Nutrients and Plastic Recycling*. In addition, the Europe 2020 Strategy for smart, sustainable and inclusive growth has set objectives for improving employment as well as boosting investment in research and development, among others. The external dimension aims to increase EU companies' growth by a greater activity in and with Brazil, which is expected to have an impact on the economy, businesses and jobs in Europe. Compliance with regulatory and standards requirements are a pre-condition for imports into Brazil and therefore crucial for EU exporters and investors doing business with Brazilian partners. The PI supports this through the activities related to mapping of applicable technical regulations, conformity assessment procedures and supporting standards in support of EU-Brazil business development.

Bilateral actions in Brazil:

- EU-Brazil Sector Dialogue Support Facility (SDSF)
- Low Carbon Business Action in Brazil
- Plant Nutrients and Plastic Recycling
- Support to EU Market Access Team and Eurocamara in Brazil
- Support of the EU-Brazil Common Agenda for Migration and Mobility
- EU and Brazil together for climate: Road to Paris
- Mapping of applicable technical regulations, conformity assessment procedures and supporting standards in support of EU-Brazil business development
- Seminar on Good Practice in Responsible Business Conduct
- EU public transport strategies for local Brazilian governments - the STIF Experience

## Canada

Canada is a Strategic Partner of the EU, a like-minded country in international fora such as the G7, G20, NATO, United Nations and OSCE. Their partnership covers areas such as energy and climate change, where bilateral High Level Dialogues are underway between Canada and the EU. Canada is a challenging market for EU businesses, notably SMEs. In light of this, there is a potentially high demand for information and dialogue from both European and Canadian businesses on CETA details and opportunities, ahead of the agreement's entry into force. This will be addressed through a PI action on the *support to CETA implementation & EU Chambers' coordination*. On the broader aspect of communication on the EU-Canada relations, an activity aimed at promoting the key messages of the EU-Canada Strategic Partnership during the special commemoration year celebrating 40 years of official cooperation between the EU and Canada was funded by the PI in 2016.

Bilateral actions implemented in Canada:

- EU Policy and Outreach Partnership in Canada
- Support to CETA implementation & EU Chambers' coordination
- Feasibility Study for an EU-Canada mineral investment facility
- Promoting the key messages of the EU-Canada Strategic Partnership during the special commemoration year 2016, celebrating 40 years of official cooperation between the EU and Canada
- Canada Mineral Investment Facility
- Exchange of best practices at the Canadian-European Counterfeit Symposium
- European assistance in the development of a national volunteer disaster relief organization for Canada

## China

The creation of the EU-China Comprehensive Strategic Partnership in 2003 has deepened and broadened cooperation in a wide range of areas, and the EU and China have become highly interdependent as a result. China is one of the EU's key Strategic Partners and the EU's second trading partner. Although already very comprehensive, the EU-China strategic partnership still has some room to expand in areas likely to reinforce the implementation of the Europe 2020 Strategy. The PI seeks to realise the external dimension of Europe 2020 and this is reflected in actions such as the *EU-China Legal affairs dialogue*. Many leaders, media and general public in China still have limited knowledge and/or distorted (sometimes negative) views on the EU, which are often based on misperceptions. The *EU Public Lectures Series in China* aim to enhance the understanding of the EU in the country, thereby strengthening ties and co-ordination which in turn will facilitate the EU and China working together to address major global issues such as security (including cyber-security), trade, energy or climate change. Other relevant areas of cooperation are competition policy and legislation / enforcement of water management policy. Finally, the particularities of Chinese trade practices make it essential for EU policymakers and stakeholders to track Chinese practices in the domestic market in order to identify looming trade practices incompatible with China's WTO commitments. The breadth and intensity of bilateral commerce also points to the need of carefully monitoring the Chinese trade policies, anticipating any possible disruptions or irritants. Up until now, the EU has lacked a systematic mechanism to overview potential Chinese domestic trade defensive strategies and trends in China's "going global" policy. The PI action titled *Anticipating the impact of China's trade policies on the EU* seeks to shed light on this aspect.

Bilateral actions implemented in China:

- EU-China Interpreters Training Programme
- EU-China Low Carbon Cities
- EU-China expert group on the economic impact of cybersecurity challenges and digital economy
- EU-China legal affairs dialogue
- Understanding Legal Economic Reform in China
- EU-China Aviation Partnership Project (APP)
- EU-China Dialogue on Migration and Mobility Support Project
- EU-China Cooperation on Carbon Capture and Storage (inception phase)
- EU-China Cooperation on environment
- Innovative Financing Mechanisms - Biodiversity in China
- Arts and Society in China and the EU - Expressions of human rights in China and the EU
- EU public lectures series in China
- China Europe Water Platform - Lot 1 Rural Water and Food Security & Lot 2 Water and Urbanisation
- EU China Competition Weeks, Summer School and Visitors - Competition cooperation (Lot 4)
- EU Gateway to China Lots 1&2
- Advance EU Access to Financial Incentives for Innovation in China
- Anticipating the impact of China's trade policies on the EU

## India

Trade is an important area of interest in the EU-India relationship, the EU being the major trading partner for India and India being a huge market with a great potential for growth. Harmonization and alignment of Indian regulations and standards to the corresponding EU ones is an important tool of trade facilitation. Activities of the PI in India are strongly oriented towards standardisation, for instance through *Initial support to EU-India cooperation on ICT-related standardisation, policy and legislations* and the *Analysis of problematic market access barriers in Indian legislation and practice*. Currently there is no ongoing dialogue between the EU and India on Climate

Change despite the efforts to engage with the Indian authorities and the existence of a joint work programme for EU India cooperation on Energy, Clean Development and Climate Change. Engaging with India on climate change is important both in the international negotiations context (for the Paris agreement and after Paris) and in terms of influencing the domestic low carbon economy trajectory and providing market access and opportunities to the EU private sector. The PI provides *support to EU-India Climate Change Dialogue*. India's water challenges are complex and include quantity, allocation, quality and management. One of the major water-related problems in India is the management of the Ganga River Basin. In Europe, the water policy has been successfully developed over the past thirty years and it has brought about significant improvements in the quality of European waters. Building on the ground-knowledge and expertise acquired so far (including by European businesses), as well as exploiting the potential offered by the EU's Horizon 2020 Programme in supporting innovation activities, PI action in this area (through the *action providing support to the Clean Ganga initiative and preparation for wider EU-India cooperation on water issues*) will identify the most promising areas of joint action involving EU MS, businesses and other key stakeholders in support of the EU's policy projection in India. In addition, an *Indo-European Water Platform (IEWP)* is also being set up through PI funding.

Bilateral actions implemented in India:

- Engagement with Civil Society in India
- EU Policy and Outreach Partnership in India
- EU-India cooperation on ICT-related standardisation, policy and legislation (2 phases)
- Indo-European Water Platform
- Support to EU-India climate change dialogue
- Analysis of problematic market access barriers in Indian legislation and practice (Local Content Requirements (LCRs); Conformity Assessment and Certification and Registration Requirements (CACRRs); Plants and plant-product import requirements, including Sanitary & Phytosanitary (SPS)
- Preparation for an EU-India Sustainable Urbanisation Partnership
- Resource Efficiency Initiative (REI)
- Clean Energy Cooperation with India (CECI)
- Support to the implementation of the EU-India Capacity building Initiative for Trade Development (CITD)
- Support to the Clean Ganga initiative and preparation for wider EU-India cooperation

## Japan

The EU is engaged in negotiations with Japan to conclude a Strategic Partnership Agreement and a comprehensive FTA, which will provide an overarching framework for EU and Japan commercial relations that promises to lead to a more open, transparent and harmonized business environment. A number of PI-funded actions feed into the FTA negotiation process by providing negotiators of different chapters with important information on the specificities of the situation in Japan (for instance, *EU-Japan FTA: Food Additives, Utilities Sector and Public Procurement in Japan* and *TPP-related Legislation in Japan*).

Bilateral actions implemented in Japan:

- EU Green Gateway to Japan
- EU Gateway / Business Avenues, Central Management Unit
- EU-Japan FTA: food additives (including food additives used in wine)
- Utilities sector and public procurement in Japan
- TPP-related legislation in Japan
- The Promotion of Trade in Guaranteed Legal and Sustainably - Harvested Timber in Japan

## Mexico

The EU-Mexico Agreement signed in 2000 does not respond to the current global trade environment anymore as the following FTAs negotiated on each side have been much more comprehensive since then. Thus, there are PI activities aimed to provide *Support in the negotiations of the modernisation of the EU-Mexico FTA*. A number of other PI actions in this country revolve around the EU's strategic interest in stimulating plausible efforts from middle income countries such as Mexico to adequately tackle the climate change challenge by assisting them in a shift towards decoupling economic growth from CO<sub>2</sub> emissions and enabling a greener economy (for instance, *Low Carbon Business Action in Mexico* and *Innovative Financing Mechanisms - Biodiversity in Mexico*). Finally, together with its Strategic Partners, the EU is interested in decreasing intellectual property rights (IPR) infringements. In the case of Mexico, despite attempts to improve law enforcement such as stiffening penalties for violations, consumer demand for pirated goods remains strong, and the sale of pirated goods represents a large source of informal employment. A PI action is specifically aimed at improving this situation through the carrying out of a *Regional Seminar for Customs Officials on IPR*.

Bilateral actions implemented in Mexico:

- Regional meeting of Central American Climate Action NGO Network in Mexico
- Low carbon business action in Mexico
- Regional seminar for customs officials on IPR
- TAIEX expert mission on ICT User Rights
- TAIEX Expert Mission in support of the High level dialogue EU-Mexico on Security and Justice
- Approved Exporter
- Support to the EU-Mexico FTA modernisation negotiation
- European and Latin American local authorities on the way to HABITAT III
- Innovative financing mechanisms – biodiversity in Mexico
- Workshop on Solid Waste Integrated Management in Urban Areas

## Russia

Following the deterioration of EU-Russia bilateral relations since March 2014, public diplomacy has become a priority for the EU in Russia and this is reflected in the PI actions carried out in this Strategic Partner country<sup>25</sup>, mainly aimed to facilitate discussion/debates and sharing of different points of view in order to maintain an open society, and to reverse the negative perception in public opinion about the EU currently present in the Russian society (*EU Policy and Outreach Partnership – Russian Federation* and *EU public diplomacy in Russia; focus on journalists and think tanks*). For instance this covers strengthening the *EU-Russia Civil Society Forum*, established in 2011, to become an even stronger platform enabling EU-Russia civil society interaction.

Bilateral actions implemented in Russia:

- EU-Russia civil society forum
- EU Policy and Outreach Partnership – Russian Federation
- EU public diplomacy in Russia (focus on journalists and think tanks)

<sup>25</sup> It is important to note that, taking into account the review of cooperation activities as requested by the European Council in July 2014, actions under PI Specific Objective 4 can be considered while actions under other PI objectives have been put on hold.

## South Africa

Accessing the South African market has become more complex for EU operators recently, because of increased competition from emerging countries and the use of more trade restrictive measures by the South African government, sometimes in apparent contradiction with international and bilateral agreements. The regulatory framework is perceived as increasingly adverse, according to two recent surveys on the perception of EU investors in South Africa. In this context, combining EU forces for more efficient advocacy has been seen as a priority. In line with the EU Market Access Strategy and its objective of creating a stronger partnership between the Commission, Member States and business, the PI provides *Support to the EU Market Access Team in South Africa*. In June 2016, South Africa signed the EU - Southern African Development Community Economic Partnership Agreement EPA together with 5 other southern African countries (Botswana, Lesotho, Mozambique, Namibia, and Swaziland). Once ratified, the EPA will replace the Trade, Development and Co-operation Agreement (TDCA) in place. The PI seeks to contribute to the effective implementation of the SADC EPA, with a specific emphasis on South Africa, through a wide range of activities that include both government and other relevant stakeholders, to supplement the work that is being done at official government level. In addition to the example discussed above, the PI supports the *Economic Partnership Agreement Outreach* in South Africa. Overall, it is interesting to note that South Africa is also an EU Strategic Partner but no FPI staff was posted in the Delegation there unlike in Delegations in other strategic partner countries.

Bilateral actions implemented in South Africa:

- Economic Partnership Agreement Outreach
- Support to the EU market access team in South Africa

## South Korea

Signed in 2011, the EU-Korea FTA is the first of a new generation of FTAs, characterised by its far-reaching and comprehensive nature. The PI will carry out an *Assessment of the EU-Korea FTA implementation and the evaluation of its effectiveness and efficiency on EU business operators and consumers in Korea*. Although the 2011 FTA considerably broadened scope of major business opportunities, European companies still experience difficulties to access the Korean market. To influence a change and in line with the Europe 2020 Strategy, environmental and energy related technologies, products, equipment and services will be promoted, through PI actions such as the *Emission Trading System in the Republic of Korea*. Additionally, FTA implementation related sectors (e.g. medical and healthcare technologies) will be also supported (*Green Gateway Republic of Korea*).

Bilateral actions implemented in South Korea:

- EU Policy and Outreach Partnership in South Korea
- Expert Mission on EU Regulations and safety on non-pasteurized cheese
- Climate Change Outreach in Korea (events and communication)
- Emission Trading System in the Republic of Korea
- Mapping low-carbon stakeholders and opportunities in South Korea
- Workshop on EU Organic System and the EU Organic Logo
- Assessment of the EU-Korea FTA implementation and the evaluation of its effectiveness on EU business operators and consumers in Korea
- Implementation of ILO Fundamental Convention 111 in Korea and the Member States of the European Union
- Green Gateway to Korea (Lot 1 & Stimulating green growth and strengthening EU presence in the South Korean market and Operational and Logistics Unit based in South Korea (Seoul))
- Expert mission to South Korea to cooperate on the risk assessment of a group of electric appliances

## USA

The United States is arguably the EU's most important international partner. The EU and US have interests in and cooperate on issues that go well beyond just the transatlantic space. The EU's policy agenda with the US spans the political, economic, security, environmental and socio-cultural spectrum, but the EU is still little known to the average American, and where it is known, its image needs to be improved as it is very much linked to the economic crisis. Many PI-funded actions revolve around improving the EU's visibility in the country and among different target groups. The *EU Policy and Outreach Partnership* program will be a critical tool for the EU Delegation in the United States to engage with key US policymakers, influencers, and opinion leaders both in Washington, DC and "outside the beltway" on the range of issues in EU-US relations. The grants under *Getting to Know Europe* also aim to bring public diplomacy outside the beltway. The programme will give EU institutions valuable feedback and better insight of outside the beltway positions on EU policies as well.

Bilateral actions implemented in the USA:

- Engagement with Civil Society in the USA
- CSDP symposium in Washington D.C
- USA Going Green Conference 2016
- PSF 2016 Elections Event Series
- EuroChallenge 2015-2018
- Schuman-Fulbright Fellowship Programme (2014-2020)
- Climate Diplomacy Day
- EU Policy and Outreach Partnership – US
- Europe & US Getting to Know Europe
- EU-US Transatlantic Civil Society Dialogue
- Cooperation with Northern and Southern Transatlantic Dimension - Marine Protected Areas
- EU@SXS

## Other Partner Countries

The paragraphs below provide an overview of the baselines of the 25 PI actions oriented towards other Partner countries, by main topic.

### ***Environment and Climate Change***

PI actions were mainly focussed on the aftermath of the Paris COP21, which left open a number of issues that would have benefitted from follow-up. For instance, these included the development of detailed provisions on transparency and accountability, low-carbon strategies for 2050, the follow-up to the Lima-Paris Action Agenda (LPAA) and technology mechanisms. In view of COP22, which took place between 7 and 18 November 2016 in Marrakech, it was important to show progress. The PI also funded a Regional Seminar for Central American Civil Society Organisations (CSOs) intended to build on a climate diplomacy activity organised in Mexico City in October 2015. Another initiative emerged from the EU-Paraguay Joint Committee meeting in November 2014, aiming to exchange on the potential role of cities in climate change mitigation efforts in view of the EU-CELAC summit in June 2015 and the Paris COP21, to promote European initiatives and experience, contributing to EU international dialogue and inter urban co-operation, in line with the external dimensions of Europe 2020 and climate change policy.

## **Trade**

In 2014, the EU and West Africa concluded the negotiation of the Economic Partnership Agreement (EPA), but Nigeria is yet to sign it. The PI action *Support for EPA Advocacy and Media Outreach for Nigeria* is meant to shape the discourse concerning the EPA through constructive engagement with identified Nigerian private sector companies and the government. Since 2012, the *EU-Nigeria Business Forum* (EUNBF) has provided a platform for existing and potential EU investors, Nigerian businesses, and policy makers. The PI-funded EUNBF in 2016 and 2017 will consolidate on previous efforts on addressing obstacles to EU investments in Nigeria, exploring opportunities and consolidating business partnerships.

In Latin America, in the context of *Trade Seminars organised in Ecuador during the European Week*, the PI-funded activities helped enhance knowledge of the EU market access technical requirements (EU directives and standards) or CE marking requirements. The EU is the biggest investor in Argentina and its second most important trade partner. The presence of EU companies is significant locally, but economic operators are facing many obstacles to run their business in Argentina and imports face a number of barriers (non-automatic licences, TBTs, SPS-related issues etc.). Many challenges have already been identified, but further analysis and affirmation of the EU position vis-à-vis those challenges would be necessary and could be supported through the PI. This also applies to public procurement in Argentina and the opportunities it holds for EU operators, as reflected in the action focussed on the *mapping of public procurement regulations and procedures in Argentina*.

## **Migration and Mobility**

Kazakhstan has recently made efforts to simplify visa requirements for EU citizens and enhance market access for EU businesses. It has now adopted a National Action Plan but there still are questions on exchanging information, border management, asylum procedures etc. that needs harmonisation. The *assessment of Kazakhstan's Action Plan and its revision in line with proposals made by the European side* has been funded through the PI.

In the context of the ongoing Syrian refugee crisis, Argentina promised to receive 3,000 refugees affected by the Middle East conflict, while remarking that financial and other assistance from the international community would be needed. The *Needs Assessment, identification and formulation for an action on International Protection and Resettlement of Refugees in Argentina* is a PI-funded action.

## **Other**

Australia is a 'like-minded' EU partner in many fields, playing a pivotal role not least in South East Asia (and in ASEM) and the Pacific, where it is a leader in terms of development. PI-funded action *EU-Australia Leadership Forum* seeks to capitalise on the blossoming relationship and to shift it to a new level. Australia and the EU have finalised negotiations on a legally binding Framework Agreement which will further consolidate and strengthen the EU-Australia relationship. Although the EU is New Zealand's third largest partner for merchandise trade and second largest partner for services, trade and investment, there is a lack of awareness of the increasing cooperation on security, development and climate change issues between the EU and NZ. The PI seeks to address this through the *EU Reaching Out in Auckland* action.

In 2012, the ARF Foreign Ministers adopted the Statement by the Ministers of Foreign Affairs on Cooperation in Ensuring Cyber Security which identified the development of



confidence building measures (CBMs) as a key instrument of preventive diplomacy. EU-ASEAN cooperation in the ARF is carried out through holding workshops together to support the development of CBMs and discussing how to operationalise them in practice. The *ARF Cyber Confidence Building Measures Workshop* is funded by the PI.

In the context of the EU-CELAC cooperation in science, innovation and technology, the fifth Senior Officials Meeting (SOM) on Science and Technology of the EU-CELAC Joint Initiative on Research and Innovation (JIRI) was held in Brussels on 14 March 2016. The Parties agreed that cultural exchanges contribute to improving the relations and that contribute to innovation in digital technologies. The PI-funded action aims to improve EU-CELAC intercultural dialogue as a fundamental instrument for public diplomacy and cultural approximation between the two regions and to enhance EU-CELAC co-operation on connectivity and R&I issues.

A PI-funded TAIEX action in Saudi Arabia called *Training the trainers* is based on the European model with the objective of strongly influencing in the treatment that products which could be imported from the EU in this geographical area could receive in the near future.

Finally, there is ample space to reduce Argentina's energy intensity through support to the implementation of energy-efficient practices. The EU has a strategic interest in contributing to the increase of Argentina's energy efficiency and is well positioned to share its experience. This is the focus of the activities under the PI action on *Sustainable Growth and Energy Efficiency in Argentina*.

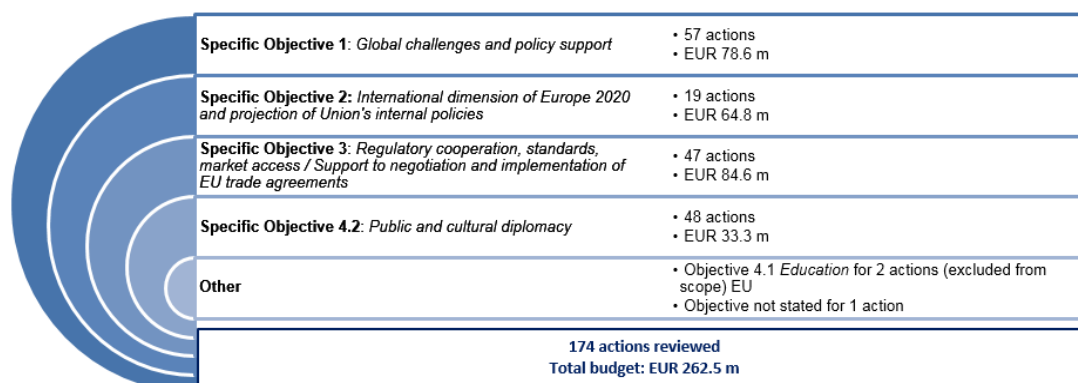
## Effectiveness

Figure 5 presents an overview of how the PI budget is spread across the specific objectives for the reviewed actions. Specific objectives 3 and 1 account for almost two thirds of the reviewed actions, as well as a similar proportion of the budgetary envelope. The budget for specific objective 3 alone totals almost EUR 85 m or a third of the total budget for the reviewed actions. Almost a third of the reviewed actions fall under specific objective 1, but reflecting a slightly smaller share of the budget (as a large proportion of PSF actions, which on average have smaller budgets, fall under this objective). Thus, almost on equal foot, the two most popular objectives of the PI for the time being are regulatory cooperation and support to FTAs, as well as addressing global challenges and providing policy support.

The 19 reviewed actions recorded under Objective 2 on the international dimension of Europe 2020 as their main objective make up over EUR 60 m of the total PI budget for the period under consideration, which suggests that these actions have a relatively higher individual value. Specific objective 4.2 concerning public diplomacy actions accounts for the smallest part of the budget, albeit covering a relatively important number of reviewed actions (49).

The financial data presented come from our databases which collate budget information from the CRIS extract (updated data on budget execution), action documents and action fiches (depending on the status of the actions).

**Figure 5: PI budget allocation by specific objective**



For comparison, the following table presents the total PI support allocated to date by specific objective and by region as recorded by the FPI in the programming documents (on the basis of the AAP allocations to date, AAPs 2014 to 2016):

**Table 3: PI budget allocation to date by specific objective and by region**

	Objective 1	Objective 2	Objective 3		Objective 4
	Priority 1	Priority 2	Priority 3.1	Priority 3.2	Objective 4.2
Asia & the Pacific	52.38	36.7	63.3	20.86	8.45
Americas	38.45	4.55	8	6.64	11.5
Russia, Central Asia, Arctic	1.5	0	0	0	4.05
Gulf countries	3.6	3	0	0	0
Africa	1.4	0.5	0	0	0
Not allocable	21.802	8	0	9	12.69
- PSF	14.452			9	
- TAIEX	2				
- Other	5.35	8			12.69
<b>Totals</b>	<b>119.132</b>	<b>52.75</b>	<b>71.3</b>	<b>36.5</b>	<b>36.69</b>

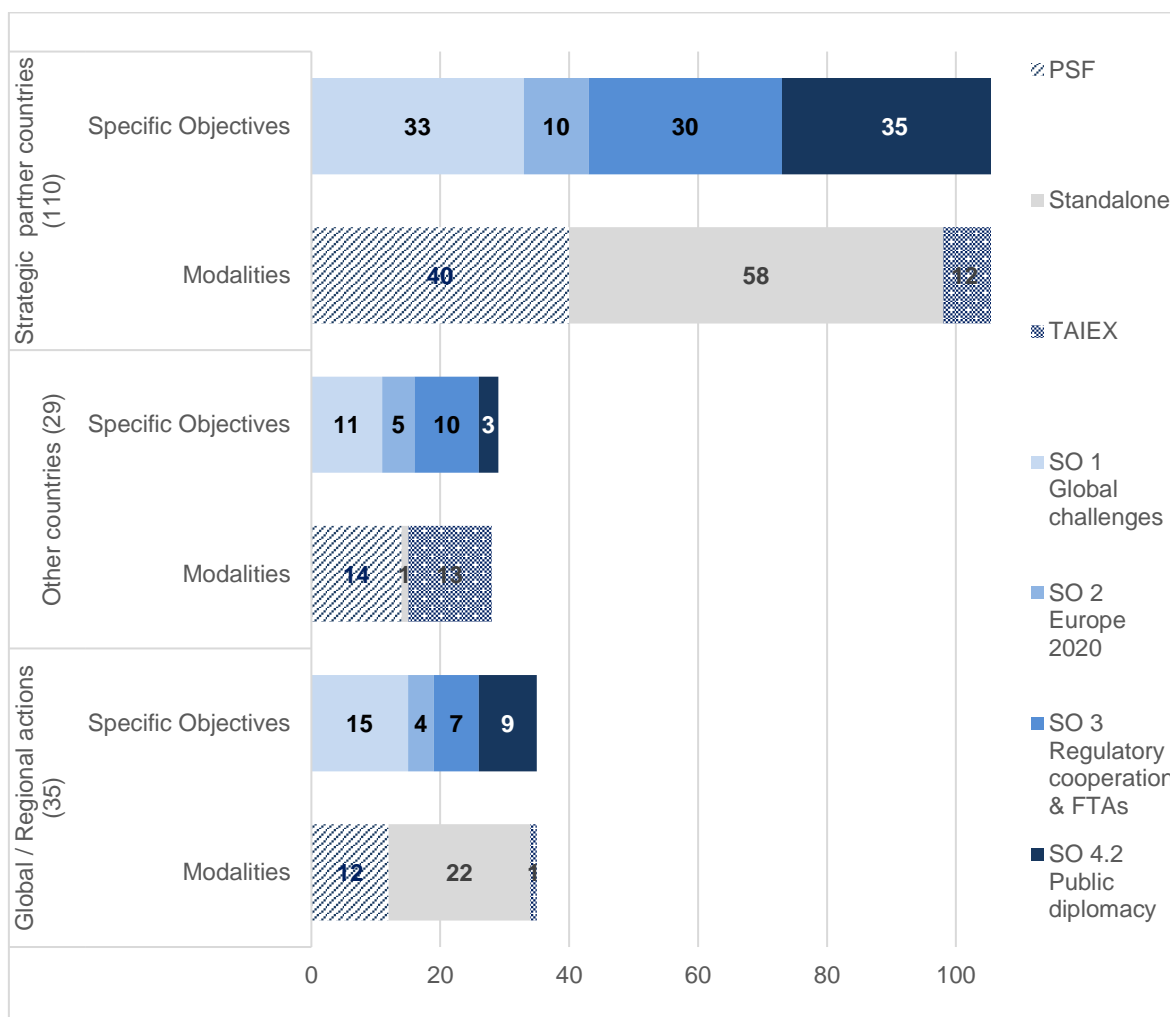
Source: Commission internal document

The data collated in the database also enabled the evaluation team to present information with regard to the relationship between the PI's specific objectives and the type of support modality used (PSF; TAIEX and standalone actions) on the one hand, and the PI's specific objectives and geographical coverage on the other hand.

This angle of the analysis is presented in Figure 6 below. This figure includes all actions reviewed, except one action without a stated objective, one action without a stated region under specific objective 3 and two actions falling under specific objective 4.1 which is out of the scope of the mid-term evaluation of the PI. This explains the slight disparity between the total number of actions by region and instrument for

specific objective 3. The objectives with the largest budgetary share (*Regulatory cooperation & support to FTAs and Global challenges*) present similarities with regard to the most frequently used instrument (PSF actions) and regions covered (mostly the Americas and Asia-Pacific). A majority of actions recorded as mainly focused on the international dimension of Europe 2020 were in the Asia-Pacific region as well, whereas specific objective 4.2 on public and cultural diplomacy most often was cited in the context of actions taking place in the United States of America and Russia. In terms of instruments, standalone actions are most frequently used in the context of specific objective 4.2 and the TAIEX actions – under specific objectives 3 and 1.

**Figure 6: Number of actions by specific objective and modality per strategic partner countries, other countries and global / regional actions**



The analysis of the databases compiled during the desk review exercise enabled us to map how the PI's horizontal objectives are taken into account in the individual actions. It is important to note at the outset that, during the follow-up interviews, PMs suggested the promotion of human rights and fundamental freedoms and gender mainstreaming are unlikely to be included in the design of the actions from the AAPs 2014-2016 in the absence of a relevant template. This could explain the systematic absence of explicit references to these horizontal themes in the reviewed programme documentation.

In the sample of actions reviewed, 17 actions explicitly included the promotion of human rights and fundamental freedoms in their design. Among these, six were actions under specific objective 4.2 on public diplomacy, six under specific objective 2 on the international dimension of Europe 2020 and five under specific objective 1. More than half of the PI actions taking into consideration the promotion of human rights and fundamental freedoms were in the Asia-Pacific region and two in Russia, which is significant given only three actions in this country were part of the review. The total budget of the PI actions aligning with this horizontal theme was EUR 18.3 m or under 10% of the total budget of the reviewed actions.

Only eight actions from the reviewed sample included gender mainstreaming in their design and all but five were programmed in North America (four in the US and one in Canada). The remainder were programmed in the Asia-Pacific region and Brazil. The budgetary envelope of these actions was just over EUR 2 m or under 1% of the budget of the reviewed PI actions. The allocation under AAPs 2014, 2015 and 2016 of the PI devoted to climate change mitigation amounts to 90.48 mi EUR out of 316.37 mi EUR of allocation for these annual action programmes (namely 28.6%). The Partnership Instrument therefore exceeds the commitment that at least 20% of 2014–2020 EU budget should be spent on climate-change related action. In addition, the allocation devoted to biological diversity under AAPs 2014, 2015 and 2016 is of 13.76 mi EUR, i.e. 4.3% of the allocation for these years. As regards the last area, combatting desertification, there has not been any allocation devoted to it under AAPs 2014, 2015 and 2016. (For more information, please see Annex 8 on the findings from the evaluation of the CIR).

### **Activities and Outputs**

Table 4 presents quantitative data teased out from the indicator database on actual performance regarding the number and type of events carried out with PI funding to date. In addition, table 5 presents the PI outputs achieved. Through data collection exercise, we identified the relevant activity and output indicators depending on the nature of each action. However, not all actions have been reporting against these indicators, what in turn implies that the breakdown presented in the following two tables is likely to underestimate what the PI has been supporting / contributing to.

**Table 4: PI Activities Achieved**

<b>PI Activities achieved to date</b>	<b>Total recorded</b>	<b>Number of relevant actions</b>	<b>Of which, have reported data</b>
<b>A1: Total number of events organised and supported (aggregated)</b>	<b>209</b>	<b>70</b>	<b>50</b>
Number of visits, exchanges, study tours	6	13	6
Number of business missions	20	8	4
Number of technical meetings	39	17	11
Number of group events*	83	35	31
Number of training activities	28	14	9
Number of outreach and advocacy **	33	13	6
<b>A2: Person-days of expertise or technical assistance provided</b>	<b>2,092</b>	<b>57</b>	<b>11</b>

<b>A3: Number of public/media/communication campaigns organised and implemented (aggregated)</b>	5	36	6
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Source: Collated by the evaluation team

(\*) Conferences, debates, workshops, seminars

(\*\*) Networking events, cultural collaboration activities

**Table 5: PI Outputs Achieved**

PI Outputs achieved to date	Total recorded	Number of relevant actions	Of which, have reported data
OP1: Number of occasions where an activity under the Action has improved the basis for the activation, renewal or moving forward of a process	98	67	19
OP2: Number of occasions where an activity under the Action has improved the basis for a process which leads to the adoption of, or approximation to, EU and/or international standards	9	46	6
OP3: Total number of knowledge-based products developed	46	58	25
OP4: Number of people participating in an event	29,201	73	25
OP5: Percentage of participants in the event who report having enhanced their knowledge	86%	56	2
OP6: Number of EU companies participating in the event	54	36	3
OP7: Percentage of participating EU companies who report an enhancement of their knowledge	0	36	0
OP8: Number of written statements (with recommendations/ conclusions, etc.) emanating from the event	120	46	6
OP9: Number of press releases/policy briefs/opinion pieces etc. produced by an activity under the Action	109	46	5

### Outcomes

Overall, a total of 53 outcomes were noted as having been produced, mainly falling under specific objective 1 on global challenges and related to state-level and sub-state level (bilateral, regional, multi-lateral) partnership strategies and policy dialogues. The desk review was complemented by systematic consultations with the programme managers, consultations which helped to contextualize actions and their achievements.

All the outcomes identified in the action documentation are listed on the next pages. The list provides an illustration of the wide variety of situations addressed by the PI and outcomes generated, which means that any attempt to provide more aggregated analysis would not be meaningful or informative.

**Table 6: Recorded actual outcomes**

Indicators	Specific obj. 1	Specific obj. 2	Specific obj. 3	Specific obj. 4	Total
OC1: Number of processes related to state-level and sub-state level (bilateral, regional, multi-lateral) partnership strategies and policy dialogues which have been influenced.	8	4		4	16
OC2: Number of processes related to non-state level partnership/agreements which have been influenced	4	1	1		6
OC3: Number of processes related to partner country approaches to challenges of global concern which have been influenced.	7	1			8
OC4: Number of processes related to partner country practices on challenges of global concern which have been influenced					0
OC5: Number of processes related to the positions partner countries take in the run-up to or during regional/international fora which have been influenced	4				4
OC6: Number of processes related to partner country approaches beneficial to the achievement of the Europe 2020 strategy which have been influenced	3	2	1		6
OC7: Number of processes related to partner country practices beneficial to the achievement of Europe 2020 strategy which have been influenced	1				1
OC8: Number of processes related to partner country practices on trade, investment and business which have been influenced	2		3		5
OC9: Number of processes related to the removal of barriers to market access, investment and business which have been influenced	1		1		2
OC10: Number of processes related to the negotiation, implementation or enforcement of EU trade and investment agreements with partner countries which have been advanced			3	1	4
OC11: Change in EU companies' perceptions of the business, trade and investment climate in partner countries		1			1
OC12: Percentage of participants targeted by outreach and advocacy events who acknowledge a positive change in their perception of EU and/or international policies and standards					
Total	30	9	9	5	53

**OC1: Processes at state-level and sub-state level (bilateral, regional, multi-lateral) partnership strategies and policy dialogues which have been influenced**

- Reinvigoration of the bilateral dialogue on sustainable growth and energy efficiency between the EU and Argentina, which had been limited under the previous Argentinian government (*Sustainable Growth and Energy Efficiency in Argentina*)
- Enhanced dialogue between the EU and the Maldivian government, initiating the process of alignment with European standards in the field of judiciary and rule of law (*Legal Expert Judiciary*)
- Strengthening of EU-GCC cooperation in the domain of clean energy at the level of state bodies (*GCC Clean Energy Network II*)
- Strengthening of the ties between the EU and India on sustainable urbanisation. (*Technical assistance supporting the preparation for an EU-India Sustainable Urbanisation Partnership*)
- Furthering the strategic dialogue on EU/US cooperation in security and defence matters and showcasing the EU's role as a global security provider (*2016 CSDP symposium in Washington D.C*)
- Intensification of EU-US policy dialogue on climate change after the *USA Going Green* event which positioned the EU as a major partner of the Climate Action Summit and highlighted the leading role of the EU and the US in climate action (*USA Going Green Conference 2016*)
- Furthering consultation on Arctic policy, building on the EU's leading role in tackling climate change and work to ensure ambition at the Paris COP21 conference (*The EU and the Arctic - consultation conference: "What's next for the EU Arctic Policy?"*)
- Dialogue on Arctic policy moved forward with Arctic countries (*EU Arctic policy dialogue and outreach following the adoption of the Joint Communication "An integrated European Union policy for the Arctic"*)
- Strengthening of the EU-Canada dialogue on topics of mutual strategic interest (*Promoting the key messages of the EU-Canada Strategic Partnership during the special commemoration year 2016, celebrating 40 years of official cooperation between the EU and Canada*)
- Initiation and strengthening of EU-Mexico dialogue on security and justice (*TAIEX Expert Mission in support of the High level dialogue EU-Mexico on Security and Justice*)
- Development of the EU-Latin America and Caribbean bi-regional policy dialogue (*Support to the European Union – Latin America and Caribbean Foundation*)
- Dialogue with leading figures of both parties to prepare for cooperation post-2016 elections (*2016 Elections Event Series*)
- Enhanced dialogue on climate change in the run-up to the COP21 with a focus on sustainable urbanisation processes and the promotion of the importance of environmental and climate change considerations, EU's efforts and achievements in that area, as well as the role that the private sector can play in ensuring green and sustainable growth (*Workshop on Sustainable Cities in Paraguay*)
- Enhanced dialogue between Chinese and European Authorities on aviation matters (*EU-China Aviation*)
- Consolidation of the EU-China dialogue on migration (*Action on Migration and Mobility*)
- Dialogue on the planned CAMM (*Support of the EU-Brazil Common Agenda for Migration and Mobility*)

**OC2: Processes related to non-state level partnership / agreements which have been influenced**

- Enhanced coordination on the way climate change issues are addressed at a regional level by NGOs in Central America (*Regional meeting of Central American Climate Action NGO Network in Mexico*)
- Initiation of partnership with non-state actor on raw materials through the prism of the recovery of by-products and the identification of new opportunities for the stakeholders (*Raw Materials conference*)
- Strengthened EU-GCC cooperation in the domain of clean energy at the non-state level (*GCC Clean Energy Network II*)
- Engagement between the EU and India on the definition of the requirements to access the India market and consultation on the definition of the most appropriate way forward to address the challenges European operators face upon entering the Indian market (*Analysis of problematic local content requirements as well as conformity assessment and certification/registration requirements in Indian legislation and practice*)
- Enhanced potential for city-to-city exchanges with regards to best practices and solutions in the area of climate change adaptation and mitigation, as well as showcased business opportunities that arise alongside sustainable urbanisation processes (*Workshop on Sustainable Cities in Paraguay*)
- Process initiated at the non-state level for cooperation between the EU and the Mumbai's agencies for sustainable urbanisation (*Technical assistance - Preparation for an EU-India Sustainable Urbanisation Partnership*)

**OC3: Processes related to partner country approaches to challenges of global concern which have been influenced**

- Positive influence on the US approach to climate change with a view to pushing an ambitious agreement during COP21 (*Climate Diplomacy Day*)
- Dialogue on sustainable urban development and the role of local authorities in this development (*European and Latin American local authorities on the way to HABITAT III*)
- Progress was made with regard to overcoming key barriers to the implementation of energy efficient measures in Argentina (*Sustainable Growth and Energy Efficiency in Argentina*)
- Developments have been noted in the streamlining of the results of the Mumbai Partnership and the provision of policy inputs into the Indian Government's Smart Cities' agenda (*Technical assistance - Preparation for an EU-India Sustainable Urbanisation Partnership*)
- Mutual commitment between the EU and Brazil based on individual and collective responsibilities of citizens and communities to mitigate, or adapt to, climate change, and ensuing regional leadership on the fight against climate change (*EU and Brazil together for climate: Road to Paris*)
- Dialogue on follow-up to COP13 on biodiversity with stakeholders from the governmental, private and civil society sectors (*Innovative Financing Mechanisms - Biodiversity in Mexico*)
- Furthering of dialogue on sustainable urbanisation and willingness expressed by the partner to develop a sustainable management plan and urban planning (*Workshop on Sustainable Cities in Paraguay*)
- Cooperation on a common approach to the management of migration and mobility (*Support of the EU-Brazil Common Agenda for Migration and Mobility*)



**OC4: Processes related to partner country practices on challenges of global concern which have been influenced**

**OC5: Processes related to the positions partner countries take in the run-up to or during regional/international fora which have been influenced**

- *Climate Diplomacy Day* strengthened the momentum for a joint EU-US approach to reach an agreement during COP21
- The *support to the EU-Latin America and Caribbean Foundation* contributed to the signature and ratification of the international agreement to upgrade the Foundation during the CELAC-EU Foreign Minister meeting in October 2016
- The *regional meeting of Central American Climate Action NGO Network in Mexico* facilitated the coordination of participating countries from Central America on climate change issues, particularly in the run-up to the COP21 in Paris
- The *European and Latin American local authorities on the way to HABITAT III* action contributed to the elaboration of a position of Latin American authorities on the New Urban Agenda of Habitat III.

**OC6: Processes related to partner country approaches beneficial to the achievement of the Europe 2020 strategy which have been influenced**

- EU-GCC cooperation initiated in the field of clean energy including under H2020 (*GCC Clean Energy Network II*)
- Facilitation of cooperation on standard setting and exchange of statistical data with a view to supporting the realisation of a digital society / the EU's Digital Agenda and consolidate EU companies' access to the Indian market (*Initial support to EU-India cooperation on ICT-related standardisation, policy and legislations*)
- Similarly, the *TAIEX Expert mission on ICT User Rights* in Mexico established a dialogue with the partner institution on the development of a user policy that is well adjusted to the needs of Mexico and the specific context of the country, but also more closely aligned to EU standards
- The *Workshop on Sustainable Cities and Climate Change* in Paraguay shared European initiatives and experience, contributing to inter urban co-operation with a number of countries, in line with the external dimension of Europe 2020 on a Resource Efficient Europe.
- Encouragement to mobility and professional development through the *Schuman-Fulbright Fellowship Programme*, which contributes and supports the Europe 2020 strategy in its initiative called Agenda for new skills and jobs and the Youth on the Move initiative in the Strategy.
- Dialogue between Mexican and European experts on financing biodiversity conservation in line with the objective of the EU Biodiversity Strategy to 2020, where the European Commission promotes the development and use of innovative financing mechanisms, including market-based instruments (*Innovative Financing Mechanisms - Biodiversity in Mexico*)

**OC7: Processes related to partner country practices beneficial to the achievement of Europe 2020 strategy which have been influenced**

In the framework of the World Sustainable Development Summit 2016, dialogue building on India's objective to address sustainable urbanization challenges and positioning of EU businesses to provide (technical) solutions (*Preparation for an EU-India Sustainable Urbanisation Partnership*).

**OC8: Processes related to partner country practices on trade, investment and business which have been influenced**

- Facilitation of EU-GCC cooperation at all level (incl. local authorities and civil society organisations) with a view to promoting EU clean technologies (*GCC Clean Energy Network II*)
- Dialogue through lesson learning on counterfeit to contribute to a more secure framework for trade between the EU and Canada (*Exchange of best practices at the Canadian-European Counterfeit Symposium*)
- Progress on the analysis in the Indian legislation or in the practice followed by the Indian authorities at central and sub-central level of local content requirements as well as conformity assessment and certification requirements that cause market access challenges to EU companies (*Analysis of problematic local content requirements as well as conformity assessment and certification/registration requirements in Indian legislation and practice*)
- Further mutual understanding on organic logo (*Workshop on EU organic logo system*)
- Dialogue and enhanced understanding on the regulatory framework for the trade in non-pasteurised cheese (*TAIEX Expert Mission on EU Regulations and safety on non-pasteurized cheese*)

**OC9: Processes related to the removal of barriers to market access, investment and business which have been influenced**

- Facilitation of future cooperation on trade through the CITD (*Support to the implementation of the EU-India Capacity building Initiative for Trade Development (CITD) 2015*)

**OC10: Processes related to the negotiation, implementation or enforcement of EU trade and investment agreements with partner countries which have been advanced**

- Furthering of the transatlantic Consumer Dialogue (*EU-US Transatlantic Civil Society Dialogue*).

**OC11: Change in EU companies' perceptions of the business, trade and investment climate in partner countries**

- Confidence building between India and the EU, giving a more positive outlook on the evolution of standards, as confirmed by the qualitative feedback from business representatives (*Initial support to EU-India cooperation on ICT-related standardisation, policy and legislations*)

A separate indicator database records expected outcomes, supposed to materialise in the near future, across all actions which were reviewed. This includes actions which are ongoing (recording cumulatively achievements to date and expected results), as well as actions which have not been initiated but for which documentation was available. Table 7 summarises the database entries for these parameters. The numbers are based on project documentation when it was available, but also include actions for which the indicators are potentially relevant (but there was no precise target number available at the time of writing). The following figures were obtained by counting every occasion on which an indicator was considered as potentially relevant and every outcome which could be inferred from project documentation.

**Table 7: Recorded expected outcomes**

Indicators	Total
OC1: Number of processes related to state-level and sub-state level (bilateral, regional, multi-lateral) partnership strategies and policy dialogues which have been influenced.	50
OC2: Number of processes related to non-state level partnership/agreements which have been influenced	31 <sup>26</sup>
OC3: Number of processes related to partner country approaches to challenges of global concern which have been influenced.	31 <sup>27</sup>
OC4: Number of processes related to partner country practices on challenges of global concern which have been influenced	25 <sup>28</sup>
OC5: Number of processes related to the positions partner countries take in the run-up to or during regional/international fora which have been influenced	21
OC6: Number of processes related to partner country approaches beneficial to the achievement of the Europe 2020 strategy which have been influenced	28 <sup>29</sup>
OC7: Number of processes related to partner country practices beneficial to the achievement of Europe 2020 strategy which have been influenced	30
OC8: Number of processes related to partner country practices on trade, investment and business which have been influenced	29
OC9: Number of processes related to the removal of barriers to market access, investment and business which have been influenced	20
OC10: Number of processes related to the negotiation, implementation or enforcement of EU trade and investment agreements with partner countries which have been advanced	26
OC11: Change in EU companies' perceptions of the business, trade and investment climate in partner countries	20
OC12: Number of actions which aim to have a positive impact on participants' perception of EU and/or international policies and standards by outreach and advocacy events <sup>30</sup>	58 <sup>31</sup>
<b>Total</b>	369

Given the relative novelty of the Instrument, the fact that many actions are ongoing and the (very) long-term nature of the **impacts** aimed at, this evaluation collected so far limited evidence as to the actual impacts of the completed / ongoing actions. The evidence collected on actual action outcomes suggests that the PI support deployed is working towards the expected impacts. The PI has enabled processes and political and policy dialogues with partner countries, on a broad range of topics in line with its Specific Objectives. A very interesting and symbolic example of an actual impact of the PI is provided by the removal of a trade barrier on non-pasteurised cheese in South Korean legislation in the aftermath of a *TAIEX Expert Mission on EU Regulations and safety on non-pasteurized cheese*.

<sup>26</sup> This total counts once only The International Urban Cooperation: Sustainable and Innovative cities and regions (Asia and the Americas) action and the GCC Clean Energy Network II, while they are expected to influence respectively 100 and 84 processes, not to inflate the findings.

<sup>27</sup> This total counts once only The International Urban Cooperation: Sustainable and Innovative cities and regions (Asia and the Americas) action, while it is expected to influence 2000 processes, not to inflate the findings.

<sup>28</sup> This total counts once only the International Urban Cooperation: Sustainable and Innovative cities and regions (Asia and the Americas) action, expected to influence 25 processes, not to inflate the findings.

<sup>29</sup> This total counts once only the GCC Clean Energy Network II, expected to influence 15 processes, not to inflate the findings.

<sup>30</sup> In the absence of targets set on outcome indicator 12, we suggest the rewording in the table to capture the number of actions which aim to have a positive impact on participants' perception of EU and/or international policies and standards.

<sup>31</sup> This total counts once the Jean Monnet action (over three years), the GTKE grants (16 individual projects) and the EU-US civil society dialogue (three individual grants).

## Efficiency

Regarding monitoring and evaluation arrangements, 50 reviewed actions (of which 32 standalone actions) were noted as having specific provisions to this effect (which also means that no monitoring arrangements were recorded for half of the standalone actions). In a majority of cases, these included standard measures such as the establishment of a permanent internal, technical and financial monitoring system, a project Steering Committee and possible additional project monitoring by the European Commission or via external consultant. The Steering Committee will usually be in charge of taking decisions on the annual activity plans and budgets and of overseeing the overall implementation of the project and have representatives at least from the European Commission, but frequently from other services for instance the EEAS or other thematic bodies (such as the EUIPO).

The day-to-day technical and financial monitoring of the implementation of the action was often noted as a continuous process and part of the implementing partners' responsibilities. When Terms of Reference were available, these usually contained references to reporting requirements and deliverables throughout the project cycle. In some cases, the Terms of Reference also included comments about quantitative and qualitative indicators, which are to be measured and updated at regular intervals. However the most reliable sources for indicators were usually the draft project log frames and Inception Reports from implementing partners when they were available. With regard to the development of indicators, the results database records the following:

- Indicators developed at the level of outputs / results for 47 actions;
- Indicators developed at the level of outcomes for 33 actions; and
- Indicators developed at the level of impacts for 29 actions.

Where information on the content of indicators was available it has been recorded accordingly.

## EU Added Value

Leveraged funding from other sources was recorded in a very limited number of instances during the review of the sample of PI actions reviewed. The records of this parameter show six actions in the United States of America and Canada for which additional funding was leveraged or planned to be leveraged for a total of almost EUR 653,000. The corresponding PI budget of these actions is EUR 4.5 m and all but two actions came under specific objective 4.2 on public and cultural diplomacy.

## Coherence, Consistency, Complementarities and Synergies

The desk review of the sample of PI actions subject to review uncovered four actions with **Energy** as their main topic. In terms of coherence with EU energy policy, these actions were seen as complementary with a number of EU policy initiatives in the field of energy:

- the Energy Roadmap 2050;
- Community Framework Programme for Research and Development (FP7) and Horizon 2020 (Secure, Clean and Efficient Energy);

- the Green Action Plan for SMEs on resource efficiency for European enterprises and SMEs (initiative led by DG GROW); and
- the Energy Expert Cyber Security Platform (EECSP) Expert Group at the European Commission.

On the topic of **Environment and Climate Change**, the results database recorded synergies of PI actions with other EU external action policies, such as the objectives the EU is pursuing in other international fora, such as the Framework Convention on Climate Change (UNFCCC) including the Paris Agreement resulting from COP21 and the Climate and Clean Air Coalition (CCAC, hosted by UNEP). The Convention on Biological Diversity also features heavily in the synergies mentioned in relation to PI actions on the topic of biodiversity. Importantly, the PI appears to align with EU Climate Diplomacy Action Plan for 2015. The SWITCH-Asia programme which aims to promote sustainable consumption and production in India and China was also mentioned. Broader country-specific policies were also frequently cited, such as the EU-India Cooperation Agreement (2004) on partnership and development, which includes provisions on environmental protection, EU-Brazil Joint Action Plan or the EU's Climate Diplomacy activities in Peru. In terms of complementarity with other EFIs, the DCI's Thematic Programme on Global Public Goods and Challenges 2014-2020 and the EU-China Policy Dialogue Support Facility were cited. The PI also indicates good synergies with the EU's policy on Environment and Climate Change, in particular:

- The external dimension of Horizon 2020: Roadmap for moving to a competitive low carbon economy in 2050 and globalising climate change policies.
- The EU Strategy on adaptation to climate change and Council conclusions recalling "that adaptation is also an important challenge for our external relations."
- The General Union Environment Action Programme to 2020 "Living well, within the limits of our planet" (7<sup>th</sup> EAP).

In addition, the PI is also linking with the overall EU (in particular EEAS, DG MARE, DG RTD and other DGs) engagement in Arctic matters and the Joint Communication "An integrated European Union policy for the Arctic adopted in April 2016 signalling that the Arctic and its challenges and opportunities are a priority area in the coming years. Finally, the European Biodiversity Strategy to 2020 promotes the use of innovative financing and market-based instruments, which is also the focus of several PI actions.

The PI presents slightly more tenuous connections with activities carried out in the context of environment and climate change by the EU Member States. Nevertheless, the review of individual actions carried out in the context of the evaluation identified the following synergies:

- A German initiative in the Ganga in India and the intention to potentially carry out joint activities under the *Clean Ganga* PI action in this area. Germany also appeared to have carried out actions in the spirit of the *Post-Carbon Cities of Tomorrow* workshops (a grant under *Getting to Know Europe*, which has been the subject of an individual action evaluation). It was also noted that the German Marshall Fund of the United States is running the initiative "Wider Atlantic Program" which promotes a more comprehensive approach to Atlanticism, which connects to the PI initiative on Marine Protected Areas.
- Three EU Member States (Denmark (Greenland), Finland and Sweden) have territories in the Arctic, and that makes them inextricable part of the EU policy approach towards the region.
- The French National Research Agency is implementing the PESMIX project on Payments for Environmental Services (PES), analysing and comparing PES approaches in Mexico (and Madagascar) with a number of Mexican and French organisations. This is connected to the content of the *Innovative Financing Mechanisms - Biodiversity in Mexico*.

The results database recorded only four actions on the topic of **Migration and Mobility** in the sample of actions reviewed. There were limited details on the complementarity of these activities with other initiatives. For instance, it was noted that the PI action on the *assessment of Kazakhstan's Action Plan in simplification of the visa regime* between the Republic of Kazakhstan and the EU and its revision in line with proposals made by the European side is in line with the recently signed Enhanced Partnership Agreement, which is high up on the political agenda. Complementarities with the IcSP and the EIDHR were cited in the context of the *Needs Assessment, identification and formulation for an action on International Protection and Resettlement of Refugees in Argentina*. Ongoing MS initiatives for refugee resettlement were also cited in this instance.

The results database contains 32 actions for which **Trade** is listed as the main topic.

In terms of synergies with other EU external action policies in India, the Seconded European Standardisation Expert in India (SESEI) and the European Business and Technology Centre (EBTC), which aims at generating new business opportunities (particularly for SMEs) in clean technology transfer, and establishing business relevant cooperation in the field of research, science and technology were noted. In North America, the PI is complimentary with the Transatlantic Research and Debate (TRD) programme which is run by the EU Delegation in Washington DC and the Canada-Europe Business Round Table, which aims at fostering a dialogue between Canadian and European business representatives, in addition to the activities of the EU Chamber of Commerce in Toronto. In Africa, the coherence of the PI with the Economic Partnership Agreement with a group of countries comprising Botswana, Lesotho, Mozambique, Namibia, South Africa and Swaziland (the SADC EPA) was mentioned, but also with the EU Market Access Strategy for South Africa. The Cotonou Agreement and the Economic Community of West African States (ECOWAS), as well as the EU-Nigeria Joint Way Forward (established a Ministerial Dialogue with Nigeria) were also mentioned. In Latin America, activities with a trade component in Mexico align with the EU-Mexico Global Agreement concluded in 1997, which includes a comprehensive FTA that entered into force in October 2000 for the part related to trade in goods, as well as the EU- Brazil Joint Action Plan. In addition, the PI aligns with the Framework Agreement for trade and economic cooperation between the European Economic Community and the Argentine Republic and the EU-Mercosur Framework Co-operation Agreement. In Asia, complementarity of the PI was highlighted with the EU-Korea FTA and the 2004 Terms of Reference for a structured Competition Dialogue with the Ministry of Commerce of the People's Republic of China signed by DG Competition. There are also a number of PI actions which include a trade and market access component (e.g. cooperation on standards) across different geographical regions, which shows the efforts to achieve internal coherence of the Instrument in the context of trade issues.

There were fewer indications on the complementarity of the PI activities in this area with other EFIs, as only the following reference was cited: the EU-India Capacity building Initiative for Trade Development (CITD), a project funded under the DCI (with implementation 2013-2017).

In terms of other EU policies and instruments in the field of trade, synergies were noted in a number of instances. Multiple DG GROW-led actions, including on SME internationalisation were recorded, as well as the EU's Market Access Strategy and the establishment of sector specific Market Access teams by the EU Delegations. In addition, COSME (the EU programme for the Competitiveness of Enterprises and Small and Medium-sized Enterprises running from 2014 – 2020) and the ELAN Program

(European and Latin American Business Services and Innovation Network) were also highlighted as relevant for the coherence of the PI. The EU Chamber of Commerce and Industry in Southern Africa is a local EU business umbrella organisation which will potentially play a crucial role in the strengthening of the Market Access Team in South Africa in terms of both strengthening local trade diplomacy and giving voice to common EU positions on business issues. Also, in the context of the external dimension of Europe 2020, the PI promotes the continued growth of bilateral trade and investment, and thus aligns to economic growth and job creation in the EU.

Finally, in terms of synergies with interventions of other key actors, there is evidence that the PI is coherent with ongoing World Bank initiatives and other initiatives at multilateral level (e.g. potential OECD programme of work on public procurement and/or the future WTO Government Procurement Agreement (GPA) work programme on collection and reporting of statistical data), including WTO TRIPs standards (Agreement on Trade-Related Aspects of Intellectual Property Rights).

It was unclear whether the PI complements the activities of the Member States' own Chambers of Commerce, but it was noted that reinforcing the collaboration amongst the different bilateral Chambers would create desirable synergies in the field of trade. Similarly, in one instance it was stated that three to five Member States will send officials to the EU-China Competition Weeks and that, while the synergies with these Member States' policies were not explicit, they were highly likely.

In the context of **Europe 2020**, Europe has identified new engines to boost growth and jobs. These areas are addressed by the seven EU flagship initiatives.<sup>32</sup> The desk review recorded the extent to which PI actions are intended to contribute to these initiatives. Table 8 below presents the findings of the action review in relation to this parameter.

**Table 8: Contribution to EU2020 flagship initiatives**

<b>EU2020 Flagship Initiative</b>	<b>Number of reviewed PI actions listing contribution as a main or significant objective</b>
<i>A Resource efficient Europe</i>	16
<i>An industrial policy for the globalisation era</i>	7
<i>Digital agenda for Europe</i>	4
<i>Innovation Union</i>	3
<i>Youth on the move</i>	2
<i>An agenda for new skills and jobs</i>	1
<i>European platform against poverty</i>	1

The analysis of the results database for the sample of reviewed PI actions suggests that a significant effort was made to ensure the **internal coherence of the PI at the stage of design for the individual actions**. One in two reviewed PI actions showed

<sup>32</sup> [http://ec.europa.eu/europe2020/europe-2020-in-a-nutshell/flagship-initiatives/index\\_en.htm](http://ec.europa.eu/europe2020/europe-2020-in-a-nutshell/flagship-initiatives/index_en.htm)

coherence links with other actions funded under the PI. The coherence links varied in strength and plausibility, and usually revolved around the same region or main topic. Three examples are provided below:

- The action focussing on the analysis of problematic market access barriers in Indian legislation and practice (LCRs, CACRRs and Plants and plant-product import requirements, SPS) is coherent with the ongoing *EU-India Co-operation project on ICT-related Standardisation, Policy and Legislation* which supports the participation of India in concrete international ICT standardisation efforts. But it also links with the upcoming *Public Procurement Initiative*, which aims at improving the availability, coverage and quality of data on public procurement.
- The development of the *Indo-European Water Platform (IEWP)* is logically connected to the PSF action on the support to the Clean Ganga flagship initiative, but will also connect with the *China-EU Water Platform* which seeks to achieve similar objectives in another geographical region.
- The example of the Jean Monnet centres noted above provides a good illustration of the internal coherence of the Instrument. Specific objective 4 consists of two complementary branches, which enhances awareness of the EU and EU global profile.

Below, we provide a summary of the salient points of the analysis of the results database in relation to the **internal coherence of the PI by region**.

### **Latin America**

Synergies were noted in several instances, especially in relation to PI actions focused on climate change and environment. For instance, a *Low Carbon Business Action* is carried in both Brazil and Mexico, designed and implemented in parallel. PI funded actions that took place across Latin America in preparation for COP21 in Paris, and previous climate change related events organised by the Delegation in Brazil. The Support to EU Market Access Team and Eurocamara is carried out in both Argentina and Brazil.

### **North America**

In the United States of America, strong connections were recorded between several actions. For instance, the *USA Going Green Conference 2016* was preceded and built on a PSF action taking place in the first half of 2015, the *Climate Diplomacy Day*. The *Getting to Know Europe* action was connected to the *US Elections 2016* events. Finally, the *Transatlantic Civil Society Dialogues* is a call for proposals which requires a partnership between US and EU institutions (led from the EU side) for bilateral dialogues on four specific topics, linked with events such as the *US Elections 2016*, but also to climate change issues and the *EU Policy and Outreach Partnership for the US*.

### **Asia-Pacific**

In the region, one of the most important aspects of coherence is presented by the linkages between the *EU Green Gateways / Business Avenues to Korea, China, Japan and South East Asia*. The Climate Change Outreach in Korea is connected the action on *Emission Trading System in the Republic of Korea*.

### **India**

The Analysis of problematic market access barriers in Indian legislation and practice is closely related to the ongoing EU-India Co-operation project on ICT-related



Standardisation, Policy and Legislation, which complements SESEI and supports the participation of India in concrete international ICT standardisation efforts.

The Resource Efficiency Initiative (REI) and the Clean Energy Cooperation with India (CECI) are also connected through their main topic.

In the **Middle East / Gulf** region, the GCC Clean Energy Network II and the EU-GCC Dialogue on Economic Diversification were noted as complementary actions.

## Annex 9: Evaluation of the CIR

### Introduction

The Common Implementing Regulation (CIR) is a transversal Regulation, which contains a common set of implementing rules, which apply to the Partnership Instrument and other External Financing Instruments (EFIs). The intention of the CIR is to ensure a simpler, effective and efficient implementation of the EFIs. At the same time, it is intended to be sufficiently flexible to support the different instruments and contexts in which they apply.

This Annex is intended to feed into the evaluation of the CIR, which covers the period 1 January 2014 – 30 June 2017. Evidence is drawn from the Mid-term Evaluation of the Partnership Instrument, which is currently on-going. The evaluation of the CIR will feed into a MTR report on EFIs to be presented to the European Parliament and the Council by 31 December 2017.

There were four main sources of evidence for this paper:

- Data relating to PI actions from the general contracts data warehouse
- Evidence from interviews with EEAS, EUDEL and FPI staff
- Evidence from the sample of 13 actions covering the four Partnership Instrument specific objectives in six countries.<sup>33</sup>
- Results from the EFI Survey

The issues for assessment are defined in the evaluation questions set for the CIR evaluation. Four of the specific questions are considered to be specifically relevant to the Partnership Instrument, as follows:

1. In what ways do the rules of the CIR improve or hinder the delivery of the Partnership Instrument objectives with regards:
  - Promoting ownership of the instrument
  - Promoting and mainstreaming key themes
  - Promoting effective / efficient implementation methods
  - Promoting visibility
2. To what extent / how can the CIR regulation be simplified?
3. To what extent does the scope of the CIR meet the current and future implementing needs of the Partnership Instrument?
4. What, if any, are the unintended benefits/problems for PI funded actions arising from the CIR?

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<sup>33</sup> Argentina, Brazil, China, India, Mexico and USA

### **3. In what ways do the rules of the CIR improve or hinder the delivery of the objectives of the Partnership Instrument?**

To answer this question each sub-area is considered individually below.

#### **3.1. Flexibility / speed of delivery**

The question put on the nationality and rules of origin requirements, and the impact they have had on the untying of aid is not relevant to the Partnership Instrument. The untying of aid is a principle of ODA and as such not applicable to the support provided through the PI.

#### **3.2. Promoting ownership of the instrument**

Promoting ownership is not a primary goal of the PI, especially in relation to the use of country systems.

In a PI context, this question relates to two aspects:

1. The extent that stakeholders in the beneficiary country (or in the case of the PI, partner country), such as civil society and local authorities, played a meaningful role in the preparation, implementation, monitoring and evaluation of actions, and had timely access to relevant information to allow better targeting and designing of actions.
2. The extent that the participation of local contractors has increased since 2014.

#### Involvement of stakeholders

On point 1, evidence from mid-term and final evaluation report fieldwork confirms the partnership approach is, as would be expected, at the heart of the Partnership Instrument. More specifically representatives of partner country institutions and members of their staff agreed to participate in the mid-term and final evaluations for which fieldwork was conducted in six countries as part of the mid-term evaluation of the PI. The representatives of partner country institutions (which included government agencies within partner countries, CSOs, and implementing partners) made themselves available for interviews with the evaluation team, even in countries and on projects where relations are delicate, for example in China. A high level of commitment and time was also provided by EU Delegations based in the countries visited, and by others who participated in telephone interviews during the evaluation.

Specific feedback from partner countries in these interviews confirmed a high level of satisfaction with the roll out of the PI action, as well as with their role and expectations for involvement. The sense of collaboration and partnership through the PI is clear. Feedback from partner institutions in China, India, Mexico and Argentina also confirmed that these institutions were satisfied that there were sufficient opportunities to contribute to the design and implementation of the PI actions. This finding reflects the extent that the Delegations are promoting the sense of partnership and mutual interest as the underpinning work on the PI.

Project implementers are conscious of the 'absorption capacity' of their counterparts in the partner country authority, for example where the partner authority has limited resources to allocate. This means that plans for roadmaps, and for specific activities, are signed off with partner governments and stakeholders to ensure both their feasibility and the perception of a win-win approach (consistent with the principle of mutual interest that is at the heart of the Partnership Instrument). In practice, some actions are really about furthering the interests of the EU. Anecdotal evidence from project implementers confirmed that, for example, if a partner country considers that the timing of a specific activity is inappropriate, a more flexible approach is taken and the activity is typically postponed to a more convenient date. The level of engagement of partners is also considered to be confirmed when country partners commit specific resources to the implementation of the action. A specific example of this financial engagement relates to partners covering the costs of travel and accommodation of staff members attending training and / or information events.

#### Participation of local contractors

Regarding point 2 on local contractors, we have sought to examine the extent to which the PI has made use of local contractors as a means to evidence the success of the instrument in promoting and prioritising the use of local and regional contractors (as per Article 8.6 of the CIR Regulation). There is no evidence to suggest that there has been an increase in the number of local contractors since 2014, however this information is not systematically harvested by the PI. Nonetheless, there are some very specific project examples, which show how actions have successfully promoted the use of local contractors, for example the state travel agents in Chengdu in China, who engaged in information seminars about Schengen visas. There are also other examples, identified through the mid-term and final evaluations in the USA, where EU requirements and structures are considered to be barriers to the involvement of local stakeholders particularly businesses, which are not used to meeting the number of requirements expected for participation in the PI. This situation has had the perverse effect (although beneficial for EU companies) of supporting EU sub-contractors with a limited knowledge of the local territory to deliver PI action events, because they have a good knowledge of EU procurement. The level of funding available under the PI also limits the involvement of local stakeholders in PI actions. Feedback from the fieldwork in India pointed to this issue. The PI is not an instrument that will work for all types of stakeholders.

### **3.3. Promoting and mainstreaming key themes, as follows:**

- **Actions guided by democracy, rule of law, human rights and fundamental freedoms**
- **Criteria regarding accessibility of persons with disabilities**
- **Gender mainstreaming through objectives, where applicable**
- **Climate change and bio-diversity**

Paragraph 9 of the CIR confirms that in-line with Article 21 of the TEU, EU actions should seek to advance democracy, rule of law, human rights and fundamental freedoms. Article 20 confirms that this support can be implemented by supporting civil society and independent institutions active in this area. Article 2, paragraph 7 indicates that the design and implementation of programmes and projects should take into account access for people with disabilities, where feasible. This can be considered to be particularly relevant with regards to events and activities, where lack of disabled access would mean that the disabled would not be able to participate or the value of

their participation would be severely limited. CIR Article 12 requires EFI evaluations to ascertain whether actions' specific objectives take into account gender equality, where applicable, and CIR Article 14 requires information to be gathered in relation to financial resources allocated to biodiversity and climate change.

Until 2016, actions proposed for PI funding were not systematically screened for these horizontal themes. But our analysis of the action databases provide anecdotal evidence of the streamlining of certain priorities:

- In the sample of actions reviewed, 17 actions explicitly included the promotion of human rights and fundamental freedoms in their design. Among these, six were actions under specific objective 4.2 on public diplomacy, six – under specific objective 2 on the international dimension of Europe 2020 and five under specific objective 1. More than half of the PI actions taking into consideration the promotion of human rights and fundamental freedoms were in the Asia-Pacific region and two in Russia, which is significant given only three actions in this region were part of the review. The total budget of the PI actions aligning with this horizontal theme was EUR 18.3 m or under 10% of the total budget of the reviewed actions.
- Only eight actions from the reviewed sample included gender mainstreaming in their design and all but five were programmed in North America (four in the US and one in Canada). The budgetary envelope of these actions was just over EUR 2 m or under 1% of the budget of the reviewed PI actions.

There is no data collected with regards to accessibility of the disabled. We have gathered very anecdotal qualitative feedback from PI users on the effort to use premises accessible for persons with disabilities but this has not been built into project requirements (the Terms of Reference). The PI approach continues the status quo, where the disabled can be unintentionally excluded and means that the proactive stance intended is not actively pursued in most cases (as there is no specific requirement to do so in the current PI processes).

Overall, there is no evidence to suggest that CIR goals in relation to the above themes significantly improve or hinder the delivery of the Partnership Instrument. This finding relates to the fact that, for the most part, there is limited attention paid to these aspects particularly as the PI has its own objectives (including on climate change) and a flexible interpretation of the CIR has allowed the application of those CIR relevant to the PI only on an ad hoc basis.

### PI action objectives

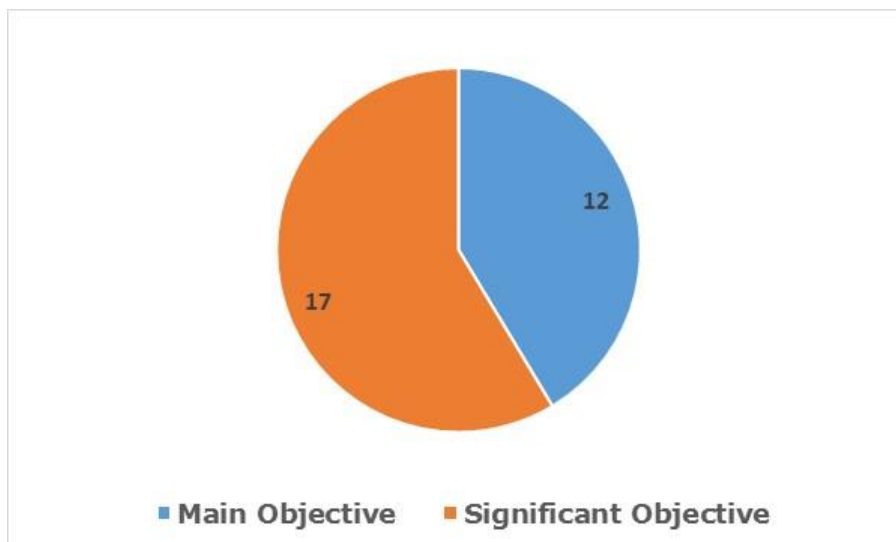
In the AAP 2014, 2015 and 2016, a total of 58 action fiches<sup>34</sup> were adopted with a total value of 316.37 million EUR of allocated funds. Based on Rio markers, it could be tracked that the PI provides support to two main areas: climate change (CC) mitigation and biological diversity. Half of the action fiches (29) present one of these areas as their main (12) or significant (17) objective. Climate change mitigation is more prominent. A total of 10 action fiches have climate change mitigation. Climate change mitigation is also a significant objective in 14 other action fiches. In addition, 2

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<sup>34</sup> "Action fiche" describes an action with its objectives, outputs, main indicative activities, implementation method and other attributes. It is an annex to a Commission financing decision (AAP). In EFIs managed by DG DEVCO and DG NEAR, the term "action document" is used which is equivalent to "action fiche" under the PI.

action fiches have biological diversity as their main objective and other 3 as a significant objective.

**Figure 7: Number of action fiches under AAPs 2014, 2015 and 2016 with objectives on CIR themes**



Source: Figures provided by FPI, 15-12-16

#### Targets for climate change and biodiversity related actions

The Partnership Instrument is in-line with the CIR requirement (Article 14) that the Commission tracks the amount of financial resources allocated to climate change, biological diversity and combatting desertification. This is done by using Rio markers and choosing whether the area is the main or a significant objective under an action fiche.

Based on this tracking, it can be concluded that the allocation under AAPs 2014, 2015 and 2016 of the PI devoted to climate change mitigation amounts to 90.48 m EUR out of 316.37 m EUR of allocation for these annual action programmes. The Partnership Instrument therefore exceeds the commitment that at least 20% of 2014–2020 EU budget should be spent on climate-change related action.

In addition, the allocation devoted to biological diversity under AAPs 2014, 2015 and 2016 is of 13.76 m EUR, i.e. 4.3% of the allocation for these years.

As regards the last area, combatting desertification, there has not been any allocation devoted to it under AAPs 2014, 2015 and 2016.

The tables on the next page show detailed figures.

**Table 9: Amounts of budget allocation to mainstreaming climate action**

	No of action fiches	Budget (m EUR)	Budget allocated to CC mitigation (m EUR)
<b>AAP 2014</b>	<b>19</b>	<b>107</b>	<b>35.26</b>
• AAP 2014 – main objective	4	13	13
• AAP 2014 – significant objective	4	55.65	22.26
<b>AAP 2015</b>	<b>17</b>	<b>103.72</b>	<b>22.34</b>
• AAP 2015 – main objective	0	0	0
• AAP 2015 – significant objective	6	55.85	22.34
<b>AAP 2016</b>	<b>22</b>	<b>105.65</b>	<b>32.88</b>
• AAP 2016 – main objective	6	25.4	25.4
• AAP 2016 – significant objective	4	18.7	7.48
<b>TOTAL</b>	<b>58</b>	<b>316.37</b>	<b>90.48</b>

Source: Figures provided by DG BUDG, 15-12-16

**Table 10: Amounts of budget allocation to mainstreaming of biological diversity**

	No of actions	Budget (m EUR)	Budget allocated to biological diversity (m EUR)
<b>AAP 2014</b>	<b>19</b>	<b>107</b>	<b>0.4</b>
• AAP 2014 – main objective	0	0	0
• AAP 2014 – significant objective	1	1	0.4
<b>AAP 2015</b>	<b>17</b>	<b>103.72</b>	<b>7</b>
• AAP 2015 – main objective	1	7	7
• AAP 2015 – significant objective	0	0	0
<b>AAP 2016</b>	<b>22</b>	<b>105.65</b>	<b>6.36</b>
• AAP 2016 – main objective	1	3	3
• AAP 2016 – significant objective	2	8.4	3.36
<b>TOTAL</b>	<b>58</b>	<b>316.37</b>	<b>13.76</b>

Source: Figures provided by DG BUDG, 15-12-16

#### Findings from fieldwork

As part of the fieldwork in country, the mid-term evaluation team investigated to what extent the sample of individual action evaluations took account of democracy and human rights, climate change and biodiversity, disability access and gender equality. The below highlights the key findings on these aspects, which confirm the limited

structural regard for gender mainstreaming and disability access. Climate change and environmental aspects are mainly taken into account when these relate to the specific objectives of the action, and are generally done so based on the interests and predispositions of implementing partners on such issues, rather than due to any requirement to do so as this is lacking in the PI processes.

### **3.3.1. Action on Migration and Mobility (China)**

Issues related to gender mainstreaming, disability access and climate change are not directly addressed through this action. However issues related to the respect for fundamental freedoms and human rights are addressed through via direct management by the International Organisation for Migration with the support of the International Labour Organisation. The CIR specifically states that advancing these issues is done in part by supporting these types of organisations. This project considers issues related to regular and irregular migration, including human trafficking, people smuggling and forced labour and the safe return and repatriation of nationals.

### **3.3.2. EU-China Aviation Partnership Project (China)**

There is no evidence that the EU-China Aviation Partnership Project takes account of disability access or gender mainstreaming, democracy, rule of law or human rights. Aviation is a male-dominated sector and this would be likely to limit the relevance of a more proactive approach on gender mainstreaming. This project does foresee specific activities related to climate change, more specifically it is intended to set KPIs for achievements with regards to aircraft emissions. This aspect is currently on hold given that it is a difficult area to progress for the time being due the levels of engagement on this topic by Chinese counterparts.

### **3.3.3. Understanding Legal Economic Reform (China)**

CIR goals in relation to gender mainstreaming, taking account of disability and in relation to democracy and human rights were not taken into account for the design of this action. However some of the tags used to sample information on Chinese reforms related to environment policy and renewable energy, so in this way it can be considered that the project contributes to some extent to the climate change targets set for the EU.

### **3.3.4. Transatlantic Consumer Dialogue (USA)**

The design and implementation of the action does not specifically consider the mainstreaming of EU policy priorities in terms of gender, climate change, disability access, democracy, rule of law or human rights (one of the Policy Committees is specifically devoted to the Environment but this is a project activity rather than mainstreaming of core EU policy priorities). This perhaps reflects the fact that there was no specific requirement in the application form for the project implementer to address such issues hence it is not reasonable to expect that specific action would have been undertaken to reflect these priorities.

### **3.3.5. AFI Film Showcase (USA)**

As with other actions under USA Getting to Know Europe (GTKE) grants, there is no specific requirement in the application form to deliver against any of the key themes of the CIR. As a public event the film showcase ensures a wide spread of marketing in the target area to promote the event and it is reported to attract diverse audiences (though no statistics are available on gender or disability).



### **3.3.6. Post Carbon Cities of Tomorrow (USA)**

The GTKE application form did not include any requirement or expectation that the action would address cross-cutting themes of the CIR hence it is not realistic to expect any tangible results in this respect from this action. In terms of the EU experts participating in the events, three of the six were women, and a diverse age range was reportedly secured as a deliberate means to ensure the accessibility of individuals to audiences in different locations.

### **3.3.7. Promoting Peace, Sustainability and Our Shared Future (USA)**

There were no specific requirements in the application process for projects to actively mainstream EU policy priorities around issues such as gender, climate change, disability or human rights. As such there are no specific actions being taken on gender, though there is understood to be a broadly representative level of participation in events amongst men and women (this evidence is anecdotal as no detailed data on the gender of event attendees is available).

Some specific measures are being taken to address environmental priorities within the action. In particular, when seeking to engage EU scientists in exchanges on climate change there was concern about the carbon footprint generated by flying scientists from the EU to participate in discussions in Florida, which seemed at odds with the principles that the project is seeking to promote. To address this the University of Florida is committing to investing in carbon credits to finance activities to make homes in Gainesville more energy efficient. This is provided as an incentive to EU scientists as a means to offset the negative environmental impact of their travel to the USA. This has been reported to have a positive effect on the ability of the University to secure the commitment of EU scientists to travel.

### **3.3.8. Raw materials conference (Belgium)**

The mainstreaming of CIR themes was not considered relevant by stakeholders due to the nature of the action supported here and the implementation modalities. There was hardly any documentary evidence on consideration of these issues (environment, gender, disabilities) and human rights was not considered relevant given the nature of the action. Stakeholder's interviews provided a very limited feedback:

1. The terms of reference indicated that recycled / environmentally-friendly materials should be used where possible for the event package but the actual use of e.g. recycled paper for the book of abstract was not reported by the contractor in the final report.
2. Interviewees reported that the venue booked was accessible to participants with disabilities.
3. Gender was not a dimension explicitly sought after due to the nature of the action. The selection of speakers was focused on their expertise, reflecting the technical dimension of the conference (selection of best practices to be featured at the conference). The objective was to secure the participation of technical experts and the attendance list indicates that four speakers out of 29 (14%) and 44 participants out of 129 (34%) were women.

### **3.3.9. EU-India ICT cooperation**

There was no specific requirement to deliver against the four horizontal themes in the inception phase of the ICT cooperation on standardisation because of the nature of the

action considered. The mainstreaming objectives were not directly or indirectly targeted.

On the basis of the activities implemented (and by comparison with similar activities implemented elsewhere), it is recommended in the future to include a reference to the accessibility of people with disability, a gender-balanced participation and the use of environmentally-friendly materials. These elements are part of the EU's identity as an international actor and it remains important to bring them more to the fore.

### **3.3.10. EU Flagship Event on Climate Change (Brazil)**

Gender was not an issue that was in general viewed separately by the organisation, as the event was open and appealed to a broad range of audiences. The speakers presented a good mix between female and male protagonists. Climate change considerations were at the heart of the design and delivery of the action. As stated in the action's programming documents, the action was developed and implemented in the framework of the EU's Climate Diplomacy Action Plan for 2015, which aimed to accompany the process of negotiations and finalisation of a new international treaty on climate change at COP21 in Paris.

Principles of respect for human rights, equality and fundamental freedoms were embedded in the design and delivery of the action. Speakers from different socio-economic backgrounds were equally given the floor, from Ministers to garbage collectors. Over 1,200 children were brought in during those eight days, originating from different socio-economic backgrounds, from wealthier neighbourhoods in Rio (e.g. Gávea) to less well-off ones, where environmental practices are not disseminated in schools and at home.

Even though the action evaluated did not include in its design issues regarding accessibility for persons with disabilities, the venue of the event is equipped for people with disabilities and for the visually impaired (ramps, toilets, access with dogs, as well as special sessions conducted in sign language for the hearing impaired).

### **3.3.11. Sustainable growth and energy efficiency (Argentina)**

This action did not include in its design gender-related issues, issues related to the promotion of human rights and fundamental freedoms, or issues regarding accessibility for persons with disabilities. None of these priorities were directly relevant for the design and implementation of the action.

In terms of attendance to the final seminar by gender, there were 180 male and 78 female participants out of a total of 258 participants, this represented a 70 /30 % split. As stated above, the objective of the seminar was to invite energy-related stakeholders to the event, but no gender requirements were established.

On the other hand, there is clear evidence of climate change consideration in the design and delivery of the action. As stated in the action's Concept Note, the EU's interest in this particular action was to raise awareness on climate change, as well as on the economic opportunities that adaptation and mitigation may provide to the private sector. Ultimately, raising awareness and fostering dialogue between key business players and decision-makers on climate change should contribute to convergence of Argentina's position in international climate negotiations with that of the EU. At the same time, approximation in the implementation of sustainable practices and clean technologies by the private sector in Argentina was expected to translate into more business opportunities for EU companies locally. The action was

also considered as an opportunity to give visibility to the EU's leading role in the fight against climate change as a way to achieve a more sustainable future.

### **3.3.12. Regional Meeting of Central American Climate Action NGO network (Mexico)**

According to the Terms of Reference, the main requirement for selecting participants to the workshop was that they had to be influential stakeholders working with or as CSO organisations, business associations, parliamentarians, academics, knowledge institutions and non-governmental organisations. No references were made to gender or disability-related requirements in the case-study action design. However, it is interesting to note that out of the 38 participants that attended the workshop, there was an equal split between men and women, with 19 male and 19 female attendees. The gender balance was also observed across the majority of the country delegations that attended the event.

The final report of the action, which reflects the main topics discussed, as well as the key conclusions and recommendations resulting from the discussions between participants, reflected gender and human rights related concerns raised by attendees in relation to climate change adaptation strategies.

Climate change consideration was in the heart of the design and delivery of the action. As stated in the action's programming documents, the action was developed and implemented in the framework of the EU's Climate Diplomacy Action Plan for 2015, which aimed to accompany the process of negotiations and finalisation of a new international treaty on climate change at COP21 in Paris. The action plan aimed at positioning climate change as a strategic priority in diplomatic dialogues and initiatives with partner countries, and called EU and Member States services to engage with key players by means of tailored outreach activities and effective follow-up to help alliance building ahead of COP21 in Paris. One of the main objectives was to increase the visibility of EU efforts and to mobilise major economies and CO2 emitters, as well as to build alliances.

The workshop's agenda focused on three main topics, namely: education and sensitisation on climate change issues; the role played by civil society and local governments in response to challenges related to climate change; and strategies for climate change adaptation.

### **3.3.13. Low Carbon Business Action in Mexico**

The low carbon business action in Mexico does not include in its design gender or disability-related requirements, or issues related to the promotion of human rights and fundamental freedoms. None of these priorities were relevant for the design and implementation of the action.

On the other hand, there is clear evidence of climate change consideration in the design and delivery of the action. As stated in the action's Concept Note, the EU has a strategic interest in stimulating plausible efforts from middle income countries such as Mexico to adequately tackle the global challenge of climate change.

## **3.4. Promoting effective / efficient implementation methods**

Article 1, paragraph 4 of the CIR confirms that the Commission shall use the most effective and efficient implementation methods and favour the most simple procedures. The evaluation of the CIR EQM requires two specific questions to be addressed:

1. Has the use of innovative instruments (loans guarantees, blending...) increased volume and did they create a leverage effect?
2. Has there been an increase (volume) in the use of more coordinated methods of working (i.e. division of labour) since CIR rules have been in place.

On both of the above points, there is very little evidence from the Mid-term Evaluation of the Partnership Instrument. PI actions have not made use of innovative instruments which generate financial leverage effect and nor is it a strategic priority of the PI to generate such leverage. Nonetheless, there is evidence that a number of PI actions have been able to leverage additional funding, for example because institutions in partner countries support their own participation in PI actions. This leverage reflects partnership working rather than a demonstrable leverage effect arising from the use of innovative instruments.

The PI makes use of highly coordinated formal and informal processes, which ensure timely and planned engagement for example by the FPI, EEAS, EUDEL and DGs. There is no evidence from this evaluation to confirm that there has been an 'increase' in the use of more coordinated methods of working.

#### **3.4.1. Promoting visibility**

Paragraph 11 of the CIR highlights the need to ensure visibility towards citizens in the beneficiary country and the Union citizens of the EU's assistance and that there should be targeted communication and information by 'adequate means'. In response to the EFI survey and in relation to the PI, all of the EUDEL respondents<sup>35</sup> to this question confirmed that they undertake actions to promote greater visibility and understanding of the EU. Specific channels and tools mentioned were:

- the EU Centres Network;
- contacts with networks of journalists;
- seminars, press conferences, expert visits and other outreach events;
- specific PI public diplomacy and cultural diplomacy actions, including public lectures and exhibitions;
- actions to foster on-line presence and local press releases.

In addition, it was pointed out that visibility is not 'instrument specific' and that Delegations take a more holistic approach to allow flexible adjustment to opportunities that arise. There was also a call for a specific budget line to support visibility actions.

Looking beyond EUDEL to the management of specific PI actions there is evidence from the mid-term and final evaluations, which confirms that implementing organisations recognise the importance of visibility. All contractors are required to comply with EU visibility guidelines.

As highlighted in the results and indicators database, prepared as part of this evaluation, actions engage in a very wide range of events and activities, which have potential to generate visibility. Some engage specific communication officers to focus on this aspect. It seems likely that, particularly for Stand-Alone Actions, there could

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<sup>35</sup> The total number of respondents to the EFI Instruments survey was 88 and there were 11 responses for the PI.

be greater emphasis placed on generating visibility where this is appropriate and proportionate. The more detailed review of a sample of actions indicates that typically actions do not define a dissemination or visibility strategy upfront. There are, of course, specific actions for which it would be inappropriate to generate publicity for wider non-specialist audiences, for example when these actions are intended to support official dialogue processes, which are at a critical juncture. In addition, the notion of partnership should not be lost and it is important that any actions taken are considered to be appropriate by partners.

As highlighted above, the CIR also talks about ensuring visibility of EU assistance to the EU public. Based on the available evidence, this aspect does not appear to be properly addressed by the PI. There is some information available on EUROPA, but making information available on-line does not tend to generate awareness / visibility. This could be a missed opportunity, given that the PI provides a positive story of the benefits of EU Member States being represented as one to other countries. At the same time, in the absence of any definition of the size of scope of visibility actions required, it seems sensible for a proportionate approach.

#### **4. To what extent / in what ways could the CIR regulation be simplified?**

From the evidence gathered on the mid-term evaluation of the Partnership Instrument, there are no specific needs to further simplify the CIR. The CIR is considered by EU staff to be a broad umbrella type Regulation, which seems to facilitate the smooth implementation of the PI.

#### **5. To what extent does the scope of the CIR meet the current and future implementing needs of the Partnership Instrument?**

There is limited available evidence to confirm the extent that the scope of the CIR is relevant to meet the current and future implementing needs of the Partnership Instrument. The CIR provides a very general legal framework for the Partnership Instrument, which from evidence gathered from EUDEL via the fieldwork, is interpreted flexibly to support foreign policy processes (i.e. only relevant aspects of the CIR are considered reflecting the extent to which they are relevant to each specific action).

Responses to the EFI survey highlight that respondents on this particular question either made no specific comments, indicated that they considered that the scope of the CIR was appropriate or made comments which related to the PRAG. One respondent indicated that for multi-country actions it is important to monitor the scope closely. The limited response may also be indicative of a lack of detailed understanding of the CIR and how it should / could be implemented.

## 6. What if any are the unintended benefits/problems for PI funded actions arising from the CIR?

The CIR provides a set of general rules that are considered to work well as an umbrella for the PI and other EFIs. It is noted that initially there were some concerns with regards to eligibility rules as expressed under the CIR and whether or not these would be a problem for the PI, as they did not fully reflect the global reach of the instrument. However, after some reflection and practice, the FPI decided that this was not a problem and it was not worthwhile repealing this rule.

Responses to the EFI survey suggest that from the point of view of the Delegations there do not appear to be any particular rules as described in the CIR which generate unintended problems or benefits.

## 7. Conclusions

- **The CIR has facilitated a flexible approach**, which is critical to the delivery of results in areas of public diplomacy, international relations, addressing global issues, etc.
- **There is some confusion and a lack of detailed understanding of the content of the CIR** even within the Delegations. This was highlighted during the fieldwork, but is also somewhat evident through the EFI survey. This being the case, and because the CIR is considered to be a very broad umbrella-type regulation, it seems possible to conclude that CIR has not jeopardised or obstructed the implementation of PI actions and the realisation of PI specific objectives.
- **The PI is not systematically mainstreaming key themes identified in the CIR.** The CIR makes reference to topics relating to gender equality, disability access, support of the rule of law, democracy and human rights, climate change and biodiversity. PI specific objectives 1 and 4 can be interpreted as specifically addressing these topics with their references to global issues and EU values, but this is quite different to mainstreaming of relevant considerations within actions, regardless of their thematic focus. There is no requirement for these themes to be included or considered in the design and implementation of PI funded actions. If the CIR is to be respected, then the programming should at least require consideration of gender mainstreaming, environmental sustainability and disability access in every PI action, for example using templates of Terms of Reference and contracts where these issues are clearly mentioned. Not including these aspects continues the status quo with its continued underlying bias against women and the disabled. Even if the formulation of requirements on these topics in the CIR is somewhat loose – which provides flexibility – it means a mainstreaming approach is not being pursued or achieved across the Partnership Instrument.

## Annex 10: Online survey analysis

### Introduction

This online survey aimed at systematically collecting evidence on cooperation with EU partners across the range of EFIs. It was sent out to all EU Delegations, soliciting their views on the strengths and weaknesses of the instruments they individually implemented and the EU's toolbox. This consultation mechanism was expected to complement the other, general / instrument-specific consultation modalities.

The online survey was divided into sections:

- A general section including cross-cutting questions to be completed by every Delegation
- A section with instrument-specific questions to which Delegations would be directed depending on the instrument(s) they used.

This annex presents our analysis of the data collected through the survey. Out of 85 data sets received, only the responses of the 13 EUDELS using the Partnership Instrument (PI) are considered. According to the database of PI actions, this number represents in total 40% of the 32 individual countries where the PI is active. Overall, the survey achieved a satisfactory geographical spread and good balance in terms of development across all EUDELS using PI. The following table provides an overview of the replies received:

EUDEL	Strategic partner	Emerging country	Developing country	Uses a mix of instruments
Republic of Korea	✓			
United States	✓			
Canada	✓			
New Zealand				
China/Mongolia	✓	✓		✓
Mexico	✓	✓		✓
Myanmar			✓	✓
Nepal			✓	✓
Colombia		✓		✓
Peru		✓		✓
Nigeria		✓		✓
Indonesia		✓		✓
Brazil, Argentina, Chile, Uruguay, Venezuela <sup>36</sup>	✓ <sup>37</sup>	✓		✓

The breakdown introduces some limitations and constraints for our analysis. Four out of the thirteen EUDELS – all located in highly developed countries – use the PI as sole instrument, and it might have been useful to make a distinction between them and

<sup>36</sup> The response came from one Delegation but actually covers cooperation with five partner countries: Brazil, Argentina, Chile, Uruguay and Venezuela.

<sup>37</sup> Brazil

EUDELs that use other instruments too. In addition, six out of the thirteen are EU Strategic Partners (SP). The different nature of these countries' bilateral relations with the EU, their economic status and the limited number of replies for each category challenge the possibility to draw general conclusions. We have systematically put our analysis in context and presented country-specific findings where relevant.

## Analysis of survey results

### Relevance

Overall, the PI is perceived as addressing the needs of the EUDELs and as providing answer to emerging challenges. There is a clear consensus among the EUDELs that the prime **current need** addressed by the PI is the **support of public diplomacy**. The PI also supports the strengthening of the relationships with the third countries, by substantiating supports the partnerships / bilateral agreements – providing support to implement concrete actions. Moreover, comments include that the PI allows the EU to develop specific actions addressing mutual interests, and to enter into fields that are not addressed by the instruments managed by DG DEVCO. In turn, it addresses the need for more EU visibility in-country.

EUDELs' answers regarding **emerging challenges** and EU priorities to which the PI should provide answer in the future indicate two main areas. Firstly, **energy and climate change**, and, secondly, **security issues and defence**. There are also individual references to challenges such as gender equality, ageing society & social cohesion, education, R&D, and digital economy which Delegations are bringing to the fore depending on the country situation.

### Mix of instruments and Flexibility

85% of the respondents indicate that the mix of instruments available to their Delegation **corresponds to current needs**. However, given that four EUDELs use the PI as sole instrument, this result might be biased. The Delegation to the US emphasised that with the end of the Industrialised Countries Instrument (ICI), the PI is the only option available to developed strategic partner countries.

The majority of respondents (7/13) consider that the number of instruments neither helps nor impedes relations with partners, but that streamlining the existing toolbox could help in the programming or to increase the impact. At the same time, the EU Delegation to Indonesia indicates that an instrument could be more tailored to the situation of Middle Income Countries. Five EUDELs – four EU SPs among them – indicate that the **PI creates flexibility and opportunities** for the Delegation to reach and engage with stakeholders and facilitates cooperation with federal, state, and local officials in a country. The set of survey questions addressing the ability of a specific instrument to respond to unexpected changes in crises, unforeseen demands from partner countries and unforeseen demands from new international commitments have not yielded viable responses. The EUDELs in Canada and the US highlighted the usefulness of the Policy Support Facility. However, even while acknowledging the added value of the EU's toolbox to cater to different needs, Brazil, Argentina, Chile, Uruguay and Venezuela noted the risk of a silo approach to cooperation if the multiple instruments were not systematically coordinated.



## Coherence, Complementarity and Synergies

The analysis of the questions related to Coherence, Complementarity and Synergies needs to be carefully caveated because the exploitation of the replies is limited by the design of the survey. The questions were designed to reflect on the coherence of the toolbox more than specifically on the coherence between the PI and other instruments, what constraints our analysis.

The survey section on Coherence, Complementarity and Synergies between instruments is only relevant for nine EUDELS that use a mix of instruments including the PI. Out of these, eight respondents agree that **there is complementarity** between the PI and other instruments used in their Delegations. EUDELS in Myanmar, Nepal, Colombia and Peru named humanitarian assistance, LRRD and ECHO as areas where complementarity is significant. This feedback is of limited interest for the PI because it does not cover areas where the PI intervenes.

The majority of the respondents indicate that the instruments used in their Delegation complement those of other donors but there are no explicit references to the PI.

Regarding the simultaneous or sequential use of instruments, four EUDELS highlighted **difficulties in the transition** and the associated administrative burden. EUDEL Nigeria expressed a need for qualified staff to understand better the added value and comparative advantage of each instrument.

## Leverage

Concerning the most critical factors needed to ensure EU leverage, there is clear consensus among respondents on **political and policy dialogue**. Other factors mentioned are leadership & political commitment from the EEAS to define priorities together with EUDELS, and the need to inform and raise awareness about what the EU is / does to strengthen its visibility in partner countries. It is interesting to note that Brazil, Argentina, Chile, Uruguay and Venezuela emphasised the PI window of opportunity in terms of the advocacy possibilities and policy dialogue enabled. The EU Delegation to Indonesia – where the interest for the PI is growing – outlined that the flexibility and timeliness of the Instrument are essential assets.

## Visibility

The vast majority of the EUDELS have used the PI to promote EU visibility through **outreach activities** such as conferences, workshops, expert visits, public lectures, exhibitions, sector events, seminars, press conferences with experts, and think tank cooperation. Single-mentions are EU Centres Network and local journalistic contacts as well as cooperation in educational and academic issues. Brazil, Argentina, Chile, Uruguay and Venezuela emphasised here again that the advocacy and policy dialogue enabled by the PI contribute to promoting EU visibility.

## Efficiency

There is a consensus among Delegations that the flexibility of the Instrument is critical for the efficiency of the implementation of the support. There is a need expressed for the use of **more flexible procedures**. Comments include an unnecessary restrictive management of contracts through a framework contract, the limitation of having to foresee actions in Annual Action Plans, the centralised management of PI actions and the need for more operational presence in countries, as well as the need for direct decisions and direct awards. There is also evidence that the Procedures and Practical Guide (PRAG) is not considered an appropriate instrument for procurement because (it has been criticised for suggesting opaque, complex, and extensive administrative procedures that are difficult to manage for smaller organisation). Several EUDELS recommend simplifying and harmonising the PRAG annexes and adjusting them to cover external action with all third countries, including industrialised countries.

## Procedures

The survey section on adoption of action programmes and measures; taxes; rules on nationality and origin; monitoring and evaluation provides only anecdotal evidence. Country-specific feedback includes the following, which reflects the individual situations of the partner countries:

- "Specific facilities such as PSF and TAIEX allow mobilisation and implementation of actions in relatively fast, simple and straightforward way." (EUDEL Republic of Korea)
- "For the PI the "rule of nationality and origin" is extremely complex and therefore it should be simplified mentioning explicitly eligible countries in the contract notice." (EUDEL Canada)
- "It would be very important for us to have EEAS staff to participate as full-fledged voting members on Evaluation Committees for tenders and grants." (EUDEL US)
- "We need much clearer rules and guidance that would allow us to leverage the funding we have from the Partnership Instrument through public-private partnerships that go beyond just in-kind contributions." (EUDEL US)
- "Monitoring and evaluation plans and indicators for the Instrument should have been developed from the outset rather than 2 years into its implementation. In addition to separate independent ex-post evaluations by a contractor, there should be a monitoring and evaluation component built into every single contract which every beneficiary should have to implement and report on." (EUDEL US)
- EUDEL South Korea and EUDEL US agree that the adoption of action programmes and measures is very lengthy. According to EUDEL US, it takes two years to get from inception to contracting, which might render the idea irrelevant in the meantime. EUDEL Mexico and EUDEL Nigeria express a need for more flexibility and responsiveness.

## Conclusions

Given the limited number of replies received and the fact that these replies reflect (very) different situations, it is hardly possible to draw general conclusions and recommendations. Our analysis has aimed to present the evidence in perspective and to reflect on individual cases as well as on the general feedback received where relevant.

Out of the six EU SPs that participated in the survey, three use the PI as sole instrument. There is consensus among the EU SPs that the PI allows to reinforce existing partnerships on global challenges, notably based on mutual interests, and to support the implementation of the existing comprehensive agreements. As a formal comment on the survey, it is noted that the EU SPs gave longer and more concrete answers, which can be interpreted as reflecting a better understanding and a more extensive use of the PI. It was not possible to draw general conclusions on the basis of the feedback received from emerging and developing countries.

## Annex 11: Open Public Consultation

### Introduction

An Open Public Consultation consisted of two pillars:

Firstly, an online public consultation (OPC) took place from 7 February to 3 May 2017. The OPC run in parallel for all the evaluations of the EFIs. The OPC gave the possibility to interested parties to express their views and opinions on the evaluation draft final reports, made publically available on the OPC website. The purpose of the consultation was to gather:

- Feedback from the broadest possible range of stakeholders, including those in beneficiary countries and in the EU Member States, on the emerging conclusions from the evaluations.
- Preliminary ideas on the future external financing instruments after the current ones have expired by 31 December 2020.

It also fulfilled the consultation requirement stipulated in the Better Regulation Guidelines.

All stakeholders in beneficiary and EU countries were welcome to participate in this consultation: public national and local authorities, non-governmental organisations, academics, development agencies and bodies, think tanks, consultancies, private sector organisations, development banks and citizens. The participants were invited to complete the online questionnaire provided and available in English. In addition, the participants were able to submit contributions in any official EU language.

The OPC was disseminated by the European Commission.

Secondly, to further support the online consultation exercise, a series of face-to-face consultations with stakeholders were organised in Brussels (for all EFI evaluations):

- 21 March 2017: external stakeholders (think tanks / academia / research, NGOs, international organisations, business) were invited to exchange their views on the PI, the evaluation and the future of the Instrument and the overall set of EU External Financing Instruments after 2020 with the evaluators and Commission representatives.
- 23 March 2017: all the EFI evaluation teams presented their draft conclusions at the Policy Forum on Development. The Forum provided an opportunity to engage with external stakeholders from a variety of backgrounds and exchange on the performance to date of EU cooperation, as well as its future orientation.
- 27-28 March 2017: this technical workshop included institutional stakeholders (representatives of the Member States and the European Parliament). Its objective was to collect their feedback on the draft evaluation reports, the EFIs to date and their performance, as well as their views on the future of the EU's toolbox.

Our analysis of the feedback received through these different exercises is presented in this Annex. Firstly, we detail our findings and conclusions on the basis of the face-to-face consultations. These consultations took place under Chatham House rules. Views cannot be attributed to individuals and the report respects participants' anonymity. The paragraphs below summarise the findings and conclusions of the different consultations on the basis of the responses and views collected, as analysed by the

evaluation team. Secondly, we analyse the responses submitted to the online public consultation. Respondents indicated if their entries could be directly published with their details or not, what determines when and how we were in a position to attribute the feedback received in this report.

Overall, the feedback was often not substantiated by concrete evidence. It has been taken into consideration with a view to consolidating our evidence base at Instrument and action level, confirming or differing from the data collected through other tools and presented in the main report.

## Key messages

- The PI constitutes the appropriate instrument to pursue and promote political / policy dialogues.
- The PI is a flexible instrument. The implementation choices have made it an enabling instrument, fit for purpose, and reactive to emerging priorities / challenges. This flexibility is a luxury in the EU's toolbox, compared to the implementation modalities of the other EFIs.
- The broad geographical and thematic scope of the PI is an enabling characteristic of the Instrument. However, given the relatively limited envelope of the PI, careful and strategic prioritisation is required for a targeted use of the Instrument.
- It was suggested to revise the actual geographical coverage of the Instrument in order to reflect the strategic importance / potential of partnerships with e.g. Central Asia and Africa.
- The resources invested by the FPI have enabled to deploy the PI quickly after its creation and to have already an impact on EU cooperation worldwide. In particular, FPI staff in EU Delegations add value to the implementation of the PI, what increases the effectiveness of the use of the funding available.
- The PI is performing well with regard to the EU's targets of climate change spending. Stakeholders called for a continued support to climate change action and environment, especially in a new international situation after the 2016 US elections.
- The lack of visibility of the PI has been identified as a weakness. More information and awareness raising activities are needed for the different stakeholder categories.

## External stakeholder consultation

The meeting with the PI external stakeholders included representatives from many different sectors, ranging from environment and climate change, foreign policy, relations with particular partner countries / regions, public and cultural diplomacy, migration and human rights, international economics, business and digital economy.

### Academia / think-tanks / research

Bruegel, Public Policy and Management Institute, NFG Research Group "Asian Perceptions of the EU", European Partners for the Environment, European Institute for Asian Studies, Friends of Europe, Centre for European Policy Studies, Carnegie Europe, and La Compagnia di San Paolo

*Two separate contributions were submitted by email (ECDPM and the EU-LAC Foundation)*

<b>Civil society / Culture</b>
EU-Russia Civil Society Forum, Climate Action Network Europe, Nature Code, European Union National Institutes for Culture, Goethe Institute, Equinoccio, Wildlife Conservation Society
<b>International organisations</b>
IOM, WWF, International Union for Conservation of Nature
<b>Business</b>
Eurochambres, European Business Organisations Worldwide Network, Plastics Europe, Digital Europe

External stakeholders unanimously agreed that the PI was filling a critical niche in the EU's toolbox. The approach implemented through the PI – based on the promotion of EU strategic priorities – and the support provided to cooperation, political and policy dialogues across a wide range of partner countries add value to the EU's external action. The EU decides which objectives it pursues and how with its distinctively foreign policy instrument. A consensus emerged on the fact that the promotion of partnership on an equal footing and the existence of mutual interests are success factors for the PI. This cooperation modality generates interest from partner countries which want to be considered as equal partners (e.g. cultural platform where the implementing partner was approached by non-strategic partners which would like to participate in the initiative). With the example of EU action on climate change supported by the PI, external stakeholders also emphasised that the PI was aligned with the EU's multilateral agenda and e.g. the international commitments made at COP21.

CSOs working on values in challenging context outlined the dilemma between values and interests that the EU was facing. The key is to ensure that, in addition to actions directly aligned with / supporting EU values (e.g. actions on migration, conference on LGBT rights, CSR, exchange of expertise on security and justice, study on death penalty), these values should be mainstreamed in all actions (e.g. on ETS in China, the EU requires consultation of local populations and the CIR requires the mainstreaming of horizontal objectives such as gender, human rights and democracy) because they constitute a critical dimension of its foreign policy (TEU).

Because of the nature of the Instrument, the PI's direction is not decided in consultation with external stakeholders but decision-making remains as participatory as possible, from both an internal point of view (good coordination and consultation throughout the EC and the EEAS) and an external point of view to the extent possible (e.g. additional stakeholder consultation meetings organised in the context of the evaluation, in-country consultation between EU Delegations and MS embassies).

The Partnership Instrument has a relatively small budget compared to most of the other EFIs, notably the EFIs managed by DG DEVCO. In this context and to achieve results, it is critical that its use is strategic: the EU should clearly define its priorities and identify where it adds the more value. External stakeholders note that possibilities to use more the financial leverage of the PI should be more systematically explored (noting for instance that the possibility to use public private partnerships could be explored to increase the resources available).

The way the PI is deployed involves relatively important administrative costs for the FPI, which are a necessary trade-off to ensure an appropriate management of the Instrument. There was a strong consensus that this ensures the PI is adequately

managed, remains flexible and provides the appropriate support to EU cooperation. The reduction of these costs would imply a reduction of the managing resources, what could in turn put in jeopardy the quality of delivery and results of the Instrument. Stakeholders expressed their concern that, given the fact that the Commission resources were already strained, it was critical to maintain the capacity of PI institutional stakeholders necessary for direct management of PI actions (the stakeholders consulted highly value direct management over delegated management).

As regards the administrative burden on the implementing partners, one stakeholder provided anecdotal evidence of the scope for its reduction by pointing to the fact that implementing partners have to produce hard copies of a plane ticket (and not their electronic ticket) for the travelling expenses to be reimbursed. This burden is however not specific to the PI but results from requirements set in the Financial Regulation, the Common Implementing Regulation and further operationalised in EU documents that guide implementation, i.e. PRAG and Companion.

A few stakeholders (implementing partners and think tanks) noted the existence of weaknesses in the way the PI was implemented and / or the actions designed. These included the need to: (i) effectively mainstream horizontal themes (e.g. diversity – including gender balance and disability – for conference panels); and (ii) identify local partners, existing events, etc. to partner up and adding an EU dimension to activities of other actors, which is expected to increase the value for money of the support, strengthen the political and financial leverage of PI support and create more ownership for local partners, while reducing the risk of overcrowding. At the level of the design of activity, it was also suggested to update the methods used in communication activities (e.g. it was suggested to introduce live surveys);

A minority of stakeholders ask what the steps to consolidate the monitoring and evaluation framework were. They noted the measurement challenge, notably with regard the impact of PI actions and in particular of public diplomacy actions. The (very) long timespan of some of these actions is challenging, and so is the issue of the measurement of the perceptions on the EU. The FPI recognised these challenges and outlined that work is ongoing, e.g. building on the perception study to develop public diplomacy indicators.

The forward-looking discussion with external stakeholders focused on the following:

- Finalise the rethinking of the promotion of mutual interest and align the architecture of the EU's toolbox accordingly and to put the emphasis on forward-looking (rather than reactive) programming
- Rationalise the toolbox to simplify the general architecture and overcome the silo mentality. Further strengthening the coherence of the EU's toolbox is expected to ensure a sustainable impact and to help the EU to deliver its external action agenda – e.g. by setting up thematic policy framework for discussion (for instance on migration)
- Ensure the financing instrument dedicated to cooperation takes into consideration the needs of the different categories of partner countries (from strategic partners to emerging countries)
- Strengthen the strategic use of the PI to ensure the most cost-effective use of its relatively limited envelope – that includes the need for the Instrument to be more forward looking than reactive and to carefully consider subsidiarity and EU added value (including in coordination with MS actions)
- Ensure that EU values are mainstreamed in the actions supported
- Further strengthen coordination in the field (EU Delegations, MS and other stakeholders present)

- Reduce the administrative burden for implementing partners

### **Institutional stakeholder consultation**

Representatives from the European Parliament and from Member States attended the institutional stakeholder consultation meeting:

<b>European Parliament</b>
MEP's assistants (including AFET Committee and Working group on EFIs), AFET committee member, DG External Policies
<b>Member States</b>
Belgium, Czech Republic, Denmark, Finland, France, Germany, Greece, Hungary, Latvia, Lithuania, Netherlands, Poland, Romania, Slovakia, Slovenia and United Kingdom

Institutional stakeholders recognise the value added to EU cooperation by the PI since 2014. The political and policy leverage it creates fills a gap in the EU's toolbox and provides an appropriate instrument to pursue cooperation with partner countries (ranging from Strategic Partners to graduated countries and UMICs) on an equal footing. The "PI window" has enabled the EU to position itself on key issues, notably challenges of global concern such as climate change, and promote its strategic priorities. Institutional stakeholders focused in particular on the following dimensions:

- MS share a positive feedback on the Partnership Instrument and its performance to date and some MS called for a strengthening of the Instrument, including "large" MS. Smaller MS perceive the PI as creating opportunities for them to be more influential in the design and implementation of actions (e.g. through their participation to exchanges – for companies and local administrations – and TAIEX actions) than on their own. Overall, the PI is perceived as a niche instrument that fills a gap in the EU's toolbox. There is a growing interest for what the PI can do in partner countries, sometimes in very different situations, given its global reach and its encompassing thematic scope.
- However, a minority of MS highlighted that there was a continued need to enhance the coherence with MS initiatives to avoid any duplication and/or contradictions with PI-supported actions (larger MS raised the issue of tensions with the Gateways/business avenue actions in partner countries where they have already actions with similar objectives).
- MS expressed their interest in receiving more (implementation) data on PI-supported actions, notably financial data on implemented / ongoing actions, and on the monitoring and evaluation framework to measure results (noting in particular the challenge in measuring the impact of public diplomacy actions). While information of the MS might happen on an informal basis (notably in third countries, where coordination is ongoing between EU Delegations and MS bilateral embassies), there is scope for improvement. A MS suggested to adopt the model of the Market Access Advisory Committee, which monthly meetings provide an opportunity to share information between concerned stakeholders. MS also expressed their interest in being more involved in the PI decision-making as they consider discussing the orientation of the Instrument is in their strategic interest. However, the current decision-making framework, reflecting the foreign policy nature of the PI, does not



provide for MS role in the programming of the Instrument (but only for the approval of the AAPs).

- The discussion emphasised also the need to make a strategic use of the Instrument. In the context of a relatively limited envelope in particular, it is critical to define EU priorities, set expectations realistically and ensure that the PI is indeed deployed as a last resort instrument. Reflections on the actual use of the Instrument is paralleled by a (re-) thinking of the allocation of the funding available. First, at the micro level, a few MS highlighted the imbalance in the allocation and actual spending of PI support, identifying Central Asia as the poor child of the PI – that point has already been taken into consideration and more efforts are progressing cooperation with that region. Second, at the macro level, the adoption of the EU's Global Strategy provides a strategy framework for EU external action that the PI contributes to implement (the second phase of the AAP 2016 and the first phase of the AAP 2017 are in line with this document and structured along the strategic priorities identified).
- There is a consensus on the need to increase the visibility of the PI and with it the EU's visibility. The public diplomacy component of the PI is attracting attention and MS were also keen to ensure that visibility objectives are mainstreamed in the actions.
- Looking forward, the rationale of the EU's toolbox needs to be brought to the fore more. In particular, each instrument needs to be underpinned by a narrative framework on how the EU engages with partner countries through the most appropriate instrument. That is expected to be linked to the strategic discussions on EU priorities and the geographical balance of the funding available across the different partner countries and the category they belong to.

## Online Public Consultation

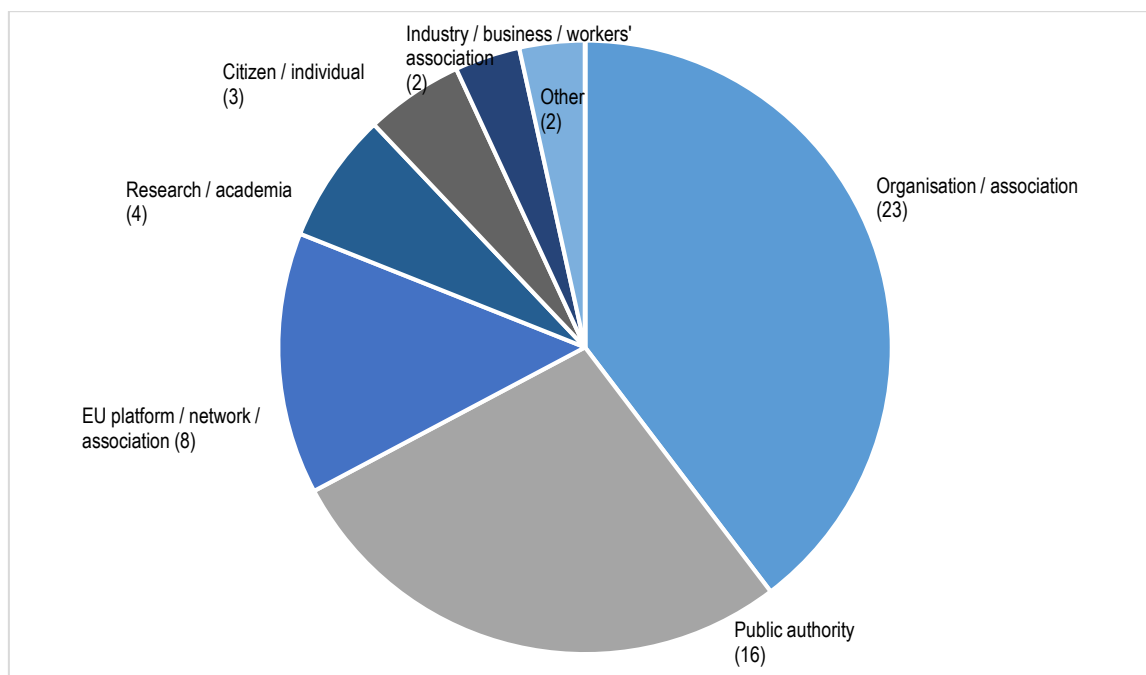
### Profile of Respondents

Overall, 124 responses to the OPC on EFIs were received, of which 52 substantial responses with answers to the PI-specific questions and additional comments on the PI / EFIs submitted, while the other responses (72) replied to questions related to other EFIs). Six responses have also been submitted via email directly by an EU platform (European Disability Forum) and an international organisation (the FAO), as well as by public authorities from MS. The questionnaires returned by MS via email also included their answers to forward-looking questions raised during the face-to-face meeting with institutional stakeholders in Brussels.

The breakdown of the total number of responses (58, namely 52 received online and six submitted separately) is presented in Figure 8.

Respondents indicated whether they represented a particular organisation or provided their input in their individual capacity. 39.7% of the responses were submitted by organisations / associations and 27.6% by public authorities. Respondents were further profiled on the basis of the country of residence. The geographical spread of the responses is very wide and cover MS (Austria, Belgium, the Czech Republic, Finland, France with a separate entry submitted by the Government of Nouvelle Calédonie, Germany, Greece, Italy, Latvia, Lithuania, the Netherlands, Poland, Slovakia, Spain, Sweden, the United Kingdom, with 32% of the answers coming from Belgium) and partner countries (Albania, Haiti, Israel, Jordan, Kenya, Lebanon, Mexico, Moldova, Turkey, Ukraine, the USA and Yemen). Where respondents have indicated their responses could be published and attributed, it is specified in the analysis below.

**Figure 8: Breakdown of 58 responses by sector of respondents' profile**



### Analysis of the PI

The questions raised focused on the performance of the PI to date and included:

- How well do you think the PI has addressed its objectives?
- Do you think the PI was an adequate instrument to respond to global challenges and to advance EU and mutual interests and that it enhanced the EU's ability to engage on these issues?
- Do you think the PI has delivered relevant and useful results advancing co-operation and dialogue with a range of countries on issues such as climate change, the protection of the environment, energy, economic and trade relations or the promotion of the European Union's values?
- Do you think the PI has allowed the EU to engage strategically with countries that are not covered by other EU instruments and by focusing on policy issues for which no other funding sources are available? Has the PI been complementary to the other EU external financing instruments?

#### *How well do you think the PI has addressed its objectives? (26 responses submitted)*

The respondents share the view that the PI is meeting its objectives in general terms (despite the lack of a monitoring and evaluation framework when the PI was set as noted by one respondent), notably because it is well aligned with EU interests and political agenda. A respondent from a European network based in Belgium outlines in particular that the PI has provided the means to engage at the appropriate level with emerging countries, which would have otherwise fallen out of the traditional cooperation channels.

Two issues are raised:

1. Two respondents raise their concerns as to the possible contradiction between what the PI is doing in the field of trade and economic diplomacy and what MS are undertaking. They call for better coordination between the two levels of

action. It is noteworthy that they use the same wording which seems to indicate a degree of coordination in their response (a public authority from Italy and a public authority from Belgium).

2. A response from a public authority in Poland raises a concern as to the use of the PI in relation with the concept of strategic partners. They outline the challenges in the relation with the Russian Federation and called for an appraisal of the partnership, underlining that support could be deployed elsewhere.

*Do you think the PI was an adequate Instrument to respond to global challenges and to advance EU and mutual interests and that it enhanced the EU's ability to engage on these issues? (20 responses submitted)*

Overall, respondents' tone is positive as regard the capacity of the Instrument to respond to global challenges and advance EU and mutual interests. A contribution submitted by a MS gives the example of the Arctic region where the PI could be used more to fight against climate change in line with the Paris agreement.

However, criticisms are still raised about the definition of EU interests actually pursued through the PI. A few stakeholders (environmental CSOs) share the view that more could be done to address global challenges, as for instance WWF Belgium which notes that EU interests seem to be limited to economic and trade interests (and also that CSOs such as itself are not involved in the design of PI actions). In the same vein, IUCN Belgium also raises the question of the actual contribution of the PI to the targets set for the climate change and biodiversity funding. The Government of Nouvelle Calédonie calls for enhanced communication on the possibility for OCTs to engage with the PI (which might reflect the environmental concern in the Pacific region). Contradictory views are also expressed with regard to EU interests, and to the economic and trade agenda specifically: the two same respondents as under question 1 (a public authority from Italy and a public authority from Belgium) reiterate that PI actions might go against MS efforts in third countries in that domain while another one responds that more could be done to pursue these economic interests in support of European SMEs.

Respondents do not provide evidence supporting their answers and a Polish public authority outlines that, given the relative novelty of the PI, it is still too early to assess if it is adequate to respond to global challenges.

*Do you think the PI has delivered relevant and useful results advancing co-operation and dialogue with a range of countries on issues such as climate change, the protection of the environment, energy, economic and trade relations or the promotion of the European Union's values? (17 responses submitted)*

Overall, even if they did not provide concrete evidence, respondents tend to agree that the PI is already successful. It triggers or strengthens a dialogue at the right level and around strategic topics, including global challenges such as climate change, with partner countries. Interestingly, one respondent notes that the PI is well synchronised with the agenda of partner countries, which tends to indicate that as a foreign policy instrument, it is important to build on the EU's and partners' mutual interest (e.g. in Mexico on issues related to biodiversity), as well as to align with international developments to keep the momentum for action (e.g. of the momentum created for COP13 on biodiversity in Mexico).

The PI has not only allowed for bilateral but also for regional cooperation, which – on topics such as climate change ahead of COP21 – was considered successful. One German organisation notes that the PI allows to substantiate the EU's international

agenda, for instance by supporting actions to implement the Paris agreement on climate change and meet the targets the EU has set to itself. However, authorities / organisations representing business interests in three MS (Greece, Italy and Belgium) still note that the PI could be more successful if better coordination was achieved with MS initiatives on trade promotion – while a Polish public authority calls for more PI support in that respect because not all MS have resources available for that type of action.

The contribution of PI processes to the formulation of effective actions is noted: a Belgium European network recognises the value of PI processes in harnessing the necessary expertise to formulate potentially effective actions, to tailor cooperation and to adjust to new contexts. But there is scope for improvement according to IUCN, as the PI results could be strengthened if CSOs' expertise was better taken into consideration in the design of PI actions on global challenges.

Overall, the flexibility of the PI is considered to be a key strength and an enabling factor for cooperation between the EU and its partner countries.

*Do you think the PI has allowed the EU to engage strategically with countries that are not covered by other EU instruments and by focusing on policy issues for which no other funding sources are available? Has the PI been complementary to the other EU external financing instruments? (20 responses submitted)*

The responses provided to this question are supported by little evidence. There seems to be an agreement that the PI has provided an instrument for cooperation with countries that are not eligible to other [bilateral] assistance from the EU. The PI has enabled to maintain and further cooperation with these countries on a wide range of topics. More generally, Slovakia in particular notes that the PI is a niche Instrument in the EU's toolbox, strengthening the EU's capacity to pursue different types of agenda with different partners through the most relevant instruments.

Concrete evidence of complementarities between the PI and other actions / instruments is very limited. One response indicates a good degree of coherence with the creation of synergies between the PI action and BIOFIN, a DEVCO funded project. Calls for more coordination are made in general terms by authorities / organisations representing business interests on trade missions to third countries and by environmental organisations on environment-related actions (e.g. WWF Belgium on coordination between the PI and the DCI GPGC thematic programme, which however does not specify how coordination should be improved).

*The online public consultation also invited respondents to share any other views they would have on the PI (17 responses submitted) and on EFIs (32 responses submitted).*

Views submitted on the PI are disparate.

One respondent values the very active involvement and inputs from the EU Delegation in Mexico, involvement which allowed to seize the opportunity window in that partner country (but the topic of the action implemented is not specified).

Other respondents formulate a number of recommendations:

1. Need for enhanced consultation of CSOs at the design stage (environmental CSOs, business organisations)

2. Definition of a monitoring and evaluation framework and its rolling out (German organisation), including the definition of public diplomacy indicators (research institute, the Netherlands)
3. Need to enhance communication on the PI at several levels:
  - a. Inform more MS and involve them more at the design stage (Polish public authority)
  - b. A German organisation questions the focus of the support on strategic partners and "short term goals notably linked to specific negotiations".
  - c. Four MS call for better communication on PI support, where it is deployed (in particular to also reflect on regional / global actions) and how this support is articulated with the multilateral agenda of the EU
  - d. Communicate more on the partnership dimension of the PI to avoid it is seen as a unilateral Instrument (German organisation), and possibly to increase partners' buy-in as they would value a more equal relationship with the EU
4. Need to strive for more coherence of EU external action and between EU internal and external policies
5. Revision of the procurement rules for Business avenues to increase the cost-effectiveness of PI support
6. Request for monitoring evidence on actions on disability / mainstreaming disability (ONCE and European Disability Forum) and for the mainstreaming of children-related concerns (Lumos)
7. Exploring the potential for a combined support ENI-PI

Additional remarks on EFIs are less relevant as they largely relate to respondents' specific experience with particular projects or on specific topics not covered by the PI. The analysis notes that the following is interesting for the PI:

- External stakeholders welcome the new visibility guidelines, more user-friendly, and renewed transparency efforts while the CIR does not seem to have significantly contributed to transparency – this seems to echo the recurrent comment about the lack of information on PI support publicly available in general and communicated to MS in particular
- There is an underlying concern for the administrative burden borne by implementing partners, with a reference to the too fast changing reporting templates that they are required to use, and to the excessive burden put on SMEs to participate in the procurement process under the instruments (including under the PI).
- The capacities of EU Delegations need to be strengthened by increasing number of staff (United Cities and Local Governments Middle East and West Asia section)
- CSOs and LAs re-emphasise their interests in being more involved in the design and implementation of the actions / projects supported by the EFIs
- Environmental organisations request information on the 20% climate target of EU spending for a better tracking of EU objective
- The FAO emphasises overall the importance of enhancing the flexibility of the external instruments, for the EU to be in a position to provide a mix of responses to global challenges.

Lastly, there was a consensus among MS which replied in writing to forward looking questions on the future of the EU's toolbox on the need for:

- Flexible instruments, to respond to changing priorities / circumstances / challenges
- Simplification of the toolbox
- Enhanced transparency and accountability of the use of EU support through the EFIs.

## Annex 12: The contribution to PI specific objectives by actions evaluated individually

Action	Expected contribution to PI specific objectives				Effective contribution to PI specific objectives
	1	2	3	4	
<b>Low carbon business action (Mexico)</b>	√		√√		Not possible to confirm as longer term outcomes not yet visible. However, activities so far have been instrumental to the achievement of the PI specific objectives set
<b>Regional meeting of Central American Climate Action NGO network (Mexico)</b>	√√			√	Yes, though if framed in a broader, ongoing framework, contribution would have been more significant
<b>EU flagship event on climate change (Brazil)</b>	√√			√	Substantial contribution to specific objective 1, and effective contribution to specific objective 4
<b>Sustainable growth and energy efficiency (Argentina)</b>	√√				Not possible to confirm at this stage as longer term outcomes not yet visible
<b>Action on migration and mobility (China)</b>	√	√√		√	Substantial contribution to specific objective 2. More limited contribution to specific objectives 1 and 4
<b>EU-India ICT cooperation (India)</b>		√√			Not possible to confirm if the action contributed to specific objective 2 (given that it is a pilot action that will extend in a second phase). However, it established a solid ground for cooperation.
<b>EU-China Aviation Partnership Project (China)</b>		√	√√		Not possible to confirm at this stage as longer term outcomes not yet visible. However, expected substantial contribution to specific objective 3 and effective contribution to Specific Objective 3.
<b>Understanding legal economic reform (China)</b>			√√		Effective contribution to specific objective 3

Action	Expected contribution to PI specific objectives				Effective contribution to PI specific objectives
	1	2	3	4	
<b>Raw materials conference (Belgium)</b>			√√		Not possible to confirm at this stage as longer term outcomes not yet visible, and results should be analysed in the broader context of other actions implemented
<b>Transatlantic consumer dialogue (USA)</b>	√√			√	Substantial contribution to specific objective 1, and effective contribution to specific objective 4
<b>AFI EU Film Showcase (USA)</b>				√√	Effective contribution to specific objective 4
<b>GTKE: Post-carbon cities of tomorrow (USA)</b>				√√	Effective contribution to specific objective 4
<b>GTKE: Promoting peace, sustainability and our shared future (USA)</b>				√√	Effective contribution to specific objective 4, though no data is available no number of people reached by the action

NOTE: (√√) Main objective; (√) Secondary objective  
Source: Evaluation team, based on mid-term and final evaluations

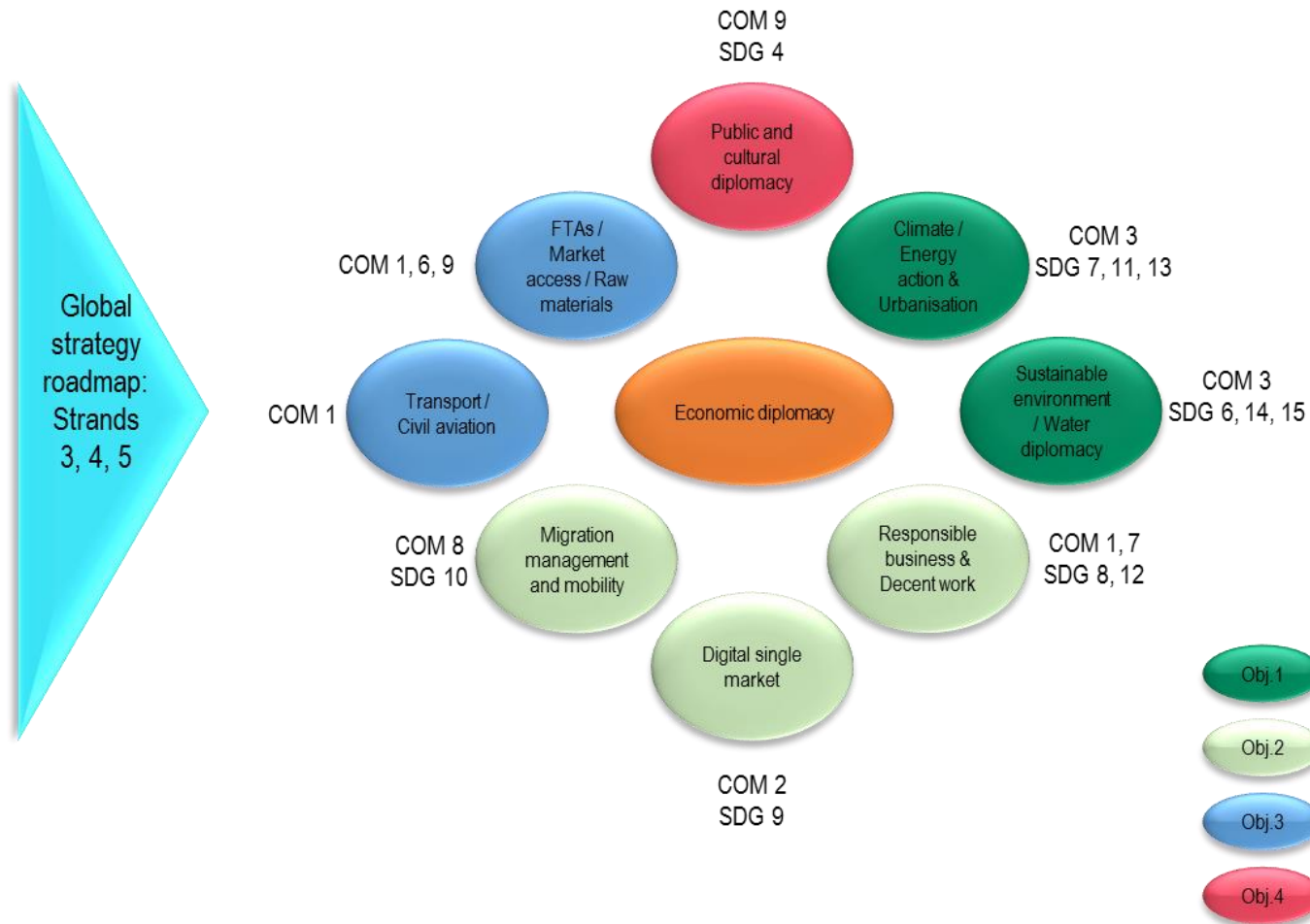
## Annex 13: The cluster approach

The PI decision-making is based on the cluster approach, which consists of the following phases:

1. **Identification phase:** At the start of each annual programming, the FPI organises **cluster meetings** involving the EEAS and line DGs in order to define priorities for funding. EU Delegations where PI staff is posted feed in advance into this decision-making process with their **assessment of the situation in third countries**. The cluster meetings allow to identify a limited number of strategic policy priorities at thematic and geographic level.
2. **Formulation phase:** The second step is for the FPI to follow up on this input, with relevant sub-groups of line DGs responsible for the respective priorities and EEAS formed around each identified priority, exploring how to move from these initial ideas to concrete actions leading to the drafting of Concept Notes. Consultations also involve the lead DGs on other EFIs (e.g. DG NEAR and DEVCO) to ensure that no other instrument is already funding (or could potentially fund) the same initiative. Once an idea has turned into a concrete action, it is put in the project pipeline to receive support from the PI (in exceptional cases, some actions will be rejected at this stage). The EEAS remains involved throughout the process overseeing that the decisions made respond to an interest of the EU and to a political priority for the EU's foreign policy and diplomacy. Given the focus of the Instrument, the EEAS may also be the main actor (the "main client" of the PI) throughout the process.
3. **Quality control phase:** The third phase ensures **quality control of the concept note**. The respective leading department or service heads (from DGs, Delegations or the EEAS) are tasked with finalising and submitting one Concept Note per action. This document is reviewed by the **Quality Support Group (QSG)**, which issues comments based on a series of standard questions set in a common checklist with a view to improving and finalising the action. The composition of the QSG depends on the action considered as it gathers the concerned services and the EEAS.
4. **Final approval and preparation of the AAP:** Based on the results of the QSG, competent Services are tasked with preparing the **Action Fiche** to be attached to the financing decision. The finalised Action Fiches are in the end subject to a regular inter-service consultation process and a comitology scrutiny procedure, through the PI Committee. Taking into consideration the need to manage different degrees of maturity of the actions considered, the need to have a critical mass of actions per year, and to provide flexibility in the deployment of the support available, the PI adopts its AAP in two phases each year.



## Annex 14: How PI intervention areas are aligned with EU external action framework



Source: FPI.4 working document  
(\* ) COM 1, 2, 3, etc. refer to the priorities of the Juncker Commission





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