

***Evaluation of Commission's external cooperation
with partner countries through the organisations
of the UN family***

Final Report

Volume IIb – Annexes 10 to 12 on Evaluation
Methodology

May 2008

Evaluation for the European Commission





Aide à la Décision
Economique
Belgique

This evaluation was commissioned by:

the Evaluation Unit common to:

EuropeAid Co-operation Office,
Directorate General for Development and
Directorate General for External Relations

This evaluation was carried out by ADE

The evaluation was managed by the evaluation unit EUROPEAID

The opinions expressed in this document represent the authors' points of view which are not necessarily shared by the European Commission.

Table of contents – Volume IIb Annexes 10 to 12 on Evaluation Methodology

ANNEX 10 – EVALUATION METHODOLOGICAL APPROACH

ANNEX 11 – EVALUATION TOOLS ANND CHECKLIST

ANNEX 12 – PYRAMIDAL FOCUS GROUPS AND WORKING GROUPS

Annex 10 – Evaluation methodological approach

TABLE OF CONTENT

INTRODUCTION

1. PART I : EVALUATION APPROACH AND TOOLS	5
1.1 EVALUATION OBJECTIVES AND SCOPE	5
1.2 THE EVALUATION PROCESS AND THE MAIN CHALLENGES AND LIMITS	6
1.3 DESCRIBING THE OBJECT OF THE EVALUATION (INVENTORY STAGE).....	10
1.4 PROVIDING THE METHODOLOGICAL FRAMEWORK (STRUCTURING STAGE).....	10
1.5 DATA COLLECTION (DESK STAGE AND FIELD PHASE)	11
1.5.1 Data collection from the desk.....	12
1.5.2 Data collection during the field phase	12
1.6 ANALYSING AND JUDGING (THE SYNTHESIS PHASE)	13
1.7 DISSEMINATION.....	15
1.8 SPECIFICITIES FOR THIS EVALUATION	15
2. PART II: CORNER STONES OF THE METHODOLOGY	17
2.1 THE INTERVENTION LOGIC	17
2.2 THE EVALUATION QUESTIONS.....	25

APPENDIX 1 - SEMI-STRUCTURED INTERVIEW GUIDES

APPENDIX 2 - EXAMPLE OF THE INFORMATION PACKAGE FOR FIELD MISSIONS

Introduction

This document presents the methodology applied for this evaluation.

It is divided in two parts.

The first part presents the overall evaluation process and the main challenges and limits encountered. It further details each stage of the evaluation, presenting the approach followed and the tools used. In addition it highlights some specificities of the approach used for this particular evaluation.

The second part presents in a more in-depth manner some of the corner stones of the evaluation methodology, more specifically the intervention logic and the evaluation questions.

1. Part I : Evaluation approach and tools

1.1 Evaluation objectives and scope

This evaluation is part of the 2006 evaluation programme approved by the External Relations Commissioners and commissioned by the Joint Evaluation Unit common to the Commission's Directorates General (DG) Development, External Relations and the EuropeAid Cooperation Office (also referred to respectively as RELEX, DEV and AIDCO)¹.

The purpose of the evaluation according to the Terms of Reference (ToR) is described as *"assessing to what extent the Commission interventions through the UN system have been relevant, efficient, effective and visible in supporting sustainable impact for the development of partner countries."*

The ToR specify the following main objectives for the evaluation:

- § to provide the relevant external co-operation Services of the Commission and the wider public with an overall independent and accountable **assessment** of the Commission's past and current co-operation with partner countries implemented through the United Nation agencies, funds and programmes;
- § to identify **key lessons** from the Commission's past overall co-operation, and thus provide the Commission's policy-makers and managers with a valuable aid for evidence-based decision-making, and for planning, designing and implementing European Union policies.

With this purpose, the evaluation was required to define and answer a set of Evaluation Questions and provide Conclusions and Recommendations

The scope of the evaluation is:

- § The Commission's overall cooperation and partnership with the UN agencies, funds and programmes (commonly referred to as the "UN bodies"), focusing on DGs RELEX, DEV and EuropeAid;
- § All geographical regions of Commission cooperation with partner countries except for countries under the mandate of DG Enlargement (DG ELARG) and the Organisation for Economic Co-operation and Development (OECD) countries;
- § The period 1999-2006.

This evaluation covers the partnership between the two organisations in the context of the Commission's funding of UN interventions. The evaluation uses the term "channelling of funds" to describe the financial flows of the Commission to UN bodies. This term comprises funds benefiting partner countries but also funds directed to the UN for the strengthening of a UN institution (notably UNRWA).

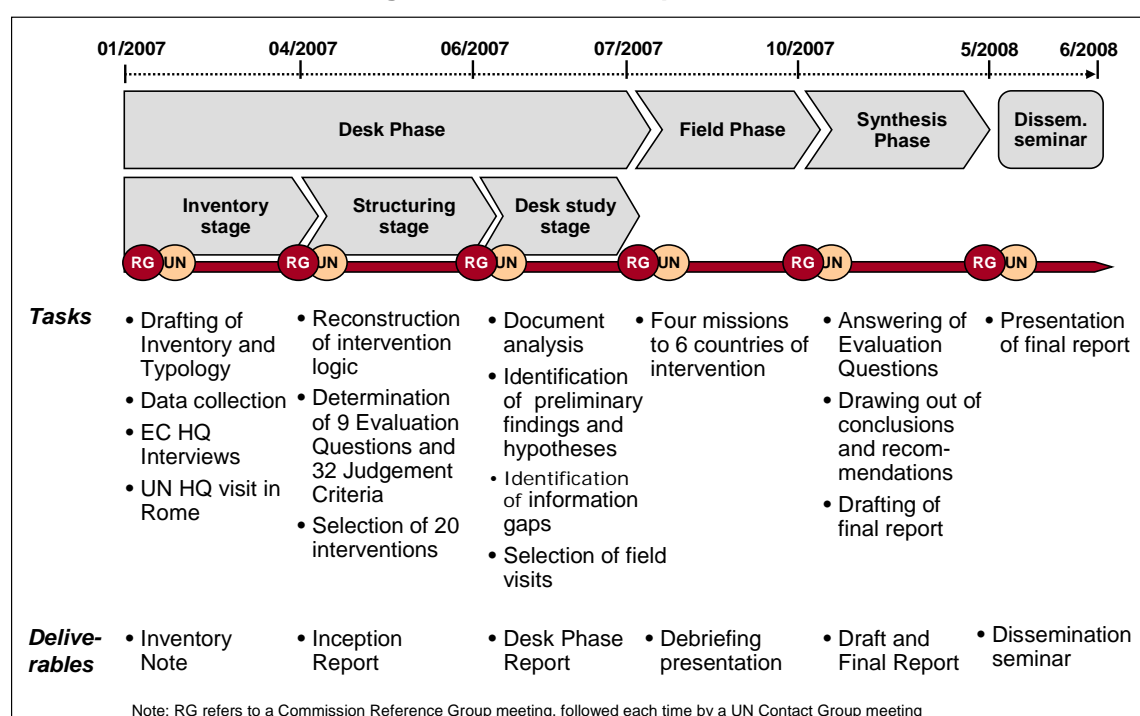
¹ Hereafter referred to as the « Joint Evaluation Unit ».

1.2 The evaluation process and the main challenges and limits

The evaluation has been conducted in four main phases and has applied the methodology developed by the Joint Evaluation Unit. This evaluation was managed and supervised by the Joint Evaluation Unit. The progress of the evaluation was closely followed by a Reference Group chaired by the Joint Evaluation Unit, and consisting of members of RELEX, DEV, AIDCO, ECHO, and ECFIN.

Figure 1.1 below provides an overview of these different phases and their timing, specifying for each of them the activities carried out, the deliverables produced, and the Commission Reference Group (RG) and UN Contact Group (CG) meetings organised.

Figure 1.1 Evaluation process



The evaluation process translates a systematic approach that uses different building stones to construct gradually an answer to the evaluation questions and formulate conclusions and recommendations. The different phases and subsequent “stages” coincide with the different methodological steps undertaken within the framework of the evaluation:

- § First it was essential to have a clear understanding and overview of the object of the evaluation, by providing an inventory and typology of the different interventions falling within the scope of the evaluation. This took place in the so called “inventory stage”;
- § Once this overview was available, the team built the methodological framework for the entire exercise during the inception stage.
- § On the basis of the established methodological framework, the data collection could take place in two steps:
 - From the desk during a desk study;
 - Through country visits in the field study

- § The synthesis phase was then devoted to construct answers to the evaluation questions and formulate conclusions and recommendations on the basis of the data collected throughout the process.
- § A final step consists in a dissemination seminar.

As shown in figure 1.1, the results of each step were described in a report², which was then discussed with the EC Reference Group and the UN Contact Group.

Before going further into the details of the work undertaken and the tools used for each of these stages, the **main challenges and limits** encountered during the evaluation are summarized here below.

- § The first challenge was the **limited existing knowledge within the Commission on the detailed composition of the financial flows evaluated** and the exploratory nature of the evaluation. Indeed, at the start of the evaluation only limited and general information on the Commissions' activity of channelling funds through the UN system was available. Therefore the evaluation had a strong exploratory dimension and the characterisation of the object to be analysed constituted an integral part of the evaluation exercise itself. As a consequence and given the limits in terms of information available (see below), the team devoted substantial efforts to providing an inventory and typology of the Commission's channelling of funds to the UN system. This allowed producing as a first substantial output of the evaluation a clear, comprehensive and sufficiently detailed overview of these activities. Such an overview was not available till then and it should be considered as a self-standing and additional product of the evaluation.
- § Another challenge was the difficulty of **evaluating an aid modality**, consisting in delivering aid through other agencies, in this case those of the UN family. This means that not only the degree of achievement of the Commission's objectives in terms of aid delivery needed to be examined, but also - and foremost - the process of channelling aid funds through the UN system. This challenge has been addressed mainly through two approaches:
 - The reconstruction of a two dimensional intervention logic that served as a reference framework throughout the entire evaluation process, not only to define and structure the Evaluation Questions, but also to build answers to these questions and formulate conclusions and recommendations;
 - The implementation of a consultative approach, closely involving the UN family, by an iterative process of consultation of its representatives throughout the evaluation and especially at key moments in the process, as envisaged by the Evaluation Unit.
- § Given the subject of the evaluation, its **scope was extremely wide and complex**. Indeed, it did not focus on one sector or country, but involved a large variety of sectors, countries and UN agencies with different specificities. This diversity was reflected in more than 1,600 interventions of considerable size, representing total disbursement of nearly €4bn over the period evaluated. With a view to accommodating this scope, the following approach was developed:

² For the country visits this consisted in a debriefing presentation.

- Conduct of **general study** that examine the channelling of Commission funds through the UN family in a **transversal manner** through study of strategic documents and the organisation of interviews and focus groups at strategic level;
- Conduct **in-depth study on a selection of interventions** that do not ambition to constitute a “representative sample” as such but allow providing meaningful insights on different aspects of the scope covered. This took place in two steps: a desk study of a selection of 20 interventions and a deeper study of ten of these interventions through specific **country visits** organised with that in view;
- Organisation of **working groups at country level** (typically eight per mission). It allowed collecting information from a wider number of interventions and experiences. It gathered together the different Commission and UN representatives and task managers involved not only with the interventions selected but with all interventions related to channelling of Commission funds through the UN family in the country concerned;
- Organisation of **pyramidal focus groups at HQ level** with Commission and UN representatives (first separately, then jointly). It allowed confirming, fine-tuning and completing the findings of the in-depth study and working group discussions at country level. It broadened as well through the number and expertise of participants the basis of projects and cooperation experience covered;
- Direct study of 164 **monitoring reports** and analysis of other studies done on ROM reports by Commission staff and external monitoring teams. It allowed extending the basis for the evaluation with the significant amount of projects covered by these studies.
- The table below provides an indication of the coverage of the scope by this evaluation approach. It specifies the order of magnitude of the number of interventions and the amounts covered.

1.3 Describing the object of the evaluation (inventory stage)

As a first step of the evaluation process, it was essential to provide an overview and typology of the financial contributions of the Commission to the UN system that fall within the scope of the evaluation.

This work proved particularly challenging as such overview and typology did not exist till then and because the information required for this task was hard to retrieve. As a consequence, substantial resources of the evaluation had to be devoted to this task.

Four types of **sources** have been used:

§ Databases:

- From the Commission: Common RELEX Information System (CRIS), On Line Accounting System (OLAS), Humanitarian Office Programme Environment (HOPE), Accrual Based Accounting (ABAC);
- From the UN bodies.

§ A predefined “macro budget table” form filled by 9 selected UN bodies.

§ Documents: 191 documents have been collected and consulted at the inventory stage.

§ Interviews: 62 interviews and 2 round tables have been held with Commission and UN bodies representatives (for the list of informants see annex 8). This included also a visit to the FAO and WFP HQs in Rome.

The **approach** combined a top-down and bottom-up approaches in order to capture the full spectrum of the flows. A “mirroring” of data (same funds reported in “double-entry” as sent in Commission databases and received in UN bodies’ data bases) has allowed crosschecking the information in qualitative terms. In financial terms, such a mirroring could not take place, given the differences of the nature of the information contained in the databases.

Despite the limits met in terms of availability of information (see the Inventory Note for more details on this issue), this approach has allowed constructing the most complete and thorough overview to date on the Commission contributions to the UN system. The full inventory and typology are included in a separate report (see the document “Inventory Note (final), April 2007”).

1.4 Providing the methodological framework (structuring stage)

As foreseen by the methodology of the Joint Evaluation Unit, the next step consisted in establishing the methodological framework that served as a basis for the entire evaluation exercise.

The first task consisted in defining the **intervention logic** underlying the Commission’s external cooperation with partner countries *via* the organisations of the UN family. This was a prerequisite for the evaluation since it facilitates understanding of the hierarchy of the objectives of channelling funds *via* these institutions and shows how this particular method of disbursing aid is expected to contribute to the overall objectives of the

Commission's development cooperation policy. It therefore constituted the basis for formulating the Evaluation Questions and served as the benchmark against which to evaluate the activities. Given the mandate of the evaluation, this intervention logic focused primarily on the process of channelling aid funds through the UN system. More details on this intervention logic and how it was constructed are provided in section 2.1.

The second task consisted in defining and structuring a set of **evaluation questions**. Indeed, the purpose of the evaluation is to verify to what extent the Commission's intended objectives have materialised as envisaged. It should also allow covering the five DAC criteria and a number of key issues identified in the terms of reference and through discussion with key stakeholders. Accordingly a set of 9 evaluation questions have been defined, so as to shed light on some critical points of the intervention logic and provide more concrete content to the traditional DAC criteria. With a view to facilitate the data collection as well as the construction of answers to these questions in a later stage, each question has been further structured. For each question, the judgment criteria and indicators needed to answer the question were defined (in total 32 judgment criteria and 80 indicators). Furthermore, for each indicators information sources were identified as well as the approaches for collecting the information. Section 2.2 explains more in detail how the evaluation questions were defined, linked to the DAC criteria and the key issues and how they were structured.

The structured evaluation questions were gathered in a **common data collection grid** (see annex 5). This grid served as a basis for the collection of raw data throughout the entire evaluation process.

Finally, at this stage also a set of **interventions were selected** to be analysed through a desk study.

1.5 Data collection (desk stage and field phase)

As explained above, the data collection took place in two steps:

- § Data collection through document studies and interviews at Commission and UN HQ in Brussels ;
- § Data collection through country visits.

Table 2 below illustrates the different tools used for the data collection at the different stages of the evaluation. A check list for the evaluation tools has been answered by the evaluators in Annex 11.

Table 2: Evaluation tools

	Inventory	Structure	Desk	Field	Synthesis
Database analysis	X				
Documentary study	X	X	X	X	X
Objectives Diagram		X			
Interviews - EC HQ / UN HQ / selected countries	X	X	X	X	
Case Studies			X	X	
ROM analysis			X		X
Group interviews / Working groups - selected countries				X	
Direct observation / Projects visits				X	
Pyramidal focus groups					X

1.5.1 Data collection from the desk

As a first step, information related to the different indicators defined during the structuring stage was collected for a selection of interventions (see annex 3 and 4).

This information was extracted from the following **sources and documents**: databases (as contained in the inventory note), Communications and Regulations, Strategic and Programming documents, Agreements, Progress and final reports, monitoring and evaluation reports, and any other quantitative and qualitative information available.

In addition semi-structured **interviews** were conducted with Commission representatives and UN representatives in Brussels. Examples of interview guides are provided in Appendix 1 of the present Annex.

This work allowed identifying preliminary findings to be validated, hypotheses to be tested and information gaps to be filled in the next stages, and notably through country visits.

1.5.2 Data collection during the field phase

To complete the data collection conducted from the desk, 10 interventions were further covered and visited through four missions conducted in the following 6 countries: Bangladesh, Democratic Republic of Congo, Jordan, West Bank and Gaza Strip, Kazakhstan and Kirghizstan.

The visits were prepared in close collaboration with the DEC concerned, the relevant UN offices and the Joint Evaluation Unit. Prior to the visit, a full information package was sent to the different DEC concerned (see Appendix 2).

Each country visit had a similar structure:

- § The visit started with an extensive briefing on the evaluation and the purpose of the visit, first with the DEC and then with the UN representatives;

- § Bilateral or grouped semi-structured interviews took place with representatives from the DEC, UN bodies and local representations, Partner countries, EU MS and other donors;
- § Working groups at the DEC with other task managers and communication officers were organized, as well as at the UN local offices.
- § Projects were visited and (grouped) discussions held with beneficiaries;
- § At the end of the visit extensive debriefings took place, first with the DEC and then with the UN representatives.

1.6 Analysing and judging (the synthesis phase)

The data collection carried out throughout the evaluation process has furnished the information basis from which answers to the evaluation questions have been built. To summarize this encompasses:

- § the identification and financial mapping of 1,688 contracts (see Annex 4 of Inventory Note) ;
- § the consultation of 570 documents (see Annex 9) ;
- § an analysis of 164 ROM reports, related ROM quantitative analysis and meetings with 8 representatives of ROM regional teams (see Annex 7);
- § the organization of 179 interview (297 persons met, see Annex 8);
- § 10 project visits (see Annex 6);
- § the organization of briefing and debriefing meetings at country level (six per visit) (see Annex 6).

The raw information is displayed in the completed common data collection grid provide in annex 5. The information collected from these different sources has been cross-checked and analysed in an interative process throughout the different phases of the evaluation. This concerned the crosschecking of information retrieved from different types of documents, from different interviews, but also between interviews, documents, project visits, etc.

The above-mentioned analysis of ROM reports has also been conducted at this stage. The approach and results of this analysis are explained in Annex 7.

This information basis allowed constructing a set of findings which were further examined through the organization of pyramidal focus groups with key interlocutors of the European Commission and the United Nations. Further details on the approach used for these pyramidal focus groups are presented in Annex 12.

On this basis answers to the evaluation questions were constructed, using the predefined judgment criteria and indicators.

On the basis of the answers to the evaluation questions a structured set of conclusions and related recommendations were provided. This approach allowed for a clear linkage between evaluation questions (findings), conclusions and recommendations, as illustrated in figure 1.2.

Figure 1.2 – Links between evaluation questions – conclusions – recommendations

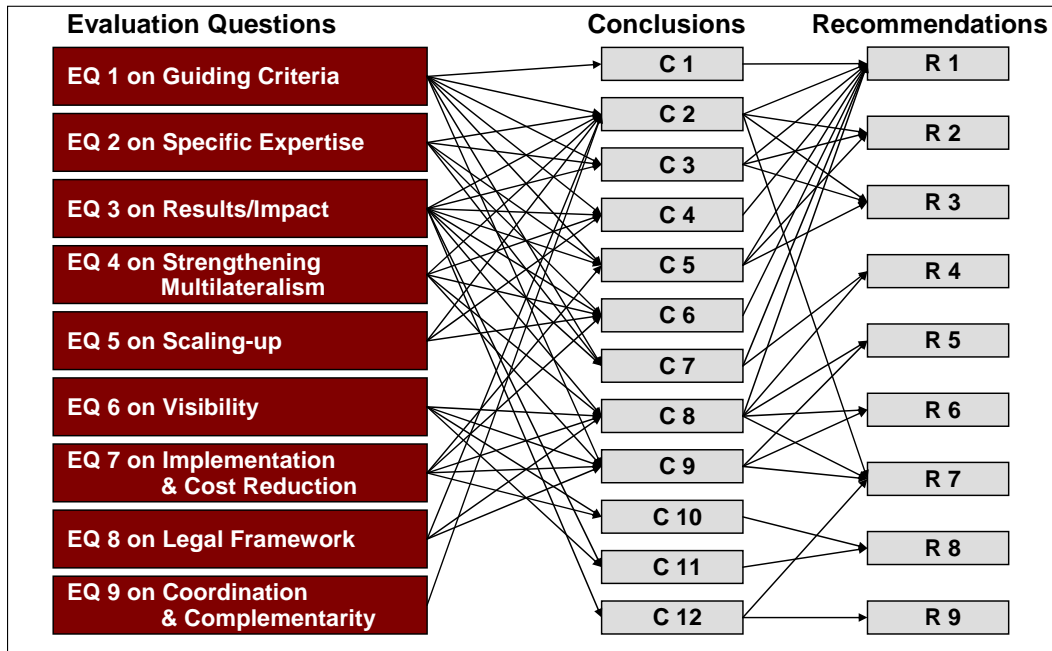
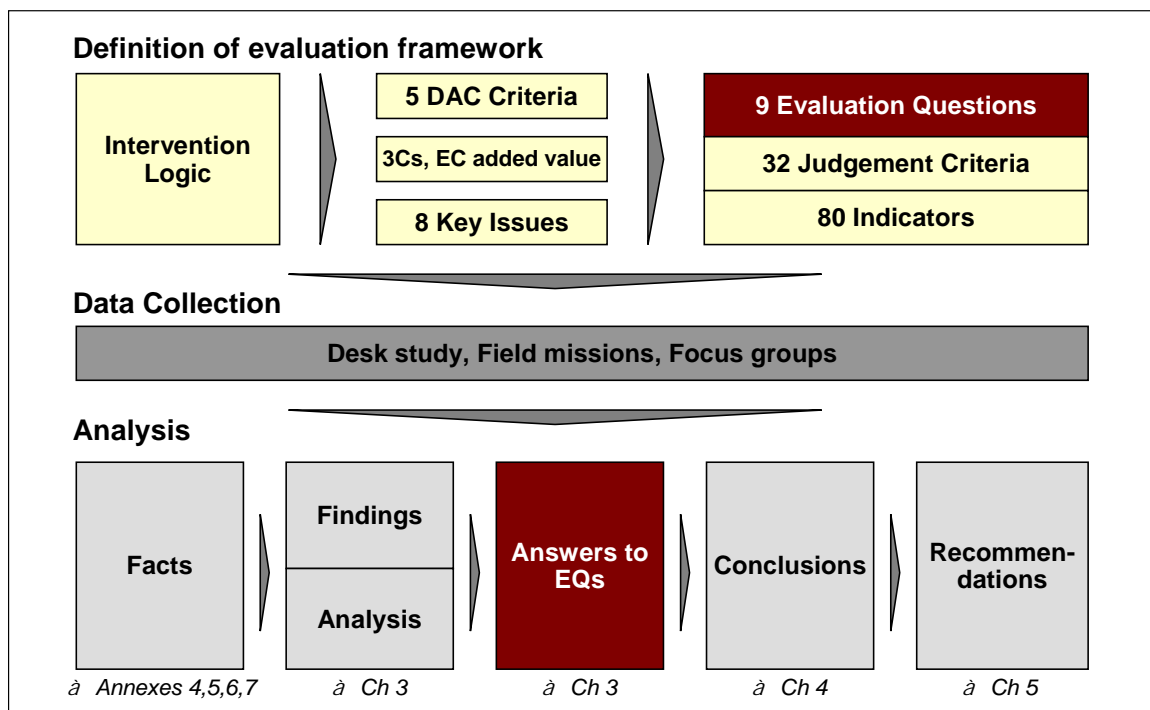


Figure 1.3 below illustrated how answers to the evaluation questions, conclusions and recommendations were provided on this basis.

Figure 1.3 : A structured evaluation approach leading to evidence-based conclusions and recommendations



1.7 Dissemination

A dissemination seminar is foreseen in Brussels after approval of the final report for Commission and UN audiences, as well as other stakeholders.

1.8 Specificities for this evaluation

A number of more specific approaches used in this evaluation are worth highlighting. Some of these specificities are closely linked to the nature of this evaluation which concerns Commission funds channelled, in this specific case, through the UN system.

First it should be underlined that the UN was closely associated through close interaction with the UN Contact Group, notably through specific interviews, discussion of all intermediate deliverables, and the organisation of two focus groups with the UN CG (one in presence of the Commission RG). This **consultative approach** has proved most useful in terms of:

- § access to information through interviews and from UN databases ;
- § capacity for checking factual accuracy and ensuring a thorough understanding of the UN system and the management of Commission contributions to the UN system;
- § an open approach where the UN had continuous access to the progress of the evaluation.

UN representatives were furthermore consulted through interviews and a visit to the UN offices in Rome. During the country visits working groups with UN representatives were also organised.

Moreover, the reconstruction of a **“two-dimensional” intervention logic** (objectives in terms of delivery of aid to beneficiaries and in terms of partnership with UN) is at the core of this evaluation. Indeed, to respond to the needs of this evaluation it was indispensable to show how the Commission's objectives in providing developing aid are intertwined with its objectives when channelling it through another agency and in this particular case the UN system. Grasping both dimensions through a single hierarchy of objectives has allowed provision of a solid reference framework for the evaluation and facilitated the definition and structuring of relevant Evaluation Questions.

Furthermore, the evaluation team structured at the inception of this exercise a number of **“Key Issues”** of particular importance for this evaluation which are partially complementary to the five DAC criteria. Evaluation Questions were defined with a view to tackle both these key issues and the DAC criteria (see Part II in the present annex).

Specific approaches were used to tackle the issue of **visibility**, which was new in this evaluation. In particular, for verifying the visibility for taxpayers and EU MS the information collection tool available for this evaluation was the database containing questions from the Members of the European Parliament. An interview with a prominent member of the EP was also organised. Furthermore, a screening of references to Commission's channelling in annual reports of EuropeAid and of a selection of EU MS' bilateral agencies has been realised. Moreover, interviews working groups and pyramidal focus groups were organised with communication officers of the Commission and the UN at both HQ and country level.

And finally, in order to meet the concerns expressed by the Reference Group and the Joint Evaluation Unit on the need to broaden to the extent possible the basis from which judgments will be formulated, it was decided to organise a number of **working groups and pyramidal focus groups** with key interlocutors of the European Commission and the United Nations both at partner country and at HQ level. More details on the methodology used for these working groups and pyramidal focus groups can be found in Annex 12.

2. Part II: Corner stones of the methodology

2.1 The intervention logic

This section presents the intervention logic underlying the Commission's external cooperation with partner countries *via* the organisations of the UN family. Given the mandate of this evaluation, this intervention logic focuses primarily on the **process of channelling** aid funds through the UN system.

Identification of the intervention logic is a prerequisite for the evaluation since it facilitates understanding of the hierarchy of the objectives of channelling funds *via* these institutions and a demonstration of how this particular method of disbursing aid is expected to contribute to the overall objectives of the Commission's development cooperation policy. It therefore constitutes the basis for formulating the Evaluation Questions and serves as the benchmark against which the activities will be evaluated.

The intervention logic for channelling aid funds via UN bodies has two characteristics that need to be stressed:

- § First, unlike more traditional intervention logics that describe projects or programmes, it describes primarily a **process**. In other words, this intervention logic does not attempt to describe why and how the Commission is conducting, for example, an intervention for improving food security or for developing a capacity building project in a particular country, but why it has opted to channel its funds through the World Food Programme (WFP) or United Nations Development Programme (UNDP) rather than adopting possible alternatives (doing it alone or with other partners, or not at all). Thus this intervention logic essentially analyses a particular form of cooperation and coordination of the Commission's international assistance with that of other donors and via multilateral agencies.
- § Second, this intervention logic is strongly based on two official Commission's Communication: COM(2001)231 "*Building an effective partnership with the United Nations in the field of development and humanitarian affairs*" and on COM(2003)526 "*The European Union and the United Nations: The choice of multilateralism*" that are specific to the Commission's relationship (political as well as operational) with the UN system. They are key documents from which a conceptual framework has been extracted for reconstruction of the intervention logic. They are the backbone for an understanding of the process of channelling aid funds through the UN system but it is important to remember that they are relatively wide in terms of political relationships but not precise enough in operational terms. For these reasons the intervention logic goes beyond the two communications and describes all the objectives pursued by the Commission when channelling its funds, in particular increased efficiency and effectiveness of its aid. This reflects the Terms of Reference which, in their section 3, indicate that "The purpose of

the evaluation is assessing to what extent the Commission interventions through the UN system has been relevant, efficient and effective and visible in supporting sustainable impact for the development of partner countries”.

This intervention logic is based on major official documents defining the objectives of the Commission in the sphere of its external cooperation. Such documents are:

- § The Treaty on European Union and the Treaty establishing the European Community. More specifically, Articles 11 (EU) and 177.1, 177.2, 177.3 and 181 (EC) establish the legal framework of the external and development cooperation of the European Community.
- § The COM(2000)212, *The European Community's Development policy* and the *European Consensus on development*. These two documents are critical in the context of the global development objectives of the EC in its cooperation with third countries.
- § The COM(2001)231 on *Building an effective partnership with the United Nations in the field of development and humanitarian affairs* and the COM(2003)526 on *The European Union and the United Nations: The choice of multilateralism*. These two Communications are specific to the Commission's relationship (political as well as operational) with the UN system.

These two Communications fall within the context of the rethinking of development priorities which started with the Millennium Declaration (2000) including the Millennium Development Goals (MDGs), the Monterrey Conference on Financing for Development (2002), the World Summit on Sustainable Development in Johannesburg (2002) and the UN Millennium Review Summit (2005). In 2001 the Commission decided to bring together the experience gained over the years in Commission-UN cooperation for development and humanitarian assistance; this resulted in the COM(2001)231. This former Communication turned out to be a kind of precursor for the second, much broader Communication to the Council and the European Parliament in September 2003 (COM(2003)526). This latter Communication articulates objectives, operational goals and concrete actions, and links them to the conditions and caveats to be observed. It also identifies many connections that exist between strategy, policy and goals, on the one hand, and on the other hand development cooperation as an important, if not exclusive, instrument for working towards achieving overarching policy objectives.

- § The *cooperation legal framework* documents signed by the Commission and the UN bodies to allow and systematise the common work for development and humanitarian affairs: “Joint Declarations”; “Exchanges of Letter”; “Strategic Partnership Agreements”; “Memorandum of Understanding”; “Strategic Programming Dialogue (SPD)”; “Operational guidelines”; “Financial and Administrative Framework Agreement (FAFA)” ; and individual “Contribution Agreements”.

The intervention logic presented in diagram 3 adopts the format⁵ recommended for evaluating the Commission's activities. It represents the hierarchy of objectives pursued by

⁵ See European Commission, Directorate-General for the Budget, *Evaluating EU Activities, A practical guide for the Commission Services*, July 2004. Annex B : Different elements and concepts of intervention logic.

the Commission when conducting its cooperation with partner countries through the organisations of the UN family.

The diagram comprises five identified layers. The highest identifies the **overall objectives**. These are the ultimate objectives the Commission seeks to achieve through its external cooperation with partner countries. They are derived from a collection of major documents which are prescriptive. They have been represented in four groups that mutually support and are linked to each other:

- § The first group goes beyond the development objectives that can be pursued bilaterally insofar as they respond to global challenges. It makes reference to the **European Union Common Foreign and Security Policy** as established in the Art.11 of the EU Treaty: “The Union shall define and implement a common foreign and security policy covering all areas of foreign and security policy, the objectives of which shall be:
 - to safeguard the common values, fundamental interests, independence and integrity of the Union in conformity with the principles of the United Nations Charter;
 - to strengthen the security of the Union in all ways;
 - to preserve peace and strengthen international security, in accordance with the principles of the United Nations Charter, (...);
 - to promote international cooperation; to develop and consolidate democracy and the rule of law, and respect for human rights and fundamental freedoms. (...).”

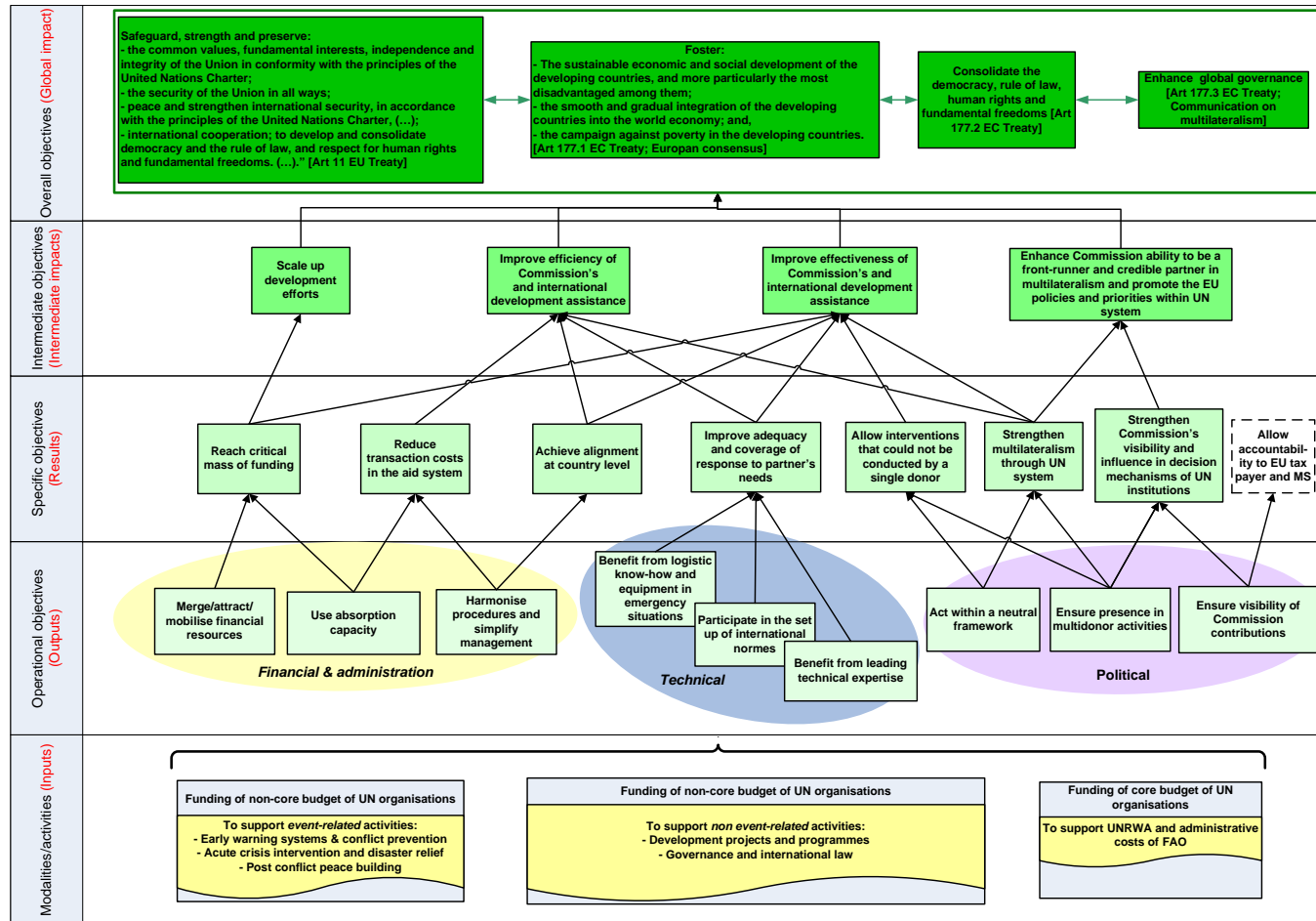
- › The second group encompasses the overarching objectives of the Commission's aid as established in art. 177.1 of the Treaty establishing the European Community (EC) according to which the **Community policy in the sphere of development cooperation** shall foster:
 - “The sustainable economic and social development of the developing countries, and more particularly the most disadvantaged among them;
 - the smooth and gradual integration of the developing countries into the world economy; and,
 - the campaign against poverty in the developing countries.

- These objectives are present in many other official documents such as the Cotonou Agreement and other partnership agreements. These objectives have also been reaffirmed in the European Consensus on Development (“the European Consensus”, 2006)⁶ where they have been completed to include the pursuit of MDGs.

- § The third overall objective is directly linked with Art. 177.2 of the Treaty establishing the EC: “Community policy in this area shall contribute to the general objective of **developing and consolidating the democracy and the rule of law, and to that of respecting human rights and fundamental freedoms**”.

⁶ “The primary and overarching objective of EU development cooperation is the eradication of poverty in the context of sustainable development, including pursuit of the Millennium Development Goals”.(§5).

Diagram 3 – Intervention logic of Commission's external cooperation with partner countries through the organisations of the UN family – Objectives diagram



§ The fourth overall objective is **enhancing global governance**. It is a key principle of the EU's external relations. It is affirmed in the Treaty establishing the EC in the Art 177.3: "the Community and the Member States shall comply with the commitments and take account of the objectives they have approved in the context of the United Nations and other competent international organisations. This objective is also put clearly in evidence in the European Consensus⁷ where moreover global initiatives are specifically mentioned to address global challenges⁸. This overall objective is detailed in the Communications (2001)123 and (2003)526.

The intervention logic attempts to establish how, from the lowest layer, the modalities of aid channelling are supposed to contribute to the materialisation of these overall objectives and through which chain of intermediate objectives.

Starting from the lowest level of the diagram the first layer concerns **modalities and activities**. The modalities are associated with particular activities (the yellow icons in the centre of the modalities icons). These modalities and activities are the "inputs" of the process under examination. They are identified on the basis of the inventory of funds channelled through the organisations of the UN family that was undertaken as the first step of this evaluation⁹. Two major distinct modalities of cooperation through the UN family emerge clearly from the inventory, viz.:

- § Funding of non-core budgets, which refers to the channelling of funds through UN organisations for specific activities or thematic interventions, although one modality has been separated into two blocks in the diagram to highlight the distinction between the two categories of activities it addresses: those that are "event-related" and those that are "not event-related". Events may be man-made or natural catastrophes that are seemingly unpredictable such as wars, epidemics, pest outbreaks, tsunamis etc.;
- § Funding of core budgets, which relates to the direct funding by the Commission of the functioning of UN organisations. This type of funding, although very important in terms of the magnitude of funds involved, is restricted in major part to one UN body.

Modalities

Activities (Inputs)

Funding of non-core budget	- To support event-related activities. This concerns the provision of funding interventions for events that cannot be qualified as "non-programmable": acute crisis interventions, disaster relief, post-conflict peace building. We have chosen also to include in this category early warning systems and conflict prevention; although these activities are not strictly speaking "event-related" and are
----------------------------	--

⁷ § 107 of the European Consensus on Development: "The Commission will continue to contribute to global initiatives that are linked to the MDGs and to global public goods. Global initiatives and funds are powerful instruments for launching new political measures or reinforcing existing ones where their scope is insufficient. They are capable of generating public awareness and support more effectively than traditional aid institutions. This kind of aid should be aligned with national strategies, contribute to the dialogue with countries and aim at the integration of funds into their budget cycles. "

⁸ See for instance § 13 of the European Consensus on Development: "The EU is strongly committed to effective multilateralism whereby all the world's nations share responsibility for development. "

⁹ Evaluation of EC's external cooperation with partner countries through the organisation of the UN family, Inventory Note, April 2007.

even programmable they are very much linked to event-related activities since they are conducted to avoid, whenever possible, the occurrence of catastrophic events.

- To support non-event-related activities. This concerns all types of development projects and programmes as well as activities to promote governance and international law.

Funding of core-budget

This modality is used to support only the functioning of the UNRWA (United Nations Relief and Works Agency for Palestine Refugees in the Near East) and, in a very limited way, to the contribution to cover the administrative costs of the EC's seat at the FAO (Food and Agriculture Organisation)¹⁰.

A modality is selected for its ability to provide a characteristic that would not otherwise be present in the channelled aid. This characteristic is its operational objective. Different categories of **operational objectives** are listed in the diagram and have been identified on the basis of the framework agreements and preparatory documents (financing proposals, contribution agreement, etc.) accompanying and governing the channelling of funds:

- › A first group of operational objectives concerns **finance and administration** aspects: channelling may contribute to merging the resources of various donors, and possibly attracting others, and may also be a faster way of disbursing funds. Another possible objective is harmonisation of procedures with other donors and simplification of management through conducting it via a single structure.
- › The second group of operational objectives is related to **the technical specificity** of the interventions. The operational objective is then either capitalising on the specific expertises of UN bodies in matters requiring urgency or heavy logistics (activities conducted via the WFP, for instance); or getting a leverage through the technical specialisation (e.g. WHO) or global normative advantage of some UN bodies for the setting and application of international norms (i.e. activities elaborating and facilitating application of international norms and standards, such as the Codex Alimentarius at the FAO).
- › A third group of operational objectives is more **political**. The operational objective is then to ensure the presence of the Commission in multi-donor activities for a number of possible reasons (demonstration of international solidarity, for instance), or to ensure a politically more neutral approach, or to ensure visibility of the Commission in multilateral activities.

Each of the modalities of the first group in the lowest layer (inputs) may be utilised to contribute to any one or any combination of the operational objectives. For this reason, no specific arrows from the three blocks of modalities or activities point to any specific operational objectives.

¹⁰ For information, although outside the reference period of the evaluation which is 1999-2006, since January 1st 2007 according to EIDHR regulation funding of core budget is also possible to the Office of the High Commissioner for Human Rights (OHCHR).

The **specific objectives** of the channelling process constitute a higher level. Eight groups are identified and the specific links with the lower level are shown by the arrows. For example, the reduction of transaction costs is a specific result of the operational objectives of harmonisation of procedures, simplification of management of interventions, merging and attraction of financial resources, and rapidity of use of financing resources.

Among the specific objectives, the box "Allow accountability to EU taxpayer and MS" deserves explanation. It is a clear specific objective stated in the documents establishing the requirements and modes of the visibility policy of Commission contributions when so channelled. The justification is obvious: visibility is needed to permit accountability to EU taxpayers and the MS and in turn such accountability and visibility are indispensable to motivating taxpayers and the MS to continue supporting the external cooperation budget of the Commission and the European Development Fund (EDF). However, that is as far as it goes in the intervention logic and it would be difficult to argue that improved visibility of Commission funds pooled with those of other donors would necessarily permit better achievement of the overall objectives. For this reason the box is differentiated from the others by a dotted border and the absence of an upward-pointing arrow.

The **intermediate objectives** are in fact the reasons for the Commission's choice to channel its funds while ensuring that this channelling contributes to its overall development aid objectives. They are supported by high level documents, primarily the Communications (2001)231 and (2003)526.

For the first three intermediate objectives, linkages can also be made to other international commitments, namely:

§ **"Scaling up of development efforts"**.

The European Union made a binding commitment to this objective at the Monterrey Conference, followed by the COM(2004)150 on the subject¹¹. Moreover, in 2005 the G8 committed itself in Gleneagles to double its development aid to Africa by 2010¹².

§ **"Improving the efficiency of the Commission's and international development assistance"**, and, **"Improving the effectiveness of the Commission's and international development assistance"**

The intermediate objectives relating to efficiency and effectiveness are clear goals of the international community and the Commission. They emerged from the sequence of round-tables and commitments on harmonisation: Washington, Rome, Marrakech, Paris¹³. They are also reaffirmed in the European Consensus¹⁴.

¹¹ COM(2004)150 « Translating the Monterrey Consensus into practice : the contribution by the European Union ».

¹² See § 27 of the G8 Gleneagles summit : "The commitment of the G8 and other donors will lead to an increase of Official Development Assistance to Africa of \$25 billion a year by 2010, more than doubling aid to Africa compared to 2004."

¹³ See §1 and §3 of the Paris Declaration on Aid Effectiveness: "As in Monterrey, we recognise that while the volume of aid and other development resources must increase to achieve these goals (MDGs), aid effectiveness must increase significantly as well to support partner country efforts to strengthen governance and improve development performance." (§1) "We are encouraged that many donors and partner countries are making aid effectiveness a high priority, and we reaffirm our commitment to accelerate progress in implementation, especially in the following areas: (...) iv. Eliminating duplication of efforts and rationalising donor activities to make them cost-effective as possible." (§3).

The fourth objective **“Enhancing EU ability to be a front-runner and credible partner in multilateralism and promote the Commission policies and priorities within UN system”** is more specific to this process. It is a key objective of the Commission's relations with the UN family and is stated as such in COM(2003)526 on *“The European Union and the United Nations: the choice of multilateralism”*¹⁵. It is also a European Community Development Policy objective as stated in COM(2000)212, more recently in the European Consensus¹⁶, and reaffirmed in the Financial and Administrative Framework Agreement (FAFA). It is supported by the operational objectives of strengthening multilateralism through the UN system and increasing the Commission's influence in it.

These four intermediate objectives are all meant to contribute, jointly or separately, to the overall objectives.

¹⁴ See § 25 of the European Consensus on Development: *“As well as more aid, the EU will provide better aid. Transaction costs of aid will be reduced and its global impact will improve. The EU is dedicated to working with all development partners to improve the quality and impact of its aid as well as to improve donor practices, and to help our partner countries use increased aid flows more effectively.”*

¹⁵ See p 5: *“Two aspects of the EU's contribution to the effectiveness of multilateral legal instruments and commitments established under UN auspices could further developed. First, the EU's ability to act as a “front-runner” in developing and implementing multilateral instruments and commitments. And second, support, where necessary, for the capacity of other countries to implement their multilateral commitments effectively.*

¹⁶ COM(2000)212: (p16) *“The special features and value added of Community policy can be identified as follows in relation to the IFIs and other multilateral bodies: The Community's competence is not only on financial and technical aid, but extends to trade, economic and monetary matters and to political issues. This enables it to incorporate these various aspects into development cooperation processes.”*

2.2 The evaluation questions

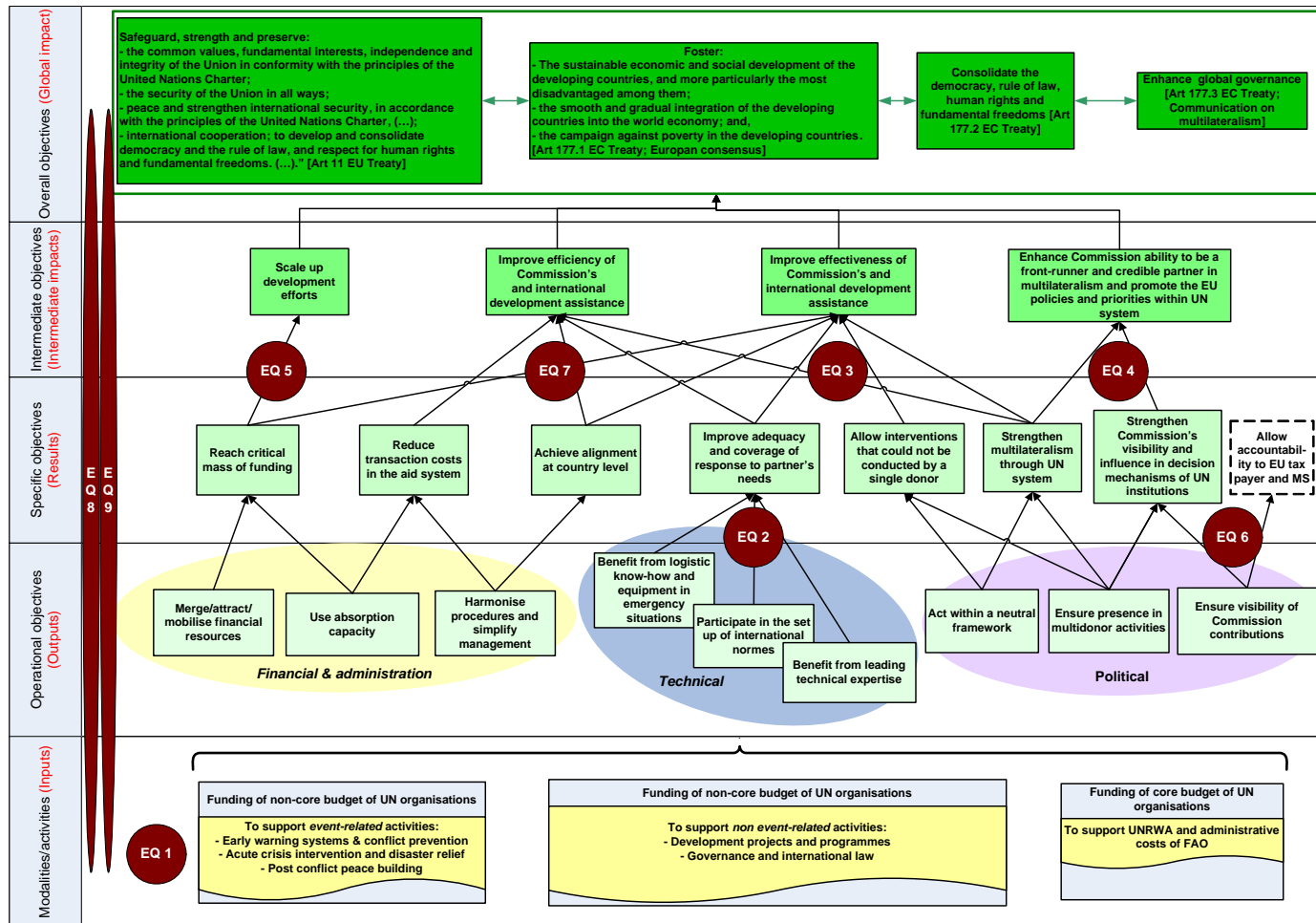
The purpose of the evaluation is to verify to what extent the Commission's intended objectives have materialised as envisaged. In other words, did the modalities employed and activities undertaken yield the required hierarchy of results and thus contribute to the global objectives of the Commission's external cooperation? The intervention logic constitutes the backbone of the evaluation insofar as it represents the hierarchy of results.

In theory, the five DAC (Development Assistance Committee of the OECD) criteria (relevance, efficiency, effectiveness, impact and sustainability) do allow such systematic verification. In practice, tracking the elaboration of the intervention logic with the aid of the DAC criteria is feasible in the context of the evaluation of a project or a programme because it then takes the form of an *ad hoc* logical framework for that intervention. It is however more difficult to use it to evaluate a vast collection of diverse interventions, and still more so to evaluate modalities or processes.

For this reason Evaluation Questions are proposed as a more instrumental approach. Their purpose is, on the one hand, to shed light on some critical points of the intervention logic rather than evaluating comprehensively its elaboration; and, on the other hand, to give more concrete content to the traditional DAC criteria by specifying the judgment criteria or hypotheses that will be tested to answer the key questions and by stating how they will be validated.

In the present case, nine Evaluation Questions have been formulated (see Box 1). Table 6 develops fully each Evaluation Question with its Judgement Criteria, Indicators and sources. Annex 2 provides the same information with, in addition, the proposed approach and sources of information for feeding into the indicators. Diagram 4 below shows the link between the Evaluation Questions and the intervention logic.

Diagram 4 – Intervention logic of Commission's external cooperation with partner countries through the organisations of the UN family – Link between the Evaluation Questions and the Intervention Logic



Box 1 - The Evaluation questions

EQ 1 on Guiding Criteria

To what extent are decisions to channel aid explicitly motivated and how far do they rest on formal guidance criteria (guidelines, policies, Communications...)? Do these formal guidance criteria provide the rationale for the observed evolution of channelled aid?

EQ 2 on Specific Expertise

To what extent does the channelling of funds enable the Commission to use the UN bodies' specific expertise so as to offer a broader range of responses to partners' needs?

EQ 3 on Results & Impacts

To what extent did the channelling of funds contribute to the sustainable achievement of the intervention objectives the Commission targeted when channelling its funds?

EQ 4 on Strengthening Multilateralism

To what extent did the Commission's channelling of funds strengthen the UN system and promote the Commission's influence in it?

EQ 5 on Scaling-Up

Did the channelling of funds contribute to a scaling-up of development aid?

EQ 6 on Visibility

To what extent did the Commission's channelling of funds contribute to the visibility of its support *vis-à-vis* the partner countries and its MS?

EQ 7 on Implementation & Cost Reduction

To what extent did the Commission's channelling of funds contribute to swifter implementation and lower transaction costs?

EQ 8 on Legal Framework

To what extent does the legal cooperation framework provide an enabling environment for the channelling of funds?

EQ 9 on Coordination & Complementarity

To what extent did aid channelling facilitate or improve coordination between the Commission and the EU MS?

These questions have been selected with a view to covering as far as reasonably possible the different aspects of the intervention logic but with a sharper focus on certain of them. The focus has been directed to aspects that will permit provision of information and analytical material contributing to an analysis of a number of "Key Issues" (KI) that become apparent from deskwork done at this stage, from interviews already conducted with Commission and UN staff, and from the Inventory Note. Among these issues and questions, the most frequently evoked (in no special order of priority) are presented in the following table 3.

Table 3 - Key Issues

Key Issues	
<i>KI.1 on Evolution</i>	What explains the evolution of funds channelled through the UN bodies over the 1999-2006 time frame? Does it respond to a voluntary and justified policy? Is it because it is an easier way to disburse funds? Or both of the foregoing?
<i>KI.2 on Predictability of the Commission funding</i>	This is an issue for UN bodies which argue that their effectiveness would be increased if funding were more stable and predictable. Indeed UN programmes still largely rely on annual pledges. However: 1) pledges are not automatically translated into commitments and payments; 2) many programmes are multi-annual, thereby creating a major source of uncertainty for the recipient UN bodies. The issue is also one for the Commission which needs to know whether this demand for more predictability is legitimate and ought to be addressed by adaptation of the framework agreements.
<i>KI.3 on Accountability</i> (i.e. reporting, earmarking, verification procedures)	How can the Commission be accountable for the use of its channelled funds without imposing excessively complicated procedures and controls that may compromise the efficiency and effectiveness of activities? Are its administrative provisions conducive to good accountability and efficiency/effectiveness?
<i>KI.4 on Visibility</i>	How to ensure visibility <i>vis-à-vis</i> the Court of Auditors, taxpayers, beneficiaries, the channelling entities and the rest of the world, when subscribing to international commitments that imply merging Commission funds with those of other donors? Does visibility infer traceability? Visibility is therefore a major issue which implies accountability, political visibility <i>vis-à-vis</i> the beneficiary and other donors, influence in the channelling institutions, and awareness and approval on the part of taxpayers.
<i>KI.5 on Added Value</i>	What is the added value for the Commission in channelling EU money through UN bodies? In other words why should the

***Key Issue 6 on the
Usefulness of the
Agreements***

money of a MS pass through the Commission in order to be eventually transferred to a UN bodies, rather than being either used by the Commission itself or, in the case of EDF, transferred by the MS directly to the UN, bypassing the Commission? What is the added value of the channelling for the beneficiary? What is the added value of the channel? Do the costs exceed the benefits, or is the reverse the case?

Is the legal cooperation framework adapted to the process of aid channelling? The issue is whether the current legal framework is sufficiently disseminated and adhered to and provides operational means, and whether there is a need for some more operational intermediary between the broad policy intentions provided by the Strategic Partnerships and the procedural modalities provided by the FAFA.

***Key Issue 7 on Means
Deployed***

Are the management capacities and the available resources in time and manpower sufficient to allow the Commission to manage adequately the increasing amount of funds channelled through UN bodies?

***Key Issue 8 on Clarity
of objectives***

Is there an immediate and direct relation between funds channelled to UN and the EU policy towards the UN? There are guidance documents?

These eight key issues have been used to elaborate the Evaluation Questions, and are thus taken into account, as shown in the following table :

Table 4 – Correspondence between the Key Issues and the Evaluation Questions

Key Issue 1 on Evolution	§ EQ 1 on Guidance Criteria
Key Issue 2 on Predictability of the Commission funding	§ EQ 4 on Strengthening Multilateralism
Key Issue 3 on Accountability (i.e. reporting, earmarking, verification procedures)	§ EQ 7 on Implementation & Cost Reduction § EQ 8 on Legal Framework
Key Issue 4 on Visibility	§ EQ 4 on Strengthening Multilateralism § EQ 6 on Visibility

KI.5 on Added Value	<ul style="list-style-type: none"> § EQ 1 on Guidance Criteria § EQ 2 on Specific Expertise § EQ 3 on Results & Impacts § EQ 4 on Strengthening Multilateralism § EQ 5 on Scaling-Up § EQ 7 on Implementation & Cost Reduction § EQ 9 on Coordination and Complementarity
KI.6 on the Agreements Usefulness	<ul style="list-style-type: none"> § EQ 1 on Guidance Criteria § EQ 8 on Legal Framework
KI.7 on Means Deployed	<ul style="list-style-type: none"> § EQ 3 on Results & Impact
KI. 8 on Clarity of objectives	<ul style="list-style-type: none"> - EQ 1 on Guidance Criteria - EQ 4 on Strengthening Multilateralism - EQ 8 on Legal Framework

The Evaluation Questions can also be linked to one or several of the five DAC evaluation criteria (relevance, efficiency, effectiveness, impact and sustainability), Coherence¹⁷ and EC added value.. Furthermore, the Evaluation Questions also cover a number of “Key Issues” of particular importance for this evaluation, detailed here above, some of them identified as fields of interest in the Terms of Reference. These linkages are illustrated in the table below.

¹⁷ Defined as “the non-occurrence of effects of policy that are contrary to the intended results or aims of policy”

Table 5 – Coverage of the DAC evaluation criteria, coherence, EC added value and Key issues by the Evaluation Questions

DAC evaluation criteria	EQ1 Guiding Criteria	EQ2 Comparative Advantage	EQ3 Results & Impact	EQ4 Strength. Multilateral.	EQ5 Scaling- Up	EQ6 Visibility	EQ7 Implem. & Cost Red.	EQ8 Legal Frame'k	EQ9 Coordin. & Compl.	All EQ
Relevance	■	■	□							■
Effectiveness			■	■	■	■	■			■
Efficiency			□				■	■	□	■
Impact			■	■	■					■
Sustainability			■					□		■
<i>Coherence, EC added value</i>										
Coherence	□				□			■	■	■
EC added value			■		■		■		■	■
<i>Key issues</i>										
KI.1 Evolution	■									■
KI.2 Funding Predictability				■						■
KI.3 Accountability							■	■		■
KI.4 Visibility				□		■				■
KI.5 Added Value	■	■	■	□	■		■		□	■
KI.6 Usefulness of Agreements	■							■		■
KI.7 Means Deployed			■							■
KI.8 Clarity of Objectives	■			■				■		■

Largely covered
 Tackled

As provided for in the evaluation methodology, each question has been structured in terms of the judgment criteria and indicators required to answer it. Table 6 below presents the information on the structured Evaluation Questions and provides for each question:

- § The number and the formulation of the **Evaluation Question**, as well as a shorter version of the name for easy reference (as used in box 1 above).
- § The **coverage and justification** of the Question. This paragraph explains what the Question is about, its importance and justification, including a reference to the “Key Issues” mentioned above.
- § The **evaluation criterion** and the **link with the intervention logic**. This explains to which DAC criterion or criteria the Evaluation Question relates and on which part of the intervention logic it focuses. An Evaluation Question can provide information useful for several DAC criteria.
- § **Judgement criteria and indicators**.
For each Evaluation Question a series of judgement criteria is proposed, to facilitate arrival at the answer. A fundamental aspect of the methodology of the evaluation is therefore identification of the indicators that will substantiate the judgement criteria.
- § **Sources**. For each indicator the proposed sources of information are given.

Annex 3 contains a more complete version of the structured Evaluation Questions, also specifying the approach to be used to collect data for each indicator.

Table 6 - Structured Evaluation Questions

EQ 1	To what extent are decisions to channel aid explicitly motivated and how far do they rest on formal guidance criteria (guidelines, policies, Communications...)? Do these formal guidance criteria provide the rationale for the observed evolution of channelled aid?	
<i>EQ1-GC</i>	<i>EQ 1 on Guiding Criteria</i>	
Coverage of the question	<i>The question is intended to investigate whether mechanisms have been put into place to ensure that decisions to channel funds have been appropriately justified. This is a sensitive part of the analysis given the significant scaling-up of channelled aid over recent years. The question therefore seeks to reveal the explanatory factors behind this trend, and in particular to assess whether those factors are strategic or more ad hoc based.</i>	
Evaluation Criterion and link with IL	<i>The question addresses the relevance of the decisions to channel funds. It therefore addresses the 'inputs' level of the intervention logic (but in the perspective of the intervention logic as a whole). In other words it tries to figure out the relevance of the choices made in view of the objectives to be achieved.</i>	
<i>Judgement criteria, indicators and sources</i>		
<i>JC.1.1</i>	<i>Prior to the decision, a comprehensive and documented analysis of the intervention's objectives and functioning has taken place</i>	
<i>I.1.1.1</i>	Existence of documents, preceding the decision, which justify the decision	<i>Programming documents (Decision Proposal, Identification Study) and/or other official documents (Regulations, Annual Work Programmes, CSP)</i>
<i>I.1.1.2</i>	Inclusion in the above documents of an analysis of the objectives and functioning of the intervention	<i>Programming documents (Decision Proposal, Identification Study) and/or other official documents (Regulations, Annual Work Programmes, CSP)</i>
<i>I.1.1.3</i>	Views of involved stakeholders on the existence and quality of ex ante justifications of the intervention	<i>Commission programming officers at HQ, Commission programming officers in Delegations</i>
<i>JC.1.2</i>	<i>Prior to the decision, appropriate justifications were given</i>	
<i>I.1.2.1</i>	Inclusion in the preparatory/programming documents of a justification why the channelling of funds has been preferred to other alternatives (such as direct intervention, non-intervention, intervention through another channel)	<i>Programming documents (Decision Proposal, Identification Study) and/or other official documents (Regulations, Annual Work Programmes, CSP)</i>
<i>I.1.2.2</i>	The justification of the choice referred to in I.1.2.1 was considered reasonable in other programming phase documents and/or by Commission representatives	<i>Monitoring and evaluation reports, Commission programming officers at HQ, Commission programming officers in Delegations</i>
<i>JC.1.3</i>	<i>Decisions to channel aid are explicitly motivated and rest on formal guidance criteria</i>	
<i>I.1.3.1</i>	Existence of formal guidance criteria relating to the intervention at the time the decision was made	<i>Regulations, guidelines, strategic documents, official recommendations; political commitments</i>

I.1.3.2	Reference in the preparatory/programming documents to the above mentioned criteria	<i>Programming documents (Decision Proposal, Identification Study)</i>
I.1.3.3	These criteria are considered by Commission representatives as useful and providing an adequate basis for channelling interventions	<i>Commission programming officers at HQ, Commission programming officers in Delegations</i>
JC.1.4	<i>The formal guidance criteria provide the rationale for the observed evolution of channelled aid</i>	
I.1.4.1	Presence of parallels between the evolution of channelled funds and the development of guidance criteria	<i>Inventory Note, programming documents, regulations, guidelines, etc.</i>
I.1.4.2	Existence of other factors that explain the evolution of channelled funds (including the decision level)	<i>Programming documents (Decision Proposal, Identification Study), Commission programming officers at HQ, Commission programming officers in Delegations</i>

EQ 2	To what extent does the channelling of funds enable the Commission to use the UN bodies' s specific expertise so as to offer a broader range of responses to partners' needs?	
<i>EQ2 – SE</i>	<i>EQ 2on Specific Expertise</i>	
Coverage of the question	<i>The question aims at verifying the extent to which the channelling of funds has allowed the Commission to gain access to specific expertise, logistic and equipment so as to better respond to the needs of partner countries. Indeed, by channelling the Commission might broad the response it usually provides to partners using the UN specific expertise.</i>	
Evaluation Criterion and link with IL	<i>The question relates to relevance (responding better to beneficiaries' needs); and specific expertises of the UN bodies, both for the Commission (as it is expected to widen the range of what it can offer) and for the beneficiaries (as the intervention should allow a better response to their needs).</i>	
<i>Judgement criteria, indicators and sources</i>		
JC.2.1	<i>UN bodies do have specific expertise for technical and/or logistic aspects at country and sector level for a given intervention</i>	
I.2.1.1	UN bodies logistic presence in the country and expertise in the field at the moment the intervention was needed	<i>Documents, interviews with Commission and UN representatives, partner countries and beneficiaries</i>
I.2.1.2	Commission's years of presence in the country and expertise in the field at the moment the intervention was needed	<i>OECD-DAC statistics, Documents, interviews with Commission representatives, and UN HQ; partner countries and beneficiaries</i>
I.2.1.3	Inclusion in the preparatory/programming documents of a justification why the channelling of funds has been preferred to other alternatives (such as direct intervention, non-intervention, intervention through another channel) (idem 1.2.1)	<i>Programming documents (Decision Proposal, Identification Study) and/or other official documents (Regulations, Annual Work Programmes, CSP)</i>
I.2.1.4	Testimonies from Commission representatives that the Commission alone would not have been able to provide this expertise	<i>Interviews with Commission representatives</i>
JC.2.2	<i>Through channelling of funds Commission uses UN bodies' technical and/or logistical specific expertise</i>	
I.2.2.1	Leading technical expertise/equipment and know-how is a recurrent justification for channelling the Commission's Funds (see I.1.2.1)	<i>Programming documents (Decision Proposal, Identification study) and/or other official documents (Regulations, Annual Working Programmes, CSP)</i>
I.2.2.2	Observed parallel between the objectives of the interventions supported and the priorities of the UN bodies (idem I.4.1.1)	<i>Programming documents, Annual work plans of UN agencies</i>
I.2.2.3	Testimonies of UN representatives that the Commission uses their technical and/or logistical expertise	<i>UN bodies representatives</i>

JC.2.3	<i>The beneficiaries take advantage of a broader range of expertise on technical and/or logistical aspects</i>	
I.2.3.1	Evidences that the Commission would not intervene in direct (see I.1.2.1)	<i>Programming documents (Decision Proposal, Identification study) and/or other official documents (Regulations, Annual Working Programmes, CSP) Commission programming officers at HQ, Commission programming officers in Delegations</i>
I.2.3.2	Testimonies from the partner country that more needs were covered through the channelling	<i>Representatives of the partner countries</i>
I.2.3.3	Testimonies from the beneficiaries on their satisfaction of the interventions implemented via the Channels compared to interventions implemented directly by the Commission	<i>Representatives of the final beneficiaries</i>

EQ 3	To what extent did the channelling of funds contribute to the sustainable achievement of the intervention objectives the Commission targeted when channelling its funds?	
<i>EQ3 – RI</i>	<i>EQ 3 on Results & Impacts</i>	
Coverage of the question	<p><i>The question aims at verifying whether the intended results and impacts from the interventions supported with channelled funds have materialised. More specifically the question aims at verifying whether the intervention generated the results and impacts the Commission expected when contributing to an individual intervention. The question is of utmost importance for the evaluation since the extent of the results and impacts at beneficiary level is the ultimate justification for channelling aid. It is also an extremely difficult question to answer and it will be addressed stepwise through various judgement criteria. These will verify:</i></p> <ul style="list-style-type: none"> § <i>The existence of clearly-identified expected results and their coherence with the channelling;</i> § <i>The capacity of the Commission Services that channel the funds to follow up their use;</i> § <i>The effective follow-up by the Commission Services of the use made of the funds by the channel;</i> § <i>The existence of information on the results achieved;</i> § <i>The adequacy of the observed results in relation to expectations;</i> § <i>The sustainability of the results achieved;</i> § <i>The coherence between the objectives of the intervention and the Commission's overall policies.</i> 	
Evaluation Criterion and link with IL	<p><i>The question concerns mainly effectiveness and impact. It deals with the two highest layers of the intervention logic diagram and investigates the value added of the channel for both the Commission and the beneficiaries through the achievement of results and impacts. In addition the question aims at providing insights on efficiency (notably in terms of monitoring of the channelled funds), relevance and sustainability.</i></p>	
Judgement criteria, indicators and sources		
JC.3.1	<i>The objectives the Commission wanted to achieve via a specific intervention were explicit and coherent with the channel selected</i>	
I.3.1.1	Explicit mention of the preceding decision on the intervention concerning the objectives and justification of the selected channel (see I.1.1.2 and I.1.2.1)	<i>Programming documents, binding agreements</i>
I.3.1.2	Amount of funds earmarked and impact on channelling instruments' objectives	<i>Programming documents, binding agreements, evaluation</i>
I.3.1.3	Evidence of provisions (e.g. earmarking/preferences, from the Commission or the channelling instrument) that hamper/enhance the reaching of the objectives of the global intervention	<i>Programming documents, binding agreements, evaluation, Commission representatives</i>
JC.3.2	<i>The Commission services which channel the funds have the capacity, the resources and the information needed to follow up their use</i>	
I.3.2.1	Resources in manpower and time allocated to these functions	<i>Human resources services of the Commission (including in Delegations) and staff in charge of these functions</i>
I.3.2.2	Effective transmission of the agreed reporting documents by the managers of the channelling instruments	<i>Monitoring documents received by the Commission services</i>

JC.3.3	<i>The Commission services which channel the funds undertake a follow-up regarding the use of the funds and interact with the managers of the interventions in the channel</i>	
I.3.3.1	Existence of internal follow-up reports in the relevant Commission services	<i>Follow-up reports produced by the Commission services</i>
I.3.3.2	Evidence of interactions (notes, e-mails, etc.) with the managers of the channelling instruments on the evolution of the activities funded	<i>Representatives of : Commission services and UN bodies</i>
I.3.3.3	Actions taken by the Commission services to ensure conformity with the intended objectives, or, if impossible, to interrupt or stop the intervention	<i>Representatives of : Commission services and UN bodies</i>
JC.3.4	<i>Information on results achieved is available at the Commission</i>	
I.3.4.1	Evaluations are conducted and their results accessible	<i>Representatives of : Commission services, beneficiaries and UN bodies</i>
I.3.4.2	The evaluations inform on the results achieved and not only on the process	<i>Evaluation reports</i>
JC.3.5	<i>Conformity of observed and intended results of the intervention</i>	
I.3.5.1	Documentary evidence on degree of achievement of the results	<i>Project reports, evaluation reports</i>
I.3.5.2	Views of the managers of the projects funded	<i>Representatives of Commission services, representatives of UN bodies (contractors and implementing agencies)</i>
I.3.5.3	Views of the beneficiaries	<i>Representatives of : the partner countries and the final beneficiaries</i>
JC.3.6	<i>The Commission's intended results of the intervention have been achieved in a sustainable manner</i>	
I.3.6.1	Documentary evidence on degree of sustainable achievement of the results	<i>Project reports, evaluation and monitoring reports</i>
I.3.6.2	Views of stakeholders (project managers, beneficiaries, other donors, partner countries)	<i>Managers of channelled instruments, Commission services, contractors and implementing agencies</i>
JC.3.7	<i>The overall set of objectives of the intervention (on paper and in reality) is in line with the Commission's policies</i>	
I.3.7.1	Number and importance of questions raised on alignment of interventions with Country and Regional Strategy Papers	<i>Evaluation reports, CSP</i>
I.3.7.2	Number and importance of questions raised on overall objectives of the intervention vis-à-vis the Commission's overall policies	<i>Evaluation reports, CSP</i>

EQ 4	To what extent did the Commission's channelling of funds strengthen the UN system and promote the Commission's influence in it?	
<i>EQ4 - Mul</i>	<i>EQ 4 on Strengthening Multilateralism</i>	
Coverage of the question	<i>This question serves to investigate whether there are proven results of a stronger United Nations system as a consequence of the political and financial assistance given by the Commission. At the same time it serves to investigate whether the increased multilateral activities of the Commission translated into more influence of the Commission in steering organs of UN bodies.</i>	
Evaluation Criterion and link with IL	<i>This is an effectiveness and impact question in terms of strengthening the UN system and enhancing the Commission's capacity to influence the programmes and policies of multilateral institutions. It seeks to investigate one possible added value of the Commission when channelling funds.</i>	
<i>Judgement criteria, indicators and sources</i>		
JC.4.1	<i>Commission financial assistance has enabled the UN system to perform its functions on a more stable and predictable basis</i>	
I.4.1.1	Observed parallel between the objectives of the interventions supported and the priorities of the UN bodies	<i>Programming documents, annual work plan of UN agencies</i>
I.4.1.2	Level of stability of the Commission's contributions: - Average duration of an intervention, Continuity of Commission's fundings by UN body, Standard deviation	<i>Inventory Note</i>
I.4.1.3	Level of conditionality of funding: - Proportion of unearmarked funds (sample) - Proportion of interventions that are awarded through a direct agreement (total) - Proportion of funds for core budget (total)	<i>Inventory Note, programming documents (unearmarked funds)</i>
JC.4.2	<i>Commission financial assistance enhance the capacity of UN system to work in coherence</i>	
I.4.2.1	Explicit reference to enhance the coherence of the UN system as a criteria for selecting an intervention	<i>Programming documents (Decision Proposal, Identification Study)</i>
I.4.2.2	Testimonies on Commission influence in initiating a collaboration between UN bodies in the selected countries	<i>Commission officials and UN bodies</i>
I.4.2.3	Absence of overlapping in the activities of UN bodies in the selected countries caused by financial support of the Commission	<i>Commission officials and UN bodies</i>
JC.4.3	<i>The increased use of channelling by the Commission has been accompanied by greater influence in defining objectives and selecting interventions</i>	
I.4.3.1	Testimonies on Commission influence in the definition of the objectives and in the different stages from design to implementation and reporting	<i>Commission officials and UN bodies , partner countries and other donors</i>
I.4.3.2	Number of steering groups where the Commission does participate	<i>Programming documents</i>

EQ 5	Did the channelling of funds contribute to a scaling-up of development aid?	
<i>EQ5 - ScU</i>	<i>EQ 5 on Scaling-Up</i>	
Coverage of the question	<i>The question aims at verifying critical aspects allowing an assessment whether the channelling of Commission funds has contributed to a scaling-up of aid by facilitating attainment of the critical mass necessary for certain interventions, either permitting the use of existing resources (making use of the absorption capacity of the UN bodies) or attracting other donors.</i>	
Evaluation Criterion and link with IL	<i>This question mainly relates to effectiveness and impact insofar as it aims at verifying the transformation of outputs (e.g. benefit of absorption capacity/attracting financial resources) into results (achieving critical mass of funding) and ultimately intermediate impacts (scaling-up development efforts). The question also relates to the 3Cs (complementarity of resources), visibility issues (the presence of the Commission as a motivation for partners to join the intervention) and value added, both for the Commission (faster disbursement) and the beneficiaries (availability of resources and attainment of critical mass).</i>	
Judgement criteria, indicators and sources		
JC.5.1	<i>The absorption capacity of the UN bodies has facilitated the disbursement of Commission funds</i>	
I.5.1.1	Evolution (1999-2006) of the Commission payments channelled compared with total payments of Commission external aid	<i>Inventory Note, Annual Reports</i>
I.5.1.2	Testimonies that UN capacity absorption was one of the reasons to decide to channel the funds	<i>Programming documents (Decision Proposal, Identification Study), Commission programming officers at HQ, Commission programming officers in Delegations</i>
JC.5.2	<i>The presence of the Commission has attracted or mobilised other donors</i>	
I.5.2.1	Testimonies that the presence of the Commission has encouraged other donors to contribute	<i>Programme Annual Reports, Representatives of : UN bodies and other donors</i>
JC.5.3	<i>EC contributions made it possible to reach the critical mass necessary for the interventions</i>	
I.5.3.1	Testimonies that the Commission funding made a difference	<i>Representatives of : Commission, UN bodies, partner countries and other donors</i>
I.5.3.2	Testimonies that the interventions would not have been possible with less funding	<i>Representatives of : Commission, UN bodies, partner countries and other donors</i>
JC.5.4	<i>ODA has been scaled up since the channelling took place</i>	
I.5.4.1	Increase in global ODA worldwide	<i>OECD-DAC figures</i>
I.5.4.2	Presence of parallel between the increase in ODA worldwide and the Commission's channelling to UN bodies	<i>EuropeAid Annual Reports, Inventory Note</i>
I.5.4.3	Presence of parallel between the increase of ODA in selected countries and the share of channelled ODA (Commission and other donors)	<i>OECD-DAC figures, Inventory Note for Commission channelling, UN figures for other donors, Representatives of : Commission, UN bodies, partner countries and other donors</i>

EQ 6	To what extent did the Commission's channelling of funds contribute to the visibility of its support <i>vis-à-vis</i> the partner countries and its MS?	
<i>EQ6 - Vis</i>	<i>EQ 6 on Visibility</i>	
Coverage of the question	<i>The question aims at verifying the extent to which the visibility of the Commission's channelled funds was ensured, with a view to raising awareness both among the home public and in the partner country on Commission development aid and in order to promote the accountability of the Commission towards the EU MS and taxpayers.</i>	
Evaluation Criterion and link with IL	<i>This question mainly concerns issues relating to visibility as well as effectiveness, since it challenges the intervention logic links between the output ("Ensure visibility of Commission contributions") and the result ("Allow accountability to EU taxpayers and MS").</i>	
Judgement criteria, indicators and sources		
JC.6.1	<i>Visibility is ensured for the funds channelled</i>	
I.6.1.1	Degree of compliance with the agreed visibility rules	<i>AIDCO F4 Survey May 2006; other references for interventions selected (monitoring reports, evaluation reports, progress reports).</i>
I.6.1.2	Testimonies that channelled funds are considered in the awareness campaigns (UN-Commission joint campaigns, funds channelled are taken note of and referred to in general campaigns and in general communication tools)	<i>Commission and UN bodies representatives in charge of corporate visibility</i>
JC.6.2	<i>Beneficiaries, partner countries, other donors and international community are aware of the magnitude and use of funds channelled by the Commission</i>	
I.6.2.1	Degree of awareness of beneficiaries, partner country officials, other donors and international community	<i>Awareness studies, representatives of partner countries, other donors and beneficiaries</i>
I.6.2.2	Reference to channelled funds in other donors' documentation	<i>Other donors comparative studies, OECD-DAC studies</i>
JC.6.3	<i>Taxpayers/taxpayer representatives are aware of Commission development aid interventions</i>	
I.6.3.1 On additional funding	Degree of awareness of the European population	<i>Opinion surveys at population level would require either using Eurobarometre from DG Communication for telephone interviews or the use of "Omnibus" questions on awareness and visibility.</i>
Not on additional funding	If not financed, the proxy could be interviewing representatives of the European Population	<i>Interviews with relevant committees of the European Parliament and of the delegation to Joint Parliamentary Assembly. Awareness studies by Commission information and communication services. Other solutions will be proposed.</i>
I.6.3.2	Evolution of the number of hits on the EU/UN web site	<i>EU/UN webmaster, analysis of the Commission information and communication services on their web site</i>

EQ 7	To what extent did the Commission's channelling of funds contribute to swifter implementation and lower transaction costs?	
<i>EQ7 - ICR</i>	<i>EQ 7 on Implementation & Cost Reduction</i>	
Coverage of the question	<i>The question aims at verifying whether channelling through UN bodies is an efficient alternative to the Commission's own direct interventions in terms of "time to market" and cost reduction.</i>	
Evaluation Criterion and link with IL	<i>The question relates to effectiveness in implementation of projects and programmes and to efficiency in terms of reducing transaction costs for the beneficiaries. Through these two aspects it also investigates one possible aspect of the specific expertises of the channel.</i>	
<i>Judgement criteria, indicators and sources</i>		
JC.7.1	<i>Time needed between project identification and project implementation decreased</i>	
I.7.1.1	Time from first identification study of the project to the decision proposal (relation with a direct intervention)	<i>Programme documents, Representatives of : Commission and UN bodies</i>
I.7.1.2	Time from decision proposal to conclusion of Contribution Agreement (relation with a direct intervention)	<i>Programme documents, Representatives of : Commission and UN bodies</i>
I.7.1.3	Time from conclusion of Contribution Agreement to conclusion of first implementation contract (relation with a direct intervention)	<i>Programme documents, Representatives of : Commission and UN bodies</i>
I.7.1.4	Time from conclusion of implementation contract to effective start (relation with a direct intervention)	<i>Programme documents, Representatives of : Commission, UN bodies and partner countries</i>
JC.7.2	<i>Transaction costs for partner countries were reduced</i>	
I.7.2.1	Testimonies of partner countries that UN procedures demand less time and less inputs than the Commission's procedure or than dealing with several donor procedures	<i>Project documents, Representatives of partner countries and beneficiaries</i>
JC.7.3	<i>Commission's management tasks are more reduced than in the case of a direct intervention</i>	
I.7.3.1	Comparison in number and duration of Commission's management tasks in the case of a channelled intervention and in the case of a direct intervention	<i>Representatives of : Commission in HQ and in Delegation</i>
I.7.3.2	Overheads of Commission management for interventions channelled	<i>Representatives of : Commission in HQ and in Delegation</i>
JC.7.4	<i>UN implementation procedures using channelled Commission funds are similar to procedures when implementing core budget or other donors' resources</i>	
I.7.4.1	Comparison of number and duration of implementation tasks in the case of a Commission funded intervention and in the case of a core budget intervention or an intervention funded by other donors	<i>Project documents, Representatives of UN bodies</i>
I.7.4.2	Overheads of UN bodies for Commission funded interventions	<i>Project documents, Representatives of UN bodies</i>

EQ 8	To what extent does the legal cooperation framework provide an enabling environment for the channelling of funds?	
<i>EQ8 - LF</i>	<i>EQ 8 on Legal Framework</i>	
Coverage of the question	<i>This question serves to investigate the recent efforts made in establishing a legal framework to enable cooperation. The question concerns different types of agreements such as Strategic Partnerships and other agreements, notably the FAFA. It includes as well the Financial Regulations. The aim is to verify to what extent this framework is sufficient to enhance the cooperation between the Commission and UN bodies.</i>	
Evaluation Criterion and link with IL	<i>This is a question of efficiency aiming at verifying the capacity of the legal cooperation framework to enable the channelling of funds.</i>	
<i>Judgement criteria, indicators and sources</i>		
JC.8.1	<i>Commission staff members are aware of the existing legal cooperation framework</i>	
I.8.1.1	Number of dissemination actions among the operational services of the Commission	<i>Commission representatives in charge of legal affairs</i>
I.8.1.2	Officials interviewed know the contents of the legal cooperation framework	<i>Testimonies of Commission officials at the operational level</i>
JC.8.2	<i>The legal cooperation framework served as a guidance when channelling funds to the UN bodies</i>	
I.8.2.1	Reference in individual Contribution Agreements to the different legal cooperation texts	<i>Contribution Agreements</i>
I.8.2.2	By UN body in Strategic Partnership with the Commission, percentage of funds channelled corresponding to the priorities stated in the agreement (all interventions)	<i>Inventory Note, Strategic Partnership agreements</i>
JC.8.3	<i>The legal cooperation framework serves to facilitate channelling in a comprehensive way</i>	
I.8.3.1	Number of issues included in the documents that are discussed in regular meetings (e.g., FAFA, Strategic Partnerships)	<i>Minutes of annual FAFA meetings and of other high-level regular consultations</i>
I.8.3.2	Testimonies on the negative impact of certain provisions of the legal cooperation framework on the interventions	<i>Implementing agents from the Commission and UN bodies</i>
JC.8.4	<i>The legal cooperation framework is followed up and actively maintained</i>	
I.8.4.1	The regular meetings agreed upon are taking place as scheduled	<i>Commission and UN officials in charge of the consultations, minutes of FAFA and other regular meetings</i>
I.8.4.2	Evidence that the conclusions of the meetings are followed up by the Commission and by the UN	<i>Commission and UN officials in charge of the consultations, minutes of FAFA and other regular meeting</i>
I.8.4.3	Resources in manpower and time allocated to the follow-up	<i>Human resources services of the Commission (including in Delegations) and staff members in charge of these functions</i>

EQ 9	To what extent did aid channelling facilitate or improve coordination between the Commission and the EU MS?	
<i>EQ9 - CC</i>	<i>EQ 9 on Coordination & Complementarity</i>	
Coverage of the question	<i>The question aims at assessing whether channelling facilitates coordination with MS by analysing how far Commission decisions on channelling have been preceded by consultations between the Commission and the MS or whether they were taken unilaterally. Note. Channelling funds via a third institution is in itself a form of coordination and complementarity. The present question therefore does not address all aspects of coordination and complementarity. Other questions pertain to harmonisation of procedures, alignment, etc.; this question rather focuses on whether channelling is explicitly used as an instrument for improving coordination (and is not being used simply because the facility happens to be available).</i>	
Evaluation Criterion and link with IL	<i>The question covers the coordination aspect of the 3Cs. It is also a question of efficiency insofar as coordination and complementarity are conducive to greater efficiency in programming and implementing activities.</i>	
Judgement criteria, indicators and sources		
JC.9.1	External cooperation with partner countries through UN bodies has been the subject of prior clearance with EU MS	
I.9.1.1	Evidence of coordination efforts between the Commission and the MS prior to channelling funds through an UN bodies	<i>Preparatory documents; representatives at the Commission, MS and UN</i>
I.9.1.2	Absence of situation where an intervention is funded directly by one or several MS and/or the Commission whereas another of these actors supports the same intervention through a UN organisation. Existence of appropriate justification if such a situation is observed	<i>Preparatory documents; representatives at the Commission, MS and UN</i>

Appendix 1 - Semi-structured interview guides

DELEGATION OF THE EUROPEAN COMMISSION
<p>Delegate – Head of operations</p> <p>Presentation of the Evaluation : Scope, Method and Preliminary Findings</p> <ul style="list-style-type: none"> § Delegation role § Context information: <ul style="list-style-type: none"> - European Commission relations with the regional/national authorities – quality of policy dialogue § Past and present European Commission regional/national interventions: <ul style="list-style-type: none"> - Country strategies: changes and continuity - programming process: selection of the level of intervention regional/national, weight of context, regional/national policies and European cooperation policy overall objectives, selection of sectors (relation with EC areas of comparative advantages) and objectives; - channelling to and through UN bodies: UN specific advantage, - interventions identification process: activities, management bodies; - implementation: feed-back from management bodies, impact of devolution; - SPA at field level: reality? Thematic and programming: limits; - visibility and verification clause. § EC among other donors: <ul style="list-style-type: none"> - Coordination mechanisms with EU MS, with others. Country Strategic Paper. - Harmonisation of donor practices § Other European policies and themes: cross-cutting issues
<p>Sectoral and country specific responsibilities</p> <p>Presentation of the Evaluation : Scope, Method</p> <p><u>Country level</u></p> <ul style="list-style-type: none"> § Context information: <ul style="list-style-type: none"> - European Commission relation with the national authorities – quality of the policy dialogue. - Channelling to and through UN bodies: UN specific advantage. § European Commission interventions overview at country level: <ul style="list-style-type: none"> - Programming process selection of the level of intervention regional/national, weight of context, national policies and European cooperation policy overall objectives, selection of sectors and objectives; - Implementation : feed-back from management bodies, NAO role, difficulties, impact of devolution; - Achievements : targeted groups, results and impacts; - Relation with regional European Commission interventions; - Interventions having a relation with other donors; - Consideration of cross cutting issues (gender, environment, human rights and conflict prevention). <p><u>Sector level</u></p> <ul style="list-style-type: none"> § European Commission interventions overview by sector: <ul style="list-style-type: none"> - Particularities of the activities of the European Commission in one sector/theme; - Compliance with sectoral/thematic communications;

- Implementation : feed-back from management bodies, NAO role, difficulties, impact of devolution;
- Achievements : targeted groups, results and impacts;
- Interventions having a relation with other donors;
- Consideration of cross cutting issues (gender, environment, human rights and conflict prevention).

§ Sectoral/thematic capacity of National Authorities.

Overall

§ EC among other donors in a specific country and a specific sector:

- Coordination mechanisms.
- Harmonisation of donor practices.

UN Body

Presentation of the Evaluation : Scope, Method

§ Identification of needs:

- European Commission and other donors participation.
- Channelling to and through UN bodies: UN specific advantage.

§ For each programme in charge:

- Origination of the project: who, how, when?
- Implementation: activities performed, relations with the RAO and the Delegation;
- Achievements: targeted groups, results and impacts;
- Relation with other national European MS donors;
- Consideration of cross cutting issues (gender, environment, human rights and conflict prevention);
- Sustainability at the end of the support;
- Visibility.

National Authorising Officer

Presentation of the Evaluation : Scope, Method

§ NAO role.

§ National strategy formulation and links to EC strategies:

- National strategy formulation process, coherence with regional strategy;
- weight of context, national policies and European cooperation policy overall objectives, selection of sectors (relation with EC areas of comparative advantages) and objectives;
- Coherence and link of the EC national strategies.

§ Implementation overview:

- Feed-back from management bodies, Delegation role, difficulties, impact of devolution;
- Achievements: targeted groups, results and impacts;
- Knowledge of past programmes.

§ EC among other donors:

- European Commission relations with the national authorities – quality of policy dialogue;
- Coordination mechanisms;
- Visibility;
- Harmonisation of donor practices.

MINISTRIES WITH RELEVANT RESPONSIBILITIES

Presentation of the Evaluation : Scope, Method

- § National thematic policy and links to EC strategies
- § Context of the intervention:
 - Situation prior to the intervention
 - Perception of the intervention
 - quality of the activities
 - activities and answer to the needs, usefulness of the intervention
 - consideration of the cross cutting issues
 - Context post-intervention:
 - changes produced by the intervention (negative or positive)
- § Implementation:
 - activities performed,
 - relations with the central programme, other antennas or in-country sub programmes;
 - relations with the RAO and the Delegation ;
 - relations with the National Authorities.
 - Achievements:
 - targeted groups,
 - results and impacts : distribution at regional level and at country level;
 - Relation with other national European Commission interventions;
 - Consideration of cross cutting issues (gender, environment, human rights and conflict prevention);
 - Sustainability at the end of the support.
- § EC visibility

AT-PROJECT LEVEL: BENEFICIARIES

Presentation of the Evaluation : Scope, Method

- § Context of the intervention:
 - Situation prior to the intervention
 - Perception of the intervention
 - quality of the activities
 - activities and answer to the needs, usefulness of the intervention
 - consideration of the cross cutting issues
 - Context post-intervention:
 - changes produced by the intervention (negative or positive)
- § Implementation:
 - activities performed,
 - relations with the central programme, other antennas or in-country sub programmes;
 - relations with the RAO and the Delegation ;
 - relations with the National Authorities.
 - Achievements:
 - targeted groups,
 - results and impacts : distribution at regional level and at country level;
 - Relation with other national European Commission interventions;
 - Consideration of cross cutting issues (gender, environment, human rights and conflict prevention);
 - Sustainability at the end of the support;
 - EC visibility.

AT PROJECT LEVEL: PROJECT MANAGEMENT UNITS

Presentation of the Evaluation : Scope, Method

§ Implementation:

- activities performed;
- relations with the NAO, Delegation;
- relations with the National Authorities.

§ Achievements:

- Targeted groups;
- Results and impacts;
- Relation with other regional European Commission interventions;
- Consideration of cross cutting issues (gender, environment, human rights and conflict prevention);
- Sustainability at the end of the support.

Appendix 2 – Example of the information package for field missions

Information package for the EC Delegation in Kazakhstan before the field mission

1) Scope of the evaluation:

The purpose of the evaluation according to the Terms of Reference (ToR) is *“assessing to what extent the Commission interventions through the UN system has been relevant, efficient and effective and visible in supporting sustainable impact for the development of partner countries.”*

The scope of the evaluation:

- § The overall Commission cooperation and partnership with the UN agencies, funds and programmes and will focus on RELEX, DEV and EuropeAid ;
- § The period 1999-2006 ;
- § All regions of Commission cooperation with partner countries except for the countries under the mandate of DG Enlargement (DG ELARG) and Organization for Economic Co-operation and Development (OECD) countries.

The evaluation will cover the following principal fields of interest of Commission services :

- § A fact finding exercise covering all Commission financial flows to UN family from 1999 to 2006 and their typology. It will focus on flows from RELEX, DEV and EuropeAid and will take into consideration where possible the financial contributions from other DGs ;
- § The relations between programming and implementation of Commission actions ;
- § The overall results and impacts of Commission aid delivery ;
- § The efficiency of Commission interventions through this channel ;
- § The identification of the added value for the Commission in channelling aid through UN family and of the factors influencing the drastic increase of contributions to this channel in recent years ;
- § The visibility of the Commission cooperation through the United Nations.

This evaluation is not an evaluation of projects but the evaluation of the channelling of funds from the EC to the UN bodies for the benefit of the partner countries. Therefore the evaluation team intends to meet the different stakeholders of the process. Visits to projects are also foreseen in order to better understand “ an operation ” of this channelling and to identify the hurdles arising from this particular mode of financing, the areas of improvement and to come-out with possible recommendations to smoothen the efficiency, effectiveness and other criteria of this process.

The projects are treated on their own and **not** as representative sampling of how things operate or not.

It is the belief of the EC and of the UN Contact Group (the representatives of the UN bodies in Brussels) that the outcome of this study could be beneficial to all parties. The UN Contact Group has been set up regrouping the representations in Brussels of 9 UN bodies cumulating the largest amount (87%) of the funds channelled. These are, in alphabetical order: Food and Agriculture Organization (FAO), United Nations Development Programme (UNDP), United Nations Environment Programme (UNEP), United Nations High Commissioner for Refugees (UNHCR), United Nations Children's Fund (UNICEF), United Nations Industrial Development Organization (UNIDO), United Nations Relief and Works Agency for Palestine Refugees in the Near East (UNRWA), World Food Programme (WFP) and World Health Organisation (WHO).

The Evaluation Team wishes to thank in advance all participating informants for their collaboration.

For any further question on this, please contact:

Patrik Willot, team leader at info@willot.com

2) Dates of arrival/ departure:

Missions workplan (September – October 2007) - **Kazakhstan (Alamty) – Kirgizstan (Bishkek)**

Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	Sunday
24	25 Pm: Flight departure	26 Flight arrival in Almaty am: briefing at EC Delegation	27	28	29	30 Travel to Bishkek
1	2	3 Am: Travel to Almaty Pm : Debriefing at EC Delegation	4 Am: Flight Departure	5	6	7

3) Projects to be visited:

N°	Contract number	Year of signature	Title	Contracting party acronyms	Country/ Geographical zone
18	69571	2004	Central Asian Drug Action Programme (CADAP 2)	UNDP	TACIS region
19	77857	2004	Border Management Programme in Central Asia (BOMCA 4)	UNDP	TACIS region
20	120185	2006	Asylum and Migration Management: Institutional and Capacity-Building to Strengthen Asylum Systems in Central Asia	UNHCR	TACIS region

4) Categories of Informants to be met during Country visits

Commission Delegation	<p>Head of Operations Head of concerned sector sections Political Officer for Press and visibility matters Head of Finance and Contracts section</p> <p><u>For selected interventions:</u> Task Managers Implementing organisations or contractors of other components of the selected programmes (PMU)</p>
UN bodies UNDP, UNHCR	<p>UN Resident coordinator Country Representatives/Country Director of selected bodies Deputy programmes of selected bodies Communication Officer</p> <p><u>For each selected intervention:</u> Sector officer responsible Field office representative Chief Project Officer Implementing organisations or contractors</p> <p><u>For the other UN bodies in the UN Contact Group</u> The representative</p>
Representatives of the partner country	<p>Commission counterpart (NAO or equivalent Office) Donor Coordinator</p> <p><u>For selected interventions</u> National counterpart of UN National technical counterpart</p>
Beneficiaries	<p><u>For selected interventions</u> Institutional representative Population (through focus groups)</p>
Other Donors	<p>Aid Coordination Group (i.e: LCG in Bangladesh) Main EU MS</p> <p><u>For selected interventions</u> Co-donors</p>

The Evaluation Team proposes that the list of informants to be interviewed during the mission should be:

At EC Delegation location	Name of personnes, telephone, e-mail, physical location
At UN body representation location	Name of personnes, telephone, e-mail, physical location
At Project Unit: location	Name of personnes, telephone, e-mail, physical location
At Project location	Name of personnes, telephone, e-mail, physical location, what is the distance from EC Delegation address (km, duration of travel), means of travelling, preferred day to visit, security clearance.
Partner Country Coordinator: location	Name of personnes, telephone, e-mail, physical location
Partner Country Ministry: location	Name of personnes, telephone, e-mail, physical location
Other Donors for Project: location	Name of personnes, telephone, e-mail, physical location

Attention should be paid to give enough time to interview Beneficiaries:
end users

If any Intermediate Organisation Name of personnes, telephone, e-mail, physical location

5) Interview guidelines: the following tables present subjects for discussion during the field mission by categories of contacts.

N.B. See Appendix 1 of the present annex

Annex 11 - Evaluation tools and check lists

This annex lists the evaluation tools used and describes how and when they have been applied during this evaluation. In addition, it provides a check list, completed by the evaluators, describing in which manner the tools have been set-up and used. These check lists come from the "Evaluation Methodology For European Commission's External Assistance" published by the European Commission in 2006.

<p><u>Evaluation tool:</u> Objectives diagram (Structuring Phase)</p>
<p><u>Description:</u></p> <p>The objective diagram has been constructed during the Structuring Phase of the evaluation. It describes the objectives pursued by the Commission's when channelling funds for external cooperation with partner countries <i>via</i> the organisations of the UN family. It shows how this particular method of disbursing aid is expected to contribute to the overall objectives of the Commission's development cooperation policy.</p> <p>The objectives diagram constituted the basis for formulating the Evaluation Questions and served as a reference framework for evaluating the interventions.</p>

Objectives diagram check list for evaluator

Questions	Answer
Preparation and design	
Has the preliminary analysis of the strategies under evaluation been undertaken?	Yes, this is explained in annex 10
Has the preliminary analysis of the institutions participating in the preparation and implementation of the strategy and/or the programmes been undertaken?	Yes, this is explained in annex 10
Has the list of the relevant documents been established?	Yes, see the bibliography in annex 9
Has the list been submitted to the group in charge of the monitoring of the evaluation?	Yes, it has been submitted to the EC RG
Has the dating of the documents been confirmed by their authors or contributors?	The main documents used are official documents from the Commission
Implementation	
Has a cross-reading of the documentation been conducted?	Yes
Have the missing elements been sought (?) during the test?	Yes
Are hypotheses and uncertainties about the objectives' links clearly stated?	Yes
Did their authors and/or contributors confirm this classification during the test?	The objectives diagram has been tested with the EC RG
Was there a triangulation of the perspectives?	Yes
Have specialists been consulted by means of written exchanges, if necessary?	Comments were provided by the EC RG and by UN representatives

<p><u>Evaluation tool:</u> Interviews (all Phases)</p>
<p><u>Description:</u></p> <p>Interviews have been held during the different phases of the evaluation process. At the start of the evaluation, open interviewees were held with Commission staff and UN staff at Headquarters in order to grasp a global view of the channelling of funds. Semi-structured and structured interviews were then held in the following stages of the evaluation to capture information and facts needed to substantiate the indicators. Interviews were prepared beforehand and meeting notes for internal use were then drafted directly after the interviews.</p> <p>In total 179 interviews were organised and 297 persons were met. Interviews were conducted with Commission representatives at HQs in Brussels as well as in the Delegations of the countries visited during the field missions. UN representatives were also met at HQs in Brussels, Rome and at country level. Other key stakeholders were interviewed such as representatives of relevant ministries in partner countries, beneficiaries, other key donors (e.g. EU MS) and project management units.</p>

Interviews check list for evaluator	
Questions	Answer
Preparation and design	
Does the list of respondents meet the needs of the evaluation's methodology?	Yes, all main stakeholders have been met
Have alternatives been planned by the evaluators in case of cancellations of appointments with the actors?	Yes
If any, has the issue of "representativeness" been solved?	Yes, by cross-checking the information between different respondents' groups
In interviews with representative stakeholders belonging to the evaluation's spotted category, has the respondent's " representativeness " been checked?	Yes, by asking several questions such as the respondents background, his role within the institutions.
Do the interview grids cover all the evaluation issues?	Yes, see interview guide in annex 10
Does the design of the interview guides vary sufficiently to meet the needs of different categories of stakeholders?	Yes, the interview guides included generic questions common to all stakeholders and specific questions for the different categories of stakeholders.
Implementation	
Have the evaluators controlled and checked the information collected?	Yes, by cross-checking the information with other respondents and documents.
Does the intended format designed for the debriefing highlight the differences between reliable information and opinions?	Yes, facts and opinions are distinguished
Is the diversity of perspectives, expressed by the various categories of stakeholders, explicitly exposed?	Yes, information from different respondents' groups is clearly indicated

<p><u>Evaluation tool:</u> Focus Group (Synthesis Phase)</p>
<p><u>Description:</u></p> <p>At HQ level, a “pyramidal focus group approach” was proposed. Three focus groups were organised in Brussels: one with Commission representatives, one with the UN Contact group and one comprising representatives of both groups. The group from the Commission included some members of the Commission's Reference Group, as well as other senior interlocutors with insightful information on the channelling process of Commission funds through the UN. Each of the focus groups lasted for about 3 hours and served to discuss hypotheses related to the evaluation questions. The third common meeting offered the possibility to validate conclusions rising from the previous two focus groups.</p> <p>The objective of these pyramidal focus groups was to benefit from a sounding board of preliminary findings with key stakeholders within the European Commission and the UN, prior to writing the draft final report. Indeed, the idea was to test with key interlocutors having a broad view on the interventions implemented to what extent the findings of the desk study and field missions on the selection of interventions were also applicable to a broader set of interventions. This allowed strengthening the basis for these findings and adding to the credibility of the evaluation. It further allowed comparison of information collected from the Commission side with that from the UN side and to broaden the basis of interventions for fact gathering for the evaluation.</p>

Focus Group check list for evaluator	
Questions	Answer
Preparation and design	
Was the use of the focus group fully justified?	Yes, it was justified
Have the topics under study been clearly determined before the setting up of the focus group?	Yes, via an internal working group and communication with EC and UN staff
Has reference documentation been at the disposal of participants?	Yes, most of the participants were part of the EC RG or UNCG therefore having all prior reports of the Evaluation Team
Have local speaker animators experienced in techniques relating to group interaction been selected?	The animator was the team leader who is trained in group dynamics and group training skills as university teacher and management consultant .
Were participants informed prior to the focus group of the objectives and the topics under study?	Yes, via emails of the EC task manager that were prepared by the Evaluation Team and described the methodology and the objectives of the focus groups.
Implementation	
Were the animators informed of the context in which the focus group is organised?	Yes, the focus group was led by the team leader of the evaluation
Were they trained for the topic and goals of the focus group?	Yes, the animators were part of the evaluation team and trained in group dynamics.
Has the neutrality of the animators concerning the issues of the focus group's topics been checked?	Yes, the animators were part of the evaluation team

--

Has the verbatim of the participants been collected?	Yes, via triple checked meeting notes in 2 steps: one verbatim per intervention, second condensed and anonymous.
Does the debriefing clearly distinguish the factual information from opinions?	Yes, opinions are separated from facts
Does the debriefing accurately describe the diversity of points of view and opinions developed by the various stakeholders?	Yes, this is clearly described

<p><u>Evaluation tool:</u> Case study (Desk Phase and Field Phase)</p>
<p><u>Description:</u></p> <p>In order to get an in-depth knowledge of concrete and operational aspects of the channelling of Commission's funds through the UN, a detailed study of 10 interventions have been conducted in the field by the evaluation team.</p> <p>These case studies included a preliminary work of documents analysis and semi-structured interviews on a broader selection of intervention with Commission staff and UN representatives in Brussels. This work allowed identifying preliminary findings and information gaps to be filled in the next stages, and notably through country visits.</p> <p>Indeed, four missions, to cover the 10 cases in the field, have been conducted in the following 6 countries: Bangladesh, Democratic Republic of Congo, Jordan, West Bank and Gaza Strip, Kazakhstan and Kirghizstan.</p> <p>The visits were prepared in close collaboration with the DEC concerned, the relevant UN offices and the Joint Evaluation Unit. Prior to the visit, a full information package was sent to the different DEC concerned.</p> <p>Each country visit had a similar structure:</p> <p>§ The visit started with an extensive briefing on the evaluation and the purpose of the visit, first with the DEC and then with the UN representatives;</p> <p>§ Bilateral or grouped semi-structured interviews took</p>

Case study check list for evaluator	
Questions	Answer
Preparation and design	
Is the use of the case study tool in the evaluation backed up by adequate argumentation?	Yes, the argumentation was presented at the Structuring and Desk Phase
Is the choice of the case study application well-argued?	Yes, it was well argued and approved by the EC RG
In the context of multiple sites case study, is the number of case studies justified?	Yes, within the budget and time constraints of the evaluation
Has the design methodology been properly elaborated?	Yes, it has been prepared at the Structuring Phase and fine-tuned during the Desk Phase
In the context of multiple sites case studies, does the methodology assure consistent reports?	Yes, the field missions were carried out by the evaluation team with internal meeting before and after each mission.
Has a pilot case study been scheduled?	No
Is the use of triangulation clarified in the methodology and included in the mission reports?	Yes, this was included in the methodology for the field missions
Have the sources of information (documentation, interview, monitoring data, direct observation) been included in the mission reports?	All sources of information have been included in the Final report
Do the methodology and reports distinguish facts from opinions?	Yes, a clear distinction has been made
Is the plan for the development of a chain of evidence well-argued in the mission report?	Yes, it was developed in the desk report

<p>place with representatives from the DEC, UN bodies and local representations, Partner countries, EU MS and other donors;</p> <p>§ Working groups at the DEC with other task managers and communication officers were organized, as well as at the UN local offices.</p> <p>§ Projects were visited and (grouped) discussions held with beneficiaries;</p> <p>§ At the end of the visit extensive debriefings took place, first with the DEC and then with the UN representatives.</p> <p>The work done for the 10 case studies was than synthesized and presented to the EC RG and UN CG in Brussels.</p>
--

Implementation	
Does the iterative process, initiated at the collection stage, carry on to the analysis stage, and support the chain of evidence?	Yes, through the substantiation of the indicators, validation or not of the judgment criteria and answers to the evaluation questions
Were alternative explanations studied and rejected after a full review of the evidence?	Yes, this was done during the Synthesis Phase
Are the facts supporting the argumentation strong enough to guarantee systematic replication elsewhere?	Yes, see the data collection grids for the facts.
Does the analysis include research into causality?	Yes
Are the techniques used for the analysis of multiple sites data set out and argued?	Yes, they had been identified before the field missions
Is the case study report sufficiently understandable and explicit?	Case studies' facts are included in the data collection grid
In the case of multiple case study has the team leader checked the relevance /consistency of the studies ?	Yes, all information from case study have been checked
Are the limitations of the impact of the study findings sufficiently well explained?	Yes, limitations are well explained

Evaluation tool:**Documentary analysis** (Inventory, Structuring, Desk, Field and Synthesis Phase)Description:

The evaluation team has conducted a deep study of the existing literature at two different levels:

- at general level: Commission Communications and Regulations, Strategic and programming documents, Agreements between the UN and the Commission, background documents, evaluations from various institutions, working papers both on the EC side and UN side.
- at intervention level: Contribution Agreements, progress and final reports, monitoring and evaluation reports, project identification fiches, general background documents, e-mail exchanges.

In total, 570 documents have been consulted of which 372 were used for facts finding.

Evaluation tool:**Group interview/working group** (Field Phase)Description:

At partner country level, eight working groups were organized during the field missions, with different representatives, task managers, and communication officers of both the Commission and the UN bodies. These participants were involved not only with the interventions selected for in-depth study in the country but with all local UN interventions receiving funds from the Commission.

The organisation of these working groups were as follow:

- Start of the mission: working group/briefing at the DEC and two other at the two main UN bodies for the selected interventions.
- During the mission: working group with other task managers of the DEC and communication officer. One other working group with all the UN bodies at country level (task managers and communication officers).
- End of the mission: working group/debriefing with the main DEC representatives and two other at the two main UN bodies for the selected interventions.

Evaluation tool:**Direct observation/ project visits** (Field Phase)Description:

Visit to 10 projects at country level and meetings with the project management unit or the implementing partner such as relevant ministries' departments or NGOs. Group discussions with the final beneficiaries of the interventions which were represented by women association, teachers, doctors, civil servant or directors of NGOs. Examples of visits: refugee camps in Palestine and Jordan; border control in Kazakhstan/Kyrgyzstan; centres of agricultural research and experimental manioc field in RDC.

Evaluation tool:**ROM reports study** (Synthesis Phase)Description:

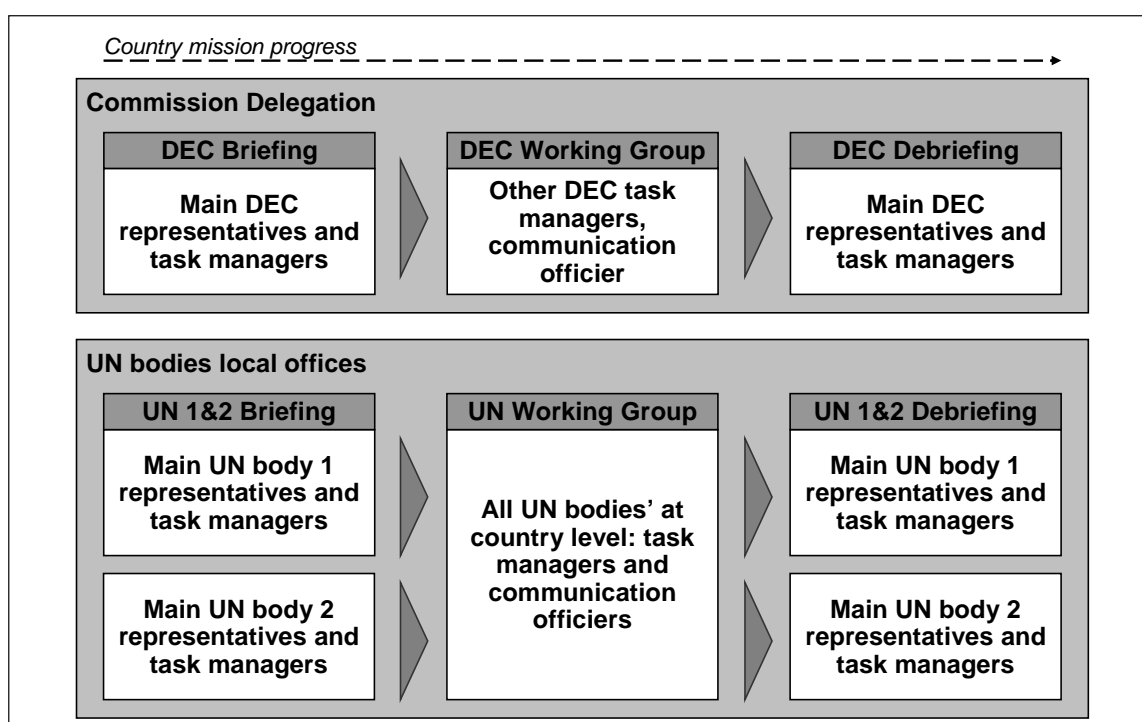
In depth study of 164 ROM reports provided by the Evaluation Unit and by other relevant Commission Services and meetings with 8 representatives of ROM regional teams including their own quantitative analysis of ROM samples. For more information see Annex 7.

Annex 12 – Pyramidal Focus Groups and Working Groups

This annex presents in details two specific evaluation tools (briefly exposed in Annex 10 and 11) that were used during the evaluation process, namely the Working Groups carried out at country level and the Pyramidal Focus Groups organised at HQ level. These tools have been used at the field phase and synthesis phase, respectively, in order to meet the concerns expressed by the Reference Group and the Joint Evaluation Unit on the need to broaden to the extent possible the basis from which judgments will be formulated. It allowed raising the results of the in-depth analysis of the 20 interventions selected to a more general level.

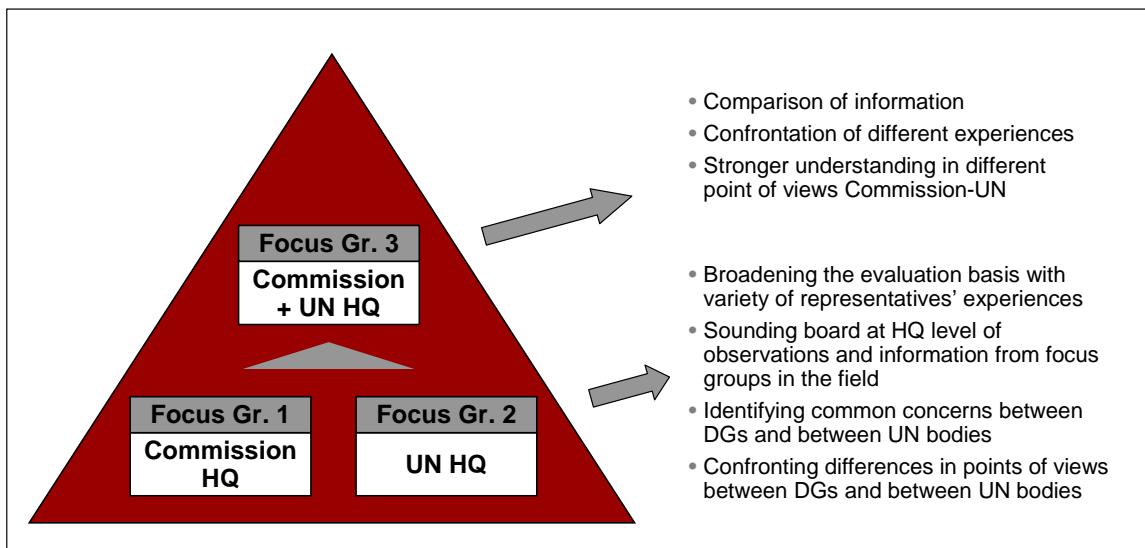
At partner country level, eight working groups were organized during the field missions, with different representatives, task managers, and communication officers of both the Commission and the UN bodies. These participants were involved not only with the interventions selected for in-depth study in the country but with all local UN interventions receiving funds from the Commission. A schematic overview of the different working groups (including briefing and debriefing meetings) typically organised during the field missions are presented in the below diagram.

Diagram 1 – Working Groups organised at country level



At HQ level, a “**pyramidal focus group approach**” was proposed (see figure below). Three focus groups were indeed organised in Brussels: one with Commission representatives, one with the UN Contact group and one comprising representatives of both groups. The group from the Commission included some members of the Commission's Reference Group, as well as other senior interlocutors with insightful information on the channelling process of Commission funds through the UN. Each of the focus groups lasted for about 3 hours and served to discuss hypothesis related to the evaluation questions. The third common meeting offered the possibility to validate conclusions rising from the previous two focus groups. The participants to the three focus groups are included in the list of persons met in Annex 8. The Focus Group with Commission representatives was held on 11 December 2007, the one with UN representatives on 13 December 2007, and the last one with representatives of both the Commission and the UN on 11 January 2008.

Diagram 2 – Pyramidal Focus Groups at HQ level



Objective of these pyramidal focus groups was to benefit from a sounding board of preliminary findings with key stakeholders within the European Commission and the UN, prior to writing the draft final report. Indeed, the idea was to test with key interlocutors having a broad view on the interventions implemented to what extent the findings of the desk study and field missions on the selection of interventions were also applicable to a broader set of interventions. This allowed strengthening the basis for these findings and adding to the credibility of the evaluation. It further allowed comparison of information collected from the Commission side with that from the UN side and to broaden the basis of interventions for fact gathering for the evaluation.

The different focus groups were realised in accordance with the tool-box and recommendations of the Joint Evaluation Unit.