



External Evaluation of the European Union's Policy Coherence for Development (2009-2016)

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External Evaluation of the European Union's Policy Coherence for Development (2009-2016)

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*The opinions expressed in this document represent the authors' points of view,
which are not necessarily shared by the European Commission
or by the authorities of the concerned countries.*

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LIST OF ABBREVIATIONS AND ACRONYMS

ACP	Africa, Caribbean, and Pacific Group of States
ADB	Asian Development Bank
AECID	Spanish Cooperation Agency for International Development
AFD	Agence Française de Développement (France)
AfDB	African Development Bank
AfT	Aid for Trade
APF	African Peace Facility
ASEAN	Association of Southeast Asian Nations
AU	African Union
AUC	African Union Commission
CAP	Common Agricultural Policy
CARICOM	Caribbean Community
CBCR	Country-by-Country Reporting
CBD	Convention on Biological Diversity
CC	Climate Change
CFP	Common Fisheries Policy
CODEV	Council's Working Party on Development
CONCORD	European Confederation of Relief and Development NGOs
COREPER	Committee of Permanent Representatives of the Member States to the EU at the Council
Commission	European Commission
CSDP	Common Security and Defence Policy
CSO	Civil Society Organisation
CSR	Corporate Social Responsibility
CWP	Commission Work Programme
DCI	Development Cooperation Instrument
DEVE	Development Committee of the European Parliament
DFID	Department for International Development (UK)
DFR	Draft Final Report
DG	Directorate-General
DIE	Deutsches Institut für Entwicklungspolitik
DTA	Double Taxation Agreement
EAMR	External Assistance Management Report
EBA	Everything but Arms
ECDPM	European Centre for Development Policy Management
ECOSOC	United Nations Economic and Social Council
EDF	European Development Fund
EEAS	European External Action Service
EEA	European Environment Agency
EESC	European Economic and Social Committee
EFI	External Financing Instruments
EIB	European Investment Bank
EIF	European Investment Fund
EITI	Extractive Industries Transparency Initiative
ENP	European Neighbourhood Policy
EP	European Parliament
EPA	Economic Partnership Agreements
EQ	Evaluation Questions
ESDP	European Security and Defence Policy
ETS	Emissions Trading System
EU	European Union
EUCO	European Council
EUD	EU Delegation
EUGS	EU Global Strategy on Foreign and Security Policy
EU Member State	European Union Member State
FLEGT	Forest Law Enforcement Governance and Trade
FAO	Food and Agriculture Organisation

FCO	Foreign and Commonwealth Office (UK)
FP	Framework Programme
FPs	Focal Points
FTA	Free Trade Agreement
G20	Group of 20
GAM	Global Approach to Migration (2005)
GAMM	Global Approach to Migration and Mobility (2011)
GCCA	Global Climate Change Alliance
GSP	Generalised Scheme of Preferences
HoU	Head of Unit
HR/VP	High Representative of the Union for Foreign Affairs and Security Policy / Vice-President of the European Commission
I	Indicator
IA	Impact Assessment
ICMPD	International Centre for Migration Policy Development
IDS	Institute of Development Studies
IL	Intervention Logic
ILO	International Labour Organization
IOM	International Organisation for Migration
IPAD/CAMOEES	Portuguese Cooperation Agency
ISC	Inter-service consultation
ISG	Inter-service Steering Group
ISGM	Inter-service Steering Group Meeting
JAES	Joint Africa-EU Strategy
JC	Judgement Criteria
LDC	Least Developed Country
LRRD	Linking Relief, Rehabilitation and Development
LuxDev	Luxembourg Development Agency
M&D	Migration and Development
MDG	Millennium Development Goal
MNC	Multinational Companies
NGO	Non-governmental Organisation
MP	Mobility Partnership
NIP	National Indicative Programme
NTM	Non-tariff Measures
ODA	Official Development Assistance
ODI	Overseas Development Institute
OECD	Organization for Economic Cooperation and Development
OECD DAC	OECD Development Assistance Committee
OPC	Open Public Consultation
PCD	Policy Coherence for Development
PCSD	Policy Coherence for Sustainable Development
RIP	Regional Indicative Programme
RSB	Regulatory Scrutiny Board
SG	Secretariat-General
SDG	Sustainable Development Goal
SFPA	Sustainable Fisheries Partnership Agreement
SWD	Staff Working Document
TFEU	Treaty on the Functioning of the EU
ToR	Terms of Reference
TSIA	Trade Sustainability Impact Assessment
UN	United Nations
UNDP	United Nations Development Programme
UNEP	United Nations Environmental Programme
UNFCCC	United Nations Framework Convention on Climate Change
WB	World Bank
WTO	World Trade Organisation
WWF	World Wildlife Fund

EXECUTIVE SUMMARY

Evaluation Objective and Scope. The objective of the *Evaluation of the European Union's (EU) Policy Coherence for Development (PCD)* is to provide relevant stakeholders with an overall and independent assessment of the EU PCD actions aiming to improve the impact of relevant EU policies. The Evaluation covers the period between 2009-2016 focusing on the work of DG DEVCO, in its coordinating role on PCD, and the European External Action Service (EEAS) and the DGs concerned as PCD is implemented across Commission services and policy domains.

Methodological Approach of the Evaluation. The evaluation has three levels:

- **Level 1 – Implementation and functioning of PCD tools and mechanisms:** A mapping of policies or other initiatives (period 2009-2016) and a description of the work done on PCD-related issues was carried out during the Inception Phase. Eight PCD activities and thirteen EU policies/initiatives were selected for further analysis under Level 2.
- **Level 2 – Evaluation of the outputs of PCD process on selected EU initiatives:** An in-depth analysis of the outputs produced by PCD tools and mechanisms in the selected initiatives was carried out to establish how influential the implementation of PCD mechanisms has been on the decision-making process for 13 selected initiatives/ policies.
- **Level 3 – Evaluation of the outcomes and impact levels based on agreed field case studies:** Under the evaluation's field phase, the Evaluation Team carried out further desk research and conducted field visits in order to assess the outcomes (and, if possible, impacts) for 4 selected case studies.

EU PCD approach. The EU's approach to PCD intends to contribute to the long-term objective of eradication of poverty in partner countries and that of sustainable development. The EU's approach to PCD implies that non-development EU policies likely to have an effect in developing countries take account of development objectives and, by assessing the likely impacts they might have in those countries, EU policies adapt in order to ensure their development compatibility¹. It is important to highlight that this understanding for the evaluation purposes stems from the legal commitment contained in article 208 of the TFEU and from the diverse Commission communications issued on the EU's approach to PCD as well as from DG DEVCO internal documents.

Conceptual Framework. The EU PCD commitment was first introduced in the Treaty of Maastricht in 1992, but the understanding of this commitment as a legal obligation for coherence was only clarified by the Commission in 1994 following a case linked to meat exports to West Africa and a Commission's decision "to take measures to end the serious incoherence that exists between the agricultural policy and the development policy of the Community". Commission policies on PCD show that it is a concept with an evolving definition according to specific contexts, which transitioned from a no harm approach to a synergies approach, minimising the adverse impact of EU policies on developing countries, to a broader approach seeking mutually reinforcing policies to enhance the coherence of EU policies with development objectives. The latest change is linked to the post-2015 framework and the transition to a universal development agenda based on Sustainable Development Goals (SDGs). To address the interrelated challenges of SDGs across policy domains, the international community put forward the idea of Policy Coherence for Sustainable Development (PCSD).

¹ The evaluation does not intend to provide an assessment on the extent/nature of the EU's PCD commitment; for the evaluation purposes, the understanding of the EU's PCD commitment stems from the ToR, the Intervention Logic and the evaluation methodology approved and validated by the Inter-Service Steering Group of this evaluation, and Commission official documents on PCD. Please refer to footnote 37 on page 8 of this report for a list of such documents.

The OECD has defined PCSD as an approach and policy tool relevant to all countries, to be used at the domestic and international levels of policy making.² PCSD is a multi-directional principle in the context of the SDGs Agenda; whereas PCD in the context of the EU approach constitutes a legal commitment of unidirectional coherence in the interest of developing countries. In the new European Consensus on Development the EU and its Member States acknowledge the fundamental role of PCD as part of the EU's contribution to SDGs and to the broader objective of PCSD.

Theory of Change / Intervention Logic of PCD. One key finding of the Evaluation is that the PCD mechanisms that represent the core of the EU's PCD Operational Framework could be classified into two clusters:

- **Policy-making mechanisms**, which mainly consist of the Impact Assessment (IA) and Inter-Service Consultation (ISC) activities. These two mechanisms whereby the potential impact of a policy is assessed early in the formulation of the policy (in the IA activity) and discussed / arbitrated by the various services among which DEVCO (in the ISC activity) are not specific to PCD (although the IA activity has been adapted to PCD); they have been in place within the Commission as part of the policy formulation process and are used for all EU policies, even those that are not PCD relevant.
- **Awareness-raising mechanisms**, which essentially consist of PCD-specific activities that are coordinated by DG DEVCO but also involve other Commission services, the EEAS and EU Member States. These include: the PCD Biennial Report, PCD Training, the Commission Work Programme (PCD) Screening, Consultation with Developing Countries, EU Delegation Reporting, and EU Member States Informal Network.

Another key finding linked to the theory of change / intervention logic of PCD is the importance of external factors during policy formulation: the inclusion of development considerations in non-development EU policies is often the result of exogenous factors (which might include international commitments, political will from the onset, and dialogue).

Evaluation Questions. Answers to the eight evaluation questions (EQs) and related evaluation criteria are summarized below.

Relevance: To what extent has the EU PCD approach and its operational framework responded to evolving needs and context? The EU's approach to PCD has remained relevant at the strategic level throughout the period covered by the evaluation (2009-2016). The EU PCD approach up to year 2015 has been framed within the EU's commitment towards the MDGs. In the context of the post-2015 framework, the new global partnership for sustainable development and the SDGs Agenda, PCD continues to be relevant at the strategic level. The negotiation of the post-2015 framework has seen a shift of focus on sustainable development and its three dimensions (economic, social and environmental), and the inclusion of PCSD as a broader concept encompassing the different levels of partnership in the 2030 Agenda on SDGs. The new European Consensus on Development has endorsed this change in paradigm with respect to development cooperation based on a new context of global partnership of shared responsibility and a multidirectional approach. The EU and its Member States have acknowledged the fundamental role of PCD as part of the EU's contribution to SDGs and to the broader objective of PCSD. The Commission has taken initial steps to operationalize this strategic change, such as including PCD issues in the EU's actions and discussions on the implementation of the SDG agenda. The coordination role of the European External Action Service (EEAS) on PCD is yet to be clarified given institutional changes and stakeholders

² Soria, E. (OECD) Implementing policy coherence for sustainable development beyond 2015, p.40-42, OECD (2015) Better Policies for Development 2015: Policy Coherence and Green Growth, OECD Publishing, Paris.

demands on EU Delegations to be actively involved in reporting on PCD issues and the impact of EU policies at the partner country level.

Coherence: To what extent has the EU PCD approach been aligned with wider EU policy and evolving international obligations of the EU? The alignment of the EU PCD approach with EU sector policies appears rather heterogeneous across policy areas during the period of evaluation. Given their external dimension, and the EU's international commitments, some policy areas have aligned with the EU's PCD approach at the strategic level to respond to international priorities and commitments. This is the case for trade policy and migration. Other policy sectors which the EU's PCD approach was aligned with at the strategic level include agriculture and fisheries, as well as climate change.

Efficiency: To what extent have PCD inputs and activities been adequate to implement the EU PCD approach? The PCD inputs and activities are not considered to be fully adequate to implement the EU PCD approach:

- PCD's set of activities have not been fully adequate to reach PCD expected outputs. First, there has not always been sufficient clarity as regards to when DG DEVCO actually takes part in Inter-Service consultations as there are no particular rules on PCD. Second, there appears to be a *missing link* between the policy-making and awareness-raising mechanisms, especially between the Commission Work Programme screening for PCD relevance and the Impact Assessment activity, as evidenced by the important number of policies identified as being PCD-relevant in the PCD Commission Work Programme screening for which impacts were not assessed in the corresponding Impact Assessments. There is also a deficiency in terms of consultation mechanisms with developing countries.
- The resources available to implement PCD have not been fully adequate. Significant resources are required for policy-making mechanisms and it is not clear to what extent these resources are available within both the lead DG and DG DEVCO.
- There is mixed evidence on institutional support, set-up and procedures, and adequate organisational structures to implement PCD: Available evidence suggests a possible faltering of high-level support since the 2011-12 period. Moreover, PCD-related processes and organisational structures paint a mixed picture in terms of their level of standardisation.
- There is insufficient clarity within EU institutions with regards to the modus operandi of each PCD mechanism and there is no common understanding of the PCD concept and the EU's commitment regarding PCD among stakeholders.
- The functioning of the selected PCD mechanisms enhances effective cooperation and coordination between EU institutions, but not sufficiently with developing countries.

Effectiveness and Efficiency: To what extent has the EU PCD approach (PCD-specific mechanisms) led to raised awareness on PCD, which in turn has indirectly influenced policy-making? The EU PCD approach (PCD-specific mechanisms) has led to limited raised awareness on PCD and has not directly influenced policy-making. In terms of coverage, the only concrete awareness-raising actions implemented during the review period are the 11 informal EU Member State meetings, the 11 training course modules, and the online course following the release of the PCD e-learning tool in 2016. Moreover, raised awareness and increased expertise on PCD have not directly influenced policy-making: There is no evidence that the PCD awareness-raising mechanisms have had a direct impact on policy-making. For the 13 policies analysed, the most important factors contributing to PCD are (i) Political will from the onset of the policy; (ii) Policy-making mechanisms such as the Impact Assessment and Inter-Service Consultation.

Effectiveness and Efficiency – To what extent has the EU PCD approach influenced existing or planned policies/ initiatives likely to affect developing countries so that they take into account development objectives? The EU PCD approach has had a limited influence on existing or planned policies/initiatives likely to affect developing countries so that they take into account development objectives:

- Commission policy proposals likely to affect developing countries do not sufficiently take account of development objectives in the Impact Assessments and Inter-Service Consultation process: Evidence suggests that during the evaluation period only a limited number of Impact Assessments for policy proposals likely to affect developing countries assessed or even mentioned potential impacts on developing countries.
- EU non-development policies likely to affect developing countries do not generally take account of development objectives as a direct result of PCD mechanisms. It is rather political will (which can be motivated by coherence with EU external commitments in the specific non-aid policy sector) from the onset of the policy formulation process than the EU PCD approach the influencing factor, even though EU external commitments might themselves be subject to EU/Commission decision making where PCD considerations play an important role.

EU Added Value – To what extent has the EU PCD approach created additional value beyond what could be achieved by the EU Member States acting independently? Since EU actions on PCD and those of Member States are based on the commitment contained in article 208 of the TFEU, and framed by the Development Consensus, the EU PCD approach has enabled Member States to foster links at the international level and to present a common institutional and political engagement. The 2012 OECD DAC peer review recognises that the common position of the EU and its Member States has been instrumental in putting forward key global issues, such as PCD. The EU PCD approach influences and reinforces the Member States own PCD approach, despite uneven implementation of the PCD commitment among them. The coordination efforts promoted by the Informal EU Member States Network allows Member States to exchange information periodically and facilitates awareness on their PCD related actions. There is limited evidence on synergy between EU and EU Member States actions regarding the field case studies analysed.

Impact – To what extent have changes in the design and implementation of EU policies and initiatives brought about by incorporating a PCD approach influenced outcomes and impacts in developing countries? In order to assess the outcomes and impacts in developing countries of EU policies and initiatives that have incorporated a PCD approach, the evaluation team has undertaken case studies on the impacts of four selected policies in eight selected developing countries. All four selected policies contain development considerations or development-related provisions and therefore can be said to have incorporated a PCD approach during the policy formulation process: in that sense, all four policies are among the best practices with respect to PCD. However, the changes in the design and implementation of EU policies and initiatives brought about by incorporating a PCD approach have only influenced outcomes and impacts in developing countries in limited ways. Moreover, when the selected policies have had a positive development impact, one can not necessarily establish a direct contribution of the EU PCD approach to these limited successes, as exemplified by the findings related to the four selected policies. In interpreting these findings, inherent limitations to the evaluation methodology should however be kept in mind: (i) the case studies only provide a partial snapshot of the impact of selected policies in developing countries; (ii) moreover, the impacts of a given EU policy on developing countries generally vary greatly across countries and can only be assessed on a case-by-case basis; (iii) finally, the four selected policies are considered among the best practices with respect to PCD at the level of policy formulation, and

this fact should not be undermined despite mixed or negative findings on the policies' impact at the level of implementation in selected countries.

Sustainability – To what extent is the PCD approach sustainable? The political will regarding the commitment to PCD enshrined in article 208 of the TFEU has been reaffirmed at the highest political level. The new European Consensus on Development – adopted by the Council and the representatives of the governments of the EU Member States meeting within the Council, the EP, the Commission, and the High Representative of the Union for Foreign Affairs and Security Policy/Vice-President of the Commission (HR/VP) – and the European Action for Sustainability both confirm that PCD is an essential element of the EU's response to the sustainable development challenge enshrined in the EU treaties and the political commitment contained in the SDGs Agenda. However, the limited use and/or decline of PCD mechanisms and the weakness of systematic monitoring and evaluation tools to assess PCD impact have the potential to affect the sustainability of PCD as part of a continuous learning process within policy making.

The following conclusions have been drawn based on the evidence gathered answering the evaluation questions:

- **Conclusion 1: The EU has exercised a lead role on PCD during the period of evaluation.** The EU has exercised a lead role on PCD, an ambitious objective within the complex task of policy making which requires the balancing of trade-offs and synergies across policy domains and Commission services to respond – in line with EU's commitments and development objectives – to the challenges and needs of today's interconnected world.
- **Conclusion 2: The EU's political will on PCD and added value are confirmed and reinforce the sustainability of the EU PCD approach.** The EU's political will on PCD expressed as a common position of the EU and its Member States reinforces the sustainability of the EU PCD approach and promotes key global issues.
- **Conclusion 3: The EU PCD approach is not clearly and sufficiently defined.** There is no common understanding of the EU PCD approach and the EU's commitment on PCD. Despite the fact that PCD is a commitment enshrined in the EU Treaties, there is a lack of clarity among institutional stakeholders with regards to the extent of the commitment of the EU towards developing countries.
- **Conclusion 4: The EU PCD approach remains relevant at the strategic level but requires yet to be fully adapted to the new SDGs context and current interconnected challenges.** The EU PCD approach, though remaining relevant to the changing context, has yet to be further clarified at the operational level in view of important contextual and institutional changes towards the end of the review period 2009-2016.
- **Conclusion 5: Despite some recent improvements, PCD mechanisms have limited efficiency.** Despite evidence that PCD mechanisms have adapted over time with a view to improve, "missing links", a high degree of informality of the PCD mechanisms and the absence of clear set of rules, and insufficient resources, risk of undermining the EU PCD approach.
- **Conclusion 6: Impact Assessments are a critical tool to ensure PCD.** PCD-specific mechanisms, such as the Biennial Report and the Commission Work Programme Screening, do not play a central role in the policy formulation process; while PCD non-specific mechanisms, such as the Impact Assessment, which has been updated to support PCD, and the Inter-Service Consultation, play a more significant role in the policy formulation process.
- **Conclusion 7: Even though certain EU policies can be considered as good practices and do incorporate a PCD approach, the EU PCD approach's effectiveness could be**

further improved. Commission policy proposals likely to affect developing countries do not sufficiently take account of development objectives in the IAs and ISC process: when policies do take into account development objectives, it is rarely a direct result of PCD mechanisms. Notwithstanding the challenges, there are a number of EU policies analysed within this evaluation that take into account development considerations. Some policy areas, due to their external dimension and to the EU's international commitments, have a track record of including PCD within their formulation process, such as trade and migration. Also, the treatment of cross-cutting issues has improved in the EU non-development policies that take account of development objectives. Among the analysed policies, the most addressed cross-cutting issue was “good governance” and the least addressed issue was “gender equality”.

- **Conclusion 8: Measuring the impact of PCD remains very challenging.** First, the impact of the EU PCD approach on selected policies cannot be fully assessed since development considerations contained in EU policies are often not the direct result of PCD mechanisms. Second, no baselines, targets or indicators linked to PCD are available. Third, it is often difficult to demonstrate causality between development considerations contained in EU non-developmental policies and the EU PCD approach. Fourth, EU Delegations do not play an active role at the moment in PCD impact monitoring / assessment. Irrespective of these limitations, the impact of the four selected EU policies in developing countries has been limited.

Based on the findings and conclusions, four key recommendations are presented for consideration:

- **Recommendation 1: The EU to further clarify its commitment to PCD.** The EU should clarify the understanding of the PCD commitment contained in article 208 (1) TFEU in view of the current context, in particular the 2030 Agenda for Sustainable Development, and the priorities established in the new European Consensus on Development and the EU external agenda, through a new Communication on PCD. The Communication should *inter alia*: (i) define the extent to which EU policies need to assess their potential impact on developing countries; (ii) further clarify and make explicit the role of Commission services on PCD implementation; (iii) define the priority areas of intervention of PCD in view of the current context and the EU priorities and international commitments; and (iv) re-define the nature, role, and availability of mechanisms and resources and strengthen inter-service coordination.
- **Recommendation 2: Adapt mechanisms and resources based on the clarified scope of PCD.** There are a number of inherent limitations to the current mechanisms and resources that undermine PCD and that would need to be addressed and the following steps should be considered: (i) establish a clear set of rules for the implementation of the EU PCD approach based on a common understanding of the EU's PCD commitment; (ii) formalisation / standardisation of procedures of key processes such as the Inter-Service Group on PCD / PCSD; (iii) strengthening of the consultation mechanisms within the Commission – across the relevant services and within DG DEVCO thematic units – and with developing countries, and; (iv) increasing resources available for IAs for relevant / priority policy proposals that should be identified beforehand as part of a formalized process (similar to the Commission Work Programme Screening).
- **Recommendation 3: Make PCD outputs more explicit and consider impact monitoring from the onset of policy formulation.** The “PCD element” of a given EU policy should be clearly identified during policy formulation, and a monitoring and evaluation framework clarifying the PCD objectives of the policy, including indicators, should be systematically designed.

- **Recommendation 4: Enhance the role of EU Delegations in impact monitoring.** The role of EU Delegations at present is very limited with regards to PCD and needs to be strengthened. This could be achieved by inter alia: raising the awareness of EU Delegations; improving the sharing of information on PCD priority areas; entrusting EU Delegations with a more prominent role in assessing impact of EU internal policies throughout the policy cycle; strengthening the coordination at EU Delegations with EU headquarters.

1 INTRODUCTION

This Final Report is structured as follows:

- Chapter 1 presents the report structure, as well as (i) the evaluation objectives and scope; (ii) the generic methodological approach of the evaluation; and (iii) the evaluation challenges/limitations.
- Chapter 2 provides an overview of the evaluation framework: (i) the conceptual framework of PCD; (ii) the revised Intervention Logic of PCD; and (iii) the revised evaluation questions.
- Chapter 3 presents responses to the evaluation questions.
- Chapter 4 presents the conclusions.
- Chapter 5 presents the recommendations.

1.1 Evaluation Objective and Scope

As stated in the ToR, the objective of the *Evaluation of the EU's PCD* is to provide EU stakeholder institutions, EU Member States, civil society organisations, academia, think-tanks, and the private sector, with an overall and independent assessment of the EU's PCD actions aiming to improve the outcomes and impact of relevant EU policies.³ The Evaluation intends to address two overarching concerns: i) the extent to which the EU has taken into account the objectives of development cooperation in the policies that it implements (i.e. its “non-development” policies) and which are likely to affect developing countries; and ii) the extent to which the above-mentioned policies have contributed to poverty reduction and sustainable growth. The Evaluation therefore assesses: (i) the tools and mechanisms that have been put in place to enhance PCD; (ii) the influence that they have had on EU initiatives/policies; and (iii) the outcomes and impact in third countries, mainly developing countries, with a focus on Least Developed Countries (LDCs) and with particular attention to Sub-Saharan countries and Fragile States.⁴ The Evaluation covers the period between 2009-2016, taking into account all spending and non-spending EU activities related to paragraph 2 of Article 208(1) TFEU of the Treaty of Lisbon and focusing on the work of DG DEVCO and the European External Action Service (EEAS) in collaboration with the DGs concerned by the five PCD strategic challenges proposed by the Commission and agreed upon by the Council in 2009.⁵

1.2 Generic Methodological Approach of the Evaluation

The evaluation has three levels:

Level 1 – Implementation and functioning of PCD tools and mechanisms: A mapping of policies or other initiatives and a description of the work done on PCD-related issues was carried out during the Inception Phase. During the Inception Phase, a number of activities and policies/initiatives were selected for further analysis under Level 2 (see Tables 1 and 2 below).

³ The evaluation does not intend to provide an assessment on the extent/nature of the EU's PCD commitment; for the evaluation purposes, the understanding of the EU's PCD commitment stems from the ToR, the Intervention Logic and the evaluation methodology approved and validated by the Inter-Service Steering Group of this evaluation, and Commission official documents on PCD.

⁴ ToR, page 8.

⁵ 1. Trade and finance; 2. Addressing climate change; 3. Ensuring global food security; 4. Making migration work for development; and 5. Strengthening the links and synergies between security and development; Council Conclusions on Policy Coherence for Development (PCD) of 17 November 2009 (doc.16079/09).

Table 1: Selection of activities

No	PCD activity
1	Biennial Report
2	Impact Assessments (IAs)
3	PCD Training Activities
4	Commission Work Programme (CWP) Screening for PCD relevance
5	Inter-Service Consultation (ISC)
6	Consultation with developing partner countries
7	EU Delegations (EUD) reporting
8	Informal EU Member States Network

Table 2: Selection of policies and initiatives

No	PCD-related policy/initiative	Year	PCD challenge
1.	Common Agricultural Policy (CAP) (reform 2013)	2013	Ensuring global food security
2.	Generalised Scheme of Preferences (GSP)	2012	Trade and finance
3.	Trade for All Communication	2015	Trade and finance
4.	EU Action Plan against Wildlife Trafficking	2016	Addressing climate change (biodiversity and environment protection)
5.	Common Fisheries Policy (CFP) (reform 2013)	2014	Ensuring global food security
6.	Country-by-Country Reporting (CBCR)	2013	Trade and finance
7.	Raw Materials Initiative (RMI)	2008	Strengthening the links and synergies between security and development
8.	Global Approach to Migration and Mobility (GAMM)	2011	Making migration work for development
9.	Digital Single Market (DSM) Strategy	2015	Trade and finance
10.	Review of the EU Blue Card directive	2016	Making migration work for development
11.	Responsible sourcing of minerals originating in conflict affected and high-risk areas	2014	Strengthening the links and synergies between security and development
12.	A policy framework for climate and energy period 2020-2030	2013	Addressing climate change
13.	Fourth Anti-Money Laundering (AML) Package	2013	Trade and finance; Strengthening the links and synergies between security and development

Level 2 – Evaluation of the outputs of PCD process on selected EU initiatives: An in-depth analysis of the outputs produced by PCD tools and mechanisms in the selected initiatives was carried out to establish how influential the implementation of PCD mechanisms has been on the decision-making process for the selected initiatives. The selected activities presented in Table 1 were also analysed in depth in conjunction with the selected policies/initiatives. A more limited number of case studies (sub-areas and countries) was also identified among the 13⁶ selected policies/initiatives for the evaluation of the outcomes and impact carried out under Level 3.

Level 3 – Evaluation of the outcomes and impact levels based on agreed field case studies: Under the evaluation's field phase and based on the methodology approved by the Inter-service Steering Group (ISG) for the assessment of impact, the Evaluation Team carried out further desk research and conducted field visits in order to assess the outcomes (and, if possible, impacts) for the four selected case studies.

⁶ While the Illegal, Unreported and Unregulated Fishing Regulation (IUU) had originally be included in the selected initiatives/policies in the Inception Report, it was later decided to remove this policy from the desk analysis for a number of reasons: (i) the formulation process of the IUU Regulation started before the evaluation period; (ii) the selected policies already included a policy in the same sector (Common Fisheries Policy); and (iii) a preliminary analysis of the IUU Regulation did not suggest any significant findings that would add value to the analysis of PCD mechanisms.

Table 3: Selection of case studies

Case study	Selected countries
Generalised Scheme of Preferences (GSP)	Mozambique Vietnam
EU Action Plan against Wildlife Trafficking	Kenya Burkina Faso
Common Fisheries Policy (CFP) (reform 2013)	Senegal Mauritania
Global Approach to Migration and Mobility (GAMM)	Cape Verde Armenia

1.3 Evaluation Challenges

In this complex evaluation, some limitations and constraints were identified. Table 4 provides an overview of the main challenges, as well as the corresponding mitigation actions.

Table 4: Evaluation challenges and identified mitigation actions

Identified challenges	Comment	Mitigation action(s)
Access to ISC records: Although the project ToR specified that ISC records for the 13 selected policies would be made available to the evaluation team, the ISC records were not systematically made available ⁷ .	ISC records were deemed important for analysis under Level 2, as it was assumed that the contribution of PCD mechanisms / DG DEVCO or other DGs during the policy formulation process could be inferred from the analysis of the records. Access to ISC records was difficult for reasons outside of the control of the Evaluation Team. Main reasons cited by the Commission were: difficulties from DGs to physically locate the records and confidentiality issues.	The Evaluation Team attempted to understand the contribution of each DG – which would otherwise have been inferred from ISC records – during the interviews with line DGs.
Oral/informal process prior to policy formulation: Even when available, ISC records do not register the entire process of policy formulation, as many contacts, discussions, and decisions are taken prior to the formal policy formulation. Therefore, the process is not entirely documented.	At the technical level (level of the policy officer within a specific DG) or at the political level (level of Commissioner or even the Trialogue), it is not unusual for specific issues to be discussed and agreed on the basis of an oral discussion. Hence, in the case of PCD, discussions preceding the decision to include or exclude development considerations either in the IA, the Commission proposal of a specific policy, or in the final version of the policy, are not always documented, making the identification of the contribution of PCD mechanisms challenging.	As above, the Evaluation Team relied mostly on interviews in order to understand the role played by various services and mechanisms during oral/informal exchanges related to selected policies.
High staff turnover/rotation: policy officers involved at the formulation stage for the selected policies had often moved to another service/position, making it challenging for the Evaluation Team to fully grasp the context of the policy formulation stage.	Given the challenges identified above (limited access to ISC records and the oral/informal culture of the policy formulation), one important source of information are interviews with policy officers personally involved during the process.	The Evaluation Team made sure to meet not only with policy officers from the lead DG, but also with DG DEVCO policy officers responsible for selected policies. While this led to a substantially higher number of interviews than originally envisaged, this was efficient in mitigating the high staff rotation within the Commission.
Lack of clear definition of PCD / lack of clear PCD outputs: as explained in the following section, there is	The lack of a commonly accepted definition of PCD has made the identification of concrete PCD outputs challenging in the context of the Evaluation. The Evaluation Team has considered necessary to interpret the selection	The Evaluation Team proposed to adopt a broad definition of PCD, which has been accepted by the DG DEVCO Evaluation Manager. The implications of

⁷ See Annex 4 – ISC activity report, for a detailed status of access to ISC records per selected policy.

Identified challenges	Comment	Mitigation action(s)
no clear definition of PCD, which leads to different interpretations of the PCD concept among stakeholders.	criteria for the analysis of impact outlined in the ToR (based on the “availability of concrete PCD outputs to be able to explore further causality links to outcome and impact”) according to a broader definition of PCD.	the broader definition on the PCD impact analysis under Level 3 are discussed at length in Annex 12 of the present report.
Limits to the analysis of PCD impact. The complexity involved in isolating the expected effects of an EU non-development policy incorporating a PCD approach (at the level of outcomes and impact) represents the main challenges of the evaluation.	The ToR acknowledged the difficulties the evaluators would face to find robust evidence on the relationship between PCD and results at outcome and impact levels, and provided for an analysis based on available studies and data for case studies in partner countries. There were no baselines provided nor the ToR requested for a complex economic modelling. studies have highlighted that there is no agreed methodology yet on how to measure the impact of PCD. A 2015 study focusing on methodological aspects for monitoring PCD established that “most indicators named as such measure policy inputs, policy outputs or policy stances”. The same study concludes asserting that “there is still a significant amount of methodological confusion around PCD monitoring, specifically when it comes to indicators. Furthermore, some indicators are too general to provide any meaningful guidance and most monitoring frameworks lack clarifications on roles and responsibilities of the different actors involved, to deliver on the PCD ambitions defined, very few provide information on outcomes” ⁸ . The OECD, after many years of trying to establish how to measure PCD, only has indicators for 3 sectors in the three priority areas for policy coherence set out by the OECD Strategy on Development: food security, illicit financial flows and green growth. ⁹ This lack of measurability on PCD and the complexity involved in isolating the expected effects of a policy is currently being addressed by the Commission through a call of proposals through <i>Horizon 2020</i> whereby a “methodology should be developed for measuring progress on policy coherence for development including elaborating suitable baselines, target and indicators”. ¹⁰	The evaluation team first established a pre-selection of policies incorporating a PCD approach based on the assessment conducted under Level 2 and considering a broad definition of PCD based on the preliminary findings. The methodology required for the assessment at the level of impact was developed based on the specific case studies selected prior to the field phase, including a combination of meta-analysis of existing studies per selected policy/country and a qualitative assessment based on field visits and stakeholder interviews. This methodology was reviewed and approved by the ISG on the evaluation, including the proposed set of indicators for each of the selected policies to be analysed during the field phase.

⁸ Van Seters et al, Use of PCD Indicators by a Selection of EU Member States’, Discussion Paper 171, January 2015, ECPDM. See <http://www.oecd-ilibrary.org/development/better-pol>

⁹ See http://www.oecd-ilibrary.org/development/better-policies-for-development-2015_9789264236813-en

¹⁰ See Int-04-2015-The European Union’s contribution to global development: in search of greater policy coherence (http://cordis.europa.eu/programme/rcn/664980_en.html) with an EU contribution between EUR 1.5 and 2.5 million. Under this call, the project: *Sustainable Market Actors for Responsible Trade*, composed by a consortium of 25 research institutions aims “to analyse this regulatory complexity in a transdisciplinary and comprehensive perspective, both on an overarching level and in depth, in the form of specific product lifecycles: readymade garments and mobile phones” and to “bring significant new evidence based insights into the factors that enable or hinder coherence in EU development policy; (...) advance the understanding of how development concerns can be successfully integrated in nondevelopment policies and regulations concerning market actors; and (...) provide tools for improved PCD impact assessment”.

2 EVALUATION FRAMEWORK

2.1 Conceptual Framework

The legal commitment of PCD contained in the TFEU has been defined in varying ways depending on the perspective of the different stakeholders. Commission policies on PCD show that it is a concept with an evolving definition that has been operationalised according to specific contexts. It also constitutes a concept that has been defined outside the sphere of policy-makers, mainly by European civil society organisations and academia. First, we succinctly establish the historical context of the concept. Second, we present the definitions that stem from Commission policy documents since 2005 to date.

2.1.1 PCD as an evolving concept

The PCD commitment was first introduced in the Treaty of Maastricht in 1992, but the understanding of this commitment as a legal obligation for coherence was only clarified by the Commission in 1994 following the case of the meat exports to West Africa brought about by the lobbying of European non-governmental organisations (NGOs).¹¹ These exports were regarded as disruptive for local meat markets and contradicted European development objectives and efforts in the Sahel countries to encourage meat production. The Commission produced a meat exports report, which clearly referred to Article 130v as the coherence article. The report stated that it wished to ensure coherence between European development policy and the CAP, and that the Commission's job was to identify problems in good time and try to minimise the negative effects.¹² In 1996, the European NGOs started a lobbying campaign based on the coherence article 130v concerning the fishing industry and fisheries agreements with West Africa.¹³ During the period between those cases occurred and 2004, PCD remained the concern of a few Member States¹⁴ and of the OECD.¹⁵ In 2005, in the context of the Millennium Development Goals (MDGs) and following a request of the Council, the Commission issued its first Communication on PCD identifying 12 policy areas in which synergies with development policy objectives could be created, in order to improve progress towards the MDGs.¹⁶ This move from a PCD “no harm” approach (avoiding negative effects)

¹¹ Hoebink, Paul (2004) Evaluating Maastricht's Triple C: An introduction to the development paragraphs of the Treaty on the European Union and suggestions for its evaluation, *The Treaty of Maastricht and Europe's Development Co-operation*, Edited by Paul Hoebink, Studies in European Development Co-operation. Evaluation, European Union Brussels, December 2004, Published in 2005 by Aksant Academic Publishers, p. 9.

¹² Hoebink, Paul 2013[1999] Coherence and Development Policy, The Case of the European Union, in *Policy Coherence in Development Cooperation*, edited by Jacques Forster and Olav Stokke, EADI Book Series 22, Routledge, p. 336-337. See the Commission's decision on beef export subsidies of May 1994: “It is therefore necessary to take measures to end the serious incoherence that exists between the agricultural policy and the development policy of the Community. Such measures are all the more urgent because this harmonisation is a duty imposed by the Treaty on European Union (Article 130v).” Quoted in Hoebink, Paul 2013[1999], *Coherence and Development Policy, The Case of the European Union*, in *Policy Coherence in Development Cooperation*, edited by Jacques Forster and Olav Stokke, EADI Book Series 22, Routledge, p.328.

¹³ Idem, p. 338.

¹⁴ Hoebink, Paul (2004), op.cit, p. 9-10.

¹⁵ Van Schaik Louise et al. (2006) *Policy Coherence for Development in the EU Council Strategies for the Way Forward*, Centre for European Policy Studies, p.4.

¹⁶ 2005 Council Conclusions of May 24, on “Accelerating Progress Towards attaining the MDGs: EU contribution to the review of the MDGs at the UN 2005 High Level Event” and Annex “The EU Commitments on Policy Coherence for Development”. COM (2005) 134 final, *Policy Coherence for Development: Accelerating progress towards attaining the Millennium Development Goals*, 12.04.2005, p.4. “In reply to the Council request to look at options in the area of policy coherence, the Commission has identified priority areas, where the challenge of attaining synergies with development policy objectives is considered particularly relevant. All these areas have a direct relationship with one or more MDGs. They are either at the core of an MDG (trade, environment) and/or have the potential to contribute to them. For each of these priority areas the Commission has defined general orientations, or ‘coherence for development commitments’, that would contribute to a possible acceleration of progress towards the MDGs”. COM(2009) 458 final, 15 September 2009 “Policy Coherence for Development- Establishing the policy framework for a whole of the Union approach”, p.8: “... as PCD is about minimising the negative impact of EU

to a “synergies” approach,¹⁷ was motivated following the Monterrey Consensus, the increasing awareness of the social dimension of globalisation, and the slow progress on the achievement of the MDGs.¹⁸ The new approach took into account the role of EU policy coherence and the implications of EU policies in partner countries, and the need to ensure that domestic and external EU policies were conducive to agreed international commitments on development and that did not undermine the objectives of EU development cooperation.¹⁹ This approach was later confirmed by the EU and its Member States in the 2006 European Consensus on Development.²⁰

By 2008, the OECD pointed out that in spite of the increased awareness of the relevance of PCD, governments in the developed world were still struggling to ensure that “beyond aid” issues – such as trade, migration, investment, climate change, security and technology – delivered for development in developing countries.²¹ In 2009 in the context of the economic crisis affecting both the developed and developing world, the EU’s PCD moved towards a more operational and targeted approach focusing on key priority issues, aiming at promoting development friendly policy frameworks by enhancing the coherence of EU policies with development objectives.²² It was acknowledged that such an approach could contribute to further harnessing synergies of relevant policies contributing to development objectives.²³

As the target year of the MDGs arrived, the international community began forging a new global framework on sustainable development with wide ranging implications. Given that one of the lessons learned from the MDGs period was that sustained change could not be achieved through one-dimensional or single sector goals, the post-2015 framework implied a transition to a universal development agenda based on Sustainable Development Goals (SDGs).²⁴ In order to address the complexity required to work across policy domains and address interrelated

policy decisions and legislative initiatives on developing countries and about enhancing their tie-ins with development objectives. (...) these initiatives should offer sufficient concrete opportunities to make them more development friendly and contribute to a development prone policy or legislative framework. (...) priority issues should be linked to a long-term-agenda. (...) experience shows that enhancing the coherence of policies with development objectives needs a considerable investment of time and effort starting with the identification of possible impacts on developing countries.”

¹⁷ COM(2009) 458 final, 15 September 2009 “Policy Coherence for Development- Establishing the policy framework for a whole of the Union approach”, p.8: “... as PCD is about minimising the negative impact of EU policy decisions and legislative initiatives on developing countries and about enhancing their tie-ins with development objectives. (...) these initiatives should offer sufficient concrete opportunities to make them more development friendly and contribute to a development prone policy or legislative framework. (...) priority issues should be linked to a long-term-agenda. (...) experience shows that enhancing the coherence of policies with development objectives needs a considerable investment of time and effort starting with the identification of possible impacts on developing countries.”

¹⁸ COM (2004) 150 final, Translating the Monterrey Consensus into practice: the contribution by the European Union, 05.03.2004; COM(2004) 383 final The Social Dimension of Globalization - the EU's policy contribution on extending the benefits to all, 18.5.2004.

¹⁹ COM (2004) 383 final, The Social Dimension of Globalization – the EU’s policy contribution on extending the benefits to all, 18.05. 2004, p.14.

²⁰ European Consensus on Development (2006/C 46/01) Joint statement by the Council and the representatives of the governments of the Member States meeting within the Council, the European Parliament and the Commission on European Union Development Policy: ‘The European Consensus’: “ Part I – The EU Vision of Development – Common Objectives: 9. We reaffirm our commitment **to promoting policy coherence for development, based upon ensuring** that the EU shall take account of the objectives of development cooperation in all policies that it implements which are likely to affect developing countries, and that these policies support development objectives.” Moreover, in Part II Consensus refers to: “It shall be taken into account in other Community policies that affect developing countries, **to ensure policy coherence for development** (...) 44. The Community will also **promote policy coherence for development, based upon ensuring** that the Community shall take account of development cooperation objectives in the policies that it implements which are likely to affect developing countries.”

²¹ OECD Policy Brief “Policy Coherence for Development – Lessons Learned”, December 2008.

²² COM (2009) 160 final, 8.4.2009: “Supporting Developing Countries in Coping with the Crisis” and SEC(2009) 445/2, 8.4.2009: “Millennium Development Goals: Impact of the Financial Crisis on Developing Countries”; COM(2009) 458 final, 15 September 2009 “Policy Coherence for Development- Establishing the policy framework for a whole of the Union approach”; Council Conclusions of 18 May 2009 on “Supporting developing countries in coping with the crisis”.

²³ Council Conclusions of 17 November 2009 on Policy Coherence for Development.

²⁴ OECD (2015) Better Policies for Development 2015: Policy Coherence and Green Growth, OECD Publishing, Paris. p.9.

challenges of SDGs, the international community put forward the idea that policy coherence for sustainable development was imperative.²⁵ The OECD has defined Policy Coherence for Sustainable Development (PCSD) “*as an approach and policy tool –relevant to all countries—to integrate the economic, social, environmental and governance dimensions of sustainable development at all stages of domestic and international policy making*”.²⁶

However, there is no unanimous agreement regarding the OECD’s definition that PCSD is the next approach to follow for PCD. According to one of the leading think-tanks on PCD, while these two approaches have semantic proximity, PCSD is multi-directional and has to ensure coherence of multiple goals at the same time, whereas PCD consists of unidirectional coherence directed towards a single cause in the interest of developing countries.²⁷ Therefore, PCD cannot be simply subsumed within PCSD as this would risk regression towards incoherence in several policy areas. However, a way forward would be to continue to pursue PCD as a contribution to achieve PCSD, and as a source of expertise on which to build PCSD.²⁸ Other observers consider that the OECD’s re-conceptualisation of PCD as a global tool for collective action could lead to conflicting goals arising between policy areas and levels of governance with more diverging development impacts for different groups of countries; therefore, more bottom-up and demand driven approaches may be needed.²⁹ Moreover, in the context of the post-2015 agenda, PCSD stands as a principle and there is no clear consensus on how to address it,³⁰ whereas PCD in the context of the EU approach constitutes a legal commitment and has established mechanisms to assess policies’ likely impacts in developing countries.³¹

Also, as new approaches are promoted regarding development and new priority issues emerge in a global context, it is likely that the priority areas within the EU’s five PCD global challenges will evolve³², especially in the context of the UN 2030 Agenda for Sustainable Development presenting a new international framework to achieve sustainable development and poverty eradication.³³ The Agenda on SDGs calls for a shared responsibility of all countries, taking into account their different levels of development; addressing the three dimensions of sustainable development– economic, social and environmental; and including a specific target (Goal 17 target 17.14) on policy coherence for sustainable development. The adoption of a new European Consensus on Development in 2017 has confirmed the role of PCD as part of the EU’s contribution to SDGs and to the broader objective of PCSD.³⁴

²⁵ Michel, J. (OECD) The imperative of policy coherence for successful implementation of the post-2015 development agenda; p.25 Mohammed, A. (UN) The new development agenda demands policy coherence, p.20; both in OECD (2015) Better Policies for Development 2015: Policy Coherence and Green Growth, OECD Publishing, Paris.

²⁶ Soria, E. (OECD) Implementing policy coherence for sustainable development beyond 2015, p.40-42, OECD (2015) Better Policies for Development 2015: Policy Coherence and Green Growth, OECD Publishing, Paris.

²⁷ Mackie, J., Ronceray M., and Spierings E., (2017) Policy coherence and the 2030 Agenda: Building on the PCD experience, Discussion Paper No. 210 March 2017, ECDPM, p.34 www.ecdpm.org/dp210.

²⁸ Mackie, J., Ronceray M., and Spierings E., (2017), op.cit. p.36.

²⁹ Keijzer, N and Paulo, S., (DIE) In my view; Integrating PCD in a post-2015 beyond-aid framework. p.48, in OECD (2015) Better Policies for Development 2015: Policy Coherence and Green Growth, OECD Publishing, Paris.

³⁰ Mackie, J., Ronceray M., and Spierings E., (2017), op.cit. p. 1.

³¹ COM (2005) 134 final, p.3 “The EU commitment towards policy coherence is not only a key political commitment in the context of the MDGs. It also has a firm legal basis in the EC Treaty (Art. 178). The new EU Constitution upholds this commitment to coherence in even stronger terms (Art. III - 292, Art. III - 316)”. The EU Constitution was replaced by the 2009 Lisbon Treaty on the Functioning of the EU. See also Bartels, L. (2016) Policy Coherence for Development under article 208 of the Treaty of Functioning of the European Union, Paper 18, March 2016, Legal Studies Research Papers, Faculty of Law, University of Cambridge, p.24.

³² As already recognised back in 2009 in the Council Conclusions of 17 November on “Policy Coherence for Development” when the Council underlined that the PCD priority issues might evolve over the years (conclusion 9).

³³ UNGA A/RES/70/1, Resolution adopted by the General Assembly on 25 September 2015 “Transforming our world: the 2030 Agenda for Sustainable Development”.

³⁴ The New European Consensus on Development: Our World, our Dignity, our Future, as adopted by the Council at its 3540th meeting held on 19 May 2017 (doc9459/17) and officially signed by the President of the European Parliament, the Prime

2.1.2 The EU PCD approach

The EU's approach to PCD intends to contribute to the long term objective of poverty eradication³⁵ in partner countries and sustainable development.³⁶ The EU's approach to PCD implies that non-development EU policies likely to have an effect in developing countries take account of development objectives and, by assessing the likely impacts they might have in those countries, EU policies adapt in order to ensure their development compatibility.³⁷ It is important

Minister of Malta, on behalf of the Council and member states, the President of the European Commission, and the High Representative/Vice President, on 7 June 2017.

³⁵ Paragraph 2 of article 208(1) TFEU "Union development cooperation policy shall have as its primary objective the reduction and, in the long term, the eradication of poverty. The Union shall take account of the objectives of development cooperation in the policies that it implements which are likely to affect developing countries".

³⁶ Joint statement by the Council and the representatives of the governments of the Member States meeting within the Council, the European Parliament and the Commission on European Union Development Policy 'The European Consensus' (2006/C 46/01): "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 (MDGs)." (...) "We reaffirm our commitment to promoting policy coherence for development, based upon ensuring that the EU shall take account of the objectives of development cooperation in all policies that it implements which are likely to affect developing countries, and that these policies support development objectives."

COM (2011) 637 final Increasing the impact of EU Development Policy: an Agenda for Change (pp. 5, 11): "There will be no weakening of the EU's overarching objective of poverty elimination in the context of sustainable development, as set out in the European Consensus on Development (...) The EU is at the forefront of the Policy Coherence for Development (PCD) agenda and will continue to evaluate the impact of its policies on development objectives."

Council Conclusions of 26 May 2015 (doc. 9241/15) on A New Global Partnership for Poverty Eradication and Sustainable Development after 2015: "The EU and its Member States are committed to Policy Coherence for Development as a key contribution to the collective effort towards achieving broader policy coherence for sustainable development."

³⁷ COM(2009) 458 final Policy Coherence for Development - Establishing the policy framework for a whole-of-the-Union approach (p. 8): "...as PCD is about minimising the negative impact of EU policy decisions and legislative initiatives on developing countries and about enhancing their tie-ins with development objectives. (...) At the same time, these initiatives should offer sufficient concrete opportunities to make them more development friendly and contribute to a development prone policy or legislative framework. Finally, priority issues should be linked to a long-term-agenda. This is important because experience shows that enhancing the coherence of policies with development objectives needs a considerable investment of time and effort starting with the identification of possible impacts on developing countries, coordinating EU efforts and creating the necessary political momentum." COM (2005) 134 final Policy Coherence for Development Accelerating progress towards attaining the Millennium Development Goals (pp. 3-4): "Within the broad context of EU policy making coherence is a multidimensional commitment which needs to take place within the overall framework of the EU sustainable development strategy. Non-development policies should respect development policy objectives (...) When exploring ways to accelerate progress towards achieving MDGs the EU is committed to look beyond the frontiers of development cooperation and consider the challenge of how non-aid policies can assist developing countries in attaining the MDGs. The impact of EU non-aid policies on developing countries should not be underestimated, and neither should their potential to make a positive contribution to the development process in these countries."

Council Conclusions on Policy Coherence for Development, 14 May 2012: "EU efforts on Policy Coherence for Development (PCD) aim to enhance the coherence of EU policies with development objectives, in particular poverty eradication, as well as the impact of our external assistance. Further progress towards the Millennium Development Goals and the general need for increased development effectiveness call for enhanced efforts by all stakeholders and for development-friendly policies in a broad range of areas beyond aid. Finally, PCD is essential for the credibility of the EU as a global actor".

Jour Fixe 18/11/2014: "In order to deliver more development-friendly EU policies in practice and to ensure that development objectives are taken into account in other policies, DEVCO A1 steers every year a PCD screening exercise..."

Background Note to the Attention to the Heads of Delegations on Policy Coherence for Development DEVCO/A3/VG (2011): "... (PCD) is a political and legal commitment of the EU based on the Articles 21 and 208 of the Treaty and on the European Consensus of 2005. (...) This general commitment is about ensuring the development-compatibility and development-friendliness of the non-aid policies of the EU and its Member States and their impact on developing countries."

Better Regulation Guidelines Tool #34 (former Tool#30) Developing Countries: "Assessing systematically the likely effects of different policy initiatives on developing countries is a requirement based on Article 208(1) TFEU, which stipulates that the EU "shall take account of the objectives of development co-operation in the policies that it implements which are likely to affect developing countries". This constitutes the legal basis of a concept generally known as "Policy Coherence for Development" (PCD). Practically, the application of the PCD principle means recognizing that some EU policy measures can have a significant impact outside of the EU which may contribute to or undermine the Union's policy objectives concerning development. Through PCD, the EU seeks to take account of development objectives in all of its policies that are likely to affect developing countries, by minimising contradictions and building synergies between different EU policies to benefit developing countries and by increasing the effectiveness of development cooperation."

Better Regulation Guidelines Tool #26 (former Tool #22) External Trade and Investment: "Article 208(1) of the TFEU sets a legal obligation to ensure policy coherence for development (PCD) by providing that the EU "shall take account of the

to highlight that this understanding mainly stems from the legal commitment contained in the TFEU and from the diverse Commission communications issued in this regard (see Annex 6).

One key assumption to be tested in this regard is the existence of a consistent understanding and shared commitment regarding PCD among the Commission services and the EEAS, especially considering: (i) the evolution of the PCD concept over the years and (ii) contextual changes during the period under evaluation (2009-2016) that have influenced such understanding (first, the achievement of the MDGs and, second, the transition towards the adoption of a SDGs Agenda).

2.2 Reconstructed Intervention Logic

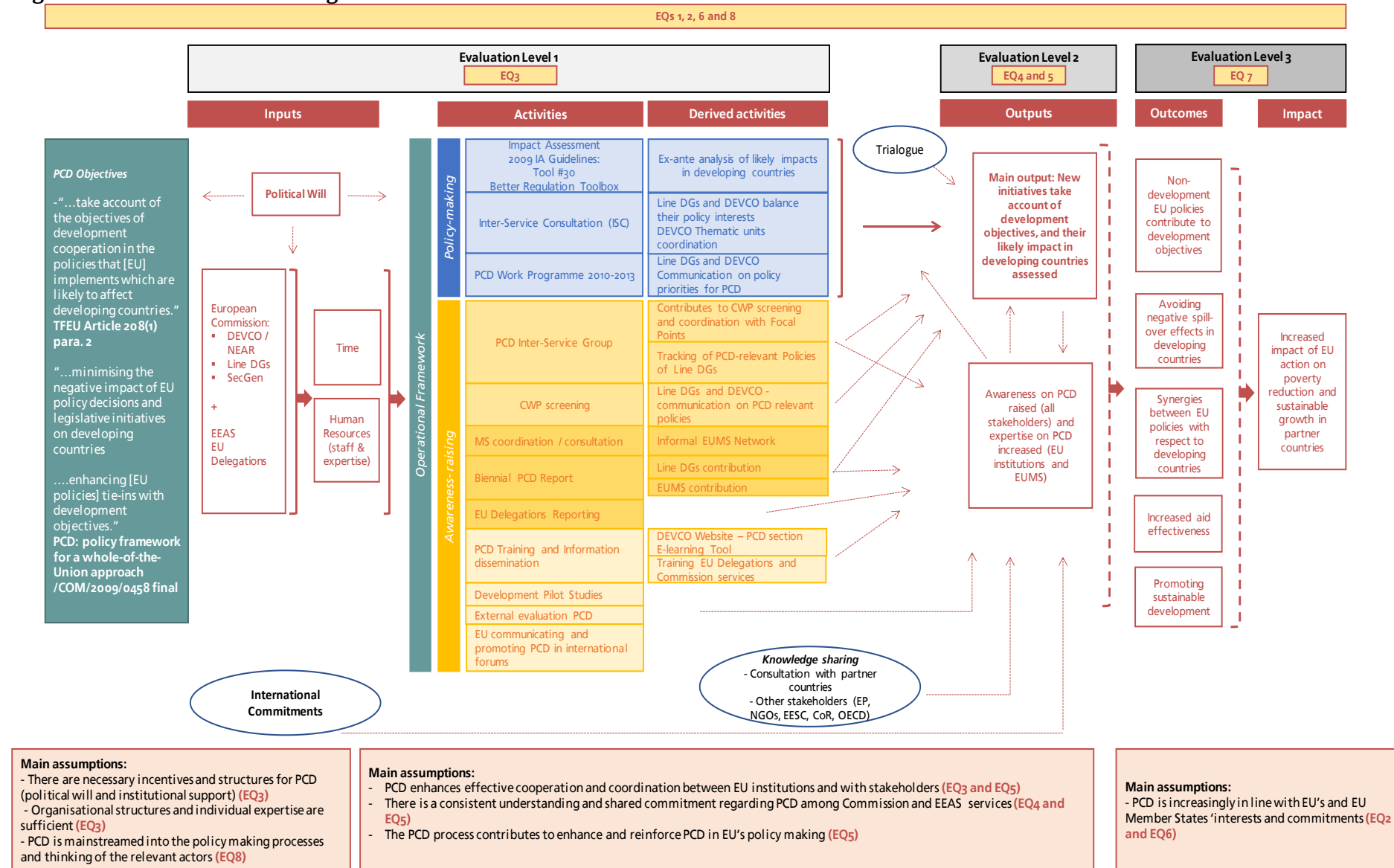
The IL of the EU PCD approach was developed for the purpose of the evaluation. This reconstructed IL (Figure 1) aims to reflect the relationships and assumptions underlying the logic of the EU's approach to PCD at the Commission level and has been used to assess the findings presented in this report. It is important to note that an IL could reduce the complexity involved in such an overarching work and ambitious aim behind PCD. The literature on PCD suggests that to promote PCD within a governmental structure, there needs to be a system composed of different elements supporting each other. Three blocks have been identified: a general – preferably legal – commitment to PCD, and a political framework outlining the approach to PCD; institutional mechanisms, with a specific mandate to promote PCD; and a reporting obligation.³⁸ Regarding the IL for the EU PCD approach, the political will necessary to promote PCD has been included as an input (it was previously stated at the level of assumptions). Finally, given that the evidence suggests that the causal relationship for the EU PCD approach does not necessarily stem from a single lineal chain derived of the identified activities (PCD mechanisms), the clusters “international commitments” and “trialogue” have been identified as external factors that could have an influence during policy formulation (particularly international commitments). The reason for including “trialogue” as external factor is due to the fact that the IL focuses on the activities undertaken mainly by the Commission (and the EEAS) in the promotion of PCD. Therefore, the IL of the EU's approach to PCD presented here consists of five levels, between which a causal relationship exists:

- 1) Inputs on PCD within the structure of the EU;
- 2) Activities involving stakeholders within the Commission services, the EEAS and other stakeholders on PCD, directly or indirectly affecting the outputs;
- 3) Outputs (main output and supporting output), affecting the intermediate objectives of the EU PCD approach;
- 4) Outcomes, results expected to contribute to the overall objective of PCD; and
- 5) The final result reflected in the contribution to increased impact of the EU's action on poverty reduction and sustainable growth in partner countries.

objectives of development co-operation in the policies that it implements which are likely to affect developing countries”, p.188 (https://ec.europa.eu/info/sites/info/files/file_import/better-regulation-toolbox-26_en_0.pdf).

³⁸ SWD SEC (2009) 1137 final EU 2009 Report on PCD, p.4; Organisation for Economic Co-operation and Development, Policy Brief, Policy Coherence for Development – Lessons Learned, December 2008; The “Evaluation of the EU institutions & MS mechanisms for promoting policy coherence” refers to a system composed of explicit policy statements, administrative and institutional mechanisms, and knowledge input and assessment mechanisms (2007, Aksant Academic Publishers, p.16).

Figure 1: PCD Intervention Logic



Key assumptions

The first group of assumptions at the level of inputs is related to the existence of political will and institutional support within the EU to promote a PCD approach, and the existence of organisational structures and expertise within the Commission and the EEAS (EQ3). It is assumed that the continuous existence of these conditions for the period under evaluation would lead to PCD being mainstreamed into the policy-making process and thinking of the relevant stakeholders (link to EQ8). The second group of assumptions relates to the operational framework (activities) for PCD at EU level. The functioning of PCD mechanisms (PCD specific and PCD non-specific) should lead to effective cooperation and coordination between EU institutions and stakeholders (link to EQ3 and EQ5). This assumption in turn relies on the assumption that there is a consistent understanding and shared commitment amongst Commission services and the EEAS regarding PCD (link to EQ4 and EQ5). Taken together, they also support another assumption at the level of outputs, that the PCD process contributes to enhancing and reinforcing PCD in EU's policy-making (link to EQ5). As for the level of outcomes, the assumption is that PCD is fully in line with EU and EU Member States' interests and commitments (link to EQ2 and EQ6).

Inputs

The implementation of the EU's approach to PCD requires first and foremost political will, given the complex governance structure in place within the EU institutions and the differing interests and competences between areas of policy-making. It also relies on the availability of staff and expertise within the Commission, the EEAS and EU Delegations, to promote PCD. At this level, DG DEVCO has a team with responsibilities to coordinate PCD and thematic experts, and line DGs have PCD Focal Points (FPs).

Activities

One key finding of the Evaluation that informed the reconstructed IL is that the PCD mechanisms³⁹ that represent the core of the EU's PCD Operational Framework could be classified into two clusters:

- **Policy-making mechanisms**, which mainly consist of the IA and ISC activities. These two mechanisms are not specific to PCD. Rather, they have been in place within the Commission since long before the PCD concept was introduced and their overall objective is to ensure, *inter alia*, the inclusion of all services in the policy formulation process. In the context of the EU PCD approach, the use of these PCD mechanisms allows DG DEVCO to participate and contribute to policy-making led by other DGs, in order to ensure that the interests and needs of developing countries are taken account of. As such, these are considered main mechanisms, as they contribute directly to the main output of PCD ("New initiatives take account of development objectives, and their likely impact in developing countries is

³⁹ During the period of evaluation PCD mechanisms have been classified at the EU level taking into account different approaches. In the 2015 Biennial Report the PCD mechanisms were described from the perspective of the role of stakeholders and the mechanisms, either formal or informal and PCD specific or general, interacting throughout the decision-making process of a policy, including monitoring. For the 2009 Biennial Report, PCD mechanisms were described from the perspective of the 2008 OECD classification which considered three building blocks: political commitment to PCD, policy coordination mechanisms, and systems for monitoring, analysing and reporting. Previously, in the 2005 Scoping Study of PCD EU mechanisms a classification was first proposed to differentiate between policy statements, administrative and institutional mechanisms, and knowledge and assessment mechanisms. This classification of mechanisms was further elaborated in the 2007 Evaluation Study of PCD EU and MS mechanisms (regarding the level of formality, nature of competence, policy scope and degree of specialisation on PCD) limiting the scope of PCD mechanisms to specific policy statements, formal and intra-institutional mechanisms. (See OECD, Policy Brief, Policy Coherence for Development – Lessons Learned, December 2008; Evaluation of the EU Institutions & Member States' Mechanisms for Promoting Policy Coherence for Development -- Study on 'The EU Institution's & Member States' Mechanisms for Promoting Policy Coherence for Development – Case Study of the Role of the Inter-Service Consultation Mechanism in the Promotion of PCD within the Commission', European Centre for Development Policy Management (ECDPM), PARTICIP and Complutense Institute of International Studies (ICEI), April 2007; EU Mechanisms that Promote Policy Coherence for Development. A Scoping Study, ECDPM and ICEI, Amsterdam: Aksant Academic Publishers, 2005).

assessed”). As shown in Figure 1, in addition to the IA and ISC, policy-making mechanisms also include one PCD-specific mechanism – the PCD Work Programme for the period 2010-2013 (which included indicators, targets and objectives per PCD challenge area). For this cluster the causal relationship in the IL is represented with a continuous link to indicate a direct influence in the main output.

- **Awareness-raising mechanisms**, which essentially consist of PCD-specific activities coordinated by the PCD Team within DG DEVCO (other actors, such as PCD focal points in the line DGs and EU Member States, are also involved). These include: the PCD Biennial Report, PCD Training, the CWP Screening, Consultation with Developing Countries, EUD Reporting, and the EU Member States Informal Network. Initially, it had been assumed that some of these activities directly influenced policy-making (CWP screening), served the purpose of monitoring (PCD Biennial Report, EUD Reporting), or increased expertise (PCD Training, EU Member States Informal Network). During the Evaluation, it has become clear that these activities coordinated by DG DEVCO are mainly of an awareness-raising nature, and as such, (i) do not directly contribute to policy-making and (ii) contribute marginally to monitoring. Therefore, the causal relationship is represented by a broken and discontinuous link to indicate the indirect influence.

In addition to these two main clusters of activities, the IL also includes a “knowledge-sharing” cluster, which contains activities that do not depend exclusively on the actions of the Commission and is therefore placed outside the operational framework of the EU’s approach to PCD.

Outputs

The set of PCD activities identified in the IL is expected to lead to the following outputs:

- A main output: New initiatives taking into account development objectives and their impact on developing countries assessed. It explicitly mirrors PCD’s primary objective and all PCD mechanisms are expected to contribute to the achievement of this output (directly, in the case of the Policy-making mechanism; indirectly, in the case of Awareness-raising).
- And a supporting output: Awareness on PCD raised (all stakeholders) and expertise on PCD increased (EU institutions and EU Member States). As mentioned, this output is expected to also contribute to the achievement of the main output.

A feedback loop is expected as increased awareness and expertise could lead to new policies taking account of development objectives. Likewise, as non-development policies incorporate development considerations, this contributes to raise awareness regarding PCD and the likely impacts EU policies can have in developing countries. As mentioned further above, external factors such as international commitments and dialogue can also influence the expected main output, regardless of whether PCD mechanisms have played a role during the policy formulation process.

Outcomes and Impact

The EU PCD approach is expected to contribute to the following outcomes:

- Non-development EU policies contribute to development objectives;
- Negative spill-over effects in developing countries are avoided;
- Synergies between EU policies with respect to developing countries are generated;
- Aid effectiveness is increased;
- Sustainable development is promoted.

These outcomes are linked to the PCD’s main output. By seeking that new non-development policies take account of development objectives and that their impact in developing countries

is assessed, it is expected that the EU PCD approach will contribute to ensuring that (i) non-development policies contribute to development objectives and (ii) negative spill-over effects in developing countries are avoided. Furthermore, by seeking that non-development EU policies are coherent with the EU's development objectives and policies, the EU PCD approach is also expected on a more general level to contribute to enhancing synergies between EU policies with respect to developing countries. This outcome reflects PCD's evolution from a 'do no harm' approach (which focused on minimising the adverse impact that non-development policies have on developing countries) to a broader approach which includes seeking mutually reinforcing policies and integration of development concerns across other EU policies. The outcome on increased aid effectiveness is linked to the core rationale of PCD – overall policy coherence for development as a key factor influencing the effectiveness of development policies. The EU's approach to PCD is also expected to contribute to the promotion of sustainable development. Finally, taken as a whole the five outcomes are expected to contribute to the increased impact of EU action on poverty reduction and sustainable growth in partner countries.

2.3 Evaluation Questions

An overview of the Evaluation Questions (EQs) is presented in Table 5 below. Some EQs address one evaluation criterion (EQ1, EQ2, EQ3, EQ6, EQ7, and EQ8) and others cover more than one evaluation criterion (EQ4 and EQ5). Each EQ has judgement criteria (JC) specifying the question and several indicators (I) related to the data to be collected, as well as tools and sources of information (see EQs Matrix in Annex 2). For each EQ, the correspondence with the evaluation levels and evaluation criteria, as defined in the ToR, is presented in Table 5.

Table 5: Overview of EQs, evaluation levels, and evaluation criteria

EQ No.	EQ	Evaluation Level	Evaluation Criteria
1	To what extent has the EU PCD approach and its operational framework responded to evolving needs?	Levels 1, 2, and 3	▪ Relevance
2	To what extent has the EU PCD approach been aligned with wider EU policy and evolving international obligations of the EU?	Levels 1, 2, and 3	▪ Coherence
3	To what extent have PCD inputs and activities been adequate to implement the EU PCD approach?	Level 1	▪ Efficiency
4	To what extent has the EU PCD approach (PCD specific mechanisms) led to raised awareness on PCD, which in turn has indirectly influenced policy-making?	Level 2	▪ Effectiveness ▪ Efficiency
5	To what extent has the EU PCD approach influenced existing or planned policies/initiatives likely to affect developing countries so that they take into account development objectives?	Level 2	▪ Effectiveness ▪ Efficiency
6	To what extent has the EU PCD approach created additional value beyond what could be achieved by EU Member States acting independently?	Levels 1, 2, and 3	▪ EU Added Value
7	To what extent have changes in the design and implementation of EU policies and initiatives brought about by incorporating a PCD approach influenced outcomes and impacts in developing countries?	Level 3	▪ Impact
8	To what extent is the EU PCD approach sustainable?	Levels 1, 2, and 3	▪ Sustainability

3 ANSWERS TO THE EVALUATION QUESTIONS

3.1 EQ1 on Relevance

To what extent has the EU PCD approach and its operational framework responded to evolving needs?

Evidence confirms that the EU's approach to PCD has remained relevant at the strategic level throughout the period covered by the evaluation (2009-2016). It has adapted to evolving challenges and changing needs in the international context mainly with respect to the EU's commitment towards the MDGs operationalizing a targeted PCD approach.

In the context of the post-2015 framework, the new global partnership for sustainable development and the SDGs Agenda, PCD continues to be relevant at the strategic level to respond to global and interrelated challenges which will require coherent policies taking account of the three dimensions of sustainable development. The Commission has taken initial steps to adapt to the new context under the SDGs agenda and the EU's international commitments. The new European Consensus on Development has endorsed this change in paradigm with respect to development cooperation, and the EU and its Member States have acknowledged the fundamental role of PCD as part of the EU's contribution to SDGs and to the broader objective of PCSD.

The relevance of the EU's approach to PCD from the perspective of development policy and the needs of developing countries seems to have been less evident at the end of the period of evaluation following a context of global shocks, and political and social conflict in some regions. There is a shift in PCD giving way to the contribution of development policy for the achievement of other EU external policy priorities, such as in the security-development nexus and the migration-development nexus. The evidence shows that currently there is no common understanding among stakeholders with respect to the EU's PCD approach especially when it comes to "synergies".

Regarding PCD mechanisms, the EU has made continuous efforts to adapt these mechanisms to contextual changes and promote and implement the EU's PCD approach. The coordination role of the EEAS on PCD is yet to be clarified given institutional changes and stakeholders demands on the role of EU Delegations reporting on impact at the country level.

3.1.1 JC 1.1: Evidence of the need for PCD

PCD within the international development context and relevance of the EU PCD approach

MDGs period. Following the Monterrey Consensus and the successive follow-up in the Doha Declaration on financing for development, the international community recognised the need to further mobilise financing for development to address global inequality, calling for coherent action in face of economic globalization and interdependency. It also called for coherence at the operational and international levels to meet the MDGs, encouraging international financial and development institutions "to continue to enhance policy coherence for development"⁴⁰. The EU, collectively the largest donor to developing countries in such period,⁴¹ responded to this call in view of its international commitments regarding financing for development and improvement of aid effectiveness. In the context of its sustained contribution to poverty eradication in developing countries and the need to accelerate progress towards the achievement

⁴⁰ Monterrey Consensus of the International Conference on Financing for Development, final text of agreements and commitments adopted at the International Conference on Financing for Development Monterrey, Mexico, 18-22 March 2002, United Nations 2003; Doha Declaration of financing for development, final text of agreements and commitments adopted at the Follow-up International Conference on Financing for Development to Review the Implementation of the Monterrey Consensus Doha, Qatar, 29 November - 2 December 2008, United Nations 2009. The Doha declaration called on "International financial and development institutions to continue to enhance policy coherence for development, taking into account diversified needs and changing circumstances. In order to complement national development efforts, we call on all countries whose policies have an impact on developing countries to increase their efforts to formulate policies consistent with the objectives of sustained growth, poverty eradication and sustainable development of developing countries".

⁴¹ https://europa.eu/european-union/topics/development-cooperation_en; 2012 OECD DAC Peer Review, p.28, <http://www.oecd.org/dac/peer-reviews/50155818.pdf>

of the MDGs by 2015, especially in Sub-Saharan countries, the EU agreed to further its efforts to strengthen policy coherence for development.⁴² Since 2004, the EU took active action in this respect,⁴³ as evidenced in diverse Commission and Council policy documents defining the EU's approach to PCD and how this was to be operationalized to support the achievement of the MDGs. The Council acknowledged the impact of EU non-aid policies as a potential positive contribution and identified specific areas in which EU policies could be steered to create synergies with development policy objectives. The 2006 European Consensus on Development re-affirmed the EU's commitment towards a PCD targeted approach in which EU policies supported the achievement of development objectives. The EU PCD approach moved from a focus on the "process" of coherence towards an "outcome" of coherence so its non-aid policies could contribute to the MDGs. In 2009 the EU took action by implementing a PCD targeted approach focusing on a few key priorities so to minimise any possible negative impact of EU policy on developing countries, and to enhance links between non-aid policies and development objectives⁴⁴

Post-2015 framework. After the completion of the MDGs, the Addis Ababa Action agenda committed the international community to pursue policy coherence across all three dimensions of sustainable development to address economic, social and environmental challenges, including the loss of biodiversity, natural disasters and climate change, and called "upon countries to assess the impact of their policies on sustainable development."⁴⁵ The EU took action and put forward the role of PCD as a means to implement the post-2015 development agenda.⁴⁶ The Communication on the global partnership established that the EU's approach to PCD meant both addressing possible negative impacts of domestic policies on third countries and fostering synergies across economic, social, and environmental policy areas.⁴⁷

The new European Consensus on development reflects a paradigm-shift in development cooperation following the adoption of the UN 2030 Agenda on Sustainable Development.⁴⁸ The

⁴² Presidency Conclusions of the Brussels European Council (16/17 December 2004), doc. 16238/1/04, 1 February 2005, p.21; COM(2005) 134 final Policy Coherence for Development: Accelerating progress towards attaining the Millennium Development Goals (12.04.2005); Conclusions of the Council and the Representatives of the Governments of the Member States Meeting within the Council – On Accelerating progress towards attaining the Millennium Development Goals: EU Contribution to the Review of the MDGs at the UN 2005 High Level Event – Annex I (doc. 9266/05, 24 May 2005).

⁴³ COM(2004)150 final, Translating the Monterrey Consensus into practice: the contribution by the European Union (05.03.2004); COM(2004) 383 final The Social Dimension of Globalisation – the EU's policy contribution on extending the benefits to all (18.5.2004).

⁴⁴ COM(2005) 134 final Policy Coherence for Development: Accelerating progress towards attaining the Millennium Development Goals (12.04.2005); Conclusions of the Council and the Representatives of the Governments of the Member States Meeting within the Council – On Accelerating progress towards attaining the Millennium Development Goals: EU Contribution to the Review of the MDGs at the UN 2005 High Level Event – Annex I (doc. 9266/05, 24 May 2005). It established twelve policy areas for PCD: Trade, Environment, Climate Change, Security, Agriculture, Fisheries, Social Dimension of Globalisation, Employment and Decent Work, Migration, Research, Information Society, Transport, and Energy. 2006 European Consensus on Development, Joint statement by the Council and the representatives of the governments of the Member States meeting within the Council, the European Parliament and the Commission on European Union Development Policy: 'The European Consensus' (2006/C 46/01). COM(2009) 458 final Policy Coherence for Development – Establishing the policy framework for a whole-of-the-Union approach (15.9.2009); 2009 Council Conclusions on Policy Coherence for Development (PCD) – 2974th External Relations Council meeting (17 November 2009).

⁴⁵ 2015 Addis Ababa Action Agenda of the Third International Conference on Financing for Development (Addis Ababa Action Agenda) The final text of the outcome document adopted at the Third International Conference on Financing for Development (Addis Ababa, Ethiopia, 13–16 July 2015) and endorsed by the General Assembly in its resolution 69/313 of 27 July 2015.

⁴⁶ COM(2013) 92 final A decent life for all: Ending poverty and giving the world a sustainable future (27.2.2013). Council Conclusions on A New Global Partnership for Poverty Eradication and Sustainable Development after 2015 (26 May 2015, doc. 9241/15); COM(2015) 44 final A Global Partnership for Poverty Eradication and Sustainable Development after 2015 (5.2.2015).

⁴⁷ COM(2015) 44 final A Global Partnership for Poverty Eradication and Sustainable Development after 2015 (5.2.2015).

⁴⁸ The UN 2030 Agenda on Sustainable Development calls for "policy coherence for sustainable development" under Goal 17 "Strengthen the means of implementation and revitalize the Global Partnership for Sustainable Development". Under "systemic issues" the 2030 Agenda establishes two targets related to "Policy and institutional coherence": 17.13 Enhance global macroeconomic stability, including through policy coordination and policy coherence; and 17.14 Enhance policy coherence

Consensus acknowledges the global challenges as complex and interconnected and the universality of the SDGs, and agrees that PCD constitutes a fundamental part of the EU's contribution to SDGs and to the broader objective of PCSD.⁴⁹ In face of this new context and the challenges identified by the international community, the EU has reaffirmed once more its commitment to PCD, and the Consensus will guide efforts in applying PCD across all policies and all areas covered by the 2030 Agenda.⁵⁰ The 2016 European Action for Sustainability reaffirmed that the EU's impact outside its borders is not limited to its external action agenda and recognised that EU policies with a domestic dimension can contribute to the implementation of the SDGs worldwide. It further acknowledged that PCD is an essential element of the EU's response to the sustainable development challenge enshrined in the European Treaties.⁵¹ This evidence at the end of the evaluation period suggests that the EU has taken initial strategic action to adapt the EU's PCD approach and include it as part of its response to the EU's international commitments on poverty reduction and sustainable development in the new context of SDGs. It yet remains to be seen how this approach will be fully implemented at the operational level as the strategy is still at the initial stage of discussion and implementation.⁵² The multidirectional implications of SDGs and the complexity of the global challenges identified require a broader coordination involving different stakeholders,⁵³ as well as clarity with respect to the policy areas to be prioritised at each level of the new multidirectional approach to enhance PCSD, and the specific issues to be considered from the perspective of PCD in the new context. The last Communication on a PCD targeted approach corresponds to 2009 and since then new global challenges have been identified in the SDGs Agenda. As explained in Section 3.1.2, it is only towards the end of 2017 that the EU has taken initial steps to implement the PCD approach in this context.

3.1.2 JC 1.2: Evidence of the need for purpose built PCD mechanisms at the EU level

PCD mechanisms and nature of their mandate

The strategic approach to PCD in the context of the MDGs required the use of existing Commission mechanisms such as ISC, IAs, to enhance the coherence of policies, and identify the impacts of EU policies in developing countries at an early stage of policy formulation to improve synergies and minimise possible negative effects. Also, the approach called for more

for sustainable development. ⁴⁸ Resolution A/RES/70/1 adopted by the General Assembly on 25 September 2015 – Transforming our world: the 2030 Agenda for Sustainable Development.

⁴⁹ The New European Consensus on Development: Our World, our Dignity, our Future, as adopted by the Council at its 3540th meeting held on 19 May 2017 (doc9459/17) and officially signed by the President of the European Parliament, the Prime Minister of Malta, on behalf of the Council and member states, the President of the European Commission, and the High Representative/Vice President, on 7 June 2017; 2016 COM (2016) 740 final Proposal for a new European Consensus on Development: Our World, our Dignity, our Future (22.11.2016).

⁵⁰ Mainly seeking synergies on trade, finance, environment and climate change, labour and social issues, food security, migration, and security.

⁵¹ COM (2016) 739 final Next steps for a sustainable European future: European action for sustainability 22.11.2016, p.14.

⁵² 2017/2009(INI) - 06/07/2017 EP Resolution on the European Action for Sustainability <http://www.europarl.europa.eu/oeil/popups/summary.do?id=1497587&t=e&l=en>

⁵³ The horizontal responsibility for sustainable development and ensure the coherence of proposals with this principle falls within the portfolio of the first Vice-President of the Commission, in charge of Better Regulation, Inter-institutional Relations, the Rule of Law and the Charter of Fundamental Rights. The Secretariat General of the European Commission supports the Vice-President in this role steering and coordinating the work of the Commission on the SDGs agenda. (https://ec.europa.eu/commission/commissioners/sites/cwt/files/commissioner_mission_letters/timmermans_en.pdf.)

Also see the EU's Multi-stakeholder platform on SDGs "The high-level multi-stakeholder platform on SDGs brings together stakeholders from civil society, non-governmental organizations, the private and corporate sector in regular meetings to support and advise the European Commission on the implementation of SDGs at EU level." https://ec.europa.eu/info/strategy/international-strategies/global-topics/sustainable-development-goals/multi-stakeholder-platform-sdgs_en

participation of developing countries on PCD issues through consultation procedures.⁵⁴ As the evidence in Sections 3.1.3 and 3.3.1 in this report shows, the Commission has made continuous efforts to improve existing mechanisms to promote PCD and to implement the EU's PCD approach, and has created others to complement these efforts. IA Guidelines were improved to guide the assessment of impacts on developing countries, and mechanisms to promote awareness on PCD continued or were put in place (EU Members States Network on PCD; Biennial Reports, with its initial aim to track progress of PCD within the Commission and EU Members States; Screenings for PCD relevance of the CWP; 2010-2013 PCD Work-programme; training activities; EU Delegations reporting on PCD). In addition, a formal mechanism for consultation with ACP countries under article 12 of the Cotonou agreement was established; the formal ISG on PCD (created back in 2006) operated until 2012, and coordination activities undertaken by DG DEVCO with PCD Focal Points (FPs) of Commission services continued to take place. As a whole these mechanisms have strengthened the efforts required from different stakeholders to promote and implement PCD within Commission services and the EEAS. Nevertheless, some mechanisms could improve their degree of formalisation.⁵⁵ The findings⁵⁶ suggest, that despite the fact that PCD mechanisms were relevant to promote and implement the EU PCD approach during most of the evaluation period, PCD-specific mechanisms were not used to their full potential. Also, despite the EU's targeted approach to PCD, the different Communications issued during the evaluation period, and the awareness raising activities implemented, most stakeholders interviewed consider that the concept of PCD is not yet well owned by staff across Commission services. With respect to synergies, some stakeholders perceived it as a one-way approach incorporating development objectives into other policy areas to generate positive development outcomes, whereas other stakeholders considered that synergies imply a "dual carriage" also consisting of what development can contribute to support other policy areas. Regarding EU Delegations, institutional stakeholders consider that there is a need to increase awareness on their role on promoting PCD and reporting on impacts at the partner country level.⁵⁷ Regarding ISC and IA mechanisms stakeholders have pointed out to the need to better identify priority policy areas for which to look at consistently for impacts on developing countries, as well as to include a PCD question when publishing a policy initiative roadmap or in each OPC, and to consistently include DG DEVCO in ISC from the beginning of the informal stage process.

In the context of the SDGs Agenda, it is yet to be seen if the EU PCD approach will require new PCD mechanisms. The new European Consensus on development has reaffirmed that PCD will be applied across all policies and all areas covered by the 2030 Agenda in order to seek synergies, which implies a multi-directional approach. Such level of coordination requires a specific mechanism able to articulate SDG commitments in selected policy areas but also to track progress on previously identified targets towards the achievement of the SDGs in order to monitor the EU's specific contribution (internal and external dimension of policies) with respect to each level addressed by the 2030 Agenda (local, regional, global). At the time of writing this report it has been confirmed that PCD is now discussed under the ISG on SDGs currently led by the Secretariat-General (SG) of the Commission, as part of a standing agenda

⁵⁴ COM(2009) 458 final Policy Coherence for Development - Establishing the policy framework for a whole-of- the-Union approach (15.9.2009), p.7, 8, 11.

⁵⁵ For instance, the output list of relevant policies for PCD resulting from the Screening of the CWP for PCD relevance, is merely discussed in an informal meeting or even circulated just by email, and no longer has a follow up mechanism as it only happens at the beginning of the year. According to one of the stakeholders interviewed actively participating at the time on PCD issues, the ISG on PCD went dormant by 2013-2014 when the mechanism had slowly declined in priority due to staff rotation and when discussions on SDGs started. As a result, the commitment of Commission services staff also declined, and the meetings that used to be held with the presence of Heads of Units slowly started to be held in the presence of staff with minor responsibilities.

⁵⁶ Interviews conducted, targeted surveys, and evidence on Section 3.3.1.

⁵⁷ Interviews, targeted surveys, and field country missions confirm this finding.

point within the general agenda of this ISG. The screening for PCD relevance of the CWP 2018-2019 will be discussed and agreed within this ISG which meets once every three months. Also, PCD issues have been discussed at the level of the multi-stakeholder platform on the implementation of the Sustainable Development Goals in the EU.⁵⁸

3.1.3 JC 1.3: The EU PCD approach has adapted to evolving needs (including the needs of the final beneficiaries of PCD: partner countries)

Challenges and changing needs in the international context

During the period of evaluation, the EU PCD approach, as mentioned above, has been framed first by the context of the MDGs and then by the 2030 Agenda on SDG. In between, contextual changes demanding action from the EU to address financial crisis and security concerns in response to external factors have also occurred.⁵⁹ The Commission took action once again considering PCD as one of the elements to enable support towards efforts of developing countries to eradicate poverty and in light of new global challenges. In the context of global shocks, and political and social conflict in some regions, the importance of the security-development nexus, as well as that of the migration-development nexus came to the forefront.⁶⁰

In June 2016, following the mandate of the Council, the High Representative/Vice-President (HR/VP) of the EU presented “A Global Strategy for the EU’s Foreign and Security Policy” (EU Global Strategy on foreign and security policy – EUGS).⁶¹ The EUGS aims at promoting greater policy coherence, combining internal and external policies to respond to external conflicts and crises affecting the EU and its citizens’ security. The areas identified as challenges are energy security, migration, climate change, violent extremism, and hybrid warfare. In line with the SDGs, the strategy proposes to adopt a joint approach to the EU’s humanitarian, development, migration, trade, investment, infrastructure, education, health and research policies as well as improve horizontal coherence between the EU and its Member States. The Council Conclusions on the EUGS called for investing in the resilience of states and societies

⁵⁸ See Multi-stakeholder platform on the implementation of the Sustainable Development Goals in the EU – Minutes of the sub-group meeting on “Governance; Coherence and the Rule of Law” dated 16 April 2018: “3) Policy Coherence for Development, as an important contribution to the wider policy coherence for sustainable development (...) The future PCD reporting can now be integrated / subsumed in an overall EU reporting on the SDGs implementation. In the framework of the implementation of the 2030 Agenda, the commitment to PCD has been reaffirmed by the EU and its MSs as an important contribution to the wider policy coherence for sustainable development. To put this into practice, the Commission has strengthened its work on PCD, namely by integrating it into the overall Commission work related to the 2030 Agenda. More specifically, the Commission services are in the process of identifying a list of PCD priorities initiatives that would then be followed-up on a regular basis and that could ultimately feed into the future reporting on PCD, planned for 2019.” https://ec.europa.eu/info/strategy/international-strategies/global-topics/sustainable-development-goals/multi-stakeholder-platform-sdgs/meetings_en

⁵⁹ EU’s response to the “Arab Spring”: The State-of-Play after Two Years, Brussels, 08 February 2013 A 70/13. Conclusions of the European Council 24/25 March 2011 on Libya/Southern Neighbourhood; Council conclusions of 9 and 10 June 2011 on Council Conclusions on “Borders, Migration and Asylum Stocktaking and the way forward”; Council conclusions of 20 June 2011 on the European Neighbourhood Policy; Council conclusions of 1 December 2011 on the EU response to the developments in the Southern neighbourhood ; JOIN(2015) 50 final - Joint Communication “Review of the European Neighbourhood Policy” 18.11.2015.

⁶⁰ COM (2011) 637 final Increasing the impact of EU Development Policy: an Agenda for Change (13.10.2011). “The Commission proposes an Agenda for Change that would lead to: (...) improved Policy Coherence for Development, including through new thematic programmes that build synergies between global interests and poverty eradication.” For instance see the challenges in the international context which this Communication explicitly recognises and prioritises: “As the world’s population continues to grow, more action is needed to tackle global challenges like conflict prevention, security, environmental protection, climate change, and to deliver global public goods such as food security, access to water and sanitation, energy security and migration.(...) people-led movements in North Africa and the Middle East have highlighted that sound progress on the MDGs is essential, but not sufficient. This leads to two conclusions: first, that the objectives of development, democracy, human rights, good governance and security are intertwined (...) EU action should centre on: (...) Development-security nexus. (...) In terms of the development-migration nexus, the EU should assist developing countries....”, pp.3,5,6, 11 of COM (2011) 637.

⁶¹ A Global Strategy for the European Union’s Foreign And Security Policy “Shared Vision, Common Action: A Stronger Europe”, presented at the EU summit on 28 June 2016, Brussels.

to the East and South (and further beyond) of the EU and for developing an integrated approach in response to their conflicts and crises.⁶² The EUGS implementation plan underlines close linkages with other sectors and strengthens the Common Security Defence Policy (CSDP) to contribute to the resilience and stabilisation of partner countries affected or threatened by conflict or instability, in synergy with other EU actions, including the nexus of security and development.⁶³

The joint approach is followed in the new European Consensus on Development, which recognises the SDGs as “a cross-cutting dimension of all the work to implement the EU Global Strategy”, as well as recognising that the “Consensus will contribute to the achievements of the priorities of EU external action”.⁶⁴ The EU will support partner countries and development policy will play a key role on issues such as migration, security, resilience to conflict—highlighted as priorities in the EUGS—in response to external conflicts and crises in EU neighbour countries and surrounding regions⁶⁵. A similar role is envisaged for the European neighbourhood policy (ENP) as outlined in the EUGS.⁶⁶ This is a policy direction already anticipated in the 2015 EU Agenda on Migration (see JC 2.1 on EQ 2 Coherence).

The relevance of the EU’s approach to PCD from the perspective of development policy and the needs of developing countries seems to have shifted at the end of the period of evaluation in face of external crises and conflicts, rising security concerns at the European level and the migration crisis of the Mediterranean,⁶⁷ giving way to the contribution of development policy for the achievement of other EU external policy priorities. This has also been reflected on geographic instruments (such as the DCI, ENI and 11th EDF) in terms of coherence between partner country and EU priorities, according to the mid-term review of the EU’s External Financing Instruments (EFI).⁶⁸

⁶² Council Conclusions of 17 October 2016 on the global strategy on the EU’s Foreign and Security Policy.

⁶³ Council conclusions of 14 November 2016 on implementing the EU Global Strategy in the area of Security and Defence.

⁶⁴ The New European Consensus on Development: Our World, our Dignity, our Future, as adopted by the Council at its 3540th meeting held on 19 May 2017 (doc9459/17) and officially signed by the President of the European Parliament, the Prime Minister of Malta, on behalf of the Council and member states, the President of the European Commission, and the High Representative/Vice President, on 7 June 2017.

⁶⁵ “It is in the interests of our citizens to invest in the resilience of states and societies to the east stretching into Central Asia, and to the south down to Central Africa. (...) The EU will support different paths to resilience, targeting the most acute cases of governmental, economic, societal and climate/energy fragility, as well as develop more effective migration policies for Europe and its partners.” Global Strategy on the European Union’s Foreign and Security Policy, “Shared Vision, Common Action: A Stronger Europe”, presented at the EU summit on 28 June 2016, Priority: State and Societal Resilience to our East and South.

⁶⁶ Global Strategy on the European Union’s Foreign and Security Policy, 28 June 2016; Council Conclusions on the Global Strategy on the European Union’s Foreign and Security Policy, 17 October 2016, doc 13202/16. in particular conclusion 5; Council conclusions on implementing the EU Global Strategy in the area of Security and Defence, 14 November 2016, doc. 14149/16; CFSP Report - Our priorities in 2016, as endorsed by the Council on 17 October 2016, doc.13026/16.

⁶⁷ Extraordinary European Council of 11 March 2011, EUCO 7/1/11, 20.04.11, p. 4.; EU’s response to the “Arab Spring”: The State-of-Play after Two Years, Brussels, 08 February 2013 A 70/13; Conclusions of the European Council 24/25 March 2011 on Libya/Southern Neighbourhood; Council conclusions of 9 and 10 June 2011 on Council Conclusions on “Borders, Migration and Asylum Stocktaking and the way forward”; Council conclusions of 20 June 2011 on the European Neighbourhood Policy; Council conclusions of 1 December 2011 on the EU response to the developments in the Southern neighbourhood ; JOIN(2015) 50 final - Joint Communication “Review of the European Neighbourhood Policy” 18.11.2015. COM(2016) 385 final Communication on establishing a new Partnership Framework with third countries under the European Agenda on Migration 7.6.2016. COM(2018) 321 final, A Modern Budget for a Union that Protects, Empowers and Defends -The Multiannual Financial Framework for 2021-2027, 2.5.2018, See also COM(2018) 460 final, 2018/0243(COD), Proposal for a Regulation of the European Parliament and of the Council establishing the Neighbourhood, Development and International Cooperation Instrument, 14.06.2018.

⁶⁸ COM(2017) 720 final Mid-term review report of the External Financing Instruments, 15 December 2017: “On geographic instruments (the DCI, ENI and 11th EDF), in terms of coherence between partner country and EU priorities, some external evaluations mention tendencies towards predominantly EU driven agendas during the programming. This was despite the extensive consultation of interested parties during programming and project implementation, and, in particular in the EDF, the co-signature of the multi-annual programming documents and annual actions. This apparent trade-off between EU interests/international values and partnership principles should be seen within the new policy context of the universally agreed 2030 Agenda/SDGs”, p.14., https://ec.europa.eu/europeaid/sites/devco/files/mid-term-review-report_en.pdf.

PCD mechanisms in response to challenges

At the beginning of the period of evaluation, there was a call to further reinforce consultation with partner countries. In 2010, article 12 of the Cotonou agreement was modified to include a specific procedure to address PCD issues between African, Caribbean, and Pacific (ACP) countries and the EU.⁶⁹ In 2012 and 2013 the Council also called for the involvement of EU Delegations to promote dialogue on PCD at the partner country level and to provide feedback on the impact of EU policies.⁷⁰ EU Delegations reporting on PCD is now part of the regular EAMR.⁷¹ With the introduction of the 2015 Better Regulation Guidelines and Toolbox revised IA guidelines and a specific Tool on Developing Countries have been added. Furthermore, the new institutional organisation of the Juncker Commission is intended to promote coherence. The creation of working groups (project teams) of Commissioners has seen the establishment of a group of Commissioners involved in external relations (Europe in the world) chaired by the Commission Vice-President/High Representative.⁷² However, there is no evidence so far of how this change relates to PCD. The Commissioner on Development participates in this working group and in the one on Better regulation and inter-institutional relations. However, the Commissioner on Development has not been included in the working groups on Energy union, and Jobs, growth, investment and competitiveness⁷³, which include sector policy areas already identified as PCD relevant back in 2005.⁷⁴

The functioning of the policy-making mechanisms such as the IA and ISC have adapted to the demand of institutional stakeholders to better assess the impacts of EU policies likely to affect developing countries (see here section 3.3.1), and to report on PCD progress (PCD Biennial Reports) and impact at partner country level (EU Delegation reporting); efforts which have been recognised by the Council.⁷⁵ The contribution made by the Biennial Reports in reporting on progress on PCD at EU level and in Member States has been significant as a coordinated effort to promote awareness on PCD within the EU.

As the evidence shows, the functioning of certain PCD mechanisms has adapted to a certain extent in response to new needs and/or demands of institutional stakeholders, as in the case of the revised IA Guidelines and the EU Delegations reporting. Evidence available also shows mechanisms that are no longer in use and the weakening of others, such as the specific ISG on PCD (recently PCD has been included as a topic within the agenda of the ISG on SDGs), and the PCD screening of the CWP as explained above. In addition, the formal mechanism on consultation with ACP countries under article 12 of the Cotonou agreement has rarely been

⁶⁹ "...the revised Cotonou Agreement contains a specific article on PCD (Article 12) which sets up a consultation mechanism to promote the coherence of EU policies which might affect the interests of the ACP countries. The EU has to inform the ACP countries in advance of the adoption of new initiatives. On the other hand, ACP countries can request a consultation that has to take place before any final decision is made." 2011 PCD Biennial Report, p.21. Further see Annex 4.6.

⁷⁰ Council Conclusions on PCD, 14 May 2012 and 12 December 2013.

⁷¹ DG DEVCO Note for the attention of EU Heads of Delegation, 20 July 2017.

⁷² C(2014)9004, Communication from the President to the Commission, The Working Methods of the European Commission 2014-2019, 11.11.2014, Annexes 2 and 3.

⁷³ https://ec.europa.eu/commission/commissioners/2014-2019_en#bootstrap-fieldgroup-nav-item--project-team--2

⁷⁴ Conclusions of the Council and the Representatives of the Governments of the Member States Meeting within the Council – Annex I (doc. 9266/05, 24 May 2005): policy areas relevant for PCD: Trade, Environment, Climate Change, Security, Agriculture, Fisheries, Social Dimension of Globalisation, Employment and Decent Work, Migration, Research, Information Society, Transport, and Energy.

⁷⁵ The 2009 Council Conclusions on PCD acknowledged the strengthening of the development dimension of the IA and the better use of the ISC, Council Conclusions on PCD, 18 November 2009. In 2015, the Council also favourably acknowledged the revised IA guidelines and Tool #30 (currently Tool#34) Developing Countries for assessing potential impacts of future EU initiatives on developing countries at an early stage of the preparation of an initiative. In 2017 new tools were added in the Toolbox and Tool #30 became Tool #34. In the rest of the report, we refer to Tool #34 for clarity. Also, the Council recognised with satisfaction the establishment of regular monitoring and reporting of PCD issues by EU Delegations, Council Conclusions on PCD, 26 October 2015.

invoked by ACP countries (see Annex 4.6). The reasons for the decline and weakening use of these mechanisms are diverse and include a change in priorities on how to promote PCD, but also the impracticality of the screening exercise without a follow up mechanism as further explained further below. With respect to the formal mechanism under the Cotonou agreement, stakeholders interviewed referred to an open political dialogue with the EU which allows ACP countries to occasionally raise concerns, implying that article 12 is rarely invoked. The PCD Biennial Reports confirm the limited use of this procedure.⁷⁶ The stakeholders interviewed also mentioned the limited capacity and resources of ACP countries which are needed to build a case to support their claims under article 12.⁷⁷

3.1.4 JC 1.4: The EU PCD approach has evolved in response to institutional changes at the Commission level (e.g. creation of EEAS, DG DEVCO, DG NEAR)

PCD and institutional changes at the Commission level

With the creation of the EEAS in 2011,⁷⁸ the organisational structure of DG Development was altered, and the former DG for Development and Relations with ACP States was dissolved, with part of it being merged with the EuropeAid Cooperation Office (AIDCO) to form Development and Cooperation – EuropeAid. In 2015 this organisational structure was renamed as Directorate-General for International Cooperation and Development (DG DEVCO).⁷⁹ The EEAS organisational structure was set on the basis of the former Directorate-General for External Relations, the External Service, and part of the former Directorate-General for Development (Directorates D and E).⁸⁰ The creation of DG NEAR in 2015 required the transfer of Directorate F–Neighbourhood from DG DEVCO to DG Enlargement. The merging became the new Directorate-General for Neighbourhood and Enlargement Negotiations (DG NEAR). This change has implied the transfer of responsibilities to DG NEAR regarding 16 countries including those of Neighbourhood South under Directorate B with a specific focus on migration and security.⁸¹

The changes introduced to DG Development and DG EuropeAid, by joining both policy programming and implementation aimed to enhance the consistency in EU development

⁷⁶ See Annex on Activity Tracking – Consultation with Developing countries.

⁷⁷ The only documented case regarding the use of this mechanism refers to the February 2009 formal consultation under article 12 of the Cotonou Agreement that took place at the request of the ACP countries in the context of a meeting of the Joint ACP-EU Subcommittee on Trade Cooperation. The ACP group expressed concern regarding five EU policy proposals that could have impacts on their export of certain products to the EU. These proposals dealt with the use of pesticides, nickel substances, fisheries cold chain requirements, the renewable energy directive and the FLEGT licensing system. The Commission reassured via an agreement that ACP countries would be taken into consideration in the preparation and implementation of those measures. Two other consultations have reportedly taken place at the initiative of the EU in July 2009 and February 2010. The EU updated the ACP group on trade negotiations in Central and South America, and the ACP Chair of the Committee of Ambassadors addressed their concerns to the Commission's Director-General of Trade. The response of the Commission argued how ACP interests had been taken into account during negotiations.

⁷⁸ Council Decision of 26 July 2010 establishing the organisation and functioning of the European External Action Service. On 8 July 2010, the EP adopted a resolution on the proposal of the EU High Representative. The EEAS was formally launched on 1 January 2011.

⁷⁹ Before the entry into force of the Lisbon Treaty, development competences had been divided among DG Development, DG Aidco, DG Enlargement, DG External Relations. Historical Overview of EU cooperation and aid, https://ec.europa.eu/europeaid/historical-overview-eu-cooperation-and-aid_en.

⁸⁰ Council Decision of 26 July 2010, (2010/427/EU) – Annex Departments and Functions to be transferred to the EEAS: “ (...) Directorate-General for Development — Directorate D (ACP II – West and Central Africa, Caribbean and OCT) except OCT task force — Directorate E (Horn of Africa, East and Southern Africa, Indian Ocean and Pacific) — Unit CI (ACP I: Aid programming and management): Staff responsible for programming — Unit C2 (Pan-African issues and institutions, governance and migration): Staff responsible for Pan-African relations — Applicable hierarchy posts and support staff directly attached to them.”

⁸¹ PV(2014) 2104 final “2104th meeting of the Commission” 12. 11. 2014; SEC 2014 (578) final, 5.11.2014. DG Near organisational chart.

cooperation. However, DG DEVCO does not decide on development policy on its own; it designs development policy, establishes thematic programmes, and its geographical desks implement development initiatives while the EEAS is responsible for the programming of development instruments and for looking at regional strategies. At the level of EU Delegations, DG DEVCO and DG NEAR have their own staff in the operational sections (programme implementation) of the respective EU Delegations, while EEAS staff is in charge of political sections. Stakeholders interviewed expressed the need for stronger coordination between the EEAS and Commission services, especially between headquarters and political and operational staff at country level on areas of PCD relevance and when it comes to establish priorities for partner countries.

During the period of evaluation, the creation of the EEAS did not lead to a strengthened implementation of the EU PCD approach; indeed, at the operational level the EU's PCD approach has not fully adapted to the institutional changes. Despite the Council and the European Parliament (EP) calling for coordinated efforts and close cooperation between the EEAS, the Commission and EU Member States to strengthen PCD, beyond an emerging EU Delegations Reporting exercise no concrete actions to assess the impact of EU policies at the partner country level have been made.⁸² No specific structure to coordinate the work of DG NEAR and DG DEVCO and the EEAS on PCD issues exists, nor has a follow up mechanism on the chapter on PCD within the EAMR been installed, especially in light of the implications of the EUGS explained under JC 1.3. Furthermore, the EP and the Council have invited the Commission and the EEAS to “present concrete proposals on how to better integrate PCD into the EU approach to implementing the 2030 Agenda for Sustainable Development and calls for this new approach to be mainstreamed across the EU institutions.”⁸³ The new European Consensus on Development acknowledges that the SDGs are a cross-cutting dimension to implement the EUGS and that the Consensus will contribute to achieve the priorities of the EU external action. Both strategies complement each other; the Consensus aligns the EU's development policy to the 2030 Agenda and thus recognises the nexuses with other policies for achieving the SDGs. This implies that EU development policy will play a key role in priority issues of the EUGS such as migration, security, resilience to conflict of EU neighbour countries and in the wider surrounding regions⁸⁴. A closer coordination between DG NEAR, DG DEVCO and the EEAS will be required to respond to the perceived development priorities of partner countries. The Multiannual Financial Framework for 2021-2027 points out the need for closer coordination between internal and external policies and for the modernisation of the external dimension of the budget in view of the current challenges and priorities for the EU's external action.⁸⁵ A recent assessment of the EU's External Financing Instruments (EFI) shows that even

⁸² Council Conclusions on PCD, 12 December 2013. EP Resolutions on the EU Report on Policy Coherence for Development: 2012/2063(INI), 2013/2058(INI), 2015/2317(INI).

⁸³ Council Conclusion on PCD, 26 October 2015. EP Resolution on the EU Report on Policy Coherence for Development: 2015/2317(INI): “(The EP) Proposes that in preparation for that summit, the Commission and the EEAS should address concrete recommendations to the EU heads of state and government on effective mechanisms to operationalise PCD and integrate EU strategies to better implement SDGs, and on how to define more clearly the responsibilities of each EU institution in achieving PCD commitments; believes that such a process should be as transparent and as inclusive as possible, involving local and regional governments, civil society organisations and think-tanks;”.

⁸⁴ “It is in the interests of our citizens to invest in the resilience of states and societies to the east stretching into Central Asia, and to the south down to Central Africa. (...) The EU will support different paths to resilience, targeting the most acute cases of governmental, economic, societal and climate/energy fragility, as well as develop more effective migration policies for Europe and its partners.” Global Strategy on the European Union's Foreign and Security Policy, “Shared Vision, Common Action: A Stronger Europe”, presented at the EU summit on 28 June 2016, Priority State and Societal Resilience to our East and South.

⁸⁵ See COM(2018) 321 final, A Modern Budget for a Union that Protects, Empowers and Defends -The Multiannual Financial Framework for 2021-2027, 2.5.2018., p.18: “The challenges for the EU's external action, including those defined in the Global Strategy for the EU Foreign and Security Policy, the reviewed European Neighbourhood Policy, and the new European Consensus on Development, require a significant modernisation of the external dimension of the budget to increase its effectiveness and visibility. Stronger coordination between external and internal policies is also needed with a view to

though PCD has gained momentum (i.e. trade policy support to development in regional cooperation shows an increasing attention to the trade/development nexus), there is a growing weight of EU internal political priorities on development cooperation mainly linked to current focus on securitisation of certain issues in EU external action, such as migration.⁸⁶

3.2 EQ2 on Coherence

To what extent has the EU PCD approach been aligned with wider EU policy and evolving international obligations of the EU?

The alignment of the EU PCD approach with EU sector policies appears heterogeneous across policy areas during the period of evaluation, as per the documentary evidence. Given their external dimension, and the EU's international commitments, there are some policy areas in which the EU PCD approach has been pursued at the strategic level to respond to international priorities. That is the case for trade policy (Council Conclusions on Trade, Growth, and World Affairs, Trade for All Communication, Council Conclusions on Responsible Global Value Chains). The same can be said of migration (Council Conclusions on the High-Level Dialogue on Migration and Development). Other policy sectors to which the EU's PCD approach was aligned include fisheries and agriculture, as well as climate change (Council conclusions on climate change, Conclusions on the EU Climate Diplomacy COP 21)

3.2.1 JC 2.1: The EU PCD approach is reflected as a priority in wider EU policy; and JC 2.2: The EU PCD approach is aligned with other international commitments

PCD approach in EU non-development policy documents

The EU PCD approach has been coherent with the call of the Monterrey Consensus and the Doha declaration on developed countries to increase efforts to support developing countries, and in the context of the financial crisis at the time, taking into consideration Sub-Saharan Africa and LDC countries, and those in situation of conflict and fragility.⁸⁷ The EU responded with a targeted and strategic approach covering five challenge areas: trade and finance, climate change, global food security, migration, and security; the policy areas previously identified in 2005 for PCD were also maintained.⁸⁸ Here we focus on these areas of policy which have endorsed an EU PCD approach.

implementing the Sustainable Development Goals and the Paris Climate Agreement, as well as the Partnership Framework with third countries on migration.”. See also COM(2018) 460 final, 2018/0243(COD), Proposal for a Regulation of the European Parliament and of the Council establishing the Neighbourhood, Development and International Cooperation Instrument, 14.06.2018, “Whereas: (5) The Union shall ensure policy coherence for development as required by Article 208 of the Treaty on the Functioning of the European Union. The Union should take account of the objectives of development cooperation in the policies that are likely to affect developing countries, which will be a crucial element of the strategy to achieve the Sustainable Development Goals defined in the 2030 Agenda for Sustainable Development (‘2030 Agenda’) adopted by the United Nations in September 2015 45. Ensuring policy coherence for sustainable development, as embedded in the 2030 Agenda, requires taking into account the impact of all policies on sustainable development at all levels — nationally, within the Union, in other countries and at global level”.

⁸⁶ COM(2017) 720 final Mid-term review report of the External Financing Instruments, p.14, 15 December 2017, https://ec.europa.eu/europeaid/sites/devco/files/mid-term-review-report_en.pdf; Coherence Report –Insights from the External Evaluation of the External Financing Instruments Final Report, July 2017, pp. 9, 15 https://ec.europa.eu/europeaid/sites/devco/files/coherence-report-main-report-170717_en_0.pdf

⁸⁷ Council Conclusions of 14 June 2010, on “The MDGs for the UN High Level Plenary Meeting in New York and beyond - Supporting the achievement of the MDGs by 2015”.

⁸⁸ Council Conclusions of 18 May 2009 on “Supporting developing countries in coping with the crisis”; COM(2009) 458 final, 15 September 2009 “Policy Coherence for Development- Establishing the policy framework for a whole of the Union approach”; Council Conclusions of 17 November 2009 on Policy Coherence for Development, conclusion 10.2005 Council Conclusions of May 24, on “Accelerating Progress Towards attaining the MDGs: EU contribution to the review of the MDGs at the UN 2005 High Level Event” and Annex “The EU Commitments on Policy Coherence for Development” accompanying the conclusions: The EU Commitments on PCD based in twelve policy areas – Trade, Environment, Climate Change, Security, Agriculture, Fisheries, Social Dimension of Globalisation, Employment and Decent Work, Migration, Research, Information Society, Transport, and Energy.

In setting out the future of the CAP reform, the 2010 Communication “CAP towards 2020: Meeting the food, natural resources and territorial challenges of the future”, EU agriculture policy expressly recognised its alignment with the EU’s international trade and PCD commitments and called for the strengthening of rural development and other EU policies.⁸⁹ The 2009 Commission Green Paper on the Reform of the CFP considered the external dimension of the EU’s fisheries policy; it included an explicit recognition that the principal objective of activities under the external dimension of the CFP should be to extend the principles of sustainable and responsible fisheries internationally in line with aims of good governance of the sea and of sustainable development of coastal regions. The Green Paper further emphasised the coherence of the CFP with other EU policies highlighting that EU development and environmental policies had a particular role in the CFP’s external component.⁹⁰ These two policy sectors – agriculture and fisheries – later saw major reforms during the evaluation period aimed at taking account of the needs of developing countries within EU policies.

In 2010 the Council endorsed the EU’s trade policy engagement in the successful and balanced conclusion of the Doha Development Round, to support development objectives within the framework of PCD, and to the reform of the GSP.⁹¹ The 2015 Trade for All Communication makes an explicit reference to the need for PCD by pointing out that trade and investment initiatives should contribute to sustainable growth and job creation and minimize any negative impact on LDCs.⁹² The prior 2012 Trade, Growth, and Development Communication referred explicitly to the EU’s PCD principle recognising that trade was a powerful engine for development. The Communication further proposed concrete steps to “enhance synergies between trade and development policies” including the reform of the GSP scheme.⁹³

Regarding EU migration policies, since the 2009 Stockholm Programme, the 2011 GAMM, including the 2011 Communication on Migration, the 2013 Communication on Maximising the Development Impact of Migration, and the 2014 Communication “A decent life for all: from vision to collective action”, all make reference to PCD, the commitment of promoting coherence in favour of positive development effects, and maximising the development-migration nexus.⁹⁴ The 2015 European Agenda on Migration makes no explicit mention of

⁸⁹ COM(2010) 672 final The CAP towards 2020: Meeting the food, natural resources and territorial challenges of the future 18.11.2010.

⁹⁰ COM(2009)163 final: Commission Green Paper on the Reform of the Common Fisheries Policy; Brussels, 22.4.2009, Section 5.8, p. 22.

⁹¹ Council Conclusions of 21 December 2010 on trade policy, welcoming the Communication on “Trade, Growth and World Affairs: Trade Policy”.

⁹² COM(2015) 497 final Trade for All - Towards a more responsible trade and investment policy, 14.10.2015.

⁹³ COM(2012) 22 final Trade, growth and development Tailoring trade and investment policy for those countries most in need, 27.1.2012, and accompanying CSWD {SEC(2012) 87 final} Trade as a driver of development.

⁹⁴ The Stockholm Programme – An open and secure Europe serving and protecting citizens, document 17024/09, 2.12.2009; published in the Official Journal of the European Union (2010/C 115/01); COM(2011) 248 final, Communication on Migration, 4.5.2011; COM(2011) 743 final, The Global Approach to Migration and Mobility, Annex Conclusions of the CSWP on Migration and Development, 18.11.2011; COM(2013) 292 final, Maximising the Development Impact of Migration. The EU contribution for the UN High-level Dialogue and next steps towards broadening the development-migration nexus, 21.5.2013; Council Conclusions of 19 July 2013 “Conclusions of the Council and of the Representatives of Governments of the Member States meeting within the Council on the 2013 UN High-Level Dialogue on Migration and Development and on broadening the development-migration nexus”. COM(2014) 335 final, A decent Life for all: from vision to collective action, 2.6.2014. These policy documents build on the recognition of the migration-development nexus expressed in COM(2008) 611 Strengthening the Global Approach to Migration: Increasing coordination, coherence and synergies, “The Global Approach reflects a major change in the external dimension of the European migration policy over recent years, namely the shift from a primarily security-centred approach focused on reducing migratory pressures, to a more transparent and balanced approach guided by a better understanding of all aspects relevant to migration, improving the accompanying measures to manage migratory flows, making migration and mobility positive forces for development, and giving greater consideration to decent work aspects in policies to better manage economic migration (...) In view of the above, the Commission proposes to (...)”

PCD, but proposes four pillars for a “coherent and comprehensive approach to reap the benefits and address the challenges deriving from migration”, and mentions addressing the root causes of migration through development cooperation in this light.⁹⁵ The reversing of the directionality of the migration-development nexus, was later reaffirmed in the 2016 Commission Communication “Establishing a new Partnership Framework with third countries under the European Agenda on Migration” which explicitly refers to how coherence for development with respect to migration policy should be achieved, stressing in particular the contribution of the EU’s development policy on migration policy.⁹⁶ Some analysts and CSO observers on the EU’s PCD approach have warned of the risk of undermining development objectives and PCD due to the prevalence of the security dimension in EU external policy and the instrumentalisation of aid for the achievement of the other EU’s external policy priorities.⁹⁷ Some observers have pointed out that from a development perspective, the focus indeed has been on policy coherence for stability and security in which aid has a contributing role,⁹⁸ calling it a ‘PCD in reverse’.⁹⁹

The alignment of EU sector policies with PCD seems heterogeneous across sectors. Some policy areas, due to their external dimension and to the EU’s international commitments, have a track record of including PCD. For instance, trade and migration have usually taken a PCD approach within their policy formulation process, a finding that is also reflected in the analysis of EQ5. Still, with respect to migration policy recent calls for coherence have been side-lined in view of EU priorities without fully disregarding the end goal of development policy. Other sectors have gradually introduced a PCD approach into their policies, such as fisheries and agriculture (i.e. SPFA, measures to eliminate export subsidies). Other horizontal policies such as the EU’s research and innovation policy have made efforts to become fully aligned with the PCD objectives. In 2012 the Commission adopted the International Strategy for International Cooperation in Research and Innovation which aims to support the Union’s external policies. Moreover, the current EU framework programme for research and innovation, Horizon 2020, is expected to invest at least 60% of its funds into sustainable development related issues, whereas a target of 35% is earmarked for climate change.¹⁰⁰ Some other policy areas such as climate change did not fully address PCD issues despite the external effects reach of their policy areas. The 2013 Staff Working Document (SWD) on Climate change, environmental degradation, and migration addressed inter-linkages between these three areas, limiting the need

Strengthen the Policy Coherence for Development (PCD) dimension of the migration and development nexus in close cooperation with the countries concerned....”, pp.3, 8.

⁹⁵ COM(2015) 240 final, A European Agenda on Migration, 13.5.2015, p.7-10

⁹⁶ COM(2016) 385 final Communication on establishing a new Partnership Framework with third countries under the European Agenda on Migration 7.6.2016 Building on the GAMM and the Agenda on Migration; COM (2015) 240 final A European Agenda on Migration 13 May 2015.

⁹⁷ Latek, M. (2016) Growing impact of EU migration policy on development cooperation, Briefing Paper EPRS, Members’ Research Service, European Parliamentary Research Service; CONCORD (2015) Coherence for Migration and Security. And what about development? Spotlight Report 2015, Policy Paper.; De Guerry, O. Stocchiero, A. and CONCORD EUTF task force (2018) Partnership or Conditionality: Monitoring the Migration Compacts and EU Trust Fund for Africa, CONCORD, <https://concordeurope.org/2018/01/24/monitoring-eu-trust-fund-africa-publication/>

⁹⁸ Furness, M. and Gänzle, S. (2016) The Security–Development Nexus in European Union Foreign Relations after Lisbon: Policy Coherence at Last? Development Policy Review, 35 (4): 475—492, <http://onlinelibrary.wiley.com/doi/10.1111/dpr.12191/full>

⁹⁹ De Guerry, O. Stocchiero, A. and CONCORD EUTF task force (2018) Partnership or Conditionality: Monitoring the Migration Compacts and EU Trust Fund for Africa, CONCORD, p.35. The study focuses on the use of the EU Emergency Trust Fund (EUTF) main financial instrument for EU’s political engagement with African partners in the area of migration and prioritised under the EUGS to focus on addressing the root causes of migration in order to curb irregular migration. It, identified that only in one of the three countries studied the funding had been used for development and protection dimensions of migration, and not diverted for security and enforcement measures. Whereas, in the other two countries, the funding was not sufficiently aligned with local needs of poverty eradication and was focused on the securitisation of migration.

¹⁰⁰ The EU has launched the global science, technology, and innovation (STI) initiatives involving institutions and researchers from Europe and other partner countries worldwide, such as the European and Developing Countries Clinical Trials Partnership, the EU-Africa Research and Innovation Partnership on Food and Nutrition Security and Sustainable Agriculture, the Belmont Forum, the Atlantic Ocean Research Alliance, and the Group on Earth Observations.

to strengthen coherence for “EU policies with an external focus, including development, foreign policy and humanitarian aid”; coherence between climate change policy and development policy in areas such as food security, access to natural resources was however not addressed.¹⁰¹

Regarding other international commitments, by 2014 the Council suggested taking forward commitments on PCD in the EU’s comprehensive approach focused on regional strategies implemented in the Horn of Africa, the Sahel region and the Gulf of Guinea, framing the EU’s engagements across many policy areas, and enabling the smooth transition to Common Security and Defence Policy (CSDP) missions and operations in the countries concerned.¹⁰² In May 2016, the Council Conclusions on the EU and Responsible Global Value Chains (GVCs) called upon the Commission and EU Member States to continue working on PCD to seek synergies between development cooperation, environmental policy, and trade tools.¹⁰³ Following the Paris Agreement,¹⁰⁴ the Council Conclusions on climate change stressed the need to scale up resources in developing countries, in particular LDCs and Small Island Developing States (SIDS), and recognized the need to account for synergies between climate objectives and the SDGs.¹⁰⁵ Also, the Council has previously underlined that, as part of the EUGS, the EU would address the potentially destabilising effects of climate change, including on migration, food security, reliable access to resources, water and energy, spread of epidemic diseases, and social and economic instability.¹⁰⁶

3.3 EQ3 on Efficiency

To what extent have PCD inputs and activities been adequate to implement the EU PCD approach?

PCD inputs and activities are **not considered fully adequate** to implement the EU PCD approach:

- **PCD’s set of activities is not fully adequate to reach PCD expected outputs.** With regards to policy-making mechanisms, there have been continuous efforts during the evaluation period to improve the IA mechanism through the revision of its guidelines and the creation of additional tools to guide the assessment of impacts on developing countries. With regards to the ISC, both through its informal and formal aspects, it offers an opportunity to ensure that PCD is taken into consideration from the beginning of the policy-making process for PCD-relevant policy proposals. However, there is not always sufficient clarity as to when DG DEVCO actually takes part in ISC, thus undermining the adequacy of the ISC from a PCD standpoint. With regards to awareness-raising mechanisms, these have been found to be reasonably adequate overall, with varying degrees of adequacy per mechanism since strengths, weaknesses, and areas for improvement exist for virtually all mechanisms. In terms of synergies/redundancies, although many synergies can be reported, there appears to be a *missing link* between policy-making and awareness-raising mechanisms, especially between the CWP screening for PCD relevance and the IA activity, as evidenced by the important number of policies identified as being PCD-relevant in the PCD CWP screening for which impacts were not assessed in the corresponding IAs. There is also a deficiency in terms of consultation mechanisms with developing countries, with no clear mechanism in place.
- **The resources available to implement PCD are not fully adequate.** Significant resources are required for policy-making mechanisms and it is not clear to what extent these resources are available within both the lead DG and DG DEVCO. In terms of material resources, one important limitation faced by Commission services is the absence of early information on

¹⁰¹ SWD(2013) 138 final, Climate change, environmental degradation, and migration 16.4.2013, Accompanying the Communication An EU Strategy on adaptation to climate change.

¹⁰² Council conclusions of 12 May 2014 on the EU’s comprehensive approach.

¹⁰³ Council conclusions of 12 May 2016 on the EU and Responsible Global Value Chains (GVCs), adopted at its 3462nd meeting.

¹⁰⁴ 21st Conference of Parties (COP) to the United Nations Framework Convention on Climate Change (UNFCCC).

¹⁰⁵ Council conclusions on climate change of 11 October 2016.

¹⁰⁶ Council of the European Union of 24 June 2014: Conclusions on the EU Climate Diplomacy COP 21.

upcoming legislative proposals which makes it difficult for DG DEVCO to engage in effective awareness-raising to ensure certain initiatives are considered for PCD Work.

- **There is mixed evidence on institutional support, set-up and procedures, and adequate organisational structures to implement PCD.** Institutional support to implement PCD has been clearly present throughout the period of evaluation in varying degrees and responding to specific contexts. Evidence suggests that during 2011-2012 there was clear political steering at the highest level to promote PCD, indicating strategic actions and thematic priorities on a monthly basis, with a possible faltering high-level support thereafter. Moreover, PCD-related processes and organisational structures paint a mixed picture in terms of their level of standardisation: many processes are standardized in theory, but their operational efficiency remains unclear in practice (e.g. IA and ISC processes are highly standardized in terms of procedures, but DG DEVCO's participation is not systematic). Also, the level of organisational efficiency is mixed (e.g., the PCD Team within DG DEVCO is the only organisational structure that has been established to promote PCD: no such structure exists in other services that could potentially have an active role to play in PCD i.e. SG, EEAS, or DG NEAR).
- **There is insufficient clarity within EU institutions with regards to the modus operandi of each PCD mechanism.** Stakeholders expressed mixed views as to whether the level of knowledge/awareness of the modus operandi of PCD mechanisms is sufficient. However, beyond this aspect, the most critical issue seems to be that interviews with stakeholders suggest that there is no common understanding of the PCD concept and the EU's commitment regarding PCD among stakeholders.
- **The functioning of the selected PCD mechanisms enhances effective cooperation and coordination between EU institutions, but not sufficiently with developing countries.** One important and positive feature of PCD mechanisms is that they often involve coordination with EU stakeholders, hence promoting and fostering inter-service cooperation. However, only a limited number of PCD mechanisms involve cooperation and coordination with developing countries and most PCD mechanisms do not involve developing countries, with the exception of limited involvement through the EUD report and the Informal Member States PCD Network, which involves civil society.
- **PCD inputs and activities have adapted to some degree over the review period, but the adequacy of these changes is difficult to ascertain.** The most noticeable change to PCD inputs and activities is the revision of IA guidelines and the creation of additional tools to guide the assessment of impacts on developing countries; however, these various improvements did not appear to enjoy much traction in practice. There is also limited evidence of adaptation of PCD awareness-raising mechanisms during the evaluation period.

3.3.1 JC 3.1: PCD's set of activities is adequate to reach PCD expected outputs

Impact Assessments (IAs) and Inter-Service Consultation (ISC)

The PCD policy-making mechanisms (IAs and ISC) are considered reasonably adequate to reach PCD expected outputs.

Impact Assessments (IAs) are carried out during the preparation phase of the policy-making process and provide evidence to inform and support decision-making. An IA is required for Commission initiatives that are likely to have significant economic, social or environmental impacts; these can be: legislative proposals; non-legislative initiatives; or implementing and delegated acts. The IA work is coordinated by an ISG set up by the Commission and consisting of the DG responsible for the relevant policy initiative (which leads the IA process), as well as other selected line DGs, Commission services (e.g. the Secretariat General, the Legal Service, etc.) and the EEAS. External inputs from stakeholders, whether in the context of a public consultation process (mandatory part of an IA process) or through targeted consultations, also feed into the analysis. The findings of the IA process are summarised in an IA report and the quality of each report is checked by an independent body, the Regulatory Scrutiny Board

(RSB)¹⁰⁷, which issues opinions. IA reports are published with the proposals or with acts adopted by the Commission, and sent to the EU law-makers, the European Parliament and the Council, to consider as they decide on whether to adopt the proposed law.

IAs are the most critical tool for promoting PCD in new policy initiatives and ensuring that impacts on developing countries are taken into account at the early stages of the policy-making process. Additionally, the IA process is also fully standardised and formalised and involves the input and consultation of a wide range of stakeholders. There have been continuous efforts during the evaluation period to improve the IA mechanism through the revision of its guidelines and the creation of additional tools and resources to guide the assessment of impacts on developing countries. However, only a limited number of IAs actually assessed or even mentioned likely impacts on developing countries during the evaluation period (see indicator 5.1.1), suggesting the various improvements brought about by the revision of relevant guidelines and tools did not enjoy much traction in practice. One issue with the Better Regulation package currently in effect is its ambiguity: while on the one hand the Better Regulation Toolbox (which is a non-binding/advisory document) explicitly mentions the legal obligation set by Article 208(1) of the TFEU with respect to PCD¹⁰⁸ and includes several related provisions in Tool #30 (subsequently Tool #34)¹⁰⁹ Developing Countries, on the other hand the Better Regulation Guidelines (which define the mandatory requirements) are less explicit about the requirement for IAs to assess impacts on developing countries. Furthermore, although Tool #34 Developing Countries is an improvement over previous guidance documents¹¹⁰, it is not clear whether this tool is used in practice by Commission services and whether it is operational enough to guide the assessment of impacts on developing countries, especially for complex policies (e.g., the CAP reform). Hence, the main opportunity for improvement would be to provide more clarity as to when and to what extent impacts on developing countries should be assessed as part of IAs. Ultimately, this is partly¹¹¹ a question of political will: if the Commission is dedicated to ensuring that all IAs on policies with potential impacts on developing countries do systematically “take account of” these impacts, it would be necessary to make this requirement more explicit and clarify the extent to which these impacts are expected to be analysed. Another opportunity for improvement would be for the RSB to systematically check, when reviewing draft IA reports, that potential impacts on developing countries have been assessed. DG DEVCO services have started raising awareness of the RSB in this regard and advocate for the RSB to effectively play this role; it might also be beneficial to increase the development expertise of that body.

Inter-Service Consultation (ISC) is a self-standing mechanism that reflects collective responsibility for policy-making within the Commission. In assessing the ISC process, we consider two distinct aspects of the process:

¹⁰⁷ Until 2015, this independent body was the IA Board, established in 2006, but as part of the Better Regulation package it was replaced on 1 July 2015 by the RSB.

¹⁰⁸ Both Tool #34 Developing Countries (formerly Tool #30) and Tool #26 External Trade and Investment (formerly Tool #22) include an explicit reference to Article 208(1) of the TFEU but describe its implications slightly differently: Tool #26 mentions that “Article 208(1) of the TFEU sets a legal obligation to ensure policy coherence for development (PCD) by providing that the EU “shall take account of the objectives of development co-operation in the policies that it implements which are likely to affect developing countries”; Tool #34 specifies that “Assessing systematically the likely effects of different policy initiatives on developing countries is a requirement based on Article 208(1) TFEU, which stipulates that the EU “shall take account of the objectives of development co-operation in the policies that it implements which are likely to affect developing countries”. This constitutes the legal basis of a concept generally known as “Policy Coherence for Development” (PCD).”

¹⁰⁹ In 2017 new tools were added in the Toolbox and Tool #30 became Tool #34. In the rest of the report, we refer to Tool #34 for clarity.

¹¹⁰ Tool #30 (subsequently Tool #34) was developed following a high-level expert workshop in 2013 and consultation with Commission services; the PCD team contributed to its development.

¹¹¹ The objective difficulties in addressing impact on developing countries could also partly justify why the requirement has not been made more explicit.

- The “informal” ISC process which can start at the very early stage of policy formulation and which consists of informal discussions and consultations among Commission services on the policy orientation and content, and which can run all along the overall ISC process. This process does not rely on a clear set of rules, but rather on informal personal contacts across DGs.
- The “formal” ISC process which can be described as the last stage of the decision-making process and which consists of structured and recorded discussions across Commission services, with a clear set of procedural rules establishing every step of the process and the role of key services to be consulted as part of the general policy-making process.

Both through its informal and formal aspects, the ISC offers an opportunity to ensure that PCD is taken into consideration from the beginning of the general policy-making process, with respect to those policy proposals considered as PCD relevant, even though the ISC set of procedural rules are not particular to support PCD. As a coordination mechanism for general policy-making, it allows DG DEVCO to bring forward development objectives, so that these can be considered within non-development policies likely to affect developing countries, as well as to point out possible incoherencies/synergies with respect to those objectives. Its qualitative assessment echoes that of the IA: there is not always sufficient clarity as regards when DG DEVCO actually takes part in ISC, thus undermining the adequacy of the ISC from a PCD standpoint. Indeed, as developed in other sections of the report, the participation of DG DEVCO in ISC has not been systematic during the evaluation period. Hence, to ensure DG DEVCO’s contribution in the ISC process, it might be important to use a specific PCD mechanism, such as the CWP screening for PCD relevance, in order to strengthen the collaboration with PCD Focal Points (FPs) in Commission services. In the absence of an alert or early warning system informing when a policy proposal listed in the CWP will start with an inter-service group for drafting the proposal or the respective IA, stakeholders involved in the promotion of PCD within each service, such as FPs, could have a more active role in liaising with DG DEVCO prior to the formal ISC process. On the other hand, if DG DEVCO only gets notified once the formal process has been launched it offers limited time to provide input.¹¹² Also, technical expertise and sufficient human resources might represent a challenge for DG DEVCO when participating in ISC processes regarding other policy areas. Furthermore, the ISC process remains a politicised process; in the collective policy-making process, Commission services bring up their own agenda and, even when they aim to achieve win-win situations, trade-offs have to be made.

Awareness-raising mechanisms

PCD awareness-raising mechanisms are found to be reasonably adequate overall, with varying degrees of adequacy per mechanism since strengths, weaknesses, and areas for improvement exist for virtually all mechanisms:

- The **Biennial Report** contains a high-level of detail and exhaustiveness on PCD initiatives undertaken by the various DGs. The report can therefore be used for various applications, including as a basis for awareness-raising presentations on PCD, as a visibility tool among the international fora, and as an online publication to raise-awareness on the EU PCD approach. It also involves a high number of stakeholders at various levels during its preparation, providing a useful framework for a structured debate on PCD. However, the

¹¹² Interviewed stakeholders have pointed out that, unless DG DEVCO is invited to participate by the lead service, in some cases it has been difficult to follow up the moment when policy proposals start an inter-service group prior to the formal ISC process and, therefore, it becomes difficult for DG DEVCO to express their interest on the policy proposal from an early stage. Also, a stakeholder raised the issue that even following a formal ISC process represents a task that requires additional human resources and, if DG DEVCO has not been included from the early stages prior to the ISC formal process, it becomes difficult to react in the short time frame of the formal ISC process.

PCD Biennial is not useful as a PCD monitoring tool¹¹³, although this was one of its initial purposes.¹¹⁴ The single most important opportunity for improvement for the Biennial Report is therefore that it evolves towards a tool to monitor progress of PCD. The precondition for the Biennial Report to become a monitoring tool is the existence of a PCD monitoring framework at the level of individual policies (see Recommendation 3 below).

- **EUD Reporting:** A note that contains awareness-raising information for EUDs and a reminder of EUD responsibilities towards PCD is produced yearly since 2014. However, the EUD Report is of limited usefulness for monitoring and it is not clear how specific issues raised by EUDs are actually followed-up by other Commission services. Thus, an opportunity for improvement of EUD Reporting is linked to the overall issue of the monitoring of progress for PCD, potentially as part of the evolution of the PCD Biennial Report towards a monitoring/progress-assessment tool.
- The **Informal Member States PCD Network**'s meetings consist inter alia of discussions and presentations on the preparation of the PCD Biennial report and the PCD Work Programme / screening by thematic area. The main strength of this activity is that these meetings provide a structured framework for discussions and raise awareness on PCD for EU Member States. However, the high turnover of EU Member States PCD focal points, which undermines the level of technical discussions, the fact that the network spends much time discussing issues that are already covered by the PCD Biennial Report, and the inherent difficulty in assessing the effectiveness of the activity, put the adequacy of this activity into question.
- The **CWP Screening for PCD relevance** aims to prompt a timely and proactive intervention with respect to ISC and IAs regarding those policies identified as PCD-relevant. Its main strength resides in the fact that it is a collaborative process at the planning stage of policy proposals requiring the participation of PCD FPs and that it is shared with the Commission services. When conducted within a formal ISG group for PCD, it allows for follow-up on the actions taken by other Commission services with respect to the identified policies. However, given that there are no clear guidelines on how policies are identified as PCD-relevant and that the ISG group is no longer formal, the activity risks being ineffective and failing to promote ownership of the PCD screening list and the mechanism itself. An opportunity for improvement is linked to the activation of the formal ISG on PCD and the use of this activity to support DG DEVCO's participation in the ISC processes, as well as to create awareness and prompt the other Commission services to take account of development objectives for the identified policies from the early stages of policy-making.¹¹⁵
- **PCD Training** is widely recognized as important to broaden the PCD expertise within non-development services and relevant stakeholders involved in promoting PCD. The main strength of this activity is that it constitutes part of a structured process within the Commission, as it is part of its official training programme, occurs at least once a year, and relies on in-house expertise. The main weakness identified is its limited outreach beyond DG DEVCO and EEAS staff. There is no sufficient evidence at this stage that could allow the evaluation team to assess if the expertise of the attendees to the PCD training has improved following a training module. The only feedback corresponds to one module, which the participants considered as overall good, but too short to cover the topic for a first time.¹¹⁶

¹¹³ The structure and format of the Biennial Report does not fulfil the requirements of monitoring since the report does not report on achievements / results against pre-defined targets / indicators on PCD. Besides, most stakeholders interviewed agreed that the PCD report is useful as an information / awareness-raising tool than a monitoring tool per se.

¹¹⁴ COM (2005) 134 final Policy Coherence for Development: Accelerating progress towards attaining the Millennium Development Goals. The Communication proposed **to monitor progress** on the EU coherence commitments in the context of the MDGs through the elaboration of a mid-term EU Policy Coherence for Development report (p. 19).

¹¹⁵ This paragraph reflects the fact that from 2012 to 2017, no formal ISG on PCD existed. Towards the end of the evaluation exercise, the evaluation team was informed that a formal ISG on the SDGs led by the Secretariat General (SG) of the European Commission has the mandate to cover inter alia PCD.

¹¹⁶ Feedback for training module given on 25.10.2012.

To expand the outreach of training activities, the PCD team recently developed an e-learning tool.¹¹⁷

- **Consultation with developing countries**, under the revised IL for this evaluation, has been placed outside the operational framework of the EU's approach to PCD under the knowledge-sharing cluster, since it does not depend exclusively on the action of the Commission, but still could have an indirect influence on the expected outputs. However, it is still deemed relevant to assess the efficiency of the current consultation framework and mechanisms, as findings suggest that there exist opportunities for improvement of consultation mechanisms with developing countries:
 - At the most formal end of the spectrum, the consultation mechanism set out in article 12 of the Cotonou Agreement to promote the coherence of EU policies that might affect the interests of the ACP countries¹¹⁸ can be mentioned. The legal framework of article 12 of the Cotonou Agreement provides the opportunity to receive feedback from developing countries themselves at the early stages of the EU's policy-making process and, therefore, better assess the impact that those EU policies might have on developing countries. However, this tool cannot be considered as a general consultation tool available to all developing countries since it is only up to the ACP countries to launch the procedure, nor as an information tool to get "first-hand feedback" due to its formal / procedural nature. In practice, the mechanism has almost not been used by developing countries during the evaluation period.
 - Other tools exist which could theoretically be used to gather feedback from developing countries: for instance, policy-specific consultations with developing countries could take place during the IA, EUD reporting could also be used to gather views of developing countries. However, in practice these tools are not very effective as consultation mechanisms according to feedback received by developing country stakeholders.

Redundancies/synergies within/between activities

Selected activities paint a mixed picture in terms of synergies and redundancies. Overall, PCD policy-making and awareness-raising mechanisms can be perceived as *synergetic*: as explained above, IAs and ISCs would ideally ensure that EU policies take account of development considerations, while awareness-raising mechanisms remind users at various levels of the importance of PCD during policy-making. Thus, the two mechanisms are complementary: awareness-raising mechanisms act as *support mechanisms* to the policy-making ones towards output achievement. The awareness-raising mechanisms also complement one another, given that they target different stakeholders.¹¹⁹ However, there appears to be a *missing link* between the two mechanisms, especially between the CWP screening for PCD relevance and the IA activity, as evidenced by the important number of policies identified as being PCD-relevant in the PCD CWP screening (or in the PCD Work Programme) for which impacts were not assessed in the corresponding IAs. This is also shown by the fact that DG DEVCO was not systematically invited to participate in the IA's ISG for policies/initiatives identified as PCD-relevant in the PCD CWP screening (or in the Biennial Reports or in the PCD Work Programme), nor invited to comment on the ISC formal process (not all policies require an IA). There is also a deficiency in terms of consultation mechanisms with developing countries.

¹¹⁷ It was launched in December 2016 and by March 2017, 35 staff members had passed or were taking the course.

¹¹⁸ Partnership Agreement between the members of the African, Caribbean and Pacific Group of States of the one part, and the European Community and its Member States of the other part (signed in Cotonou on 23 June 2000); Agreement amending for the second time the Partnership Agreement between the members of the African, Caribbean and Pacific Group of States, of the one part, and the European Community and its Member States, of the other part, signed in Cotonou on 23 June 2000, as first amended in Luxembourg on 25 June 2005 (signed in Ouagadougou on 22 June 2010).

¹¹⁹ EUD Reporting targets EU Delegations; the Screening/Work programme targets DGs; the Biennial report targets all of the above stakeholders, as well as the general public, civil society, etc.; the Informal Member States PCD Network targets EU Member States; and the training activities target DGs and EU Delegations.

3.3.2 JC 3.2: The extent to which resources available to implement PCD are adequate

Human resources (staffing and expertise)

This analysis of current human resource levels based on the perception of needs at the level of activities suggests the following:

- **Policy-making mechanisms (IAs, ISC) do not necessarily possess adequate resources:** Significant resources are required for policy-making mechanisms (conducting a thorough IA requires important resources and it is not clear to what extent these resources are available within both the lead DG and DG DEVCO, when it is invited to participate in the IA's ISG) and the staffing level within DG DEVCO or line DGs might be a limiting factor during the IA/ISC process. One other important aspect to consider is that DG DEVCO policy officers might not always possess the necessary sector specific technical skills to take part in an IA/ISC led by other DGs in a wide variety of sectors for which DG DEVCO does not possess in-house skills (i.e. Digital society, Financial regulation). On a general level, the required level of resources might depend on the EU's political priorities in this regard.
- **Awareness-raising mechanisms (PCD Team) possess sufficient resources:** Preparation of the PCD Biennial Report is the single most time-consuming task the PCD Team undertakes (about one third of its total human resources are used for this purpose), while other activities, such as EU Delegations Reporting, PCD Screening of the CWP, and PCD Training, do not seem to be as resource intensive but do require the active involvement of human resources from other Commission services and the EEAS. Overall, however, DG DEVCO's challenge to promote PCD does not seem to be linked to a problem of human resources, but rather to the fact that some processes such as the PCD screening of the CWP, are not binding and/or require the active involvement of other services such as the EEAS in the case of EU Delegations Reporting, and of DGs in the case of PCD Training.

Material resources (IT systems, databases)

The single most important limitation with regards to material resources is the limited information available to the PCD Team with regards to upcoming legislative proposals. Given the absence of a long-term Commission Workplan (CWP) and of a user-friendly management information system integrating all stages of policy-making within the Commission, the PCD Team is not aware of all Commission initiatives sufficiently in advance. Thus, they cannot engage in effective awareness-raising to ensure certain initiatives are considered for PCD work (the lack of information about upcoming policy initiatives undermines the exhaustiveness and timeliness of the screening exercise). Even when a policy proposal identified in the CWP has been screened as PCD-relevant, in the absence of an integrated alert system that informs when the lead service is about to initiate an inter-service group for drafting the proposal or the respective IA, DG DEVCO has no means to ensure the respective follow-up and consequent participation in an inter-service group for that proposal.

3.3.3 JC 3.3: The extent to which there is sufficient institutional support, set-up and procedures, and adequate organisational structures to implement PCD

High level support for PCD

Commissioners for Development have, in several occasions, reaffirmed the EU's commitment to PCD in public statements and declarations and have expressed that PCD constitutes a priority of their mandates.¹²⁰ Upon releasing the 2013 PCD Biennial Report, the EU's leadership was said to be "ensuring an effective coherence of its policies with development purposes" and that

¹²⁰ http://europa.eu/rapid/press-release_IP-13-1016_en.htm; http://europa.eu/rapid/press-release_MEX-15-5865_en.htm.

“all EU activities that have an impact on development should be well coordinated to improve results and help overcome poverty worldwide. Policy coherence for development needs to remain at the heart of our future agenda for achieving sustainable development and inclusive growth.”¹²¹ Also, during a 2014 ACP-EU Joint Parliamentary session, the European Development Commissioner reaffirmed PCD as a priority, since “taking development aims into account in other policy areas – making them “pro-development” (...) – makes complete sense” and stressed the need to look beyond the EU and promote a PCD-based approach as a contribution for the global partnership of the post-2015 agenda.¹²² Also, upon the release of the 2015 PCD Biennial Report, the Commissioner expressed his commitment towards PCD as a “personal commitment” and reiterated the role of PCD for the 2030 SDG Agenda, since “formulating sound policies which take into account from the outset the impacts on developing countries will be central to the achievement of the new global goals.”¹²³ In 2016, following a Foreign Affairs Council, the Commissioner expressed, in the presence of the HR/VP, that in the context of the SDG Agenda and the new European Consensus on Development there were three key areas within policy coherence for development: “stronger links between peace and security and development, between migration and development, between humanitarian actions and development.”¹²⁴

PCD has also been reaffirmed as a priority at the highest political level of the Commission when Commission President Juncker requested, in the 2014 Mission Letter addressed to the Commissioner on Development, that he worked “closely with the Commissioners responsible for other cross-cutting policies and, in particular for Migration and Home Affairs; Employment, Social Affairs, Skills and Labour Mobility; Agriculture and Rural Development; Climate Action and Energy; and Environment, Maritime Affairs and Fisheries, to help ensure that our policies are consistent with and support our development goals.”¹²⁵

Institutional support to implement PCD has been clearly present throughout the period of evaluation in varying degrees and responding to specific contexts. Available evidence suggests that, during 2011-2012, there was clear political steering at the highest level to promote PCD, indicating strategic actions and thematic priorities on a monthly basis.¹²⁶ The highest number of Jour-Fixe meetings and meetings, including PCD issues in their agenda, took place in 2011 compared to those occurring later. Reasons for the decrease in number of meetings during the rest of the period are not entirely clear and reasons invoked by stakeholders during interviews varied: some claimed that it was a result of decreasing political commitment, others mentioned changes in management styles, as well as a period lacking clarity in direction due to the transition from MDGs to SDGs. In any case, DG DEVCO has been encouraged to take a proactive stance to promote PCD with respect to EU policies throughout the period. Available evidence suggests that a total of 52 meetings where PCD has been part of the agenda have taken place during the evaluation period.¹²⁷

¹²¹ Statement by former Commissioner Andris Piebalgs, http://europa.eu/rapid/press-release_IP-13-1016_en.htm.

¹²² Statement by European Development Commissioner at the 28th ACP-EU Joint Parliamentary Assembly, Mr. Neven Mimica, 2 December 2014, Strasbourg; <http://www.acp.int/content/statement-european-development-commissioner-28th-acp-eu-joint-parliamentary-assembly-mr-neve>.

¹²³ Statement by Commissioner Neven Mimica; http://europa.eu/rapid/press-release_MEX-15-5865_en.htm.

¹²⁴ Remarks by Commissioner Mimica at the press conference with HR/VP Federica Mogherini following the Foreign Affairs Development Council Brussels, 12 May 2016. https://eeas.europa.eu/headquarters/headquarters-homepage/5163_en.

¹²⁵ Mission Letter of 1 November 2014 addressed to Commissioner Neven Mimica; https://ec.europa.eu/commission/commissioners/sites/cwt/files/commissioner_mission_letters/mimica_en.pdf.

¹²⁶ PCD issues were part of the jour-fixe agenda on a monthly basis during 2011.

¹²⁷ Evidence for period 2009-2010 is incomplete.

PCD-related processes standardisation and organisation

PCD-related processes paint a mixed picture in terms of their level of standardisation:

- **At the level of selected policy-making mechanisms**, the IA and ISC processes have been fully standardised and formalised within the Commission since the introduction of the IA system in 2003 and are a part of the general policy-making process of the Commission according to the Rules of Procedure and the 2015 Better Regulation Guidelines. However, DG DEVCO is not systematically invited to participate in the IA's ISG/ISC, even for policies that have been identified as PCD-relevant. It is important to highlight that these mechanisms are not specific to PCD (see section 2.2. Reconstructed Intervention Logic); therefore, the inclusion of DG DEVCO in the policy formulation process led by other DGs has no clear rules nor has been standardised with respect to PCD.
- **With regards to PCD awareness-raising mechanisms**, there is a high-degree of standardization of PCD-related processes within DG DEVCO for the Biennial Report, the EU Delegations Reporting, the Informal EU Member States PCD Network, and the PCD training. However, there is an insufficient level of standardization for other activities. The Screening of the CWP for PCD relevance, although a collaborative process involving FPs within Commission Services, appears rather informal, not occurring under a formal ISG on PCD. Also, the decision-making process to establish on which basis policy proposals are PCD-relevant is not standardized (see Annex 7 for the detailed process for each activity).

The PCD Team within DG DEVCO is currently the only organisational structure that has been established to promote PCD. No such structure exists in other services that could potentially have an active role to play in PCD (i.e., SG, EEAS, or DG NEAR). There used to exist a formal ISG on PCD, but it is no longer active and the current coordination with PCD FPs within the Commission occurs in an informal capacity. Moreover, within each DG, in addition to the PCD FP, there sometimes are dedicated departments active in the area of development that can take an active role in promoting PCD, such as in DG Trade (trade and development falls under the "Unit for Trade and Sustainable Development, GSP" within DG TRADE, which reflects the fact that DG Trade has developed an institutional know-how on PCD-related issues). Other EU services, such as DG NEAR¹²⁸, DG AGRI¹²⁹, DG MARE¹³⁰ and JRC possess internal capacity allowing them to tackle PCD more efficiently. However, this process is very organic, sector/DG-specific, and has not been tackled systematically by all DGs. Finally, a potential organisational shortcoming is the fact the EU Delegations do not possess PCD FPs.¹³¹

3.3.4 JC 3.4: There is clarity within EU institutions with regards to the modus operandi of each PCD mechanism

A majority of respondents to the Commission and EEAS survey (52.6%) considered the level of knowledge/awareness of the modus operandi of PCD mechanisms as "sufficient", but there was still a sizable share of respondents that did not share this view. The mixed feedback appears to reflect the lack of a common view on what should be the optimal level of knowledge/awareness within EU institutions or whether there is a need for all services to know

¹²⁸ Used to be part of DEVCO.

¹²⁹ DG AGRI is currently developing a sophisticated tool with DEVCO on the impact of the CAP. Related to this, JRC is currently developing a project with AGRI and DEVCO to assess development impact of CAP (no report available yet but to be prepared in 2018).

¹³⁰ DG MARE has long-standing experience negotiating Fisheries Partnerships Agreements, which have an inherent development dimension.

¹³¹ Interviews suggest that PCD work in EU Delegations may be fragmented (officers working for different services within EU Delegations – officers from the EEAS deal with the political level and officers from DG DEVCO deal with the operational level, that is, programme implementation); unless there is clear leadership from the Head of Delegation, the understanding/identification regarding PCD issues at the country level becomes less straightforward.

specifically about the modus operandi of PCD mechanisms, if those mechanisms are embedded and systematised in the broader Commission processes.

At the same time, it can be noted that a majority of respondents to the EUD survey considered the level of knowledge/awareness of the modus operandi of PCD mechanisms as “barely sufficient” (38.1%) or “insufficient” (33.3%): several respondents highlighted a general lack of awareness at Delegation level about PCD and the way it is implemented, and therefore called for more awareness raising and training on the subject.

Beyond the issue of knowledge of PCD mechanisms and their modus operandi, the most critical aspect seems to be that, as suggested by interviews with stakeholders, there is no common understanding of the PCD concept and the EU’s commitment regarding PCD among stakeholders:

- At one end of the spectrum, some stakeholders consider that the EU has an obligation to ensure that none of its internal policies harm developing countries and rather make a positive contribution to the situation of developing countries whenever possible.
- At the other end of the spectrum, some stakeholders consider that the EU is under no obligation to adapt its policies to developing country needs, and that the commitment contained in the EU treaty only means that the EU should “consider” or “be aware” of potential developing countries impact, but that it is under no obligation to adapt or modify its policies accordingly.

3.3.5 JC 3.5: The functioning of the selected PCD mechanisms enhances effective cooperation and coordination between EU institutions and with non-EU institutions

Coordination with EU stakeholders (EU Member States, EP, Council, EEAS, EESC, CSOs)

One important and positive feature of PCD mechanisms is that they often involve coordination with EU stakeholders, hence promoting and fostering inter-service cooperation. This is exemplified in most selected activities:

- The **IA** activity involves coordination with the EP and the Council: after adoption of the concerned policy initiative by the Commission, the IA reports – together with the policy proposals – are transmitted to the EP and the Council for consideration. Depending on the policy initiative, the IA process may include targeted consultations with EU Member States and civil society organisations (CSOs) (in addition to mandatory open public consultations, through which both EU Member States and CSOs can also provide feedback and input). The IA can also involve coordination with EEAS, when it is among the Commission services invited to participate in the IA’s ISG.
- The **ISC process** (both informal and formal stages) remains an internal process that only involves the Commission services (DGs) and the EEAS. It involves coordination among services and, at final stages, joint decision-making at College level.
- The **Biennial Report** involves a high number of stakeholders at various levels, providing a useful framework for a structured debate on PCD. Indeed, the main stakeholders of the PCD Biennial Reports are: the Council, who requested the Commission to monitor and regularly report on the implementation of EU MDG commitments in 2005; EU Member States, which were involved in providing information for the Biennial Reports; and the Commission services and EEAS, which were the main contributors to the Biennial Reports. Furthermore, the Biennial Report is of special concern to the following stakeholders: the EP, which has become increasingly attentive to PCD throughout the evaluation period and is publishing a response to the PCD Biennial Reports since 2011; partner countries, who could have an

interest in PCD; CSOs active on PCD; and think tanks and research institutes that follow EU PCD work.

- **EU Delegations reporting:** The main stakeholders for this activity are the following: the Commission HQs/EEAS, which have the mandate to ensure EU delegations' reporting on PCD becomes a regular exercise; EU Delegations that are active in developing countries, which identify EU policies' synergies with developing countries' contexts and the work of donor agencies and other EU Member States, and promote PCD dialogue at the country level; developing countries' governments and local stakeholders, such as CSOs; donor agencies and EU Member States (embassies); and DG DEVCO, which coordinates and consolidates the country reports.
- **Informal Member States PCD Network:** Available information shows that 11-16 Member States and 4-9 DGs, including DG DEVCO and EEAS, attended the meetings. OECD, CONCORD, and ECDPM were also very often present.
- **PCD Training activities:** Available evidence indicates that training modules have mainly been directed at Commission and EEAS staff, but also at EU Member State officials. During the evaluation period, 11 training sessions on PCD were recorded, with a total of 109 participants. The Council and the EP have pointed out on several occasions the need to broaden the outreach of PCD training and target non-development services. The PCD e-learning tool was released in December 2016 and is addressed to staff in "headquarters and delegations involved in Policy Coherence for Development".¹³² Up to March 2017, 35 staff members had passed or were taking the online course and were mainly from DG DEVCO and EU Delegations.
- **PCD CWP screening** involves the PCD Team at DG DEVCO and FPs within Commission services, as well as staff within DG DEVCO thematic units who provide their input on the selection of the policies. In one occasion, the results of the screening exercise have been communicated to EU Member States; the PCD screening list for 2014 was shared with Member States at expert and CODEV levels.¹³³

Cooperation and coordination with developing countries

Since 2005 and throughout the evaluation period, the EU has clearly recognised the importance of considering developing countries' perspective when taking account of the likely impacts of its policies on these countries.¹³⁴ In terms of the EU's commitment to achieving the MDGs, the Council invited the Commission to further reinforce, *inter alia*, consultations with developing countries during policy formulation.¹³⁵ The PCD Biennial Reports indicate limited use of the consultation procedure as set under article 12 of the Cotonou Agreement by ACP countries.¹³⁶¹³⁷ However, on different levels and to varying degrees, line DGs and the Commission have overall worked in dialogue with partner countries regarding PCD-relevant thematic areas (i.e., CAP reform 2013, Trade Sustainability Impact Assessments (TSIA), GAMM bilateral migration agreements in the form of Mobility Partnerships (MP), Common Agenda for Migration and Mobility (CAMP), and regional migration dialogues, among others.

¹³² Users are required to access the C4DEV website (<https://europa.eu/capacity4dev/learning-space#iqiuwy>) before accessing the PCD e-learning tool.

¹³³ Internal management note, April 2014.

¹³⁴ See Table 2 of the Activity report on Consultation with developing countries.

¹³⁵ Conclusions of the Council and the Representatives of the Governments of the Member States Meeting within the Council – On Accelerating progress towards attaining the Millennium Development Goals: EU Contribution to the Review of the MDGs at the UN 2005 High Level Event– Annex I (doc. 9266/05, 24 May 2005).

¹³⁶ The Cotonou Agreement signed between ACP countries and the EU has, as its primary objectives, poverty reduction and sustainable development. It is the most comprehensive partnership agreement with developing countries, including 79 countries from the ACP region.

¹³⁷ As mentioned above, the consultation procedure as set under article 12 cannot be considered as a general consultation tool available at the disposition of the EU (since it is only up to the ACP countries to launch the procedure) nor as an information tool to get "first-hand feedback" due to its formal / procedural nature.

Only a limited number of PCD mechanisms involve cooperation and coordination with developing countries. Depending on the policy initiative, the IA process may include targeted consultations with developing countries (in addition to mandatory open public consultations, through which developing countries can theoretically provide their feedback and input). However, most other PCD mechanisms do not involve developing countries, with the exception of limited involvement through the EU Delegations report (the degree of cooperation with local stakeholders is difficult to assess) and the Informal Member States PCD Network, which involves civil society (mainly through CONCORD).

3.3.6 JC 3.6: PCD inputs and activities have adapted to adequately implement the EU PCD approach

Adaptation of IAs and ISCs over time

There is evidence that general policy-making mechanisms used by the Commission services have adapted over time. The IA activity was modified on two occasions during the period: in 2009, with the adoption of the 2009 revised IA Guidelines and in 2015, with the adoption of the Better Regulation Package. The exact nature of changes introduced by these revised guidelines is described in detail in Annex 4. The 2009 IA guidelines were an improvement, with respect to PCD, over previous guidelines, in particular due to the explicit provision that every IA should establish whether proposed policy options have an impact on relations with third countries and, in particular, look at impacts on developing countries (the 2009 guidelines also provided some guidance on the assessment of impacts on developing countries, although it remained limited). The 2015 Better Regulation package, consisting of guidelines and an associated toolbox, made further progress, in particular by providing more detailed methodological guidance on the assessment of impacts on developing countries through the inclusion of Tool #34 Developing Countries in the Toolbox.

The ISC process has been improved over the course of the evaluation period, with a clear set of rules for policy-making within the Commission establishing every step of the process and the role of key services to be consulted, such as the Secretariat-General and Legal Service. However, this set of rules is not particular to PCD. Since 2014, the ISC process requires political validation by the responsible Commissioner and Vice-Presidents before it can be launched.¹³⁸

Nevertheless, the effectiveness of these improvements with respect to the implementation of the EU PCD approach is not possible to ascertain since, as shown in section 3.5.1, evidence suggests no improvement over time in the share of IAs that took account of the policies' likely impacts on developing countries. And in the case of the ISC process, in the absence of specific rules/standardised procedures with respect to PCD, as shown in section 3.5.2 DG DEVCO is not systematically invited to participate in the ISC or in the IA's ISG, even for policies that have been identified as PCD-relevant.

Adaptation of PCD awareness-raising mechanisms over time

There is also limited evidence of adaptation of PCD awareness-raising mechanisms during the evaluation period. The structure of the Biennial Report has not evolved in a significant way during the period, nor has the modus operandi of the Informal EU Member States PCD Network. One obvious change is the introduction of the EU Delegations Reporting. However, given its limited usefulness at this point in time (since *inter alia*, and as noted above it is not clear how issues reported by EU Delegations are followed-up by other Commission services),

¹³⁸ Commission Decision amending its Rules of Procedure, 24.02.2010, (2010/138/EU, Euratom), Article 23 of Rules of Procedure; Revised guide to inter-service consultation, SEC (2009) 780, 10.06.2009; The Working Methods of the European Commission 2014-2019, C(2014) 9004, 11.11.2014.

this does not represent a significant improvement to EU PCD mechanisms. Also, a targeted PCD Work Programme for 2010-2013 seems to have been a minor improvement on the tracking of progress with respect to PCD objectives identified for the period. PCD training was implemented at the request of diverse stakeholders and has been tailored to address the specific role of various target groups (for instance the role of EU Delegations in the promotion of PCD).

3.4 EQ4 on Effectiveness and Efficiency

To what extent has the EU PCD approach (PCD-specific mechanisms) led to raised awareness on PCD, which in turn has indirectly influenced policy-making?

The EU PCD approach (PCD-specific mechanisms) has led to limited raised awareness on PCD, and has not directly influenced policy-making:

- **The EU PCD approach has led to limited raised awareness and increased expertise on PCD:** In terms of coverage, the main awareness-raising actions implemented during the review period are the PCD Biennial Report, the 11 informal EU Member State meetings, the 11 training course modules, and the online course following the release of the PCD e-learning tool in 2016 (online courses are individually taken by the participants at any time). We note however that not every awareness raising action is formalized, and DG DEVCO services have indicated that a whole range of other activities have taken place over the period. Since systematic data on such actions is scarce, the evaluation team is not in a position to provide a more precise assessment. Regarding the suitability (stakeholder coverage, content, perceived benefits, etc.) of the actions, findings suggest that awareness-raising actions are not entirely suitable for both endogenous (the nature of the activities) and exogenous (external context) factors. Findings suggest that there is no common understanding of the PCD concept and the EU's commitment regarding PCD among stakeholders interviewed.
- **Raised awareness and increased expertise on PCD have not directly influenced policy-making:** There is no evidence that the PCD awareness-raising mechanisms have had a direct impact on policy-making as demonstrated in EQ5. For the 13 policies selected under level 2, the most important factors contributing to PCD are (i) Political will from the onset of the policy; (ii) Policy-making mechanisms such as the IA and ISC. While there might be an indirect link between awareness-raising mechanisms and actual policy changes, this link could not be established by the evaluation team. However, there are potential positive contributions of DG DEVCO services to changes of behaviour and practices such as the production of the Better Regulation Toolbox; coordination with PCD FP for the production of the Biennial Report.

3.4.1 JC 4.1: The EU PCD approach has led to raised awareness and increased expertise on PCD

Frequency and timeliness of awareness-raising related activities

The following awareness-raising activities have been largely implemented in a timely manner:

- **Biennial PCD Reports:** During the evaluation period, reports were published in 2009, 2011, 2013, and 2015 and were produced in a timely manner.
- **Coordinating and consulting with EU Member States:** The meetings for the Informal EU Member States Network occurred periodically throughout the evaluation period (once or twice yearly, with a total of 11). No significant delay has been noticed.

For other selected activities, sufficient frequency and timeliness is more difficult to ascertain:

- **PCD training activities:** As shown in Annex 4, during the evaluation period, DG DEVCO organised a total of 11 PCD Trainings, which were attended by over 100 participants. However, there are some limitations to the training activities: (i) the largest share of participants was made up by DG DEVCO staff and EU Delegations with limited number of staff from line DGs, EEAS, the EP, and EU Member States and, (ii) available records show that the limited yearly frequency and duration of the training modules might not be

sufficient and a follow up course does not exist. Between the release of the e-learning tool at the end of 2016 and March 2017, of the 78 participants that registered/expressed interest in the online module, only 35 had passed/were taking the course.

- **EU Delegations reporting:** The 2014 reporting exercise involving reports from 41 EU Delegations and covering 62 partner countries enabled the Commission to raise awareness at the country-level on PCD issues. Similar numbers were reported for the 2015 and 2016 exercises.
- **PCD CWP Screening/PCD Work Programme:** The screening of the CWP for PCD relevance has taken place on a yearly basis and, between 2010 and 2013, there was a specific PCD Work Programme for each PCD challenge area. No significant delays in producing the screening exercise have been reported. However, as described under EQ3, the nature/quality of these 2 activities, which are meant to engage with DGs on the relevance of EU policy proposals for PCD, might have decreased during the review period.
- **Consultation with developing partner countries:** The Biennial Reports indicate a very limited use/frequency of the formal consultation procedure as set under article 12 of the Cotonou Agreement during the review period.

Coverage of awareness-raising related activities

Stricto sensu, the only specific awareness-raising actions implemented during the review period and detailed in Annex 4 are:

- The 11 informal EU Member State meetings; and
- The 11 training course modules, and the online course following the release of the PCD e-learning tool in 2016 (online courses are individually taken by the participants at any time).

No other actions are known to the evaluation team, suggesting a limited number and coverage of awareness-raising activities. We note however that not every awareness raising action is formalized, and DG DEVCO services have indicated that a whole range of other activities (such as presentations of the PCD reports, meetings with and missions to Member States, dedicated discussions at events such as European Development Days, UNGA etc.) have taken place over the period. Since systematic data on such actions is scarce, the evaluation team is not in a position to provide more precise numbers.

Suitability of awareness-raising related activities

Regarding the suitability (stakeholder coverage, content, perceived benefits, etc.) of the actions, findings suggest that awareness-raising actions are not entirely suitable for both endogenous (the nature of the activities) and exogenous (external context) factors:

- While the **Biennial Report** is a good source of information, its long narrative format is not very user-friendly. Moreover, it is not possible to know how many stakeholders have actually read the report, but stakeholders interviewed have confirmed that awareness about it usually remains at the level of PCD Focal Points (FP) in Commission services and few other staff within their DGs.
- The meetings of the **Informal EU Member States Network** occurred periodically throughout the evaluation period, but the fluctuating political will of EU Member States and the frequent turnover of EU Member State focal points have undermined its functioning. Moreover, detailed data on the number of participating EU Member States per meeting is not precise enough to derive definite conclusions. Results of the EU Member States Survey revealed a variety of views: some Member States considered that it was an effective mechanism for reporting and sharing best practices, while others regretted that due to a number of factors (including the varying level of representation from Member States) the network mainly has an information sharing role and has limited to no effects on the promotion of PCD by itself.

- **Training activities** have been heavily focused on DG DEVCO and EU Delegations staff. No training evaluation has been conducted and there exists limited evidence on feedback from participants regarding course content and usefulness, making it difficult to qualify the extent of the suitability of the trainings. Also, there is no evidence of follow up after the participants take a course. Survey results showed in general a positive appreciation of PCD training (including the e-learning tool), but at the same time highlighted that many stakeholders (in particular in EU Delegations) were not aware of the availability of such training, and several stakeholders made the point that staff outside DG DEVCO should be more involved in PCD trainings, in particular colleagues in other line DGs in charge of drafting EU legislative proposals.
- The only concrete output of **EU Delegations Reporting** is a note to Heads of Delegations. The information featured in the note might be suitable to provide very general information on PCD; however, its usefulness and suitability are difficult to demonstrate with certainty. Survey results showed that opinions were split on whether EUD reporting, in particular through the EAMR, was effective for monitoring PCD progress: several stakeholders consider that the EAMR remains a very relevant tool and the right framework for EU Delegations to report on PCD, but many others pointed out the tool's limitations, such as: (i) the EAMR is seen as an administrative process to complete and the wider policy implications are often not considered; (ii) due to the high number of questions in the EAMR, the two PCD-related questions may be lost and not given sufficient consideration; (iii) the reports coming from EAMR in many cases do not respond to PCD and show a lack of understanding and awareness of PCD issues (at the same time, one EUD respondent noted that being able to spot and analyse the impacts of EU policies is complex and that EUDs might lack the specialist expertise to do so). On a more general level, respondents in EU Delegations mentioned that interaction with DGs driving EU policies is rare and that there could be a scope for increasing inter-service dialogue to address country-specific PCD issues, at the request of a Delegation.
- With regards to the **PCD CWP Screening**, its suitability is undermined by the fact that the process is largely informal (it no longer happens under the umbrella of a formal ISG on PCD), which does not bind DGs to its findings (a policy found to be PCD-relevant by the screening does not ensure that development objectives or impacts on developing countries will be taken into account during the IA, as outlined elsewhere in this report). Additionally, during the review period there was no evidence available regarding the activation of the ISG on PCD.
- Finally, there is limited evidence of **consultation with developing partner countries** as discussed in previous sections.

Level of knowledge of the modus operandi of PCD mechanisms by non-EU stakeholders

Apart from a relatively small group of EU-based civil society organisations (e.g. CONCORD), think-tanks (e.g. ECDPM), or organisations such as OECD, which have followed or have been involved in PCD issues for years, there appears to be a low level of knowledge of PCD mechanisms – and in general of the EU's approach to PCD – among non-EU stakeholders. This was in particular evidenced by the missions undertaken to developing countries as part of the field phase of this evaluation, which identified a lack of awareness about the EU PCD approach among national stakeholders in all eight visited countries. Besides, similar to what was found for stakeholders within EU institutions (see section 3.3.4), interviews with non-EU stakeholders that are familiar with PCD suggest that there is also no common understanding of the PCD concept and the EU's commitment regarding PCD. There are varying interpretations among stakeholders, ranging from understanding PCD as a commitment of process to understanding it as a commitment of results; also, there is no common understanding of the concept of “synergies” within the EU PCD approach, with some stakeholders considering that it referred

not only to a one way approach (incorporating development objectives into other policy areas) but also to a dual approach (what development can contribute in support of other policy areas) (see JC 1.2).

3.4.2 JC 4.2: Raised awareness and increased expertise on PCD have indirectly influenced policy-making

There is no evidence that the PCD awareness-raising mechanisms have had a direct impact on policy-making as demonstrated in EQ5. For the 13 policies selected under level 2, the most important factors contributing to PCD are:

- Political will from the onset of the policy;
- Policy-making mechanisms such as the IA and ISC.

While there might be an indirect link between awareness-raising mechanisms and actual policy changes, this link could not be established by the evaluation team. However, the following potential positive contributions of DG DEVCO services to **changes of behaviour and practices** could be identified:

- DG DEVCO services actively participated in the production of the Better Regulation Toolbox (although there is limited evidence that the Toolbox has led to actual changes of behaviour and practices).
- DG DEVCO services are actively coordinating with the RSB to ensure that impacts on developing countries are systematically included in IA reports (although this is a recent initiative with no results to show for).
- DG DEVCO services have been proactive in promoting a collaborative approach within the Commission and the EEAS through coordination with FP in these services for the production of the Biennial Report and the elaboration of the PCD Screening of the CWP. However, for the latter, there is no evidence so far of the replication of this collaboration within the DGs and the extent of the FPs involvement in this regard in each DG.

3.5 EQ5 on Effectiveness and Efficiency

To what extent has the EU PCD approach influenced existing or planned policies/initiatives likely to affect developing countries so that they take into account development objectives?

The EU PCD approach has had limited influence on existing or planned policies/initiatives likely to affect developing countries so that they take into account development objectives:

- **Commission policy proposals likely to affect developing countries do not sufficiently take account of development objectives in the IAs and ISC process:** Evidence suggests that during the evaluation period only a limited number of IAs for policy proposals likely to affect developing countries assessed or even mentioned potential impacts on developing countries. Besides, we found that DG DEVCO was invited to participate in the ISC process for only half of relevant policy initiatives during the evaluation period and there is no evidence of an improvement over time. One interesting finding of the assessment however is that the RSB/IA Board has the potential to play a crucial role in ensuring that impacts on developing countries are considered in the IA and thereby that a PCD approach is applied. We also note that the analysis conducted at Level 2 for the selected policies indicates that the quality of the assessment of the impact on developing countries when available is very heterogeneous and varies greatly across policies.
- **EU non-development policies likely to affect developing countries do not generally take account of development objectives as a direct result of PCD mechanisms.** One of the key findings of the evaluation with regards to the effectiveness of PCD mechanisms is that there is a very high degree of correlation between the availability/quality of the impact assessment (the extent to which the IA considers the impact of the policy on developing countries) and

the actual inclusion of development objectives/ considerations in the final draft of the policy. However, it is rather political will (which can be motivated by coherence with EU external commitments in the sector of the policy) from the onset of the policy formulation process than the EU PCD approach per se that seems to be a deciding factor for the treatment of the impact of the policy on developing countries in the IA and the inclusion of development considerations or objectives in the final policy. In such a context, formal processes like the ISC or the IA can be considered tools used to rationalize a political decision.

- **The treatment of cross-cutting issues has improved in the EU non-development policies taking account of development objectives.** There is a strong correlation between the inclusion of development considerations and the inclusion of cross-cutting issues: policies that have strong development considerations or objectives also tend to consider cross-cutting issues.

3.5.1 JC 5.1: Commission policy proposals likely to affect developing countries take account of development objectives in the IAs and ISC process

Prevalence of developing countries impact considerations in Impact Assessments (IAs)

Evidence suggests that during the evaluation period only a limited number of IAs for policy proposals likely to affect developing countries assessed or even mentioned potential impacts on developing countries.

Since 2009, the CSO Global Focus (formerly CONCORD Denmark) has carried out a yearly screening of the Commission's IAs to analyse whether these sufficiently assess potential impacts on developing countries. From 2009 to 2015, Global Focus has analysed 530 IAs, of which 217 were deemed relevant for developing countries.¹³⁹ As shown in Table 6 below, Global Focus found that out of these 217 IAs only 41 (i.e. less than 20%) included a sufficient analysis of impacts on developing countries.¹⁴⁰

Table 6: Analysis by the CSO Global Focus of Commission IAs likely to affect developing countries

Year	Total number of IAs	Number of IAs judged relevant for developing countries	Number of IAs with sufficient analysis of impacts on developing countries	Share of IAs with sufficient analysis of impacts on developing countries
2009	83	47	5	11%
2010	59	26	2	8%
2011	138	66	18	27%
2012	72	20	6	30%
2013	104	30	7	23%
2014	58	24	2	8%
2015	16	4	1	25%
Total	530	217	41	19%

Source: Global Focus, 2016.¹⁴¹

The evaluation team has carried out its own assessment of Commission IAs, using as a sample the policies identified in the "Mapping of PCD policies and initiatives" included in Annex 3 of the Inception Report (i.e. all the policies that have been identified as being PCD-relevant by

¹³⁹ As per the methodology defined by Global Focus, the IA can be determined relevant if: (i) the policy options assessed directly and to a significant extent influence the conditions for the development of developing countries, (ii) there is no doubt about this influence (matters of doubt are determined as irrelevant), (iii) the policy options include a large variation and thus imply a choice of scale, and (iv) the policy options include policies of standardization or harmonization of relevant goods or services. Standards of goods and services are considered technical trade barriers (Global Focus, 2016).

¹⁴⁰ As per the methodology defined by Global Focus, the IA analysis of the impacts on developing countries is considered sufficient if (i) the IA mentions possible impacts, positive or negative, of the policy on developing countries; or (ii) all obvious impacts are assessed (Global Focus, 2016).

¹⁴¹ Global Focus (2016) "Impact Assessments prepared by the European Commission still disregard Developing Countries". Available here: http://www.globaltfokus.dk/images/Politik/PCD/IA_analysis_2016_pdf.pdf.

PCD awareness-raising mechanisms during the evaluation period¹⁴²). Based on this methodology, 54 PCD-relevant IAs were identified,¹⁴³ including 41 IAs that had been carried out in 2009-2016.¹⁴⁴ As shown in Table 7 below, out of this sample of 41 IAs, we found only 19 IAs that included explicit references regarding the policies' likely impacts in developing countries; 8 IAs that mentioned impacts on developing countries, but in a limited fashion or not explicitly enough; and 14 IAs that did not include any references to impacts on developing countries. Furthermore, out of the 14 policies for which the IA did not include any reference to impacts on developing countries, we found 12 policies which can be considered potential missed opportunities.¹⁴⁵ The detailed assessment of all IAs on policies identified in the Mapping can be found in Annex 8.

Table 7: Assessment of IAs taking account of impacts in developing countries

Explicit reference in IAs of policies' likely impacts in developing countries	2009	2010	2011	2012	2013	2014	2015	2016	Total	Share
Yes	4	3	2	3	3	1	0	3	19	46.3%
Yes, but in limited fashion or not explicitly enough	0	0	3	0	1	0	1	3	8	19.5%
No	3	0	0	0	6	1	1	3	14	34.1%
Total	7	3	5	3	10	2	2	9	41	100%

While this assessment may at first appear to point to a much more satisfactory record than suggested by the Global Focus findings, it is important to highlight the following:

- Our analysis is restricted to a smaller sample of 41 policies specifically identified as having potential effects on developing countries through PCD awareness-raising mechanisms (including the PCD CWP screening and the PCD Work Programme); it is, therefore, reasonable to anticipate that a higher share of the corresponding IAs would take account of impacts on developing countries¹⁴⁶; and
- The exact criterion we used to determine if an IA “took account of impacts in developing countries”¹⁴⁷ is less stringent than the criteria used by Global Focus: as part of this exercise, we only assessed whether the IAs explicitly identified potential impacts on developing countries, regardless of the extent to which these impacts are discussed or assessed or whether all possible impacts have been identified. There is indeed a high degree of heterogeneity in the level of the detail with which impacts on developing countries are addressed: some IA reports only mention or briefly discuss these impacts, while some provide a very detailed assessment. The quality and extent were only analysed in detail for those policies that had been selected for further analysis under Level 2 of this evaluation (see further below).

¹⁴² As specified in the Inception Report, the “Mapping of PCD policies and initiatives” gathers all the policies and initiatives mentioned in PCD CWP screening documents, in the Biennial Reports, or in the PCD work programme.

¹⁴³ The number of IAs is much lower than the number of policies/initiatives identified in the mapping, because the mapping also included a high number of non-legislative initiatives or implementing acts that did not require an IA. Also, for some policies that consisted of a package of legislative proposals (e.g., the Digital Single Market Strategy package), we considered the various IA reports produced for each individual proposal as one single IA.

¹⁴⁴ For some policies mentioned in the mapping, the corresponding IAs were actually finalised between 2005 and 2008 (such as for some policies that were mentioned *a posteriori* in PCD Biennial Reports published during the evaluation period).

¹⁴⁵ Two of these policies were not considered as potential missed opportunities, because it was not clear what impacts the policies could possibly have on developing countries.

¹⁴⁶ Ideally, if PCD awareness-raising mechanisms were fully effective in contributing to PCD's main output, one could expect the share of IAs taking account of impacts on developing countries to reach 100%.

¹⁴⁷ I.e., “Explicit reference in IAs of policies' likely impacts in developing countries”.

Overall, both the Global Focus findings and the evaluation team's assessment point to an unsatisfactory record in terms of IAs for policy proposals likely to affect developing countries effectively taking account of impacts on these countries. It can also be noted that there is no evidence of an improvement over time, as the number of IAs that did not explicitly mention potential impacts on developing countries or only did so in a limited fashion, are distributed evenly across the evaluation period. As mentioned under EQ3, this suggests a limited influence of the improvements brought by the revision of IA guidelines and tools during the period (both quantitatively and qualitatively¹⁴⁸).

Participation of DG DEVCO to IAs' Inter-Service Groups (ISGs)

One specific constraint is that DG DEVCO is not always invited to participate in the IA's ISG and, therefore, in related ISC consultations, which limits its ability to ensure that impacts on developing countries are systematically taken into account in the policy-making process. Our analysis of the selected 41 IAs revealed that even for policy initiatives that have been identified as having potential effects on developing countries by PCD awareness-raising mechanisms (such as the CWP screening for PCD relevance), DG DEVCO is not systematically invited to participate in the IA's ISG. As shown in Table 8 below, we found that DG DEVCO was only invited to participate in the process about half the time during the evaluation period and there is no evidence of an improvement over time.

Table 8: Involvement of DG DEVCO in IAs' Inter-Service Steering Group

Involvement of DG DEVCO in IA's ISG	2009	2010	2011	2012	2013	2014	2015	2016	Total	Share
Yes	5	1	3	3	4	2	1	3	22	53.7%
No	2	2	2	0	6	0	1	6	19	46.3%
Total	7	3	5	3	10	2	2	9	41	100%

However, the analysis of the 41 selected IAs also revealed the following:

- The involvement of DG DEVCO in the IA process does not appear to guarantee that impacts on developing countries will be considered: a few IAs for which DG DEVCO was involved that do not mention the potential impacts of the policy on developing countries were identified.
- At the same time, the non-involvement of DG DEVCO in the IA process does not mean that the IA will not consider impacts on developing countries: several IAs for which DG DEVCO was not involved that nevertheless mention/discuss the potential impacts of the policy on developing countries were identified.

The second finding above is positive, as it could suggest that the concept of PCD has been mainstreamed – at least to some extent – in other DGs or Commission services and, therefore, that implementation of the PCD approach does not have to rely only on the intervention of DG DEVCO. However, as mentioned earlier the level of detail of the assessment of impacts on developing countries varies greatly from one IA to another. Even in those cases where the IA considered impacts on developing countries without DG DEVCO being involved, the IA still might have benefitted from the input of DG DEVCO, in order to improve from a brief mention of potential impacts towards a more detailed assessment of these impacts.

¹⁴⁸ In the case of IA reports of policies identified as being PCD-relevant which included explicit references regarding the policies' likely impacts in developing countries, in most cases the "explicit references" consisted in a brief mention of potential impacts on developing countries – there was no evidence of a proper assessment of these impacts. This was the case throughout the evaluation period, both following the introduction of the 2009 IA guidelines and following the introduction of the 2015 Better Regulation package, although regarding the latter the sample of IAs covered was smaller.

Scrutiny of development issues by the IA Board / Regulatory Scrutiny Board

In our analysis of the 41 selected IAs, we also considered the frequency with which the RSB/IA Board commented on development issues and identified nine IAs for which this was the case.¹⁴⁹ For each of these nine IAs (including one where DG DEVCO was not involved), the final version of the IA report did indeed include explicit references of impacts on developing countries: this appears to confirm that, as further explained in Annex 7,¹⁵⁰ the RSB/IA Board has the potential to play a crucial role in ensuring that impacts on developing countries are considered in the IA and thereby that a PCD approach is applied. The fact that the RSB/IA Board does not systematically comment on development issues is not necessarily an issue. If the initial version of the IA report sufficiently addresses impacts on developing countries, there is no need for the RSB/IA Board to comment on it. However, as mentioned above there were still 14 cases in which the RSB/IA Board did not address development issues and where the final IA report did not include any reference to impacts on developing countries, out of which 12 can be considered potential missed opportunities.¹⁵¹

Qualitative assessment of IAs for selected policies

With respect to the selected policies under Level 2 of the evaluation, the quality and extensiveness of the impact assessment undertaken could be summarized as follows:

1. The CAP 2013 reform considered to some extent the impact on developing countries, but the analysis appears to be fairly limited to general considerations and no quantification of impact has been conducted.
2. The GSP Regulation contains some references to developing countries, although the majority of the IA focuses on the impact on the EU market (which is reasonable given the strong development focus of the policy).
3. No IA was carried out for the Trade for All Communication, which is justified given the nature of the policy (enunciation of a set of principles).
4. The EU Action Plan against Wildlife Trafficking has not required an IA, as the purpose of the Communication is to set out strategic orientations. Nevertheless, a supporting SWD accompanying the policy explicitly refers to the economic impact of wildlife trafficking on tourism and government revenue in source countries.
5. The IA accompanying the Proposal for the Common Fisheries Policy reform explicitly analyses four policy options against their economic, social and environmental impact to third countries and considers for each option the external dimension.
6. With regards to the CBCR Reform, Part II of the Impact Assessment focuses exclusively on “financial disclosures on a country-by-country basis”, which is also the basis for the “development” element of the Directive: Chapter 9 of the Directive, which aims at increasing transparency of the payments made by the EU mining and logging industries to governments of resources rich developing countries.
7. The 2008 and 2011 Communications on the Raw Materials Initiative did not require an IA; nevertheless, development considerations were included to a certain extent during the policy formulation process.
8. The Global Approach to Migration and Mobility (GAMM) has not required an IA. Nevertheless, the GAMM Communication is accompanied by a CSWP on Migration and Development, which defines the approach, scope, and depth of what is referred to as the “migration and development pillar”, one of the four pillars of the GAMM with respect to third countries.

¹⁴⁹ See Annex 9.

¹⁵⁰ See: Activity Assessment Tool on Impact Assessments.

¹⁵¹ Two of these policies were not considered potential missed opportunities, because it was not clear what impacts the policies could possibly have on developing countries.

9. With respect to the Digital Single Market Strategy and with regards to the specific example of European Electronic Communications Code (EECC), the IA does not assess the policy's likely economic, social, or environmental impacts in developing countries.
10. The IA of the Review of the EU Blue Card directive includes references to the social and economic impacts of the policy in developing countries; specific Annexes of the IA develop the topics of brain drain regarding health care workers and ethical recruitment from developing countries and develop the topic on circular migration (annex 8), remittances (annex 14), and asylum seekers (annex 16).
11. The IA for "Responsible sourcing of minerals originating in conflict affected and high-risk areas" did consider potential impacts of selected options on conflict-affected regions/countries, which in practice largely consist of developing countries.
12. There are no systematic references to developing countries in the IA for the Communication "A policy framework for climate and energy in the period from 2020 up to 2030".
13. There is almost no mention of developing countries in the IA of the Fourth AMLD and Second Transfer Regulation.

The analysis conducted at Level 2 for the selected policies confirms the overall trend described in Indicators 5.1.1-5.1.3: the quality of the assessment of the impact on developing countries is very heterogeneous and varies greatly across policy. Indeed, out of the 13 selected policies, the following metrics can be reported:

- Three IAs (CBCR, CFP, Blue Card Directive) seem to be of high-quality and are extensive.
- One IA (Responsible sourcing of minerals) does address potential impacts of selected options on conflict-affected regions/countries, but it is potentially not as detailed as it could have been (e.g., the analysis of specific impacts on the Great Lakes region is almost non-existent).
- Two IAs (GSP, CAP Reform) have limited coverage of impacts on developing countries, but this is justified for GSP by the nature of the policy. With regards to the CAP reform, the IA is limited when it comes to the impact on developing countries; however, the methodological challenge of conducting such an IA could be considered a reasonable explanation of the limited scope of the IA.
- Three IAs (Digital Single Market Strategy, the 4th AML package, the Communication "A policy framework for climate and energy 2020-2030") do not assess the impact on developing countries in a satisfactory manner even though they were screened out as PCD relevant (the nature of EU policies and the very specific measures for the internal market could be an explanation as developed below under "missed opportunities").
- Four policies (the RMI, the Trade for All Communication, the GAMM, the EUAP on wildlife trafficking) have no IA (instead, when appropriate¹⁵², each policy has a supporting document that deals to some extent with impacts in developing countries).

This high degree of heterogeneity in terms of coverage, methodology, length, and extensiveness of the IAs for the 13 selected policies seems to be coherent with the findings of EQ3 and the fact that both IA guidelines in effect during the evaluation period are not fully explicit about the requirement to analyse impacts on developing countries (see EQ3, JC 3.1, and IA Activity Report in Annex 7). Moreover, interviews with stakeholders tend to confirm the inherent problems/difficulties of the IA exercise that could also partly explain why its quality varies across policies:

¹⁵² GAMM and the EUAP on wildlife trafficking are accompanied by SWDs. In the case of RMI, the Commission established in 2012 the European Innovation Partnership on Raw Materials (EIP), which has a Strategic Implementation Plan. If the Evaluation Team is not aware of such documents in the case of the Trade for All Communication, this appears to be justified given the nature of the policy.

- **Methodological challenges** It is often very difficult to establish a causal link between internal EU policies and their impact on developing countries, which makes the IA exercise very challenging technically and methodologically. One example of this challenge relates to the 2013 CAP Reform: while DG DEVCO had initially attempted to develop a quantitative model in order to assess the impact of the reform on developing countries, it was decided not to include the model in the final version of the IA of the policy, as the econometric model was not deemed robust enough by the Commission.
- **Resources constraints:** Linked to the above, conducting a thorough IA would require important resources and it is not clear to which extent these resources are available (within both the lead DG and DG DEVCO).

3.5.2 JC 5.2: EU non-development policies likely to affect developing countries take account of development objectives due to PCD mechanisms

Prevalence of developing countries considerations in selected policies

One of the key findings of the evaluation with regards to the effectiveness of PCD mechanisms is that there is a very high degree of correlation between the availability/quality of the impact assessment (the extent to which the IA considers the impact of the policy on developing countries) and the actual inclusion of development objectives/considerations in the final draft of the policy. This establishes the central importance of the IA as a PCD mechanism:

- The three policies that possess high-quality and extensive IAs also contain strong/core developing components: the CFP Reform has a strong development dimension (provisions related to Sustainable Fisheries Partnership Agreements – SFPAs), as does the review of the EU Blue Card Directive (ethical recruitment, circular migration), while the CBCR clause of the Financial Directive has a direct development objective.
- The one policy with an IA that addresses potential impacts on developing countries, but is potentially not as detailed as it could have been (Responsible sourcing of minerals) includes references to development objectives in the regulation, but these remain quite general. “Accompanying measures” appear quite limited and are hardly defined with respect to developing countries.
- The two policies that possess reasonable coverage of the impact on developing countries at the IA level tend to have satisfactory coverage of development considerations: the GSP can be considered a development policy and the 2013 CAP Reform appears to be less distortive on trade (including on trade of developing countries) than its predecessors.
- The three policies (Digital Single Market Strategy, the 4th AML package, the Communication “A policy framework for climate and energy 2020-2030”) that do not assess the impact on developing countries in a satisfactory manner do not contain sufficient development considerations and can be considered missed opportunities.
- On the other hand, those policies that have not required an IA given that they set out strategic orientations, such as the EUAP on wildlife trafficking and the GAMM, still include SWDs that contain a supporting analysis of the issues addressed by the overarching policy. In these particular cases, those supporting documents have mentioned development considerations, which in turn have been reflected in the policy (the CSWP on Migration and Development accompanying the GAMM defines the approach, scope, and depth of the “migration and development” pillar of the GAMM with respect to third countries). Also, the Trade for All Communication and the Raw Materials Initiative pay a fair level of attention to development objectives.

Contribution of PCD mechanisms relative to other factors in ensuring PCD for selected policies

This analysis is complemented with the following findings:

- Political will (which can be motivated by coherence with EU external commitments in the sector of the policy) from the onset of the policy formulation process seems to be a deciding factor for the treatment of the impact of the policy on developing countries in the IA and the inclusion of development considerations or objectives in the final policy.
- In such a context, formal processes like the ISC or the IA can be considered tools used to rationalize a political decision.¹⁵³

At the level of the selected policies and based on the grouping used above, the importance of political commitment and external coherence is exemplified as follows:

- The strong development dimension (SFPAs) contained in the CFP Reform was the “formalisation” of a process that had been evolving since 2004 long before the IA/ISC took place.
- In the case of the CBCR clause, its inclusion in the Financial Directive can be directly linked to external factors (Dodd Frank Act in the US) and the EU’s commitment to the Extractive Industries Transparency Initiative (EITI). Hence, in these cases, the IA might be considered a rationalization tool of a politically-motivated decision by EU policy-makers. In the case of the RMI and the Responsible Sourcing of Minerals Regulation/Communication, a case could also be made that development considerations were linked to the international context prevailing in the extractive sector (Kimberley Process, EITI, Dodd Frank Act, etc.).
- The GSP Regulation can be directly linked to international commitments (WTO/UNCTAD obligations).¹⁵⁴
- The general orientation of the 2013 CAP reform towards less trade distortive measures (elimination of export subsidies, decoupling of subsidies, etc.) was the result of political consensus that pre-dates the PCD mechanisms, such as the IA and the ISC.
- The provisions related to the needs of source countries of wildlife trafficking contained in the EUAP against wildlife trafficking respond to a comprehensive approach (Rio+20 and UNGA Resolution 69/314 on tackling illicit traffic of wildlife) that had been evolving for a while and reached a political apex in the EU given a report from UNODC, a 2014 EP resolution, and the recent link of wildlife trafficking to security and financing of terrorism.
- The development considerations of the GAMM respond to a strong political will expressed at the time, and which appears as a continuum at the highest level and relates to the migration-development nexus. The political will for a comprehensive approach of the GAMM had been foreseen in the 2009 Stockholm Programme and was later reaffirmed by the EUCO in response to the 2011 events of the Southern Neighbourhood.

However, in some cases, there is evidence that PCD mechanisms have been able to influence the content of some of the selected policies: in the case of the Trade for All Communication, evidence suggests that during the ISC, DG DEVCO made several amendments to the Communication in order to strengthen its development considerations. Regarding the review of the EU Blue Card Directive, a proposal that is still pending debate in the EP, the available evidence suggests that the IA and the ISC process have, to a certain extent, enabled the inclusion of development considerations. However, there is no conclusive evidence of the influence of a

¹⁵³ Impact Assessments (elaborated collectively by the services within an inter-service group) inform decision makers on a wide range of policy options (which should anticipate the likely positions of policy-makers and co-legislators) considering in a balanced and comprehensive way societal costs and benefits for different scenarios under consideration. However, IAs are not binding: “Determining when and how EU action should be undertaken, reviewed or repealed is ultimately a political choice.” (See Better Regulation Guidelines, Chapter I, Introduction: (<https://ec.europa.eu/info/sites/info/files/better-regulation-guidelines-better-regulation-commission.pdf>, and Chapter III Guidelines on Impact Assessment).

¹⁵⁴ The scheme was initially created following recommendations by the United Nations Conference on Trade and Development (UNCTAD). It is also based on the WTO’s enabling clause, which permits developed countries to create trading preferences for developing countries.

PCD approach. The participation of DG DEVCO in this process has not been crucial, some of the development considerations have been the contribution of other DGs or had been already taken into account in the former EU Blue Card Directive. Moreover, despite the widely acknowledged migration-development nexus, findings indicate that the need to balance political priorities have limited the extent of development considerations.

Findings on the broader approach to PCD

Related to one of the key findings regarding the varying understanding regarding the EU PCD approach among Commission services, the analysis of the 13 selected policies further allows to establish the following:

- PCD-specific mechanisms, such as the Biennial Report and the CWP Screening, do not play a central role in the policy formulation process; while PCD *non-specific* mechanisms, such as the IA and ISC, play a more significant role in the policy formulation process.
- The development considerations contained in the selected policies (i.e., the “outputs of the PCD process”) are often the direct result of EU international commitments and/or of the policy approach of the own lead DG; and, therefore, cannot be directly attributed to PCD mechanisms. From this angle, the inclusion of development considerations in EU policies seems, in one case, rather driven by the external coherence of EU policies (coherence with international agreements or commitments) than internal coherence (even though as suggested by certain stakeholders EU external commitments might themselves be subject to EU/COM decision making where PCD considerations play an important role). In other cases, the inclusion of development considerations in EU policies can be seen as the result of the own approach of the lead DG to the particular policy with no involvement or specific contribution of DG DEVCO.
- The “development-friendliness” of EU policies can sometimes be an unintended consequence of policy-making (one example is the Anti-Money Laundering Directive which was primarily enacted to improve the fight against money laundering and terrorist financing across the European Union, but which might have a positive impact on developing countries governance).
- There are cases where there is a lack of a “clear” and “explicit” link with the PCD work or process followed in the design of the policy and the foreseen *implementation* activities regarding developing countries.
- The “development” activities (foreseen during implementation of the policy) in developing countries do not necessarily come/stem directly as a result of the policy, as these could already be taking place in a broader context of programmatic actions.
- The “actions” with respect to developing countries are not contained in detail in the policy, but rather are expressed as a general commitment.

Hence, the evidence shows that development considerations / development friendliness / development cooperation objectives / development-related clauses contained in a policy could constitute a distinctive element of the main PCD output as set in the IL of the EU PCD approach regardless of an explicit link with PCD mechanisms during the policy formulation process (i.e., if an EU policy contains development-specific clauses/considerations due to, for instance, an international commitment of the EU, such as WTO, EITI, etc.). Under this definition, even an EU policy that is development-friendly as an unintended effect of policy-making could be considered a PCD output. Therefore, under this broader definition, the main PCD output is not necessarily linked to the application of EU PCD mechanisms.

Missed opportunities

Regarding other policies that have displayed limited or no development considerations (**missed opportunities**), it appears that PCD mechanisms were not effective in influencing the content of the IA or the ISC. Reasons behind these missed opportunities remain unclear. There are some

cases (the evaluation team had access to these records), in which ISC records for the selected policies do not fully reflect the decision-making process. In other cases, the evaluation team has had no access to these records. **In general, given the absence of clarity of the PCD commitment and the variable interpretations thereof, a case could be made that these policies were not PCD-relevant for the services concerned given their very specific focus on the EU's internal market.** Other potential reasons at the policy level might include the following:

- Digital Single Market Strategy: at the time of the policy development there might have been limited awareness within DG CONNECT on the potential relevance of this policy for PCD or insufficient expertise within DG DEVCO to reaffirm the PCD relevance during the ISC process. However, this issue has been addressed during implementation as evidenced on the SWD D4D (see Annex 9).
- 4th AML package: the policy was developed around the time of security concerns in Europe and the terrorist attacks in Paris and given the context the development objective of the policy could have been considered as secondary to the security objective.
- The Communication “A policy framework for climate and energy 2020-2030”: at the time the policy was developed, international negotiations on climate change were taking place so it is possible that the policy-makers focused on the EU's internal energy and competitiveness issues, leaving the external dimension considerations to be discussed in the framework of the international negotiation. The Communication mainly served the purpose of defining the EU's way forward on energy and climate policy with a 2030 horizon, and to define the EU's contribution as part of the international climate negotiations. Also, it is possible that there was insufficient expertise available to address the likely impacts of the policy in developing countries, considering that climate change is such a complex and contested subject.¹⁵⁵ However, in previous occasions the EU's internal action in the context of global climate action has been addressed in an IA (i.e. 2011 IA accompanying the 2050 Low Carbon Roadmap).

3.5.3 JC 5.3: The treatment of cross-cutting issues has improved in the EU non-development policies taking account of development objectives

The treatment of cross-cutting issues in developing countries in the selected policies is heterogeneous. Seven of the 13 selected policies directly address cross-cutting issues:

- GSP+ directly addresses cross-cutting issues in developing countries through the ratification and implementation by beneficiary countries of 27 international conventions on human and labour rights, and environmental protection, and good governance.
- The Trade for All Communication is closely linked to the cross-cutting issues of human rights, gender equality, democracy, good governance, children's rights, indigenous people's rights, environment and climate change sustainability, not only in the EU, but also in developing countries.
- The 2013 CFP reform through the SFPAs inherently takes into account the cross-cutting issues of good governance and environment in developing countries.
- The EUAP against Wildlife Trafficking addresses, at its heart, environmental sustainability and good governance. Even though some critics have pointed out that no specific reference to “indigenous people's rights” is made (despite the fact that indigenous peoples rely on wildlife for their own livelihoods, their traditional knowledge, and tenure over wildlife resources)¹⁵⁶, the EUAP against Wildlife Trafficking does stress the importance of the role of local communities (which in the view of DG Environment includes indigenous people) in addressing wildlife trafficking.

¹⁵⁵ Issue raised in interviews with Commission stakeholders.

¹⁵⁶ http://ec.europa.eu/environment/consultations/feedbacks/wildlife_trafficking/traffic.pdf.

- The Raw Materials Initiative, the Joint Communication/Regulation on Responsible sourcing of minerals and the CBCR inherently address the issue of good governance in developing countries, mainly in the extractive industry.
- The GAMM establishes that the “human rights of migrants are a cross-cutting dimension” and addresses asylum-seekers, stateless persons, and victims of trafficking. It also addresses children’s rights, as it deals with unaccompanied minors, and environment and climate change sustainability when dealing with environmentally-induced migration.

It thus appears that there is a strong correlation between the inclusion of development considerations and the inclusion of cross-cutting issues in developing countries: policies that have strong development considerations or objectives also tend to consider cross-cutting issues.

A special case constitutes the review of the EU Blue Card Directive and the GAMM, since migration per se has become a cross-cutting issue in the context of the MDGs and SDGs.¹⁵⁷ Also, neither policy makes a specific reference to “gender equality” despite having been set as a target in the PCD Work Programme 2010-2013 under the PCD challenge area of Migration.

3.6 EQ6 on EU Added Value

To what extent has the EU PCD approach created additional value beyond what could be achieved by the EU Member States acting independently?

Since EU actions and those of Member States on PCD are based on the commitment contained in article 208 of the TFEU, and framed by the Development Consensus, the EU PCD approach has enabled Member States to foster links at the international level and to present a common institutional and political engagement. The common position of the EU and its Member States in putting forward key global issues, such as PCD, has been recognised as instrumental by the OECD DAC peer review. Regarding the added value that the EU PCD approach provides in the reinforcement of Member States own PCD, the evidence confirms that the EU PCD approach has been influential in EU Member States’ own approach despite their uneven implementation of the PCD commitment. Evidence suggests that the coordination efforts promoted by the Informal EU Member States Network allows Member States to exchange information with a certain periodicity and facilitates awareness on their PCD related actions. Moreover, the preparation and publication of the PCD Biennial report to which EU Member States contribute generates public debate on PCD and peer pressure among Members. There is limited evidence on synergy between EU and EU Member States’ actions regarding the field case studies analysed; a few examples indicate that EU Member States have joined efforts and created synergies due to the nature of the intervention analysed (i.e. M&D pillar of Mobility Partnerships; SFPAs). However, taken as a whole, evidence suggests that these examples are not necessarily part of an overall strategy based on PCD.

3.6.1 JC 6.1: PCD objectives (“existing or planned EU policies/ initiatives likely to affect developing countries so that they take account of development objectives”) could not be achieved by Member States without the EU PCD approach

Added value of EU PCD approach for EU Member States

As part of their shared responsibility, the common vision of the EU and its Member States was established by the Development Consensus, which acknowledged poverty reduction and the pursuit of MDGs as their main objective, as well as the commitment to PCD as a common

¹⁵⁷ UN Declaration of the High-level Dialogue on International Migration and Development, Resolution 68/4 adopted by the General Assembly on 3 October 2013; UN Declaration on International Migration and Development, Resolution 69/229 adopted by the General Assembly on 19 December 2014; UN Declaration on SDG: Transforming our World –The 2030 Agenda for Sustainable Development, Resolution 70/1 adopted by the General Assembly on 25 September 2015.

objective. In 2009, the Council recognised that the EU needed a “whole of the Union approach” if the EU were to succeed in the implementation of PCD to achieve the MDGs. The common position of the EU and its Member States in putting forward key global issues, such as PCD, has been recognised as instrumental in the 2012 OECD DAC peer review.¹⁵⁸

As per the EU Member States survey, the stakeholders recognise that an EU PCD approach is necessary to establish a common base for PCD, as it represents an institutional and political engagement of the EU that reinforces PCD at different levels. The EU being a major player in development (size, geographical reach, and partnership dimension), its role to promote PCD is significant since individual EU Member States could only achieve little if they were to act alone. Stakeholders have also pointed out that even though many policy areas remain an exclusive competence of Member States and national implementation remains their domain, there are other policy areas that, due to their “high impact on development (i.e., trade, agriculture, security, and migration),” would be difficult to implement without a unified PCD approach.

3.6.2 JC 6.2: The EU PCD approach has enabled the EU and EU Member States to create links, avoid fragmentation and foster cooperation with the international community (UN, OECD) on development issues

Influence of EU PCD approach in international fora

Council Conclusions of the period under evaluation and even before show that the commitment to PCD has been brought forward in positions adopted by the Council and presented on behalf of the EU and its Member States at international conferences dealing with poverty reduction, the economic and financial crisis, migration, biodiversity and climate change. Back in 2005, the Conclusions of the Council and the Representatives of the Governments of the Member States Meeting within the Council adopted a position on the EU Contribution to the Review of the MDGs for the UN 2005 High Level Event, in which they reaffirmed that the Union was firmly resolved to play a major role within the United Nations in general and committed the EU Member States and the Commission to strengthen PCD to support developing countries achieving the MDGs.¹⁵⁹ Common positions in which PCD is seen as an element to achieve MDGs and other development objectives, were adopted by the Council for the EU position for the UN High-level Conference on World Financial and Economic Crisis and its Impact on Development, the Rio+20 participation, the UN Special Event to follow up on efforts made towards achieving the MDGs, the EU position at the UN Open Working Group (OWG) on SDGs, 2013 UN High-Level Dialogue on Migration and Development, the position of the EU and its Member States in the Addis Ababa Third International Financing for Development Conference, the UN summit for the adoption of the Post-2015 development agenda, the Paris 21st Conference of the Parties to the UN Framework Convention on Climate Change, and the discussions on decent work in global supply chains at the 105th International Labour Conference.¹⁶⁰

¹⁵⁸ OECD, European Union Development Assistance Committee (DAC) Peer Review 2012, p. 28.

¹⁵⁹ Conclusions of the Council and the Representatives of the Governments of the Member States Meeting within the Council, 24 May 2005, doc. 9266/05.

¹⁶⁰ Council conclusions on Supporting developing countries in coping with the crisis - EU position for the United Nations High-level Conference on World Financial and Economic Crisis and its Impact on Development, 2943rd External Relations council Meeting of 18 May 2009; Council conclusions of the 3118th Environment Council meeting of 10 October 2011; Council Conclusions on the Overarching Post 2015 Agenda, 25 June 2013; COM(2013) 92 final A decent life for all: Ending poverty and giving the world a sustainable future; Conclusions of the Council and of the Representatives of Governments of the Member States meeting within the Council on the 2013 UN High-Level Dialogue on Migration and Development and on broadening the development-migration nexus, 19 July 2013; Council Conclusions on A New Global Partnership for Poverty Eradication and Sustainable Development after 2015', 26 May 2015; Council conclusions on the EU and Responsible Global Value Chains, as adopted by the Council at its 3462nd meeting held on 12 May 2016.

Furthermore, following the Development Consensus, in the New European Consensus on Development formally adopted in June 2017 the EU and its Member States have committed to apply the principle of PCD as a fundamental part of the EU's contribution to achieving the SDGs.¹⁶¹

3.6.3 JC 6.3: The EU PCD approach contributes to reinforcing EU Member States' own PCD

Influence of the EU PCD approach on EU Member States mechanisms

By 2007, according to the first PCD Biennial Report, 27 EU Member States at the time were using a total of 91 PCD-promoting mechanisms: 33 explicit policy statements or laws, 48 administrative or institutional mechanisms, and 10 knowledge-input and -assessment tools.¹⁶²

In 2015, the PCD Biennial Report recorded, on the basis of the contributions received from 25 EU Member States, that 13 of them had reported having a legal basis for PCD, all implying a legal commitment obliging their governments to pursue PCD objectives and requiring all policy initiatives to take into consideration the objectives of development cooperation.¹⁶³ In addition, 18 EU Member States reported that their governments had a political commitment to PCD either as part of their development policy or development cooperation strategy; 20 reported having PCD coordination mechanisms; and 17 reported that their parliament was involved in PCD. Moreover, 14 had reported focusing on specific thematic priority areas for PCD in alignment with some of the EU's five PCD challenge areas. Though other countries also focused on different thematic areas (i.e. taxation, social protection, illicit financial flows, and textiles).¹⁶⁴

The evidence available confirms the influence of the EU PCD approach in the adoption of PCD mechanisms by EU Member States: nine out of the ten respondents to the EU Member States Survey confirmed that the EU PCD approach has contributed, at least partially, to reinforcing their own PCD commitment and one EU Member State specifically mentioned that they use the EU PCD approach as the basis of their own PCD policy. Findings suggest that in addition, for several respondents the work at the level of the OECD on PCD has also had a certain influence on their PCD policy. Stakeholders interviewed have pointed out that the commitment towards PCD is not even among EU Member States, in some cases due to their recent appropriation of the approach but also due to a difference in how the approach is applied within their own government structures, as well as being dependant on political cycle. Also, evidence from the Surveys points to the fact that PCD is strongly implemented in Member States where there already exists an important commitment to poverty reduction, which is enshrined in EU Treaties.

¹⁶¹ "The EU and its Member States will apply the principle of policy coherence for development (PCD), and will take into account the objectives of development cooperation in all external and internal policies that they implement and that are likely to affect developing countries. PCD is a fundamental part of the EU's contribution to achieving the SDGs." The New European Consensus on Development: Our World, our Dignity, our Future, as adopted by the Council at its 3540th meeting held on 19 May 2017 (doc9459/17) and officially signed by the President of the European Parliament, the Prime Minister of Malta, on behalf of the Council and member states, the President of the European Commission, and the High Representative/Vice President, on 7 June 2017.

"We reaffirm our commitment to promoting policy coherence for development, based upon ensuring that the EU shall take account of the objectives of development cooperation in all policies that it implements which are likely to affect developing countries, and that these policies support development objectives." The European Consensus on Development, Joint statement by the Council and the representatives of the governments of the Member States meeting within the Council, the European Parliament and the Commission on European Union Development Policy: 'The European Consensus' (2006/C 46/01).

¹⁶² CSWP SEC(2007) 1202, PCD Biennial Report, p. 27.

¹⁶³ SWD(2015) 159 final, 2015 PCD Biennial Report, p. 19-20.

¹⁶⁴ SWD(2015) 159 final, 2015 PCD Biennial Report, p. 19-20.

Coordination among EU Member States and the Commission on PCD

As part of the joint engagement of the EU and EU Member States to promote PCD, exchanges between the Commission and EU Member States have taken place through the Informal PCD Network of EU Member States which meets once or twice a year, and the reporting contributions for the PCD Biennial Reports.

From a meeting attendance rate of nine EU Member States, it has increased over the years to reach more than 20 at a given time. Also, in 2005, in the context of supporting the MDGs, the Council instructed the Commission to monitor progress in the EU and all Member States on commitment on PCD and to report on it every two years. The number of EU Member States contributing each time to the Biennial Reports ranges from 21 to 28.¹⁶⁵ This participation in both awareness-raising activities could be related to an increase in EU Member States' commitment towards PCD as evidenced in the above indicator.

Stakeholders interviewed consider that the PCD network allows Member States to exchange views on PCD and offers an opportunity for visibility of the work they undertake. Some stakeholders even consider that without this informal set to exchange information, awareness on PCD at the level of Member States would fade. Moreover, the preparation and publication of the PCD Biennial report to which EU Member States contribute, raises awareness on the progress made by Member States on PCD, generates public debate on PCD and peer pressure among Members, and contributes to increase ownership on PCD within the EU.¹⁶⁶

3.6.4 JC 6.4: The EU PCD approach reinforces EU Member States' priorities and commitments regarding poverty reduction in developing countries (with respect to selected case studies)

EU PCD mechanisms reinforce EU Member States commitments in developing countries and create synergies/avoid contradictions

The inclusion of a specific development objective in the GAMM, the Migration and Development (M&D) pillar, has fostered cooperation and coordination with respect to specific actions and commitments previously agreed to by EU Member States participating in the Mobility Partnerships (MP) for Cape Verde and Armenia. It is important to point out that the very nature of the MP requires the involvement and coordination of EU Members States participating in the partnership, but according to the field findings this is not always an even participation given their varying priorities in each country.¹⁶⁷ However, in both MPs some EU Member States have joined efforts and created synergies, though limited in scope, through their respective development agencies (e.g. IPAD/CAMOES (Portuguese Cooperation Agency; AECID (Spanish Cooperation Agency for International Development; LuxDev (Luxembourg Development Agency), to implement specific actions regarding the M&D pillar in the context of the MPs (see Annex on Country Notes: project CAMPO for Cape Verde, and TIA (component on development) for Armenia). Also, the findings show that current structures for the coordination of the MPs, although not related to PCD mechanisms, do not guarantee an effective monitoring of the impact of the actions implemented under the MPs, making the identification of synergies and/or incoherencies in this respect rather challenging.

With respect to the CFP reform, one example of synergy between SFPAs and the work of EU Member States' development agencies in the respective countries is the link between the "fees

¹⁶⁵ CSWP SEC(2007) 1202 ,PCD Biennial Report, p.38; Activity Assessment Tool EU Members States Informal Network, annex 1-Overview of meetings; Inception Report Annex 2 – table 1 EU PCD Biennial Report.

¹⁶⁶ The EP since 2009 has published a response to the PCD Biennial reports (see EP Resolutions (2009/2218(INI), (2012/2063(INI)), (2013/2058(INI)), (2015/2317(INI)); and has a Standing Rapporteur on PCD.

¹⁶⁷ See specific Country Notes in Annexes 9.7 and 9.8.

in kind” provision included in the latest protocols of the EU-Mauritania SFPA,¹⁶⁸ and AECID’s work in the area of food security in Mauritania, specifically its support to the local National Company for the Distribution of Fish (SNDP).¹⁶⁹ In general, the development outcomes of SFPAs and the work of EU Member States’ development agencies in the respective countries appear to generate synergies; the on-site presence of a fisheries attaché representing DG MARE in the EU Delegation potentially contributes to enhancing coherence with development cooperation activities in the fisheries sector.

Trade policy is an exclusive competence of the EU, rather than the EU Member States. Therefore, the contribution of PCD to EU added value in relation to the GSP is an issue of secondary importance. The role of EU Member States in reinforcing the developmental benefits from GSP for the beneficiary countries could mostly stem from support being provided to increase export capacity in beneficiary countries – notably, among the case study countries, in Mozambique, where the limited level of support provided by the EU was found to be a constraint for the GSP’s impact achievement. However, no evidence could be found that EU Member States development support would have complemented the GSP/EBA or preferences under the ACP regime by providing technical assistance or other support aimed at enhancing export capacity in the country; in general, like EU assistance, trade or export related support by EU Member States has been limited, but some interventions have taken place by the Dutch, German and Swedish development cooperation. In Vietnam, some examples of complementarity between the GSP, the EU’s support, particularly under the MUTRAP programme¹⁷⁰, and EU Member States initiatives are present, for example the Netherlands’ Transition Facility, set up to facilitate the transition of countries, including Vietnam, from an aid to a trade relationship. Also, on the ground coordination between the EUDs and EU Member States missions clearly takes place, including in the institutionalised coordination groups, although this is not explicitly referenced to PCD.

With regards to the EU Action Plan against wildlife trafficking, there is limited evidence in the field indicating that EU PCD mechanisms reinforce EU Member States commitments and priorities in developing countries. While there is ample evidence of EU Member States involvement in wildlife conservation (bearing in mind the socio-economic development of adjacent local communities) through their bilateral cooperation agencies (inter alia Germany through GIZ in Burkina Faso, and France through AFD in Kenya), and while there is also evidence that EU technical cooperation projects directly or indirectly linked to the EUAP against wildlife trafficking are implemented in coordination with EU Member State initiatives (for instance, GIZ will continue to be involved in the management of protected areas of Burkina Faso under EU funding), there is no evidence of causality (i.e. there is no evidence that the involvement of EU Member States is a result of the EUAP against wildlife trafficking or PCD). Rather, EU Member States and EU involvement, although being coherent, also seems coincidental.

¹⁶⁸ The “fees in kind” provision specifies that some segments of the EU fleet shall contribute a small percentage of their catches to the policy of fish distribution to people in need: this levy, which was first introduced in the 2013-2014 protocol of the SFPA, has thereafter been extended by Mauritanian authorities to all foreign vessels fishing in Mauritanian waters.

¹⁶⁹ In parallel, AECID launched a project aimed at improving the access of the Mauritanian population to fish consumption with a view to strengthen food security: this project assisted in particular with the design and set up of the SNDP, which started its activities in 2014 and has benefitted from AECID’s support ever since. All the catches collected under the “fees in kind” provision are taken over by the SNDP and in accordance with Mauritanian legislation, passed to the people in need through SNDP’s distribution network

¹⁷⁰ The EU has provided ample trade and investment related support to Vietnam, notably under the four generations of the Multilateral Trade Assistance Project (MUTRAP). The last phase of this ran from 2012 to early 2018 and had a total budget of EUR 16.5 million; it aimed at furthering “Vietnam’s integration into the global, ASEAN and sub-regional trading systems as well as enhance EU-Viet Nam trade and investment relations, as means to maximize the benefits for the country’s economic development, inclusive growth, and poverty reduction.

At a general level, the evidence based on the surveys on Commission services, EUDs and EU Member States suggests that most respondents consider that the EU PCD approach reinforces at least to some extent EU Member States' priorities and commitments regarding poverty reduction in developing countries¹⁷¹. Also, some respondents consider that the commitment to poverty reduction stems from their own development cooperation priorities but recognise that the EU PCD approach can influence other Member States to work in the same direction.

3.7 EQ7 on Impact

To what extent have changes in the design and implementation of EU policies and initiatives brought about by incorporating a PCD approach influenced outcomes and impacts in developing countries?

To answer this question, case studies on the impacts of four specific policies in eight specific countries were undertaken. All four selected policies contain development considerations and therefore can be said to have incorporated a PCD approach during the policy formulation process: in that sense, all four policies are among the best practices with respect to PCD. In this context, it is important to stress that:

- The findings below only pertain to the countries selected for the case studies. The impact of a policy on developing countries may vary greatly across countries, not only because of the general heterogeneity of developing countries but also because the causal links underlying the effects of the policy on third countries are often country-specific. As a result, the case studies can only provide a partial snapshot of the impact of selected policies in developing countries. On a more general level, this also illustrates the challenge in evaluating the impact of the EU PCD approach: the impacts of a given EU policy on developing countries generally vary greatly across countries and can only be assessed on a case-by-case basis.
- The findings below must be interpreted bearing in mind that all four policies were selected because they have incorporated a PCD approach during the design of the policy. Therefore, they are considered among the best practices with respect to PCD at the level of policy formulation, and this fact should not be undermined despite mixed or negative findings on the policies' impact at the level of implementation in selected countries.

Based on the case studies' findings, the changes in the design and implementation of the four specific policies brought about by incorporating a PCD approach have only influenced outcomes and impacts in the eight specific developing countries in limited ways. Moreover, when the four specific policies have had a positive development impact (with limited unintended effects), one cannot necessarily establish a direct contribution of the EU PCD approach to these limited successes, as shown by the findings related to the four specific policies:

- **Common Fisheries Policy (2013 reform):** The evolution over time of successive protocols of the SFPAs (Sustainable Fisheries Partnership Agreements) with Mauritania and Senegal suggests that the SFPA instrument can be considered to have progressively incorporated a PCD approach, with a certain degree of success in terms of development impact. The SFPAs' most evident impact in Mauritania and Senegal is their contribution to improving fisheries governance. While the SFPAs can also be said to have contributed to the local economy and to employment in both Mauritania and Senegal, these impacts have been relatively limited. These positive (but limited) impacts should however be pondered by the fact that development considerations that have been progressively incorporated into the SFPAs were not so much the result of PCD mechanisms but rather of the negotiations and dialogue with Mauritania and Senegal, which led the EU to better take into account potential impacts of the SFPAs on these countries and in general development considerations.
- **Generalised Scheme of Preferences (GSP):** The GSP's overall performance in terms of outcome achievement – measured by its effect on exports, output and investment – is considered as mixed for Mozambique and for Vietnam. In terms of impact achievement (e.g.

¹⁷¹ 58.3% of all respondents to the Commission and EEAS, EU Member States and EU Delegations surveys answered either "partially" or "substantially" to the question "To what extent does the EU's approach to PCD reinforce EU Member States' priorities and commitments regarding poverty reduction in developing countries?"

employment), the GSP's contribution also appears to be quite limited in both countries, in Mozambique partly as a result of lacking complementary support to develop the country's export capacity, which could have been expected had a stronger focus on PCD been present. De iure, the GSP, being a policy instrument dedicated to poverty reduction and sustainable development, has been in line with PCD principles. However, policy coherence (or rather, policy parsimony) within the EU's trade policies could be an issue due to the overlap of different preference instruments, and casts doubt on the relevance of individual instruments at least for certain countries. In addition, despite the overall embeddedness of the GSP in the developmental agenda, in practice the GSP has not been used as an element in a comprehensive developmental policy but "just" as a trade preference regime in isolation - a GSP without complementary adequate support to enhance productivity, at least in LDCs like Mozambique with clear supply capacity constraints, does not provide this; it therefore lacks an important developmental element, which points to limited performance in terms of PCD.

- **EU Action Plan (EUAP) against wildlife trafficking:** Since most relevant EU actions at the level of Kenya and Burkina Faso can only be *indirectly* linked to the EUAP against wildlife trafficking (these actions are often implemented in the context of traditional development cooperation, led by DG DEVCO without any concrete involvement of DG Environment), the "PCD" content of the EUAP against wildlife trafficking does not appear to be prominent. Besides, very few stakeholders on the ground (including EUD staff) were even aware of the existence of the EUAP against wildlife trafficking, suggesting that the EUAP against wildlife trafficking is more of a communication tool on EU development assistance linked to wildlife trafficking than a policy with clear and measurable effects and impacts.
- **Global Approach to Migration and Mobility (GAMM):** GAMM's PCD approach is clearly reflected in the M&D pillar of the policy, and specific actions have been included in each MP with respect to M&D. Actions implemented under the M&D pillar of the MPs with Cape Verde and Armenia have been positive but rather limited in terms of number and scope of actions, size of budget allocation, and continuity compared to the other pillars of the MPs (Legal migration, Border management and irregular migration, International protection and asylum). Actions aimed at reducing remittance transaction costs, promoting diaspora investment, diaspora skills transfer, skills matching-schemes, pre-departure measures, and reintegration, have had limited scope. Therefore, in terms of impact, the contribution of the GAMM appears to be quite limited when it comes to the specific development actions implemented. It should be noted that the development provisions included in the GAMM respond to the political considerations at the time regarding the migration-development nexus, and that implementation of MPs will depend on effective programming.

Based on the assessment of the 13 selected policies undertaken as part of level 2 of the evaluation (i.e. the evaluation of the outputs of the PCD process on selected EU initiatives/policies), the evaluation team established a further selection of 4 policies to be analysed under level 3 of the evaluation (i.e. the evaluation of the outcomes and impacts levels based on agreed field case studies).

In accordance with the agreed methodology for the evaluation of the EU's PCD at impact level (see Annex 12), several exclusion and selection criteria were used, the first of which consisted in removing from the initial sample of 13 policies all those that do not contain development considerations or make reference to development cooperation objectives. This implies that all four policies that were eventually selected contain development considerations or specific development-related provisions and therefore can be said to have incorporated a PCD approach during the policy formulation process and taken account of development cooperation objectives. In that sense, all four selected policies can be considered some of the best practices with respect to PCD.

Level 3 of the evaluation focused however specifically on assessing the outcomes and impacts of these selected policies' development considerations or development-related provisions in developing countries. For this purpose, it was agreed to select for each of the four policies two

countries that would serve as case studies on the policy's impact on developing countries: see final selection of policies and countries in Table 9 below.

Table 9: Selection of case studies

Selected policies	Selected countries
Common Fisheries Policy (CFP) (reform 2013)	Senegal Mauritania
Generalised Scheme of Preferences (GSP)	Mozambique Vietnam
EU Action Plan against Wildlife Trafficking (EUAP)	Kenya Burkina Faso
Global Approach to Migration and Mobility (GAMM)	Cape Verde Armenia

We present below a summary of the main findings of the eight country case studies, by selected policy (the detailed country notes for each individual case study can be found in Annex 9).

In this context, it is important to stress that the findings summarised below pertain specifically to the countries that were selected for the case studies and, in most cases, can hardly be generalised to other developing countries. Indeed, the impact of a selected policy on developing countries may vary greatly across countries, not only because developing countries are in general a very heterogeneous group of countries but also because the exact causal links underlying the effects of the policy on the respective countries are often country-specific¹⁷².

As a result, the findings presented below can only provide a partial snapshot of the impact of selected policies in developing countries. On a more general level, this also illustrates the challenge in evaluating the impact of the EU PCD approach: the impacts of a given EU policy on developing countries may vary greatly across countries and generally can only be assessed on a case-by-case basis.

Finally, the various findings presented in this section must be interpreted bearing in mind that as mentioned earlier all four policies were selected because they have incorporated a PCD approach during the design of the policy. Therefore, they are considered among the best practices with respect to PCD at the level of policy formulation, and this fact should not be undermined despite mixed or negative findings on the policies' impact at the level of implementation in selected countries.

3.7.1 JC 7.1: The extent to which the Common Fisheries Policy (2013 reform) has had positive development outcomes and impacts in Mauritania and Senegal

The SFPAs¹⁷³ (Sustainable Fisheries Partnership Agreements) with Mauritania and Senegal have proved through their successive protocols to evolve over time to better take into account the interests of Senegal and Mauritania and their respective fisheries sector, and to ensure sustainable exploitation of resources. In particular, the conditions laid out in recent protocols (authorised species and fishing areas) appear to have been effective in mitigating potential negative impacts on the economic development of the fisheries sector of both countries. In

¹⁷² For example, with respect to the CFP case studies while the EU has concluded SFPAs with a number of partner countries, each individual SFPA is different from another, in terms of, *inter alia*, scope, technical conditions and financial contributions: in addition to the heterogeneity across partner countries (e.g. in terms of fisheries, social and economic structure, etc.), these specifics influence greatly the impacts an individual SFPA may have on the partner country and make it difficult to reach conclusions on the impacts of SFPAs on developing countries based on two country case studies.

¹⁷³ The SFPA instrument is the key instrument around which is articulated the CFP's external dimension, which is why the case studies focused on assessing the development impacts of the SFPAs that were concluded with Mauritania and Senegal.

terms of the SFPAs' contribution to (positive) development outcomes and impacts, the assessment is however more mixed:

- The SFPAs' most evident impact in Mauritania and Senegal is their contribution to improving fisheries governance. The SFPAs provide a transparent framework for EU vessels' activities in the waters of the Mauritania and Senegal and contributes to regular monitoring of the state of fish stocks. The ripple effect on other agreements signed by Senegal and Mauritania with other partners is however not always evident.
- While the SFPAs can be said to have contributed to the local economy and to employment in both Mauritania and Senegal, these impacts have been relatively limited.
- Sectoral support – which is considered as a key tool for achieving SFPAs' development objectives – has experienced significant delays in its implementation in both Mauritania and Senegal. In general, while the sectoral support components under the SFPAs with Mauritania and Senegal appear to have had positive effects, their exact impact is difficult to measure in the absence of indicators.

Coordination and coherence with development cooperation is to some extent ensured by the on-site presence of a fisheries attaché representing DG MARE in the EU Delegations in Mauritania and in Senegal. The fisheries attaché plays a direct role in monitoring the implementation of the protocols and can coordinate on the ground with colleagues at the EU Delegation in charge of development cooperation, with a view to ensure for example the complementarity and consistency between sectoral support actions and development cooperation projects. However, ensuring PCD in the field, once SFPA protocols have been negotiated and agreed, remains a very challenging exercise – and the challenges are often linked to the very different processes underlying the design of (i) SFPAs (which are the result of a commercial negotiation) and (ii) development cooperation policy, as well as the different procedures used by DG MARE and DG DEVCO (in this regard, it can be noted that in Mauritania the implementation of sectoral support under the SFPA presents some inconsistency with EU's development policy, considering that the EU recently stopped providing budget support in Mauritania due to the country's failure to comply with the eligibility criteria defined in DG DEVCO's Budget Support Guidelines).

Overall, the evolution over time of successive protocols of the SFPAs with Mauritania and Senegal suggests that the SFPA instrument can be considered to have progressively incorporated a PCD approach, although it appears that it was not so much the result of PCD mechanisms but rather the result of the negotiations and dialogue with the respective developing countries (Mauritania and Senegal), which led the EU to better take into account potential impacts of the SFPA on these countries and in general development considerations.

3.7.2 JC 7.2: The extent to which the Generalised Scheme of Preferences Regulation has contributed to poverty eradication by expanding exports from Vietnam and Mozambique to the EU

The GSP's overall performance in terms of outcome achievement – measured by its effect on exports, output and investment – is considered as mixed for Mozambique and Vietnam:

- In the case of Vietnam, despite the relatively limited scope of the GSP for Vietnam, the preference regime has had a positive impact on Vietnam's exports to the EU, aided by the simplification of rules of origin, at least for some sectors, and EU support to Vietnamese firms in meeting EU market access requirements. However, sectors not covered by the GSP have been more important for Vietnam's economic growth and development than the GSP sectors.

- In the case of Mozambique, the effect of the GSP on exports was limited: despite the preferences accorded under the GSP's EBA regime, exports to the EU have overall performed less well than Mozambique's total exports – although there are exceptions for a few (important) sectors such as sugar and aluminium, for which EU tariff preferences have been of prime importance. Nevertheless, even for these sectors the added value of the GSP, as opposed to other preference regimes, has been limited as these were traditionally exported under the ACP preferences, and the EBA was used only after the expiry of the ACP regime in the autumn of 2014, thus providing only a residual role to the GSP. The reasons for Mozambique's limited export performance to the EU are varied, mostly related to the limited productive capacity of Mozambique. Lack of complementary support by the EU to overcome supply side constraints has also contributed to limited exports to the EU.

In terms of impact achievement, the GSP's contribution appears to be quite limited in both countries. Employment in Vietnam has grown strongly; although this growth cannot be attributed to the GSP, the causal chain from preferences to higher exports and higher employment makes it highly probable that the GSP indeed contributed to higher employment in the country. Besides, stakeholders also stated that the development model supported by the GSP – i.e. the focus on labour-intensive primary and light manufacturing sectors – has now become obsolete, as growth comes from more sophisticated goods (mostly electronics), where the EU does not apply tariffs. In Mozambique, the EU preference regimes have considerably contributed to employment generation in Mozambique, at least in the sectors where exports have been found to have been impacted on by the preferences. Mozambique's exports have also diversified both in terms of markets and sectors. However, the GSP's contribution is not clear, as both exports to the EU and exports to the world have diversified, and the latter even more than the former; there is no clear pattern that would differentiate the concentration of exports to the EU from exports elsewhere. Overall, thus, the impact of the EU preference regimes¹⁷⁴ on Vietnam's and Mozambique's development has been quite limited, and the GSP impact even more so, given the residual role it has played.

The GSP being a policy instrument dedicated to poverty reduction and sustainable development, it should come as no surprise that, *de iure*, it has been in line with the principles of PCD. However, policy coherence (or rather, policy parsimony) within the EU's trade policies could be an issue due to the overlap of different preference instruments, and casts doubt on the relevance of individual instruments at least for certain countries. In addition, despite the overall embeddedness of the GSP in the developmental agenda, in practice the GSP has not been used as an element in a comprehensive developmental policy but “just” as a trade preference regime in isolation. A GSP without complementary adequate support to enhance productivity, at least in LDCs like Mozambique with clear supply capacity constraints, lacks an important developmental element, which points to limited performance of the GSP in terms of the PCD concept.

3.7.3 JC 7.3: The extent to which the EU Action Plan against Wildlife Trafficking is likely to contribute to development objectives by engaging in and benefiting local communities from wildlife conservation in Burkina Faso and Kenya

The EUAP against wildlife trafficking's overall performance in terms of outcome achievement is difficult to ascertain since the Communication has only been recently published, and since

¹⁷⁴ GSP, but also ACP preferences in the case of the Mozambique (ACP preferences were also studied as part of the Mozambique case study because of the near total overlap with the EBA and the fact that ACP preferences were the ones mainly used).

no project directly stemming from the action plan has started to date. Assessment of the potential outcomes of the policy has however revealed interesting findings:

- DG DEVCO's approach to wildlife conservation in Burkina Faso over the last 20 years was for the most part coherent with the approach subsequently laid out in the EUAP against wildlife trafficking with some limitations. While, in line with the EUAP against wildlife trafficking, all large scale regional EU conservation interventions have possessed workstreams aiming at improving livelihood and involvement of adjacent populations (with a certain degree of efficiency and success), the focus on enforcement (foreseen in EUAP against wildlife trafficking) was more limited.
- In Kenya, the EU has had a limited role in the field of wildlife conservation in the past (although the EU has financed a few actions targeting local communities near protected areas). Besides, actions laid out in the EUAP against wildlife trafficking are not revolutionary in the context of Kenya: the involvement of local communities (including promotion of alternative livelihood) in the conservation of wildlife is not a new concept in Kenya. In terms of enforcement, the Government of Kenya's actions pre-dating the EUAP against wildlife trafficking have been effective.

Hence, based on past experience and the context of the 2 countries, the potential impact of the EUAP against wildlife trafficking on wildlife conservation (while preserving and promoting the socio-economic development of adjacent populations) is mixed:

- In the case of Burkina Faso, given the perceived positive impact of past EU actions (implemented before the publication of the Communication EUAP against wildlife trafficking), and based on the positive perception of stakeholders concerning future actions that can be *indirectly* linked to the EUAP against wildlife trafficking (which *inter alia* focus on enforcement), it seems reasonable to assume that EU action will continue to have a positive impact on the conservation of Burkina Faso's wildlife, with limited unforeseen or unexpected negative consequences.
- In Kenya, despite the sharp recent increase in EU funded projects in the area of wildlife conservation that could be *indirectly* linked to the EUAP against wildlife trafficking, it is difficult to ascertain that the EUAP against wildlife trafficking as such will have a sizeable and measurable impact on Kenya's development. First, most EU actions are rather limited in size compared to actions being implemented in parallel by the Government of Kenya or other donor agencies. Second, since most EU actions will build on existing efforts pre-dating the EUAP against wildlife trafficking, as such it will be impossible to "isolate" the exact contribution of the EUAP against wildlife trafficking.

With respect to the PCD dimension, since most EU actions at the level of Burkina Faso and Kenya can only be *indirectly* linked to the EUAP against wildlife trafficking (since these actions are often implemented in the context of traditional development cooperation (led by DG DEVCO without any concrete involvement of DG Environment), the "PCD" content of the EU Action Plan against wildlife trafficking does not appear to be very prominent. Besides, very few stakeholders on the ground (including EUD staff) were even aware of the existence of the EUAP against wildlife trafficking, suggesting that the EUAP against wildlife trafficking is more of a communication tool on EU development assistance linked to wildlife trafficking than a policy with clear and measurable effects and impacts.

3.7.4 JC: 7.4: The extent to which the Global Approach to Migration and Mobility (GAMM) has contributed to poverty reduction by facilitating the legal migration of third country residents towards the EU and promoting social and economic development in Cape Verde and Armenia

The inclusion of a specific development objective together with other objectives pursued within the GAMM aims to reach a balanced approach regarding migration management.¹⁷⁵ The PCD approach of the GAMM is clearly reflected in the M&D pillar of the policy, and specific actions have been included in each MP with respect to M&D. Nevertheless, the actions implemented under the M&D pillar of the MPs with Cape Verde and Armenia, under the GAMM's framework, have been rather limited in terms of number and scope of actions, size of budget allocation, and continuity compared to the other pillars of the MPs (Legal migration, Border management and irregular migration, International protection and asylum).¹⁷⁶ Therefore, in terms of impact, the contribution of the M&D pillar of the GAMM appears to be quite limited when it comes to the development actions implemented under each MP.¹⁷⁷ Overall, MPs appear to have been effective in contributing to the countries' capacity building regarding improvement of their legal frameworks and government institutions managing migration and border security:

- Cape Verde and Armenia have signed Visa Facilitation Agreements and Readmission Agreements with the EU. However, labour circular migration is not yet implemented despite the existence of bilateral agreements with EU Member States, especially in the case of Cape Verde. Both countries rely heavily on remittances (for Cape Verde mainly originating in EU countries, and for Armenia mainly coming from Russia), with a volume higher than other external flows such as FDI and ODA, and are being mainly destined for education, health and household income support. Regarding the actions undertaken under the M&D pillars of each MP, these have remained limited to pilot projects, in some cases dating back to the beginning of the implementation period of the MPs with each country.
- In both cases the actions aimed at reducing transaction costs or promoting diaspora investment have been very limited. With respect to actions undertaken regarding social remittances (diaspora skills transfer, skills matching-schemes, pre-departure measures), these have had limited scope. Regarding skills matching schemes, these have been limited and not part of a continuous process, and in absence of circular migration schemes it is not possible to establish a significant impact. In the case of Cape Verde, the transfer of skills and knowledge through students' mobility and highly qualified professionals appears to have the potential for significant impact in the country's human capital. The specific actions related to reintegration have been limited to pilot projects and there has been no follow up to the few entrepreneurial activities supported. In the case of Armenia, even though support reintegration measures for returned people through the Referral Centre for Reintegration (RCR) are in place, the needs exceed the financial support available.

The inclusion of the M&D pillar within MPs appears as a consequence of the GAMM's incorporation of a PCD approach. It should be mentioned that the development provisions

¹⁷⁵ The case studies on the GAMM focus on the Mobility Partnerships as they constitute one of the main tools of implementation of the GAMM with respect to partner countries.

¹⁷⁶ The four pillars of the GAMM are: Pillar 1 - better organising legal migration, and fostering well-managed mobility; pillar 2 preventing and combatting irregular migration, and eradicating trafficking in human beings; pillar 3- maximising the development impact of migration and mobility; and pillar 4- promoting international protection, and enhancing the external dimension of asylum. However, here we use the labelling employed to identify implemented actions within the Scoreboards for each MP.

¹⁷⁷ It should be noted that these case studies do not constitute an assessment of the impact of the overall EU's migration policy, as this would require taking into consideration the broader implications of the 2015 EU Agenda on Migration and the 2016 Partnership Framework which correspond to another set of priority countries. Most of the actions and projects implemented under the M&D pillar of the MPs analysed started in 2009 (Cape Verde) and 2012 (Armenia).

included in the GAMM respond to the political considerations at the time regarding the international debate on the migration-development nexus. However, MPs have not guided a comprehensive approach towards migration and development for the countries concerned. The fragmented nature of MPs, given the various stakeholders involved and uneven levels of commitment during implementation on the activities foreseen, together with a lack of centralised management of information, does not allow the effective assessment of stakeholders' priorities and remains a challenge for coherence.

3.8 EQ8 on Sustainability

To what extent is the PCD approach sustainable?

The commitment to PCD enshrined in article 208 of the TFEU has been reaffirmed at the highest political level within the Commission, as well as the Council during the period of evaluation. Several Council Conclusions and Commissioner statements confirm that there is continued political will in support of PCD with respect to specific areas of policy such as trade, environment, climate change, migration, conflict and crisis situations, agriculture, fisheries, energy, finance. The new European Consensus on Development adopted by the Council and the representatives of the governments of the EU Member States meeting within the Council, the EP, and the Commission, and the European Action for Sustainability, confirm that PCD is an essential element of the EU's response to the sustainable development challenge enshrined in the EU treaties and the political commitment contained in the SDGs Agenda. To ensure the sustainability of PCD as part of a continuous learning process within policy making, non-specific PCD mechanisms such as IA and ISC which are embedded in the policy formulation process are being used to promote PCD across different policy areas. However, evidence suggests that these mechanisms, despite changes introduced in the IA guidelines and Better Regulation Guidelines to improve them, are not used to their full potential to ensure that likely impacts in developing countries are taken into account in the early stages of policy-making. With respect to PCD specific mechanisms, awareness raising mechanisms play an important role in promoting PCD among policy makers, though evidence suggests that their influence is limited. Evidence also suggests that during the evaluation period certain changes such as the decline of the formal ISG on PCD and of the validation process and follow up of the PCD Screening of the CWP, and the weakness/inexistence of monitoring and evaluation tools to assess PCD impact¹⁷⁸, have the potential to affect PCD sustainability. Evidence on the use of IA and the selected policies analysed suggests that sustainability for PCD is required as part of a long-term process requiring continuous political backing and learning.

3.8.1 JC 8.1: There is adequate political will and continuous learning to ensure sustainability of PCD at EU policy-making level

Political will support for PCD

Since 2009, the Council has reaffirmed in several Conclusions in different policy areas – not only in PCD-specific Council Conclusions, but also in the areas of Migration, Trade, and Security (see JC 6.2. and JC 2.2.) – its commitment to the promotion of PCD in the policies that the EU implements, and to strengthening the coherence and enhancing the linkages between development and migration, trade, environment, and conflict and crisis situations.¹⁷⁹

¹⁷⁸ This is the first external evaluation on PCD and the case studies included are limited to the specific countries and policies selected for the assessment of PCD impact.

¹⁷⁹ Council conclusions on Supporting developing countries in coping with the crisis - EU position for the United Nations High-level Conference on World Financial and Economic Crisis and its Impact on Development, 2943rd External Relations council Meeting of 18 May 2009; Council conclusions of the 3118th Environment Council meeting of 10 October 2011; Conclusions of the Council and of the Representatives of Governments of the Member States meeting within the Council on the 2013 UN High-Level Dialogue on Migration and Development and on broadening the development-migration nexus, 19 July 2013; Council conclusions on the EU and Responsible Global Value Chains, as adopted by the Council at its 3462nd meeting held on 12 May 2016; Council Conclusions of 21 December 2010 on trade policy, welcoming the Communication on “Trade, Growth and World Affairs: Trade Policy”. Council conclusions on the EU’s comprehensive approach, 12 May 2014; Council

The Council has also acknowledged the need to account for synergies between climate objectives and the SDGs, of which PCD is an integral element as per the commitments of the New European Consensus on Development adopted by the Council and representatives of the governments of the EU Member States meeting within the Council, the EP, and the Commission.¹⁸⁰ Also, the commitment to coherence of the EU's CAP and agricultural trade policy with respect to development policy has been reaffirmed at the highest level.¹⁸¹

As stated under JC 3.3., the Commission has reaffirmed its political will at the highest level to continue working on PCD issues. The Commissioner for International Cooperation and Development has within the context of the SDGs agenda and the new European Consensus on Development, highlighted PCD's role in the areas of peace and security and development; between migration and development; and, between humanitarian actions and development; in line with the EUGS.¹⁸² These PCD priority areas are added to those already stated in the Mission Letter Commission President Juncker addressed to the Commissioner.¹⁸³

It is important to state that, according to a third of the stakeholders interviewed, even though the Commission is committed to PCD, unless there is a clear and concrete definition of the EU's approach to PCD in the wider context of the SDGs Agenda and that of PCSD, the leading and positive role of the EU in the promotion of PCD can be compromised. Stakeholders have also mentioned that political commitment is not evenly balanced across Commission services or among EU institutions; for instance, the Council has expressed that the SDGs will be a crosscutting dimension of the EUGS, but it is yet to be seen how the EU's approach to PCD will align with new priorities at the centre of the EU external agenda since the on-going work of the Commission regarding the SDGs Agenda is at its early stages.¹⁸⁴

Good practices, lessons learned, and changes

The PCD Focal Points networks at the level of the Commission services and EU Member States respectively, are a positive practice on which DG DEVCO relies to create awareness on the EU's PCD approach. The high rotation among FPs demands to keep the networks active as an important contact point to exchange information on PCD issues, and thereby guarantee the sustainability of the EU PCD approach as part of a continuous learning process. The fact that there is also periodical reporting on PCD issues engaging the Commission, the EU Member States and the EU Delegations contributes to this process. However, according to the evidence stated in previous sections, there still is a need to enhance awareness by continuous training on

Conclusions on Trade, 21 November 2014; Council conclusions on the EU's trade and investment policy as adopted by the Council on 27 November 2015.

¹⁸⁰ Council of the European Union of 24 June 2014: Conclusions on the EU Climate Diplomacy COP 21.

¹⁸¹ Statement of the Commissioner for Agriculture and Rural Development, January 2015. https://ec.europa.eu/agriculture/sites/agriculture/files/developing-countries/cap/coherence-brochure-2015_en.pdf.

¹⁸² Statement by European Development Commissioner at the 28th ACP-EU Joint Parliamentary Assembly, Mr. Neven Mimica, 2 December 2014, Strasbourg; <http://www.acp.int/content/statement-european-development-commissioner-28th-acp-eu-joint-parliamentary-assembly-mr-neve>; Statement by Commissioner Neven Mimica; http://europa.eu/rapid/press-release_MEX-15-5865_en.htm. Remarks by Commissioner Mimica at the press conference with HR/VP Federica Mogherini following the Foreign Affairs Development Council Brussels, 12th May 2016, https://eeas.europa.eu/headquarters/headquarters-homepage/5163_en.

¹⁸³ These areas are Migration and Home Affairs; Employment, Social Affairs, Skills and Labour Mobility; Agriculture and Rural Development; Climate Action and Energy; and Environment, Maritime Affairs and Fisheries. Mission Letter of 1 November 2014 addressed to Commissioner Neven Mimica; https://ec.europa.eu/commission/commissioners/sites/cwt/files/commissioner_mission_letters/mimica_en.pdf

¹⁸⁴ Council conclusions on implementing the EU Global Strategy in the area of Security and Defence of 14 November 2016; Council conclusions on the Global Strategy on the European Union's Foreign and Security Policy 17 October 2016. Sustainable Development in the European Union: 2017 Monitoring Report of the Sustainable Development Goals in an EU context, EUROSTAT, <http://ec.europa.eu/eurostat/documents/3217494/8461633/KS-04-17-780-EN-N.pdf/f7694981-6190-46fb-99d6-d092ce04083f>, SDG Watch Europe Not fit for purpose: SDG monitoring report fails to illustrate how far the EU is from a sustainable future, 20 November 2017. https://docs.wixstatic.com/ugd/09175c_30e9d8eda4144f40b71eb8b487ba6d69.pdf

PCD for all Commission services and EEAS staff involved in policy-making and involved in follow-up actions such as monitoring and evaluation.

Changes encountered during the period of evaluation may lead to PCD being less sustainable: the lack of formal follow up on the PCD Screening of the CWP as well as the fact that there is no longer an ISG on PCD which provided a formal structure under which to discuss PCD issues. In addition, the absence of a PCD strategic framework for the new SDG Agenda, as it was present for the MDGs (PCD Work Programme 2010-2013), implies a tool to guide the work of the EU regarding PCD in the post-2015 context, taking into account the priorities set in the 2030 Agenda but also those priorities established in the new Consensus on Development and the EUGS, is missing. A work-programme on PCD linked to reliable indicators and targets is paramount to the possibility of assessing PCD impact once a policy is implemented. As the field cases have shown, evidence on impact is limited due to the absence of effective monitoring and evaluation mechanisms. As much as the PCD commitment can be understood “to look at likely effects in developing countries” (focused on the process of policy formulation), the existence of an adequate monitoring and evaluation mechanism would lead to the possibility of identifying incoherencies during implementation and provide the opportunity to address them, as well as facilitating the identification of cases in which synergies have worked with other EU policy areas in favour of the end goal of the EU’s development policy.

3.8.2 JC 8.2: The EU’s PCD mechanisms have become embedded / a permanent part of policy formulation process

PCD mechanisms embedded in the policy formulation process

The only mechanisms that are embedded in the policy-making process are the IA and ISC. These are non-specific PCD mechanisms that are employed to promote PCD from the onset of the policy formulation process. However, as the findings regarding EQ5 show, these non-specific PCD mechanisms are not used to their full potential. Stakeholders confirm that there is a need to create more awareness on PCD across different policy areas to ensure that the likely impacts in developing countries are taken into account during the early stages of policy-making.

4 CONCLUSIONS

This section presents the main conclusions of the evaluation, based on the responses to the evaluation questions and main findings.

4.1 Conclusion 1: The EU has exercised a lead role on PCD during the period of evaluation

The EU has exercised a lead role on PCD, an ambitious objective within the complex task of policy making which requires the balancing of trade-offs and synergies across policy domains to respond –in line with EU’s commitments and development objectives— to the challenges and needs of today’s interconnected world.

All EQs

The EU occupies collectively a lead role on PCD in the international context as its commitment towards PCD is enshrined in fundamental law, article 208 of the TFEU. This commitment has been confirmed successively in different Council Conclusions and Communications issued during the period of evaluation.

The EU has prioritised PCD as a means to contribute to the achievement of its international commitments on development:

- The EU PCD approach adapted in direct response to the international development context framed by the MDGs, transitioning from a no harm approach to a synergies approach.

- Now, in the context of the SDGs agenda, PCD is considered as a fundamental part of the EU's contribution to achieving the SDGs, as expressed in the New European Consensus on Development.

The Commission has acted as a lead institution in the implementation of PCD and to this end:

- The Commission has continued to improve the existing policy-making framework introducing successive changes to IA Guidelines and Better Regulation Guidelines to further PCD.
- Commission services across policy domains have been involved in the implementation of the EU PCD approach, despite the limitations mentioned in this report (Conclusions 5, 7 and 8).
- The Commission has continued to raise-awareness on PCD through online PCD training, and involving other EU institutions, such as the EP and the EEAS, and EU Member States on PCD reporting through Biennial reports and EU Delegations reporting.

4.2 Conclusion 2: The EU's political will on PCD and added value are confirmed and reinforce the sustainability of the EU PCD approach

The EU's political will on PCD expressed as a common position of the EU and its Member States reinforces the sustainability of the EU PCD approach and promotes key global issues

This conclusion is based mainly on EQ 4, EQ6 and EQ 8

As evidence suggests, the common position of the EU and its Members States is instrumental in putting forward the EU PCD approach at the international level, and constitutes one of the elements required to guarantee the sustainability of the EU PCD approach:

- The Council of the European Union has reaffirmed its political will towards PCD throughout the period of evaluation. It has brought forward the EU PCD approach in positions adopted by the Council and presented on behalf of the EU and its Member States at international conferences on topics of poverty reduction, migration, trade, biodiversity and climate change, and conflict and crisis situations.
- This political will has been reaffirmed in the current context of the SDGs Agenda, the EU and its Member States have integrated PCD within the New European Consensus on Development as a common approach in response to their contribution to the SDGs.
- As findings demonstrate, the coordination efforts facilitated by the Informal EU Member States Network, while having certain limitations due to the informal nature of the mechanism, (i) allow Member States to exchange information on PCD with a certain periodicity, (ii) raise awareness on their own PCD related actions, priorities and progress made, and (iii) promote the common PCD EU approach.
- Participation of EU Member States in the PCD Biennial Report, (i) raises awareness on the progress made by Member States on PCD, (ii) generates public debate on PCD and peer pressure among Members, and (iii) contributes to increase ownership on PCD within the EU.
- Stakeholders have recognised that an EU PCD approach is necessary as a common base for PCD among Member States, as it represents an institutional and political engagement of the EU that reinforces PCD at different levels.

4.3 Conclusion 3: The EU PCD approach is not clearly and sufficiently defined

There is no commonly accepted definition of PCD, which makes the evaluation of the EU PCD challenging

All EQs

Findings suggest that there is no common understanding of the EU PCD approach and EU's commitment regarding PCD among stakeholders interviewed:

- At one end of the spectrum, some stakeholders consider that the EU has an obligation to ensure that none of its internal policies harm developing countries and rather make a positive contribution to the situation of developing countries whenever possible.
- At the other end of the spectrum, stakeholders consider that the EU is under no obligation to adapt its policies to developing country needs, and that the commitment contained in the EU treaty only means that the EU should "consider" or "be aware" of potential developing countries impact, but that it is under no obligation to adapt or modify its policies accordingly.

- The evidence shows that stakeholders differ with respect to the EU's PCD approach especially when it comes to "synergies". Some stakeholders perceive it as a one-way approach incorporating development objectives into other policy areas to generate positive development outcomes, whereas other stakeholders consider that synergies imply a "dual carriage" also consisting of what development can contribute to support other policy areas. The absence of a clear definition of the EU PCD commitment makes the evaluation of PCD challenging. Despite the fact that PCD is presented in certain recent EU official documents as a legal commitment enshrined in the EU Treaties¹⁸⁵ and that there have been quite a few Communications explaining the EU PCD approach, there is a lack of clarity among institutional stakeholders with regards to the understanding on the extent of the commitment of the EU on PCD.

4.4 Conclusion 4: The EU PCD approach remains relevant at the strategic level but requires yet to be fully adapted to the new SDGs context and current interconnected challenges

The EU PCD approach, though remaining relevant to the changing context, has yet to be further clarified at the operational level in view of important contextual and institutional changes towards the end of the review period

This conclusion is based mainly on EQ 1 and 2

As demonstrated in EQ 1 and EQ2, the EU PCD approach continues to be relevant at the strategic level to respond to global and interrelated challenges which will require coherent policies taking account of the three dimensions of sustainable development. However, the EU PCD approach has not yet fully adapted at the operational level despite important contextual changes at the end of the review period:

- **International commitments:** During the review period, the new European Consensus on development which reflects a paradigm-shift in development cooperation following the adoption of the 2030 Agenda on SDGs has come into effect. It acknowledges the global challenges as complex and interconnected and the universality of the SDGs. The new Consensus re-affirms the EU's commitment to PCD and states its fundamental role as part of the EU's contribution to achieving the SDGs and to the broader objective of Policy Coherence for Sustainable Development (PCSD). Despite initial operational steps taken, such as the inclusion of PCD as a standing point within the general agenda of the ISG on SDGs coordinated by SG, yet no specific targeted approach on PCD within the SDGs context has been defined indicating priority areas or target policies on which Commission services should focus, and no clarity was provided on the role of the EU PCD approach across Commission services, except for general commitments included in the European Consensus on Development; nor has the Screening of policies for PCD relevance been formalized within this ISG group.

¹⁸⁵ Both Tool #34 Developing Countries (formerly Tool #30) and Tool #26 External Trade and Investment (formerly Tool #22) include an explicit reference to Article 208(1) of the TFEU but describe its implications slightly differently: Tool #26 mentions that "Article 208(1) of the TFEU sets a legal obligation to ensure policy coherence for development (PCD) by providing that the EU "shall take account of the objectives of development co-operation in the policies that it implements which are likely to affect developing countries"; Tool #34 specifies that "Assessing systematically the likely effects of different policy initiatives on developing countries is a requirement based on Article 208(1) TFEU, which stipulates that the EU 'shall take account of the objectives of development co-operation in the policies that it implements which are likely to affect developing countries'. This constitutes the legal basis of a concept generally known as "Policy Coherence for Development" (PCD)". Also, the COM(2018) 460 final, 2018/0243(COD), Proposal for a Regulation of the European Parliament and of the Council establishing the Neighbourhood, Development and International Cooperation Instrument, 14.06.2018, mentions the following: "Whereas: (5) The Union shall ensure policy coherence for development as required by Article 208 of the Treaty on the Functioning of the European Union. The Union should take account of the objectives of development cooperation in the policies that are likely to affect developing countries, which will be a crucial element of the strategy to achieve the Sustainable Development Goals defined in the 2030 Agenda for Sustainable Development ('2030 Agenda') adopted by the United Nations in September 2015. Ensuring policy coherence for sustainable development, as embedded in the 2030 Agenda, requires taking into account the impact of all policies on sustainable development at all levels — nationally, within the Union, in other countries and at global level".

- **Institutional changes:** With the creation of the EEAS in 2011,¹⁸⁶ the organisational structure of DG Development was altered to give way to DG International Cooperation and Development, which also succumbed to further modifications with the creation of DG Neighbourhood and Enlargement Negotiations. However, the creation of the EEAS and changes in two further structures implementing development policy has not signified an evolution in the implementation of the EU's approach to PCD, except for the role assigned to EU Delegations on PCD reporting. Moreover, the feedback from EU Delegations is not yet followed in a systematic way.
- **Geopolitical context:** The relevance of the EU's approach to PCD from the perspective of development policy seems to have shifted towards other priorities at the end of the period of evaluation following the rising security concerns at the European level and the migratory crisis of the Mediterranean. However, the understanding of the PCD commitment in this new context, and in view of the priorities established in the EU external agenda, mainly the EUGS and the recent Multi-Annual Financial Framework 2021-2027¹⁸⁷, is yet to be clarified.

The above contextual and institutional changes do not necessarily affect the relevance of the EU PCD approach, as ratified by a number of references to PCD in literature/international fora on development and development-related issues, as well as PCD in EU overarching policy documents (PCD specific, Development Consensus, PCD Council Conclusions). However, the EU has yet to communicate clearly on how these changes will affect the nature of its commitment and the approach to be followed in the new context of the SDG Agenda.

4.5 Conclusion 5: Despite some recent improvements, PCD mechanisms have limited efficiency

Despite evidence that PCD mechanisms have adapted over time with a view to improve, "missing links", a high degree of informality of the PCD mechanisms and the absence of clear set of rules, and insufficient resources, risk of undermining the EU PCD approach

This conclusion is based mainly on EQ 3

There is evidence that policy-making mechanisms have adapted over time during the review period:

- The IA activity was modified on two occasions during the period: in 2009, with the adoption of the 2009 revised IA Guidelines and in 2015, with the adoption of the Better Regulation Package. The 2009 IA guidelines were an improvement over previous guidelines, in particular due to the explicit provision that every IA should establish whether proposed policy options have an impact on relations with third countries and, in particular, look at impacts on developing countries (the 2009 guidelines also provided some guidance on the assessment of impacts on developing countries, although it remained limited). The 2015 Better Regulation package, consisting of guidelines and an associated toolbox, made further progress, in particular by providing more detailed methodological guidance on the assessment of impacts on developing countries through the inclusion of Tool #34 Developing Countries in the Toolbox.
- The ISC process has been improved over the course of the evaluation period, with a clear set of rules establishing every step of the process and the role of key services to be consulted during the general policy-making process within the Commission, such as the Secretariat-General and Legal Service. However, the ISC set of procedural rules has no specific or particular rule to support PCD and is comprised of both an informal stage (early stage of policy formulation, which consists of informal discussions and consultations among Commission services on the policy orientation and content) and a formal stage (last stage of the decision-making process which consists of structured and recorded discussions across Commission services). Since 2014, the ISC process requires political validation by the responsible Commissioner and Vice-Presidents before it can be launched.

¹⁸⁶ Council Decision of 26 July 2010 establishing the organisation and functioning of the European External Action Service. On 8 July 2010, the EP adopted a resolution on the proposal of the EU High Representative. The EEAS was formally launched on 1 January 2011.

¹⁸⁷ COM(2018) 321 final, A Modern Budget for a Union that Protects, Empowers and Defends -The Multiannual Financial Framework for 2021-2027 2.5.2018; COM(2018) 460 final, 2018/0243(COD), Proposal for a Regulation of the European Parliament and of the Council establishing the Neighbourhood, Development and International Cooperation Instrument, 14.06.2018

- New tools and mechanisms (although not implemented to their full potential) have been put in place and made operational to try to achieve the desired result during the review period. Tools introduced or updated during the review period include inter alia: revised IA guidelines, the e-learning tool, EU Delegation Reporting. Overall, these PCD mechanisms have led to improved cooperation and coordination between EU institutions.

However, as demonstrated in EQ 3, there are some key limitations to the current PCD mechanisms and resources that significantly undermine the EU PCD approach:

- First, there appears to be a missing link between the policy-making and awareness-raising mechanisms, especially between the CWP screening for PCD relevance and the IA activity, as evidenced by the important number of policies identified as being PCD-relevant in the PCD CWP screening for which impacts were not assessed in the corresponding IAs. Unfortunately, the screening exercise that is meant to identify or filter out PCD relevant policies is only an informal process with no clear rules linking it to the IA activity, is not mandatory, and has no follow-up mechanism; hence it does not guarantee that policy initiatives screened out by DG DEVCO will end up incorporating a PCD approach. Moreover, the ISC procedural rules have no specific or particular rule to support PCD.
- Second, there is no formal ISG on PCD. While a formal ISG on PCD existed at the beginning of the review period, it has been discontinued in 2012, further exacerbating the informal nature of the PCD process as described above.
- Third, despite the existence of article 12 of the Cotonou agreement, there is no formal / dedicated consultation mechanism with all developing countries that could allow the Commission services to structure a policy dialogue with these countries at the early stages of policy formulation. In this respect, the role of EU Delegations is very limited at present.
- Fourth, the resources available to implement PCD are not fully adequate. Significant resources are required for policy-making mechanisms (Impact Assessments and Inter-service consultations) and it is not clear to what extent these resources are available within both the lead DG and DG DEVCO. In terms of material resources, one important limitation faced by the Commission services is the absence of early information on upcoming legislative proposals which makes it difficult for DG DEVCO to engage in effective awareness-raising to ensure certain initiatives are considered for PCD Work.
- Finally, evidence suggests that despite the adaption of PCD mechanisms, there is no clear set of rules to implement the EU's PCD approach and a high degree of informality of PCD mechanisms during the review period. This coupled with the potential lack of clear definition of the EU PCD approach and commitment in the evolving context as underlined under Conclusion 3, has led to a perceived loss of momentum for PCD during the review period.

4.6 Conclusion 6: Impact Assessments are a critical tool to ensure PCD

PCD-specific mechanisms, such as the Biennial Report and the CWP Screening, do not play a central role in the policy formulation process; while PCD non-specific mechanisms, such as the IA and ISC, play a more significant role in the policy formulation process.

This conclusion is based mainly on EQ 3

One of the key findings of the evaluation with regards to the effectiveness of PCD mechanisms is that there is a very high degree of correlation between the availability/quality of the impact assessment (the extent to which the IA considers the impact of the policy on developing countries) and the actual inclusion of development objectives/considerations in the final draft of the policy. This establishes the central importance of the IA as a PCD mechanism.

4.7 Conclusion 7: Even though certain EU policies can be considered as good practices and do incorporate a PCD approach, the EU PCD approach's effectiveness could be further improved

Commission policy proposals likely to affect developing countries do not sufficiently take account of development objectives in the IAs and ISC process: when policies do take into account development objectives, it is rarely a direct result of PCD mechanisms. Notwithstanding the challenges, there are a number of EU policies analysed within this evaluation that take into account development considerations

This conclusion is based mainly on EQ 4 and 5

As demonstrated in EQ 4 and EQ 5, the effectiveness of the EU PCD approach, based on the assessment of concrete PCD elements in EU policies, is limited:

- First, evidence suggests that during the evaluation period only a limited number of IAs for policy proposals likely to affect developing countries assessed or even mentioned potential impacts on developing countries. The evaluation team has carried out its own assessment of Commission IAs, using as a sample the policies identified in the "Mapping of PCD policies and initiatives" included in Annex 3 of the Inception Report (i.e. all the policies that have been identified as being PCD-relevant by PCD awareness-raising mechanisms during the evaluation period¹⁸⁸). Based on this methodology, 54 PCD-relevant IAs were identified,¹⁸⁹ including 41 IAs that had been carried out in 2009-2016.¹⁹⁰ Out of this sample of 41 IAs, we found 19 IAs that included explicit references regarding the policies' likely impacts in developing countries; 8 IAs that mentioned impacts on developing countries, but in a limited fashion or not explicitly enough; and 14 IAs that did not include any references to impacts on developing countries. Furthermore, out of those 14 policies for which the IA did not include any reference to impacts on developing countries, we found 12 policies which can be considered potential missed opportunities.¹⁹¹ The analysis of the sample of 41 PCD-relevant IAs also revealed that DG DEVCO was only invited to participate in the IA's ISG for only half of the policy initiatives (even though as mentioned above all these policy initiatives had been previously identified – e.g. in the CWP screening for PCD relevance – as having potential effects on developing countries) and there is no evidence of an improvement over time.
- Besides, if in some cases EU non-development policies likely to affect developing countries do generally take account of development objectives, it is rarely as a direct result of PCD mechanisms. One of the key findings of the evaluation with regards to the effectiveness of PCD mechanisms is that there is a very high degree of correlation between the availability/quality of the impact assessment (the extent to which the IA considers the impact of the policy on developing countries) and the actual inclusion of development objectives/considerations in the final draft of the policy. However, it is rather political will (which can be motivated by coherence with EU external commitments in the sector of the policy) from the onset of the policy formulation process than the EU PCD approach per se that seems to be a deciding factor for the treatment of impact of the policy on developing countries in the IA, and the inclusion of development considerations or objectives in the final policy. In such a context, formal processes like the ISC or the IA can be considered tools used to rationalize a political decision.
- Moreover, as the analysis of the selected 13 policies under EQ 5 shows, DG DEVCO is not systematically invited to participate in the ISC process from the early stages (informal process), even for policies that have been identified as PCD-relevant, and sometimes only participates from the formal stage onwards.

¹⁸⁸ As specified in the Inception Report, the "Mapping of PCD policies and initiatives" gathers all the policies and initiatives mentioned in PCD CWP screening documents, in the Biennial Reports, or in the PCD work programme.

¹⁸⁹ The number of IAs is much lower than the number of policies/initiatives identified in the mapping, because the mapping also included a high number of non-legislative initiatives or implementing acts that did not require an IA. Also, for some policies that consisted of a package of legislative proposals (e.g., the Digital Single Market Strategy package), we considered the various IA reports produced for each individual proposal as one single IA.

¹⁹⁰ For some policies mentioned in the mapping, the corresponding IAs were actually finalised between 2005 and 2008 (such as for some policies that were mentioned *a posteriori* in PCD Biennial Reports published during the evaluation period).

¹⁹¹ Two of these policies were not considered as potential missed opportunities, because it was not clear what impacts the policies could possibly have on developing countries.

Despite the limitations listed above, there have been also some positive developments during the review period:

- A number of EU policies do take into account development considerations as reported under EQ 5 of this report. Some policy areas, due to their external dimension and to the EU's international commitments, have a track record of including PCD. For instance, trade and migration have usually taken a PCD approach within their policy formulation process.
- Besides, the treatment of cross-cutting issues has improved in the EU non-development policies that take account of development objectives. Policies that include development considerations or objectives also tend to consider cross-cutting issues. For example, good governance in developing countries as a cross-cutting issue is taken into account in the 2013 CFP reform through the SFPAs, in the Raw Materials Initiative, the Joint Communication/ Regulation on Responsible sourcing of minerals, the CBCR, the EUAP against Wildlife Trafficking, the Trade for All Communication and the GSP regulation. Other cross-cutting issues such as human rights (GSP regulation, Trade for All Communication, GAMM), children's rights (GAMM), environment (CFP reform through the SFPAs, EUAP against Wildlife Trafficking, GAMM-when dealing with environmentally-induced migration) are considered in the selected policies. However, the cross-cutting issue "gender equality" is less considered. For example, neither the review of the EU Blue Card Directive nor the GAMM make a specific reference to "gender equality" despite having been set as a target in the PCD Work Programme 2010-2013 under the PCD challenge area of Migration.
- Finally, the non-involvement of DG DEVCO in the IA process (with respect to the policies analysed) does not mean that the IA will not consider impacts on developing countries: several IAs were identified for which DG DEVCO was not involved that nevertheless mention/discuss the potential impacts of the policy on developing countries. This finding is positive, as it could suggest that the concept of PCD has been mainstreamed – at least to some extent – in other DGs or Commission services and, therefore, that implementation of the PCD approach does not have to rely only on the intervention of DG DEVCO.

4.8 Conclusion 8: Measuring the impact of PCD remains very challenging

The impact of selected policies that can be loosely associated to PCD is limited.

This conclusion is based mainly on EQ 5 and EQ 7

First, the impact of the EU PCD approach on selected policies cannot be fully assessed since development considerations contained in EU policies are often not the direct result of PCD mechanisms. Second, no baselines, targets or indicators linked to PCD are available, which undermines any attempt to assess impact. Third, it is often difficult to demonstrate causality between the EU PCD approach and development considerations contained in EU non-developmental policies. Fourth, EU Delegations do not play an active role at the moment in PCD impact monitoring / assessment. Irrespective of these limitations, the impact of the 4 selected EU policies (which for the purpose of the current evaluation have been associated – even loosely – to the EU PCD approach) in developing countries has been limited, both in terms of positive and negative effects.

5 RECOMMENDATIONS

5.1 Recommendation 1: The EU to further clarify its commitment to PCD

The EU should clarify the understanding of the PCD commitment contained in article 208 (1) TFEU in view of the current context, in particular the 2030 Agenda for Sustainable Development and the priorities established in the new European Consensus on Development and the EU external agenda, through a new Communication on PCD

Cluster on policy and strategic focus; high importance in the short-term horizon

Conclusions 3 and 4

Given (i) the lack of common understanding of the PCD concept and the wide range of interpretations that different stakeholders have of the PCD commitment contained in the TFEU (Conclusion 3); (ii) the important contextual changes that have occurred during the review period (*inter alia* SDGs, creation of EEAS, geopolitical changes and the focus on security); (iii) the fact

that PCD is still very relevant despite the changes in context; and; (iv) the priorities established within the new Consensus on Development, those of the EUGS of which development but also other policy areas are part of, the EU's international commitment towards the 2030 Agenda for Sustainable Development, and the recent Multi-Annual Financial Framework 2021-2027 and proposal for a new Neighbourhood, Development and International Cooperation Instrument; there is an urgent need for the EU to clarify its political commitment to PCD through an official communication that should define *inter alia* the following issues:

- The scope of application of the legal commitment: Here it would be beneficial for the EU to give a clear interpretation of the extent to which internal policies need to assess their potential impact on developing countries. The fact that only a minority of the Impact Assessments of policies considered as "PCD relevant" actually assess the likely impact on developing countries suggests that there is a lack of clarity on the scope of the commitment which needs to be rectified. In this context, it would be of utmost importance to provide more clarity as to when and to what extent impacts on developing countries should be assessed as part of IAs.
- As PCD appears to imply going beyond development policy to involve all EU policies that are likely to affect developing countries, the role of other DGs on PCD across the Commission services should be more clear and explicit.
- The definition of priority areas of intervention of PCD: Given resource limitations to engage in PCD work, it would be strategic for the EU to define priority areas to which PCD work should apply, and given the multidirectional approach implied in the SDGs Agenda.
- Mechanisms and resources, re-defining its nature, role and availability, including the extent of the reporting and monitoring linkages between PCD and PCSD (see Recommendation 2)
- Clarify the approach and tools for monitoring the impact of PCD (see Recommendation 3)
- Strengthen inter-service Coordination (see recommendation 4), especially by enhancing the role of EU Delegations.

5.2 Recommendation 2: Adapt mechanisms and resources based on the clarified scope of PCD

Mechanisms and resources should be adapted accordingly in order to enhance efficiency and effectiveness of the EU PCD approach.

Cluster on results; high importance in the medium-term horizon

Conclusions 3, 4 and 5

There are a number of inherent limitations to the current mechanisms and resources that undermine PCD and that would need to be addressed to enhance efficiency, effectiveness and ultimately impact of the EU PCD approach. The following steps should be considered:

- Establish a clear set of rules for the implementation of the EU PCD approach, based on a common understanding of the EU's PCD commitment and in view of the current context of the 2030 Agenda for Sustainable Development and the priorities established in the new European Consensus on Development and the EU external agenda. (see Recommendation 1)
- Formalisation/standardisation of procedures of key processes to promote PCD such as:
 - The PCD screening, which should become formal and binding with a follow up mechanism linking it to the IA and ISC process.
 - The ISG on SDGs which currently includes PCD as a standing point of the agenda, under the coordination of SG), should consider designing the coordinating/reporting mechanisms between PCSD and PCD taking into consideration the differentiated approach required by the SDGs Agenda and with a view of mitigating the risk of the perspective of developing countries being lost (i.e. if PCD is fully subsumed within PCSD, there would be a risk of PCD being "diluted" and undermined).
- Strengthening of the consultation mechanisms within the Commission – across the Commission services with respect to the policy areas relevant for PCD, and within DG DEVCO including its thematic units – and with developing countries.
- Increasing resources available for IAs for relevant / priority policy proposals identified beforehand as part of a formalized process, similar to the Commission Work Programme Screening (through a dedicated PCD instrument, since the assessment of the impact of an internal EU policy on developing countries is a difficult exercise which might require external support or expertise).

5.3 Recommendation 3: Make PCD outputs more explicit and consider impact monitoring from the onset of policy formulation

The “PCD element” of a given EU policy should be clearly identified during the policy formulation, and a monitoring and evaluation framework clarifying the PCD objectives of the policy should be systematically designed.

Cluster on results; high importance in the medium-term horizon

Conclusions 6, 7, and 8

The evaluation exercise has shown that evaluating PCD is difficult for a number of reasons. Apart from the fact that “PCD elements” of EU policies are often the results of exogeneous factors (as opposed to EU PCD mechanisms), the intended developmental outcomes and impact of EU non-developmental policy are not always clearly expressed at the policy formulation stage, nor are measurable indicators defined. This has a number of disadvantages:

- Development objectives remain vague and subject to interpretation.
- Concrete measures / resources necessary to attain pre-identified objectives are rarely expressed in clear terms.
- As a result of the above, it is not possible to assess and monitor the outcomes and impact of the given policy.

It is therefore suggested that the Commission develops a PCD policy monitoring framework with SMART development indicators for all policies deemed PCD relevant. Linked to this recommendation, it would be important for the EU to ensure that mid-term review of policies and monitoring and evaluation of policies, projects and programmes consistently include an analysis on PCD and PCD impact, which would be based on the pre-defined PCD policy monitoring framework.

5.4 Recommendation 4: Enhance the role of EU Delegations in impact monitoring

EU Delegations should play an active role in assessing the impact of PCD at country level throughout the policy life cycle, relying on the expertise of various Commission services.

Cluster on coordination and results; high importance in the long-term horizon

Conclusions 4, 5, and 8

The role of EU Delegations at present is very limited with regards to PCD with a small number of exceptions (for instance, one exception is linked to the fact that EU Delegations of Mauritania and Senegal play a very active role in monitoring the SFPAs through the secondment of a DG MARE officer in each delegation). In the context of (i) the creation of the EEAS which has been entrusted with a coordinating role (including DG DEVCO and DG NEAR, and other areas such as trade, energy and fisheries); (ii) the need to monitor impact at the country level recognizing that developing countries are very heterogeneous and that impact will vary greatly from country to country; (iii) the priorities of the EUGS of which development but also other policy areas are part of, and the relevant role given to it within the new Consensus on Development, the role of EUDs with respect to PCD needs to be strengthened by inter alia:

- Raising the awareness of EUDs on PCD.
- Improving the sharing of information between EU Delegations and Commission services on those areas identified as PCD priority and especially in selected countries.
- Entrusting EU Delegations with a more prominent role in assessing impact of EU internal policies throughout the policy cycle.
- Strengthening the coordination at EUD with EU headquarters.

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