

Literature review of European instruments for development aid in Africa – terms of reference

Introduction

These terms of reference concern a document review of EU development aid policies and their implementation in recent years in Sub-Saharan Africa. They are structured as follows: following a brief description of the EU's external action portfolio, the main research questions, the proposed review approach and the limitations of the review are outlined. This is followed by a description of organizational arrangements, by the planning of the review and, finally, by a section on budgetary implications. The appendix contains a preliminary list of documents that the review is expected to take on board.

Background

With its [Regulation 1311/2013 of 2 December 2013](#) the Council approved the EU's multi-annual financial framework (MFF) for the period 2014-2020. Out of a total Union budget of EUR 908.4 billion, close to EUR 59 billion (6%) was set aside for 'Global Europe' for the EU's external actions, including development aid and humanitarian assistance.

Different departments of the European Commission – including the Directorate-General for International Cooperation and Development ([DG DEVCO](#)), the Directorate-General for Neighborhood and Enlargement Negotiations ([DG NEAR](#)) and the EU Civil Protection and Humanitarian Aid Operations department ([ECHO](#)) – use this Global Europe budget for a range of instruments. These instruments vary considerably in terms of their legal base, geographical and thematic focus, target groups, etc. They include the Instrument for Pre-accession Assistance ([IPA](#)), the European Neighborhood Instrument ([ENI](#)), the Development Cooperation Instrument ([DCI](#)), the Partnership Instrument ([PI](#)), the European Instrument for Democracy & Human Rights ([EIDHR](#)), the Instrument contributing to Stability and Peace ([IcSP](#)), the Instrument for Nuclear Safety Cooperation ([INSC](#)) and the Instrument for Greenland ([IfG](#)).¹ In addition, a series of EU-trust funds was established in recent years, including the [EU Emergency Trustfund for Africa](#), the [Africa Investment Platform](#) and the [EU-Africa Infrastructure Trust Fund](#) (EU-AITF) which is an instrument of the wider EU-Africa Infrastructure Partnership, [Bekou](#) (Central African Republic), [MADAD](#) (Syria-related), [FRIT](#) (related to Syrian refugees in Turkey), and [Colombia](#). Outside the MFF, there is also the European Development Fund ([EDF](#)) for development cooperation with African, Caribbean and Pacific (ACP) countries, as well as overseas countries and territories. The EDF, part and parcel of the [Cotonou Agreement](#), is funded separately from direct contributions from EU Member States; for the period 2014-2020 it has a total budget of EUR 30.5 billion. Implementation of the EU's development assistance is furthermore partly done through the [European Investment Bank](#) which invests in a wide range of projects in, amongst others, sub-Saharan Africa.²

The Netherlands contribution to EU external action comes from the regular Dutch contributions to the EU and its separate contribution to the EDF, which is accounted for under policy article 3 of the budget of the ministry of Foreign Affairs.³ Considering that the Dutch share of the EU

¹ See [Publicatieblad van de Europese Unie, 15 March 2014](#)

² This ranges from financial support to allow microfinance institutions to lend small amounts to microenterprises and innovators, to large infrastructure projects.

³ Sub-article 3.2 of the budget of the ministry of Foreign Affairs reads as follows: 'Een effectief, efficiënt en cohorent optreden van de Unie ten opzichte van derde landen en regio's, inclusief ontwikkelingslanden' (KST 34775-V-2, 2017: 39). The Dutch contribution to the EDF was EUR 176.4 million in 2016 and EUR 192.4 million in 2017.

budget is some 4-5%, its contribution to EU external action in the period 2014-2020 ranges between EUR 3.6 and 4.5 billion.

The Policy and Operations Evaluation Department of the ministry of Foreign Affairs (IOB) finalised a policy evaluation of the EDF in [2013](#). This policy evaluation shows, amongst others, that the Commission indeed has an elaborate system of [monitoring](#) and [evaluation](#), comprising different types of evaluations, and [reports annually](#), amongst others, on the EU's development and external assistance policies and their implementation. The minister for Foreign Trade and Development Cooperation has committed to inform Parliament more systematically on EU aid effectiveness.⁴

Against this background, the following paragraphs focus on the review questions that will be addressed.

Review questions

The review aims to answer three main questions:

How have EU overall development policies and the EU's overall policies vis-à-vis Sub-Saharan Africa in particular evolved in the period 2013-2018 and what explains the developments that have taken place?

How has EU development spending in Sub-Saharan Africa developed in the period 2013-2018 and what explains these developments?⁵

What is known of the results accomplished by EU development aid in Sub-Saharan Africa and what explains these accomplishments?

In relation to the first question, the review will capture the most significant elements of *inter alia* the EU [Global Strategy](#) (June 2016), the [European Consensus on Development](#) (June 2017), [A Strategic Approach to Resilience in the EU's external action](#) (June 2017) and the [Trade for All strategy](#) (October 2015). The review may also capture recent developments with respect to the future of EU-ACP relations after the Cotonou Agreement has come to an end (2020⁶), including the introduction of a new Neighborhood, Development and International Cooperation Instrument ([NDICI](#)). The second question will be answered on the basis of the Commission's annual and financial reports.

The third question will be answered primarily on the basis of existing evaluation material of the European Commission (see further below), using the OECD/DAC development effectiveness criteria as a frame of reference. The review aims to address the following more specific questions:

Relevance⁷: (i) What do evaluations tell about the relevance of EU development aid interventions, in particular for the poor (women & men)? (ii) How do the evaluations interpret the notion of the added value of EU development aid vis-à-vis bilateral aid of the EU-member states and what are the findings and conclusions with respect to this added value.

⁴ To contribute to a broader policy review of Article 3 of the budget of the ministry of Foreign Affairs ('Effective European cooperation') which is foreseen for 2021.

⁵ This question concerns both financial flows per se and the different funding modalities as well as the channels that the Commission has used to implement its development aid.

⁶ Concerning the debate on the future of the Cotonou Agreement after 2020, 'the Netherlands advocates a modernised partnership between the EU and Africa, and wants to see a well-integrated approach, with a strong political dialogue and attention for human rights, migration and security' ([Investing in Global Prospects](#): 91).

⁷ Relevance refers to 'The extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies' (OECD, 2002, Glossary of Key Terms in Evaluation and Results Based Management, page 32).

Effectiveness⁸ – (i) What do evaluations tell about the ability of EU development aid to achieve results (main outputs) and realise the expected development outcomes and impact (including attention for gender equality)⁹? (ii) What do they tell about the results of the EU’s political dialogue with partner countries?¹⁰

Impact and sustainability¹¹: What do evaluations tell about the impact of EU development aid and the sustainability of outputs and benefits (including environmental sustainability)?

Coherence: What do evaluations tell about the influence of EU policies in other areas (i.e. trade, agriculture, security, human rights and migration) on the results and outcomes of development aid?¹² (ii) What do they tell of the results of initiatives to ensure coherence and complementarity of EU development aid with aid provided by EU-member states, other donors (including NGOs), the private sector and national government funding?¹³ (iii) Have coherence and complementarity between different EU-instruments (including EU trust funds, EIB interventions) been ensured?

Efficiency¹⁴: (i) What do evaluations tell about the efficiency of EU development aid? (ii) What is known about the use of monitoring and evaluation to improve development effectiveness?

The review will finally compare the findings with respect to the above questions with the outcomes reported in IOB’s [policy evaluation](#) on the European Development Fund of 2013.

Focus

The review will have a geographical and thematic focus. Geographically, the focus is on Sub-Saharan Africa as defined by the [UN](#). Within this region, the review will zoom in, where possible, on themes or topics that maintain a central position in the most recent policy note of the Dutch government on development aid ([‘Investing in global prospects’](#)). These are the following:

- Preventing conflict and instability - including EU support for the African Peace and Security Architecture
- Private sector development (include trade-related assistance and infrastructure development)
- Rural and agricultural development (including issues related to climate)
- Social development (including education, water and sanitation, health and SRHR)
- Donor cooperation - *Working better together*
- Gender as a key cross-cutting theme
- Budget support
- Political dialogue

⁸ Effectiveness refers to ‘The extent to which the development intervention’s objectives were achieved, or are expected to be achieved, taking into account their relative importance’ (OECD, 2002, page 20).

⁹ This concerns the development outcomes and impact as identified in the evaluation reports. These vary per sector and/or country.

¹⁰ This includes e.g. the political dialogue referred to under Article 8 and Article 96 of the Cotonou Agreement.

¹¹ Impacts refer to ‘Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended’ (OECD, 2002: 24) and sustainability to ‘The continuation of benefits from a development intervention after major development assistance has been completed’ or ‘The probability of continued long-term benefits. The resilience to risk of the net benefit flows over time’ (OECD, 2002: 36).

¹² [Keijzer and Oppewal](#) (2011) define this type of coherence as ‘Intra-governmental coherence’ i.e. Coherence across all of the policies and actions of an OECD country in terms of their contributions to development (N. Keijzer and Jorrit Oppewal, 2012, Learn to walk before you run? Review of methodological approaches for evaluating coherence in the field of international cooperation, ECPDM, page 4).

¹³ This refers amongst others to issues such as joint programming and division of work.

¹⁴ Efficiency concerns ‘(a) measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results’ (OECD, 2002: 21).

Approach

To answer the above questions and taking into account this geographical and thematic focus, a systematic desk review will be undertaken of EU policy documents, EU evaluation reports and, to a lesser extent, other documents (grey literature, academic research) that were published in the period 2013– mid-2019. For the analysis of the material, first of all the methodology that was introduced under the umbrella of OECD/DAC for undertaking [Development Effectiveness Reviews](#) will be used.¹⁵ Basis for the methodology will be the following set of documents:

- EU policy documents – general and policy documents for the above-mentioned priority themes.
- EU-evaluation reports (*strategic evaluations*¹⁶) and other key EU sources, such as the annual reports¹⁷ and a selection of evaluation reports of the European Investment Bank.¹⁸
- Reports of the European Court of Auditors.¹⁹
- Country-level progress reports in case these are available
- Supplementary grey and academic literature.

On general aid management, in addition to the above sources, the review will compare the findings of the [OECD peer review of the European Union of 2012](#) and findings of IOB policy evaluation 2013 with the outcomes of the most recent [OECD peer review of the European Union of 2018](#).

Limitations

With its focus on Sub-Saharan Africa, the review will be limited to publications concerning the following instruments: EDF, DCI, EIDHR, IcSP, and the above-mentioned EU trust funds targeting Africa. The review will also cover the work of the EIB in the region. The review focuses on development aid and the different types of interventions that the EU finances (programmes, projects, budget support) but does not deal with EU humanitarian assistance.²⁰ As the Appendix shows, evaluations look back in time and may be based on sometimes dated information. With the proposed approach, it is unavoidable that the picture on EU-aid effectiveness will not be fully up-to-date.

Organisation, quality control and timing

Organisation

While maintaining overall responsibility and sticking to its quality control procedures (see the paragraph on quality control below), IOB will sub-contract review implementation to an external party, a consultancy company or knowledge institute. Contracting criteria include:

- Good knowledge of EU development policies in general and EU-Africa relations in particular

¹⁵ See for an example the DER of UN-Women ([Development Effectiveness Review of the United Nations Entity for Gender Equality and the Empowerment of Women \(UN Women\), 2011-2014](#)). This approach was also used in IOB's EDF-policy evaluation. Two exceptions are relevant here: (i) the review will not be limited to a selection of evaluation reports as is proposed by the methodology; (ii) the review will not conduct its own quality assessment of the Commission's evaluations given the quality control process that exists at Commission level.

¹⁶ See [Strategic evaluation reports of the European Commission, International Cooperation and Development](#)

¹⁷ See [Annual reports, European Commission International Cooperation and Development](#).

¹⁸ See [Publications of the European Investment Bank](#)

¹⁹ See [European Court of Auditors](#)

²⁰ [IOB's policy evaluation of humanitarian assistance of 2015](#) includes some paragraphs on emergency assistance provided by the European Commission.

- Good knowledge of and familiarity with EU monitoring and evaluation systems
- Ability to report in English and produce report in the timeframe indicated below

Quality control

Within IOB, two staff members, with a background in EU and/or EU development cooperation will ensure the necessary internal quality control of both the draft and final review report (Bas Limonard and Paul de Nooijer (contact for the assignment)). The draft report will also be reviewed by Hester Stoker of DIE-EX and one external expert with a background in EU development.

Product and timing

The review will result in a concise report (50-60 pp max, excluding summaries in both English and Dutch, plus annexes) in English. The report will be presented both in The Hague and in Brussels. In the latter case, the EU heads of evaluation meetings that are held regularly could be a relevant forum. The report will be published on [IOB's website](#).

The final review report will be available before the end of December 2019. A concise planning of the implementation of the review, following approval of these terms of reference is provided below.

	July	August	September	October	November	December
Approval terms of reference						
Tendering and contracting						
Implementation of the review						
Draft review report						
Final review report						
Presentations of review findings (the Hague and Brussels)						

Appendix – EU and other sources per theme

Preventing conflict and instability

- [Evaluation](#) of the implementation of the African Peace Facility as an instrument supporting African efforts to manage conflicts on the continent
- [European Court of Auditors](#), 2018, Special report No 20/2018: The African Peace and Security Architecture: need to focus EU support
- [European Court of Auditors](#), 2018, Special report n° 15/2018: Strengthening the capacity of the internal security forces in Niger and Mali: only limited and slow progress
- [European Court of Auditors](#), 2017, Special report no 11/2017: The Bêkou EU trust fund for the Central African Republic: a hopeful beginning despite some shortcomings
- [European Court of Auditors](#), 2018, Special report no 32/2018: European Union Emergency Trust Fund for Africa: Flexible but lacking focus

Donor cooperation

- [Strategic Evaluation of EU Joint Programming Process of Development Cooperation \(2011-2015\)](#)

Gender

- [Strategic evaluation of EU Support to Gender Equality and Women's Empowerment in Partner Countries \(2010-2015\)](#)

Private sector development

- [Strategic evaluation of EU support to Research and Innovation for development in partner countries \(2007-2013\)](#)
- [Review of evaluations of EU Private Sector Development Support to Third Countries](#)
- [Strategic evaluation of the EU trade-related assistance in third countries \(2004-2010\)](#)
- [Strategic evaluation of the EU support to private sector development in third countries \(2004-2010\)](#)
- [Mid-Term Evaluation](#) of the West Africa Private Sector Competitiveness Support Programme
- [European Court of Auditors](#), 2015, The ACP investment facility: does it provide added value?
- [European Investment Bank](#), 2018, Evaluation of EIB Intermediated Lending through the Investment Facility in ACP
- [European Investment Bank](#), 2014, Ex-post evaluation of EIB Technical Assistance Outside the EU, 2003-2013

Food security, climate change

- [Strategic Evaluation of the EU approach to resilience to withstand food crises in African Drylands \(Sahel and Horn of Africa\) 2007-2015](#)
- [Strategic evaluation of the EU support to environment and climate change in third countries \(2007-2013\)](#)
- [European Court of Auditors](#), 2015, Special Report No 15/2015: ACP-EU Energy Facility support for renewable energy in East Africa

Transport

- [Strategic evaluation of EU support to the transport sector in Africa \(2005 - 2013\)](#)

Budget support

- [Joint Strategic Evaluation of Budget Support to Ghana \(2005-2015\)](#)
- [Joint strategic evaluation of budget support to Sierra Leone \(2002-2015\)](#)
- [Joint strategic evaluation of budget support to Burkina Faso \(2009-2014\)](#)
- [Joint strategic evaluation of budget support to Uganda \(2004-2013\)](#)
- [Joint Evaluation of Budget Support to Burundi \(2005-2013\)](#)
- [Synthesis of Budget Support Evaluations \(2010-2014\)](#)
- [Joint strategic evaluation of Budget Support for Mozambique \(2005-2012\)](#)

- [Joint strategic evaluation of budget support for Tanzania \(2005-2012\)](#)
- [Strategic evaluation of the EU Budget Support for South Africa \(2000-2011\)](#)
- European Court of Auditors, 2016, Special report no 35/2016: The use of budget support to improve domestic revenue mobilisation in sub-Saharan Africa

General and EDF

- [Effective Development Cooperation: Has the European Union delivered?](#)
- [Evaluation of the Cotonou Partnership Agreement \(2000-2015\)](#)
- [Evaluation report](#) on external financing instruments – 11th European Development Fund
- [Mid-term review report of the External Financing Instruments](#)

Sub-Saharan Africa

- [Strategic evaluation of the European Union's Cooperation with the Republic of Chad \(2008-2014\)](#)
- Strategic Evaluation of EU cooperation with the Eastern and Southern Africa and Indian Ocean regions 2008-2015
- External strategic evaluation of the European Union's cooperation with the Republic of Ivory Coast (2007-2015)
- [Strategic evaluation](#) of the European Union's cooperation with Lesotho (2008-2013)
- [Strategic evaluation](#) of the EU cooperation with the Republic of Togo (2007-2013)
- [Strategic evaluation](#) of the EU cooperation with the Democratic Republic of Congo (2008-2013)
- [Strategic evaluation](#) of the EU cooperation with Cameroon (2007-2012)
- [Strategic evaluation](#) of the EU cooperation with Kenya (2006-2012)
- Joint strategic evaluation of the EU cooperation with Burundi (2005-2011)

Other evaluations

- [External Evaluation of the European Union's Cooperation with the West Africa Region \(2008-2016\)](#)
- [Evaluation](#) of the EU aid delivery mechanism of delegated cooperation (2007-2014)
- [Evaluation of Blending](#), Final Report Volume I – Main Report, December 2016
- External Evaluation of the European Union's Policy Coherence for Development (2009-2016)
- Evaluation of EU support to social protection in external action (2007-2013)
- [Review](#) of strategic evaluations managed by DEVCO to assess the European Consensus on Development
- [European Court of Auditors](#), 2014, EuropeAid's evaluation and results-oriented monitoring systems
- [European Court of Auditors](#), 2015, Special Report No 21/2015: Review of the risks related to a results-oriented approach for EU development and cooperation action
- [European Court of Auditors](#), 2018, Special report no 35/2018: Transparency of EU funds implemented by NGOs: more effort needed [Effective Development Cooperation: Has the European Union delivered?](#)
- [Mid-term review report of the External Financing Instruments](#)
- [External Evaluation of the Development Cooperation Instrument \(2014-mid 2017\)](#)
- [External evaluation of the European Instrument for Democracy and Human Rights \(2014-mid 2017\)](#)
- [External evaluation of the Instrument contributing to Stability and Peace \(2014-mid 2017\)](#)
- [Thematic global evaluation](#) of the European Union's support to Integrated Border Management and fight against Organised Crime (2013)