PARTICIP

ecdpm

ICEI

Evaluation Study
on
The EU Institutions & Member States'
Mechanisms for Promoting
Policy Coherence for Development

Appendix I
Concepts and Methodology

Client: The Evaluation Services of
- French Ministry of Foreign Affairs, lead agency
- Germany, Belgium, the Netherlands,
and the European Commission

May 2007

Study Team Members

James Mackie (Team Leader)	ECDPM
Gwen Corre	ECDPM
Marie-Laure de Bergh	ECDPM
Niels Keijzer	ECDPM
René Madrid	Particip GmbH

Advisory Group:

Paul Engel	ECDPM
Jean Bossuyt	ECDPM
José Antonio Alonso	ICEI
Christian Freres	ICEI

Contact Details

European Centre for Development Policy Management (ECDPM)
Onze Lieve Vrouweplein 21
6211 HE Maastricht
The Netherlands
info@ecdpm.org
http://www.ecdpm.org

PARTICIP GmbH, Consultants for Development
& Environment
Headquarters:
Hildastrasse 66,
D 79102 Freiburg, Germany
Brussels Branch:
Avenue des Arts 50 (5th floor), B 1000
Bruxelles, Belgium
info@particip.de
http://www.particip.com/

Complutense Institute of International Studies (ICEI)
Complutense University of Madrid
Finca Mas Ferré, Building A
Somosaguas Campus
28223 Pozuelo de Alarcón
Madrid
Spain
icei@sis.ucm.es
http://www.ucm.es/info/icei

Table of contents

1 Conceptual framework

1.1 Introduction

This study is essentially about methods of achieving a particular goal, policy coherence for development (PCD), in the context of the intra-government policy formulation and policy change processes within the EU. Our conceptual framework must therefore start with an appreciation of how the general policy process works and then focus more specifically on PCD.

All EU Governments, by virtue of signing the Treaty of the European Union, commit themselves to promoting PCD. The European Institutions including the European Commission are equally bound by this commitment. In addition EU Member States have also committed themselves in international fora, and notably with MDG 8 and the Paris Declaration, to this goal. Having committed themselves to promoting PCD it is assumed that all Member States and the EU Institutions then seek to deliver on this by establishing some form of mechanisms to do so.

A first examination of the *'coherence mechanisms'* Member State governments and the Commission establish to deliver on this commitment to PCD show that these commonly comprise different features and vary from country to country depending on the national political and administrative context. Any study of PCD mechanisms therefore needs to consider them in this broader context.

The *Scoping Study* that was annexed to the Terms of Reference for this evaluation provides a number of elements for the analysis of PCD mechanisms and notably an initial classification based on work by McLean Hilker for an OECD DAC workshop in 2004. The current paper seeks to build on and consolidate this basic conceptual framework by looking first at how a general policy process operates and then relating this to the object of study, PCD mechanisms. Various means to categorise PCD mechanisms are examined in greater depth and a more sophisticated typology is proposed. Lastly an effort is made to place the study of PCD in a broader political context and see how types of PCD mechanism might be related to approaches of governance based on a model taken from the field of political science. The purpose of this discussion is ultimately to provide an adequate conceptual framework which among other things can guide the choice of case studies and help determine the evaluation questions.

1.2 Pursuing Policy Coherence within a Generic Policy Process

Promoting policy coherence should be seen as part of the regular process of policy formulation, refinement and change. Policies are continually being reviewed, improved and adjusted to make them more effective. Promoting policy coherence – including PCD, the object of this study – is part of this regular process to improve the effectiveness of policy.

Seeking a degree of coherence with other policies can arguably be seen as a natural instinct of any policy formulator that is aware of the environment in which his policy will need to operate. No policy will go far if it is in complete contradiction with the direction of the other policies of a government. At the same time, it is clear that absolute coherence can never be achieved and there will always be a degree of incoherence, some of which may even not be immediately apparent, in any package of different policies. Governments committed to coherence will seek to reduce or resolve such incoherent aspects, but ultimately however, there will often remain moments when trade-offs are required.

In seeking to promote coherence it would therefore seem to be important to carry out two different but complementary tasks:

- *Strengthen coherence* – that is, have in place systems that encourage officials to consider how best to achieve coherence from the very start of their work to design policy
- *Resolve issues of incoherence* – that is, establish agreed fora where issues of incoherence can be resolved.

Beyond these two steps there is a third process relating to what to do if incoherencies cannot be ironed out. For this it should be understood where and how political trade-offs occur if it becomes impossible to achieve really coherent policies – that is where this is decided, and by whom, and which policy prevails if it has proved impossible to achieve full coherence.

Each government also operates in a specific context set partly by the administrative and governance traditions of that country and partly by the prevailing political environment. This 'governance' context will determine to a large extent how a government goes about seeking policy change and the level of commitment it has to such changes. External political pressure for a particular line may also push it to act faster or more slowly or in a more deliberate or evasive fashion. The *Scoping Study* places considerable emphasis on the importance of governance context in determining what policy coherence mechanisms a government sets up and this Study will seek in some measure to explore this relationship between the governance context and the type and effectiveness of different PCD mechanisms.

One can also imagine that both the steps in seeking coherence just identified can operate within the government systems at different levels and that some form of hierarchy of coherence mechanisms is required which matches the hierarchy of levels of government that policies typically move through as they are formulated.

Diagram 1 below seeks to illustrate that policy formulation is a fluid process which moves down and up within the hierarchy of government. Typically government ministers will seek to establish a particular policy and give instructions to the civil service via heads of department (HoD) to formulate the policy. Junior officials will probably start the policy drafting process and they may (or may not) be encouraged to consult informally their counterparts in other departments on questions of coherence at an early stage of the policy formulation process in order to see how the different policies they are working on might be made coherent. Then as the policy starts to take shape and moves up to middle management, different working groups and inter-departmental committees will exist to enable middle ranking officials or heads of department to get together and resolve incoherent aspects that their staff had been unable to resolve. Further up beyond them the policy formulation will move into the political sphere with the involvement of ministers who discuss the policy with colleagues in ministerial meetings, the cabinet or in parliamentary committees. Most incoherencies will be ironed out or trade-offs made at this level, but a few of the most intractable decisions on incoherencies between policies will move all the way up to the head of state to resolve.

As shown on Diagram 1, the object of this study, that is formal PCD mechanisms, will mostly occur at the middle levels of government. Below these levels, efforts to seek coherence will tend to be of a more informal consultative nature. Higher up the process, on the other hand, we enter into the domain of political decision making and trade-offs to overcome unresolved aspects of incoherence. Our analysis will thus essentially look at mechanisms in the middle range. Mechanisms at the political level are generally also more sensitive precisely because they are often dealing in difficult trade-offs and therefore less open to study.

Diagram 1 also indicates that non-state actors active in the policy process (including the media, academics, policy institutes, interest groups and lobbyists) will influence the process at just about all levels. Together they constitute an important element of the political context in which policy formulation and review takes place.

Diagram 1: Policy Formulation & Processes for Promoting Coherence
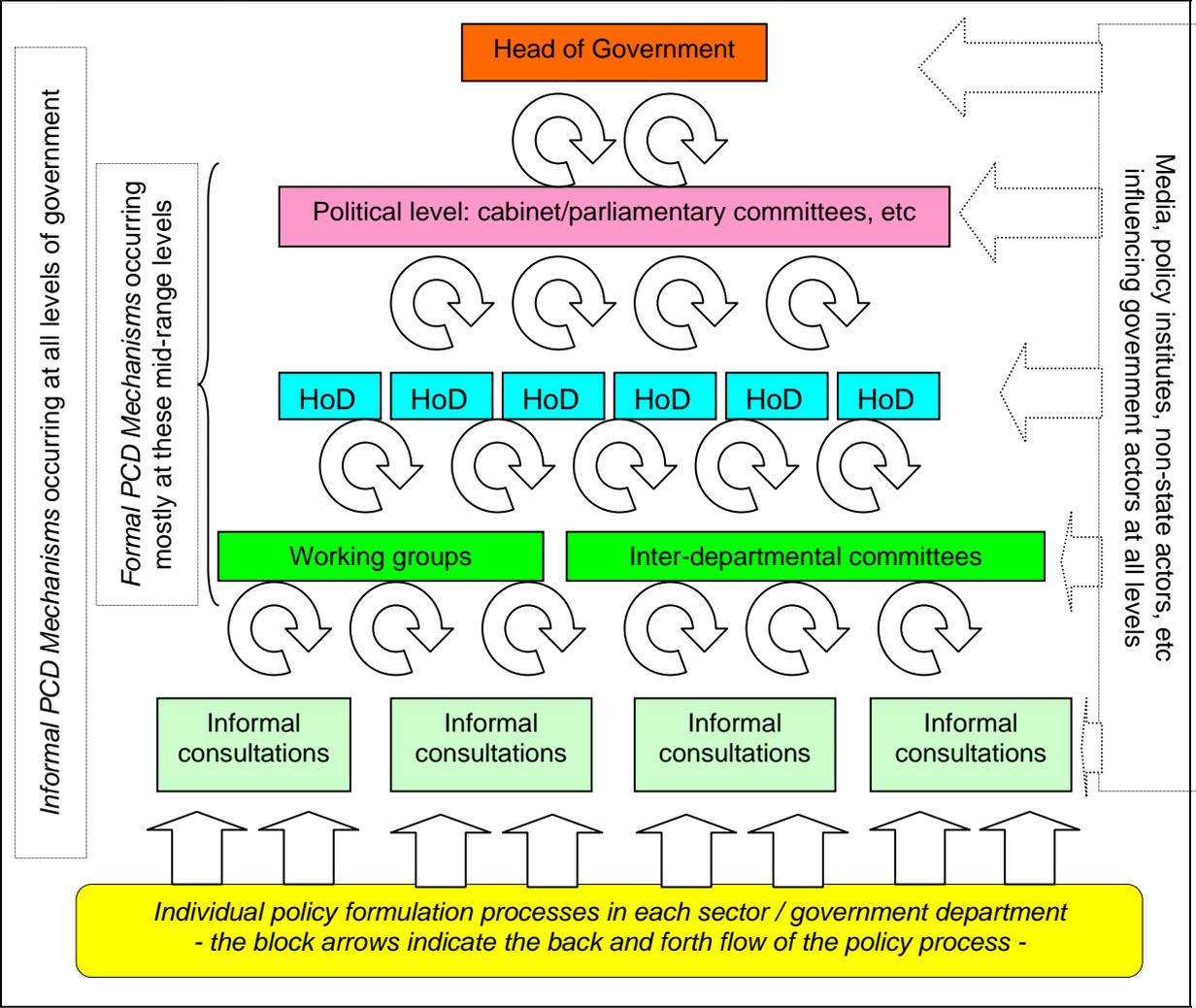
1.3   The Political and Government Context

Government Approaches to Achieving Policy Coherence

The importance of the political and government context for understanding how PCD mechanisms operate has already been alluded in the preceding pages. As we have seen an intra-government policy coherence process can operate at different levels within the government hierarchy and we have seen that PCD processes are only one part of the much larger on going process of policy formulation and change that is going on continuously in government.   The *Scoping Study* reached the conclusion that PCD processes are also the child of particular government and administration context and that this was a particularly important factor in determining how a government went about promoting coherence. What works well in the administrative and governance culture and traditions of for instance, Ireland will not necessarily work in those of Austria. The relationship between the context and the type(s) of measure(s) adopted to constitute an approach to PCD is of fundamental importance and will underpin its ultimate effectiveness. It is clear that there is no single ideal or 'correct' path to achieve greater coherence and that the appropriateness of the measures taken to the national context is one of the most important aspects of any government's choice of coherence mechanism.

Thus, based on the context in which it works a government will define its approach to policy formulation and change. Within this framework a government will then have to make a choice between various specific mechanisms at its disposal to achieve particular policy goals

such as policy coherence; i.e. it will develop *its own approach to promoting policy coherence*. The final step will be to establish a combination, or system, of specific PCD mechanisms and/or general coherence mechanisms with a PCD objective, to pursue policy coherence for development.

Diagram 2 below seeks to represent the stages of this process graphically. The context in which a government works is illustrated by the ellipse at the tope. Four principal contextual factors can be identified as:
1. Governance and administrative traditions in the country concerned
2. The government's overall approach to policy formulation and change
3. Levels of political will in the government to support for a specific policy, or in this case for promoting PCD
4. External support in the country for the specific policy, that is development, and the need for other policies to be coherent with it.

The political will of government will obviously depend on a variety of both general factors such as the size of majority in parliament or its popularity or more specific factors relating to development such as external support for development among the wider public. External support will be expressed through various channels such as the media, academic papers and publications, lobby organisations for specific groups or NSAs involved in some way in development cooperation, education or campaigning. One channel these may use to voice opinions would be through the parliament, though as a parliamentary committee can also be a PCD mechanism in its own right it is easier to see this as part of the broader government.
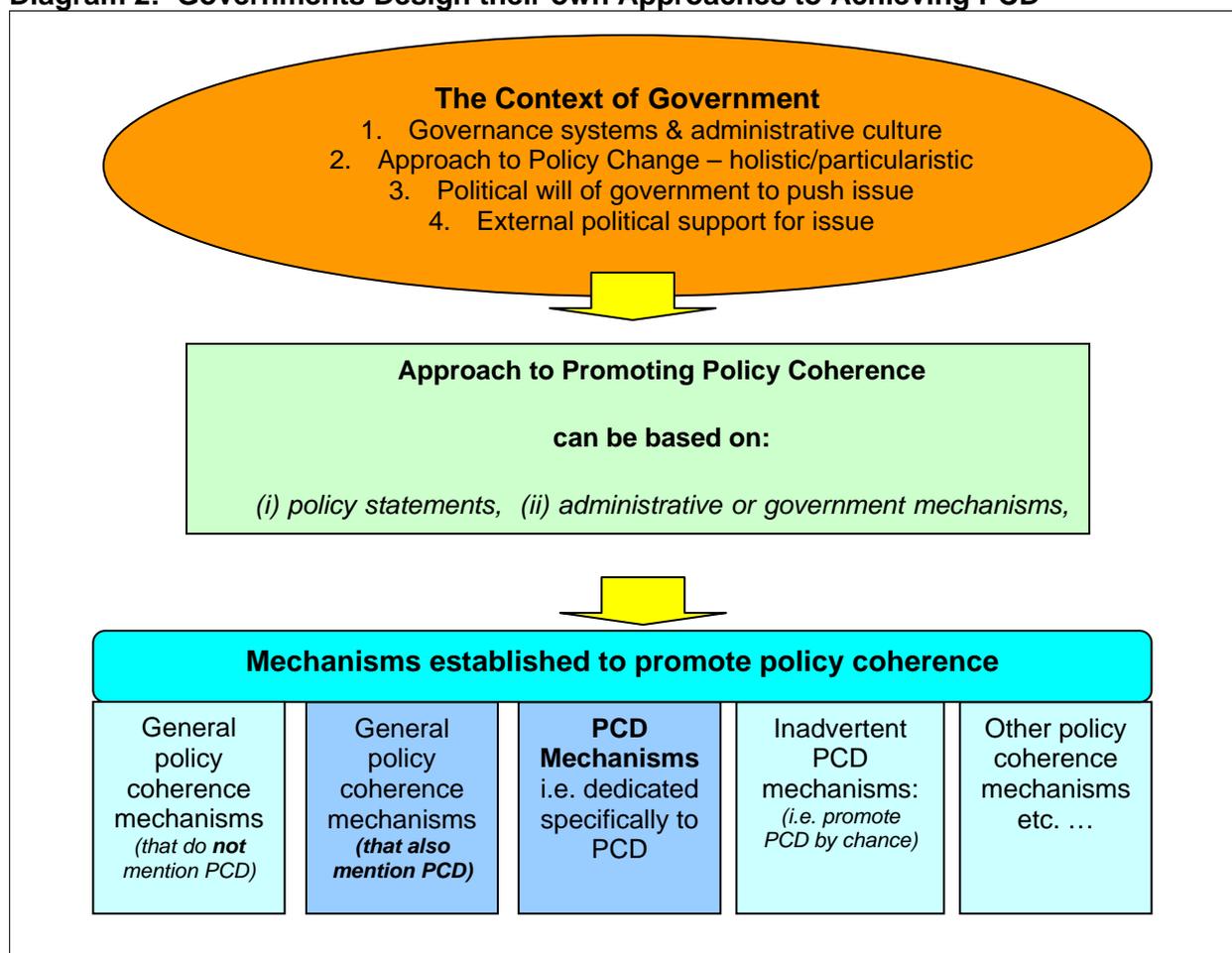
The next step down is the definition of an approach to promoting policy coherence. This approach would be based on some choice and combination of the three functional types of coherence mechanism that we defined in the previous section. The government's choice of which mechanisms are most appropriate to use will depend on a number of contextual factors, chief amongst which is probably past administrative practice and national traditions. Essentially the choice is *a question of how best to bring about policy change in a specific institutional and administrative context.*

Any approach taken would probably be determined by several factors:
• An overall conception of how policy change is best achieved in the national system of government and administration
• The particular policy goals the government has in mind
• The series of measures already available that can be used and/or strengthened to achieve these goals.
• The perception of the need for establishing specific mechanisms to achieve the changes desired
• The actors to be involved and their place relative to the each of the mechanisms

Hence, any government would adapt and/or implement various general and/or specific mechanisms to promote policy coherence. The final stage would be the choice of mechanism(s) that is to be used and the definition of its purpose. A range of mechanisms would then be implemented (see bottom of the diagram), some may be specifically defined to serve a particular policy goal, such as PCD, others might be a more generic coherence promoting mechanisms which also have PCD as one of its several purposes. Or again they may promote coherence but not PCD at all.

Diagram 2: Governments Design their own Approaches to Achieving PCD

The Context of Government
1. Governance systems & administrative culture
2. Approach to Policy Change – holistic/particularistic
3. Political will of government to push issue
4. External political support for issue

Approach to Promoting Policy Coherence

can be based on:

(i) policy statements, (ii) administrative or government mechanisms,

Mechanisms established to promote policy coherence

General policy coherence mechanisms *(that do **not** mention PCD)*	General policy coherence mechanisms *(that also **mention PCD**)*	**PCD Mechanisms** i.e. dedicated specifically to PCD	Inadvertent PCD mechanisms: *(i.e. promote PCD by chance)*	Other policy coherence mechanisms etc. …

Different Government Systems and the Promotion of Coherence

The *Scoping Study* suggests that the nature of a governance system in any country is an important factor in determining the government's choice and effectiveness of a PCD mechanism. Different factors such as the degree of concentration of power in a government system could be critical factors in determining where, how and at what level policy change is best achieved and questions of coherence and incoherence are best addressed.

Other important characteristics of government for the discussion on PCD include the institutional balance of powers (parliamentary system versus semi-presidential system) and how to build consensus in a specific society. A key issue to examine will be the question of where power lies and who or what are the agents of change that is able to wield sufficient authority to ensure that incoherencies are resolved.

A classical categorization in political science that would assist us in analysing this issue is the *consensus* versus the *majoritarian* model. The majoritarian model relies on the majority of people to take decisions and a more centralised State. In a majoritarian model, institutions are conceived in order to facilitate the emergence of a ruling majority. On the other hand, the consensus model attempts to include as many people as possible and is categorized by a more proportional representation approach. In a consensus model, majority rule is considered only as a minimal requirement, rather this model seeks to maximise the size of its majority. Its rules and institutions aim to achieve broad participation both inside and outside the government and broad agreement on policies.

The way power is distributed will thus differ between the two models as well as the way policy processes are conducted. The approach for the preparation, approval and implementation of new policies typically differ between the two models in terms of the actors involved, the consultation process, the location of policy choices, etc. Institutional mechanisms used to implement certain political choices will be linked to this difference of approaches.

Lijphart[1] has drawn a categorization and a mapping of 36 countries between these two models, including the 15 EU 'old' Member States. His categorization is based on a two dimensional graph with countries positioned along two axes:
- First the executive parties dimension which groups five characteristics of the arrangement of executive power, the party and electoral system and interest groups
- Second, the federal-unitary dimension which looks at the contrast between federalism and unitary government

This second axes with its focus on federalism versus unitary states[2] is of less value to this study; however several of the 5 factors listed for the first axis are of direct relevance to our concern with policy formulation.

The five characteristics Lijphart lists for the horizontal *Consensus to Majoritarian* axis of his graph on are:

- Concentration of executive power in single party majority cabinets versus executive power sharing in broad multi-party coalitions;
- Executive-legislative relationships in which the executive is dominant versus executive-legislative balance of power;
- Two-party versus multiparty systems;
- Majoritarian and disproportional electoral systems versus proportional representation;
- Pluralist interest group systems with free-for-all competition among groups versus coordinated and "corporatist" interest group systems aimed at compromise and consensus.

All five of these characteristics can readily be seen to be likely to have some impact on policy formulation processes in government. In simple terms one might imagine that a *majoritarian* type government would agree on a PCD mandate fairly quickly if it was persuaded of the case and would choose a directive style mechanism that sought to impose PCD either through a strong policy statement or a committee with strong authority to push the PCD agenda forwards. A *consensus* model government, on the other hand, would only arrive at a PCD commitment through a long process of consultation and negotiation and would then be more likely to choose an administrative mechanism to promote PCD in the belief that the consensus built up by exhaustive consultation meant that a strong directive policy statement was no longer required.

Having identified a characterisation of styles of government it is also useful for our analysis to characterise a government's approach to policy change.

---

[1] Lijphart A., Patterns of democracy. Government forms and performance in thirty six countries. Yale University Press. New Haven and London : 1999
[2] Although we do not intend to use this second axis of Lijphart's classification the criteria he gives for this are the following: 1. Unitary and centralized government versus federal and decentralized government; 2. Concentration of legislative power in unicameral legislature versus division of legislative power between two equally strong but differently constituted houses; 3. Flexible constitutions than can be amended by simple majorities versus rigid constitutions that can be changed only by extraordinary majorities; 4. Systems in which legislatures have the final word on constitutionality of their own legislation versus systems in which laws are subject to a judicial review of their constitutionality by supreme or constitutional courts ; 5. central banks that are dependent on the executive versus independent central banks

### Holistic & Particularistic Approaches to Policy Change

One of the patterns of government behaviour that it is possible to observe when looking at *approaches* to promoting PCD is whether or not to go for a 'whole of government' approach. A parallel might for instance be drawn with the different approaches used in the 1980s and 1990s to promote policy change on gender issues in development, with on the one hand 'gender units' often being set up in a ministry to incite and encourage others to adopt gender analyses and approaches. On the other hand some ministries attempted to 'mainstream' gender sensitive approaches throughout development policies and programmes and expected all ministry officials to promote gender based approaches. Based on this example a distinction can be made between two extremes to policy change characterised by:

- A *holistic or mainstreaming* approach whereby a policy statement is given considerable strength and authority, ideally with the force of a law behind it (e.g. as in the case of the Swedish Bill), that imposes on the whole of government the obligation to seek PCD in all areas of its work

- A *particularistic, or 'ginger group'* approach where the officials responsible for development, are responsible for promoting PCD throughout government wherever they see opportunities. Typical of such an approach is to establish a specialised coherence unit which acts as a 'ginger group' to move the issue forward.

Having identified this as a possible characterisation of two different ends of a spectrum on approaches to policy change one can construct a graph using Lijphart's *Consensus to Majoritarian Approaches to Government* on the horizontal axis and our new *Holistic to Particularistic Approaches to Policy Change* on the vertical axes of the graph as shown in Diagram 3. Such a graph would then allow us to determine a positioning for each EU Member State based on both these characteristics. This would then permit us to verify whether a relationship exists between the two issues, enabling us in turn to reach certain conclusions about the likelihood of success of a particular type of PCD mechanism in a particular government context.

Diagram 3: Styles of Government versus Approaches to Policy Change
(N.B.   The five countries already identified on the graph have only been inserted for illustrative purposes – their characteristics still need to be verified before their positioning is finalised.)
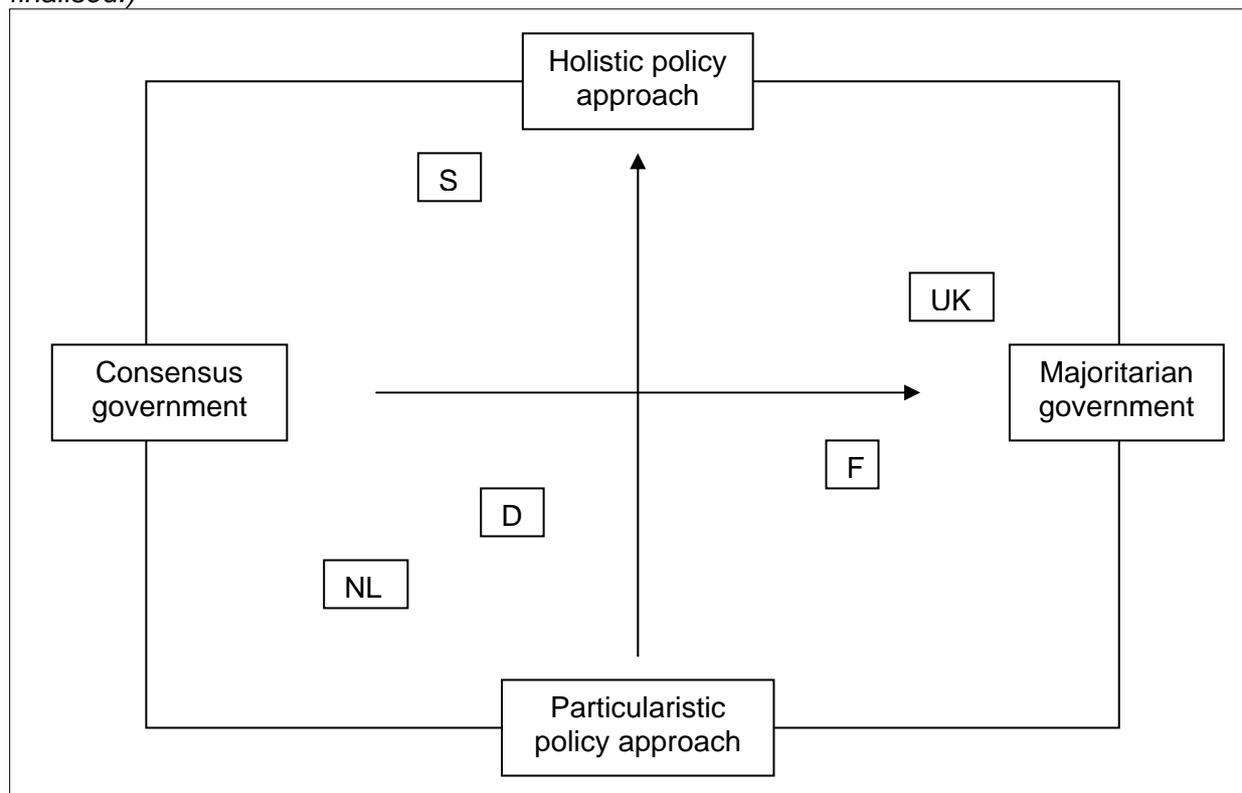
1.4 The Object of Study : Forging Policy Coherence for Development

Focussing the Study

This review of the generic policy processes leading to policy coherence indicates that a great number of different procedures might conceivably promote coherence in direct or indirect ways. To limit the object of study to manageable proportions however three a priori limits are placed on this study.

First, it is clear that we are concerned here with one type of policy coherence only: PCD, that is *policy coherence for development*, and not directed at other objectives of government policy. As we have seen, promoting coherence can be considered as a general goal in policy formulation of which there are many other examples, e.g. seeking to have an external trade policy that is coherent with agricultural policy. Mechanisms put in place would be similar but their mandate would differ. This study is concerned with measures to promote coherence in favour of development goals.

Secondly, the ToR also state clearly that among the different types of coherence that could be examined we are concerned here only with *intra-governmental coherence.* That is the coherence between different sectors of policy of one government[3].

Finally, a government may have in place a series of measures or mechanisms that it believes promote general policy coherence and therefore also, it is assumed, coherence with their development policy. Recent debates have however recognised that such a general

---

[3] For this study we are looking at the 25 EU Member State governments and the European level represented by the European Commission and other EU institutions.

approach to coherence is not adequate to achieve real progress. Our concern here is therefore with mechanisms that in their mandate include a specific brief to promote PCD.

In this study the term *'PCD mechanism'* is therefore taken to mean a mechanism that is a clearly identifiable object of study because it exhibits the following features:
- It has a name
- It has a clear brief or terms of reference which explains its purpose and explicitly includes PCD even though this may not be its only remit
- It makes clear who – that is which stakeholders, officials, government departments, etc – are involved and who is not.
- It has a defined way of working or operating

Categorising PCD Mechanisms

a. Functional Types of PCD Mechanisms

Both the *Scoping Study* and McLean Hilker, however, go further in their efforts to characterise PCD mechanisms. McLean Hilker uses an analytical framework of eight institutional mechanisms[4]. At the same time her study brings out that these different PCD mechanisms are often found operating several together in different combinations. The Scoping Study proposes instead a more manageable characterisation of three types of mechanism into which it 'collapses' the eight mechanisms of McLean Hilker. Thus the *Scoping Study* argues that in defining their approach to promoting intra-governmental PCD, governments typically resort to three principal types of measures:

i. Explicit **Policy Statements** on coherence which translate external policy pressures into a declaration of what the government intends to do to, indicating intent, providing focus and guiding officials and other actors.

ii. **Administrative and Institutional Mechanisms** (such as inter-departmental coordination committees in government, or a specialised coherence unit) to promote coherence in the definition and further refinement and mutual adjustment of different policies and the execution of the commitment

iii. **Knowledge Input and Assessment Mechanisms** (information and analysis capacity) to support an evidence-based approach to policy formation which underpins and informs the need for policy coherence.

Both studies, and particularly McLean Hilker, emphasise strongly that these mechanisms need to be combined in different ways if a government is to be effective in promoting PCD. Thus her concluding paragraph starts:

> *"Finally it is important to stress that many of the different institutional mechanisms listed above need to be combined to work together in order to achieve greater PCD. Some are alternatives, but others are vital. For example the starting point has to be a clear political commitment to PCD at the highest level … . This has then to be reflected in <u>policy frameworks</u> across government … implemented throughout the administration by establishing the <u>appropriate structures and policy coordination mechanisms</u>, ensuring there is <u>adequate analytical capacity</u> …"* [emphases added]

---

[4] McLean Hilker's analytical framework uses the following eight institutional mechanisms (Box 6 in her paper): 1. Government/institutional structures; 2. Political context, commitment & leadership, 3. Policy frameworks/statements, 4. Stakeholder analysis/consultation, 5.Analytical capacity & knowledge management, 6. Policy co-ordination mechanisms, 7. Working practices and policy-making processes, 8. Monitoring, accountability and lesson learning.

To be effective these different types of mechanisms thus need to be used in different combinations and in a more or less formal way. Borrowing from the concepts of systems theory one can also see them as part of a system which might consist of a combination of mechanisms that are interconnected, mutually supportive and relate by various links to key aspects of the broader context in which the system operates.

Such a system might typically consist of a first principal mechanism such as an inter-departmental government committee whose work might be supported by a knowledge input and assessment mechanism that provides evidence of cases of policy incoherence and assessments of how these might be overcome. The committee's purpose and modus operandi is further likely to be based on some form of policy statement and/or regulation that provides the basis of its authority to act and pursue PCD. It will also relate to the political context in which the government functions and might therefore for instance report regularly to the national parliament or interact with the national media. In executing its PCD remit it will, at a minimum, perform the two prime tasks identified above as essential to achieving coherence in the policy process: (a) strengthening coherence, and (b) resolving contradictions and cases of incoherence. Such a PCD system might therefore be visualised in the model in Diagram 4.

Clearly the way these three types of PCD mechanisms work together will vary from case to case. The relative strength or weakness of each mechanism within the system will probably be dependent on the needs and the nature of the political and government context in which the system operates. This will be a prime consideration for the study. For instance the case of the Swedish PCD Bill highlighted in the *Scoping Study* would appear to be a case where the government has chosen an approach characterised by a strong policy statement and relatively less important administrative and institutional mechanisms or knowledge and assessment capacity. While our study will clearly focus on the PCD mechanism itself, it will therefore do so while keeping the broader system in which the mechanism operates in mind.

PCD mechanisms can also be imagined to operate at different levels in the government policy formulation hierarchy. This positioning will affect the authority of the mechanism and the role it can play and will therefore also be a factor in its effectiveness. Again this would be an important aspect to examine in the study.

Diagram 4: Understanding the operation of PCD Mechanisms in their Political & Governmental context
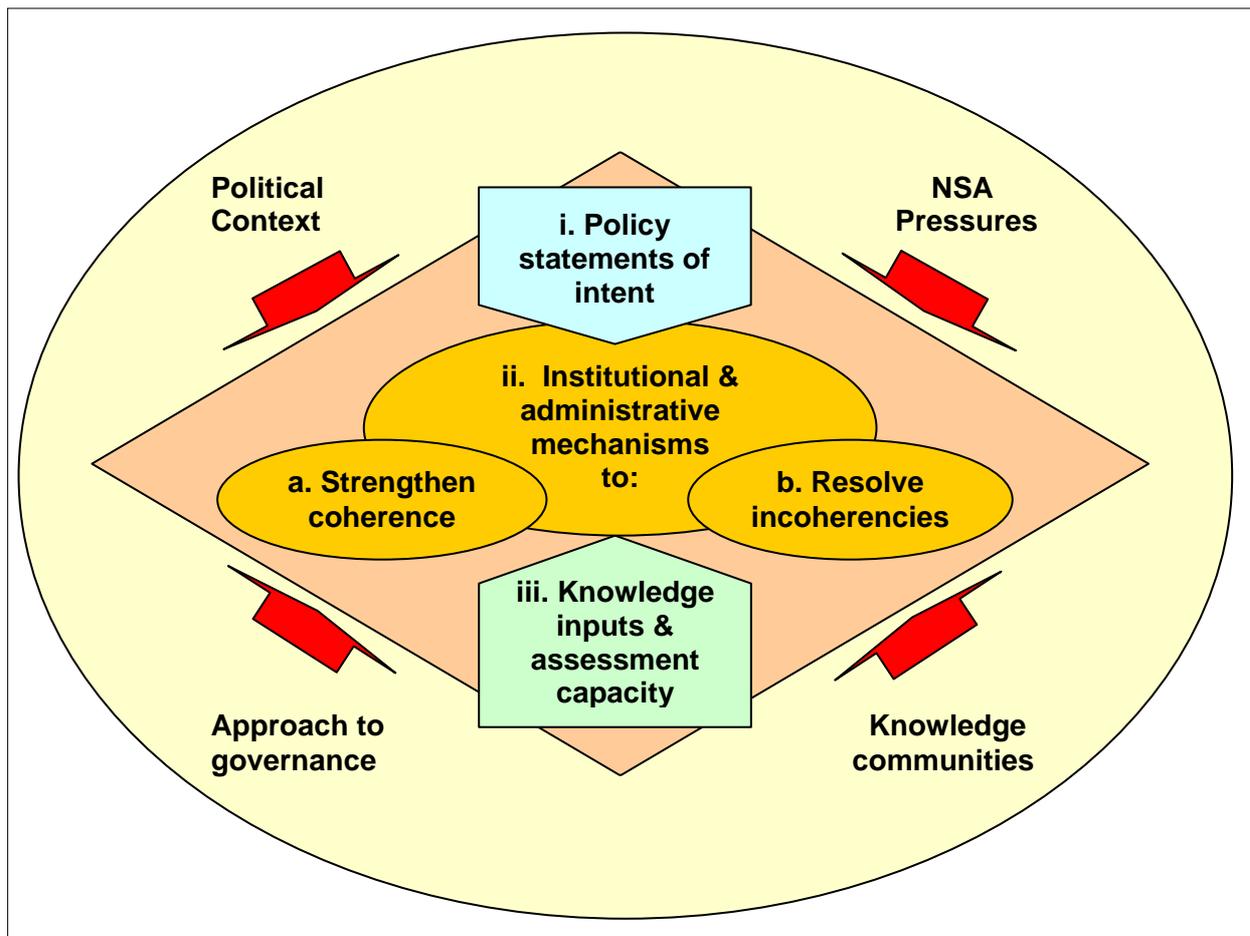
b. Practical Characteristics of a PCD Mechanism

We have already indicated that to qualify on their own or jointly as features of a specific *PCD system* the mechanisms need to be established with a degree of formality and deliberate action so as to respond to the criteria laid out above.
In addition to being of a particular nature in terms of their function, PCD mechanisms exhibit other basic practical characteristics which can enable us to understand and classify them. Four basic characteristics can be used as the basis for a possible typology:

a. **Level of formality** – i.e. formal and institutionalised mechanisms or informal ones. In the second type the capacity of mechanisms to generate binding decisions is obviously smaller, but informal mechanisms can nevertheless be important.

b. **Nature of competence** – i.e. is their mandate or a political or a technical nature. Clearly fewer decisions are taken at the second technical level, particularly in so far as the content of policies is concerned.

c. **Policy scope** – i.e. do they cover a range of policies or only a limited number that is coherence between development and one other policy sector. Scope thus refers to the sum of policies and instruments that are covered by the mechanism.

d. **Degree of specialisation on PCD** – i.e. are they highly specialised in promoting PCD and set up for that specific purpose, or do they have a wider range of tasks

In principle there are obviously many combinations of these four characteristics but some combinations are more important than others and we have already stipulated that certain types of PCD mechanisms are not to be studied. Thus it is clear that we are not concerned here with informal mechanisms. Most PCD mechanisms identified in earlier work appear to have a broad policy scope that covers PCD with a range of different policy sectors so cases of PCD mechanisms with a limited policy scope defined as dealing with development and only one other policy sector, can be treated as exceptional. On this basis we would be left with four different groups of mechanism to study:

A. Table 1: Groups of PCD Mechanism by Characteristics				
B. PCD Mechanisms	C. Nature of Competence		D. Degree of Specialisation	
E.	F. Political	G. Technical	H. PCD only	I. PCD & others
J. Group 1	K. X	L.	M. X	N.
O. Group 2	P. X	Q.	R.	S. X
T. Group 3	U.	V. X	W. X	X.
Y. Group 4	Z.	AA. X	BB.	CC. X

The study will thus cover only formal PCD mechanisms with a broad policy scope covering several policy sectors in relation to development. Any PCD mechanisms with a limited policy scope that are identified will be seen as exceptions within these four basic groups. The four groups to be studied will therefore be:
- Group 1: Mechanisms with a political competence and specialised in PCD
- Group 2: Mechanisms with a political competence and non-specialised
- Group 3: Mechanisms with a technical competence and specialised in PCD
- Group 4: Mechanisms with a technical competence and non-specialised

1.5 Conclusions

The preceding pages have sought to clarify the conceptual framework for this study building on the notions already explored in the *Scoping Study.* The policy process, of which the promotion of PCD is a part, was first examined from a generic point of view. The important question of the political and governance context in which a PCD mechanism operates was considered. In order to establish the link between this context and the choice of PCD mechanisms that a government makes, an effort was made to define how a particular approach to promoting policy coherence comes about and, how different types of government may lead to different approaches to policy change. These conceptual notions will be explored further in the later stages of the study but they can already be seen to form a useful framework within which to structure the research and test the relationship between approaches to governance and approaches to policy coherence.

The object of the study, PCD mechanisms, was then closely defined. Thereafter, building on the *Scoping Study* three main functional types of PCD mechanism were identified and it was noted that these different types of mechanism often tend to operate together in different combinations which implies that individual mechanisms should not be seen or indeed studied purely in isolation. A number of practical characteristics of PCD mechanisms were also identified which will permit us to describe PCD mechanisms more precisely. Both these classifications by functional type and practical characteristic should also form an important basis for the selection of a limited number of PCD mechanisms for case study examination.

2 Evaluation methodology: Main milestones

Every evaluation is a logical sequence of steps that start with the structuring of the evaluation process, then move on to the collection, processing and analysis of data, and finally the judging of the results. This chapter presents the major steps of the approach which we used to implement the evaluation.

2.1 Elaboration of the intervention logic

It is necessary to understand, from the onset of the evaluation, the objectives pursued and the whole architecture of the assistance. For this, the cornerstone of the evaluation methodology is the derivation or "re-construction of the intervention logic".

The starting point for this intervention logic is the formalisation of the overall objectives pursued by the Member States and the EC. These have been identified from official documents, and have been included in the various parts of the intervention logic.

The re-construction of the intervention logic consists in making explicit the final objectives, the strategies and their expected impacts. It is a notional concept based on "intentions" and it will be used as the reference to assess how far what has been done in practice is in accordance with these intentions. It will also be used as the reference to assess the extent to which the expectations and assumptions behind these intentions are met.

The second step is the identification of the specific or intermediate objectives viewed as intermediary steps towards the realisation of the general objectives. The information on these specific objectives has been derived out of the scoping study[5].

A powerful tool that has been used to derive the intervention logic is the design of a "diagram of impacts". It consists in retracing the logical links between the intended impacts, the outputs imposed to the interventions in order to achieve these impacts and the activities conducted to deliver these outputs. The evaluation will then attempt to verify the materialization (in quantity and quality) of the intended impacts, identify possible unintended positive or negative impacts, and analyse the contribution of the programme/project to these impacts.

The reconstructed intervention logic fulfils two major functions in an evaluation:
- It is meant to serve as the background against which the whole evaluation will be conducted and the judgements formulated.
- From an operational point of view it will be directly used to derive evaluation questions. Evaluation questions are a way to make more accessible the evaluation criteria by targeting key elements of the reconstructed intervention logic. The immediate implication is that each evaluation question must be hooked into the intervention logic, and together they must cover the whole range of evaluation criteria.

During the synthesis phase of the evaluation, some changes were made to the intervention logic, mainly to reflect the improved understanding on the relations between different types of PCD mechanisms. The updated intervention logic can be found in annex D of the final report.

---

[5] ECDPM and ICEI (2005) EU mechanisms that promote policy coherence for development. A scoping study. Amsterdam: Aksant Academic Publishers

2.2 Choosing the evaluation questions

A set of Evaluation Questions was drafted for the Study on the basis of four sources:
i.   The specific objectives for the Study given in the ToR
ii. The expected results of the Study as specified in the ToR
iii. The indicative list of questions from the ToR, and
iv. Key areas for research identified by the Study Team.

The overall logic of the Evaluation Questions formulated below is as follows:

- It recalls the 'life cycle' of the mechanisms, by looking at their origins, the conditions in which they were formulated, how they function and the way they contribute to PCD, and can keep on doing so.

- This is a simple clear logic that will be easy to use in interviews and enables us to structure the collection of evidence relating to the efficiency, impact, process of establishment of the mechanisms, sustainability and possible replication elsewhere.

- The list of EQs has been kept deliberately short and their wordings as clear and simple as possible. This is partly so that the focus of the study will be easy to convey to interviewees and partly to encourage maximum consistency of the work between different members of the study team doing the interviews for the different case studies.

- The questions also need to be usable to apply to a group of PCD mechanisms (e.g. in the desk study) and to individual PCD mechanisms (e.g. in the case studies).   Particular attention will be given to interrelations between the mechanisms. Below they have been written in the plural form (the aim of the study is to evaluate all mechanisms) but they can all be easily applied to an individual PCD mechanism when required.

The following list of **Evaluation Questions** resulted from this process:

1. To what extent and why did the process of establishing the selected intra-governmental PCD mechanisms respond to specific national constraints and produce mechanisms that are particularly suited to these national parameters?

2. How and why are the selected intra-governmental PCD mechanisms relevant in promoting intra-governmental PCD in their particular national context?

3. How effective and efficient are the selected intra-governmental PCD mechanisms in achieving their objectives within their context? In cases where governments have established several intra-governmental PCD mechanisms, to what extent and how do these mutually reinforce each other or do they perhaps work at cross purposes in some respects?

4. What are the key factors contributing to the success of the selected intra-governmental PCD mechanisms and their impact on intra-governmental PCD and why? What are the mechanisms strengths and weaknesses in this respect?

5. What (and why) are the main factors influencing the sustainability of the selected intra-governmental PCD mechanisms?

These questions put particular emphasis on exploring the relationship between established intra-government PCD mechanisms and the particular national context in which they have been established. In conducting the research and in seeking to derive conclusions from the information gathered, the Evaluation Team will also have in mind whether other solutions to promoting PCD might have been envisaged in a particular context.

2.3 The methodological framework

For our evaluation, the following techniques were selected:
- Systematic document review of main issues / evaluation questions and comparative analysis
- Case studies of 7 PCD mechanisms
- A short, online questionnaire, targeted at government officials who work on PCD, in the EU member states and the European Commission
- Comparative analysis of mechanisms (desk surveys based on official documents – further development of scoping study through the elaboration of country profiles on PCD)

The following table presents the main techniques that will be used for data collection. In the table, the methodological and practical limitations of these main techniques are also commented upon:

Method of data and information collection	Specifications	Limitations
Identification of the intervention logic	The team will examine the overall stated objectives on coherence and structure them according to main clusters (actions; outputs, outcomes and impact). The resulting impact diagram will represent the overall strategy in the field of coherence. It will help drafting the evaluation questions.	The various perceptions – documents of Member states and ECs makes a synthesis difficult. Some official documents may not present enough information to finalise the intervention logic.
Use of evaluative questions	A set of evaluative questions will be drafted as well as specific judgement criteria, indicators and data collection methods. All methods include or refer to the evaluative questions so that comparison can be made and base for judgement broadened.	
Literature reviews	Policy documents will be obtained from two main sources: Member states websites and services; EC websites and services (especially the websites maintained by DG Development, DG Relex, and EuropeAid). Other documents will be selected from the information database maintained by ECDPM, ICEI and PARTICIP as well as other main websites that contain information related to policy coherence for development. Effective use will be made of lessons learnt by the Member States, including any completed assessments or evaluations which focused on or included PCD issues. Specific attention will be put on former and ongoing evaluation reports and processes in the field of coherence.	Due to the high number of existing documents, the analysis will focus on the most important ones, thus increasing the probability to miss relevant information or experience. Lack of information on the methodology used to obtain and analyse information.
Interviews (both structured and unstructured)	In Member States and in Brussels, interviews will be organised with ministries / EC staff (various units and reference group) as well as other key persons working in other organisations. In case studies countries a higher range of actors will be interviewed (staff of ministries, non-state actors, etc.). Three types of interviews will be carried out: structured, semi-structured and unstructured interview. All types can be used at the various stages of the evaluation process, but usually unstructured interviews will be used first (orientation phase) and the structured interviews at the end of a process when detailed information is needed. Semi-structured guide or precise checklist will be prepared before the interviews. Evaluation EQ will be integrated in this checklist. Interviews will be carried out with one person or in small groups. Interviews with one person will be used for more specific and detailed discussions, including those relating to any cases of conflict or as regards sensitive issues. Small groups could be more appropriated to discuss specific perceptions with persons who share a similar condition-	Lack of availability of MS and EC staff Lack of confidence or specific interest (hidden agenda) may bias the information given. Lack of representativity of interviewees may give an unbalanced perception of reality.

	statute and to get more quantitative perceptions.	
Questionnaires	The evaluative approach based on the evaluative questions will be translated into a structured questionnaire. Both closed and open-ended questions will be used. The questionnaire survey aims at gathering a wider range of information on existing mechanisms in Member States and EC. It allows the evaluators to triangulate some of the findings from the case studies and the desk assessment (and vice versa), which will increase the validity of the data. In the structure of the questionnaire a distinction will be made between descriptive, evaluative and prescriptive parts. The descriptive information serves to relate individual responses to the content of the analysis. As to the evaluative part, it will cover the crucial aspects of project preparation and design, relevance, efficiency, effectiveness, impact and sustainability, whereas the prescriptive part aims to find out about recommendations and possible amendments.	Government staff may not have or take the time to answer
Workshops	Workshops will be organised in Maastricht. They will focus on brainstorming and exchange of information on specific issues. Two types of workshops will be organised. Internal workshops assembling evaluation team members (core team or enlarged team) and dealing with various issues along the evaluation process. Time and resources permitting, external workshops will possibly also be used to bring together key resource persons and deal with a specific issue. The duration of such workshops will be from half a day to two days.	Lack of availability of all team members at the same time.
SWOT analysis	Strengths and Weaknesses of mechanisms that have been observed in the past, need to be examined as well as Opportunities and Threats which may arise in the future. The needed data can be derived from sources as e.g. statistical analysis, interviews, former evaluations, etc. This analysis will be used in a very rough way, being reduced to the rapid discussion of S, W, O and T. It will be also included in the questionnaire.	Threats are generally underestimated during the exercise.
Case studies	Six or seven field visits to Member states and EC will be carried out, with the general objective of analysing specific PCD mechanisms. The case studies will bedivided among the different members of the evaluation team, who will conduct these case studies either individually or in teams of two. Logistical support will be provided in preparing in advance the field survey by contacting the responsible persons, collecting documents, and arranging meetings. The selection process will be based on the four criteria which are outlined in section 4.1.5. In the standard programme, during the field visits, approximately 4 days will be dedicated to meeting different stakeholders (in ministries or in EC, in partner organisations (NGO's, multilateral and bilateral funders, etc.) and national actors involved in coherence.	Limited time available by key persons Relative brevity of the field visits, made necessary by the time constraints of this evaluation

	Standard checklist for interviews will be prepared before starting the field visits. Internal meeting will be organised for finalising case studies reports.	
Comparative analysis of mechanisms	In depth analysis of the various mechanisms related to coherence. The assessment will be based on a standard checklist. Further, a comparison of the different mechanisms will be made.	Insufficient consistency between the various objectives levels. Lack of practical information on how strategic decisions will be implemented.
Synthesis	The Synthesis Note will summarise the data and information collected and will present preliminary findings. It will help to prepare the synthesis phase of the evaluation study. Synthesis report. A draft synthesis report will be produced for discussion with the Evaluation Reference Group. The report will integrate the main elements from the structuring phase, and presents new elements that were analysed during the completion phase. Thus, the report will make a synthesis of the main results from the case studies as well as from document analysis; former evaluation reports; results of the questionnaire; comparative analysis between mechanisms; and drafts overall conclusions and recommendations.	A selection has to be made in the huge amount of information that has been gathered. It may bias the painting. Biased findings when information resulting from one method is more used than the other ones. Summary for each method doesn't reflect the variety of the responses (simplification of the message).

2.4 Overview of activities to be conducted in Brussels and in the countries

As mentioned on page seven of the Terms of References, the Steering Group expects six broad results from the present evaluation study by. In order to produce the first of these expected results, the desk study phase of the evaluation study will build on the basis of the Scoping Study provide a more comprehensive and analytic overview of existing PCD mechanisms in all MS and in European institutions. In order to produce this comprehensive and analytical overview, several research activities are required during the desk study phase of this evaluation:

1. Actualisation of the existing list of development policy statements: Annex 3 of the Scoping Study, which lists the main development policy statements of the EU Member States will be updated through an exploration of publicly available documents. The documents will be analysed on their coverage of and reference to PCD.
2. On the basis of step one, and through consultation of relevant case studies on coherence, as well as official documents which have become available since the completion of the Scoping Study, the descriptions of the PCD mechanisms will be updated and revised.
3. These descriptions will then be communicated to the respective member states for verification, feedback and additions. The same people that were contacted during the Scoping Study will again be consulted (listed in annex 4 of the Scoping Study), provided they have not left their position, in which case their successors will be contacted.

This overview will form the analytical and empirical point of departure for the evaluation study, and will enable it to achieve the five other results that are expected from it. These are discussed here, and an indication is given how they will be answered and during which phase of the evaluation.

An identification and assessment of the processes leading up to the establishment of the mechanism/provisions and their targeting on intra-governmental coherence will be covered during the desk study phase, mostly based on document research, and will be also addressed during the case studies. An assessment of the relationship between the mechanisms introduced, or the measures taken, and the expected outcomes will also be conducted at this stage.

The remaining expected broad results which were formulated in the Terms of References will be met during later phases of the evaluation, in particular during the case studies and during the synthesis phase of the evaluation, cross-checking and analysis of the evidence gathered through the methods which were described above. These three remaining expected results are as follows:
- Proposals to enhance the relevance and effectiveness of different categories of mechanisms within their contexts;
- An assessment of the replicability of the identified mechanisms in other contexts;
- Proposed general guidelines for creating effective internal policy coherence mechanisms

2.5 Methods of judgement

The judgement process comprises three different steps, which are presented here:
- Specific judgement for each Evaluation Question;
- Specific judgement per each evaluation criterion (relevance, effectiveness, efficiency, sustainability, impact);
- Overall judgement of the evaluation study's results (by means of a two-way process)

1) Specific judgement criteria for each EQ

- Judgement criteria have been developed for each EQ. There are mainly 3 to 4 judgement criteria per EQ. For each of these judgement criteria, indicators have been listed out as well as sources of information and the most relevant methods to get information.
- The degree of fulfilment of each judgement criteria is based on the information gathered (and cross checked) through the various methods.
- A Balanced judgement integrating the responses to the various judgement criteria will be made at the end of each EQ. There is no systematic weighting of the various judgement criteria within an EQ. In order to limit the subjectivity of this process systematic quotation are made and reference documents are put in annex in their raw form.

2) Specific judgement per each evaluation criterion

- A table was drafted linking the evaluation criteria and the EQ.

	Types of evaluation criteria	Evaluation questions				
		1	*2*	*3*	*4*	*5*
1	Relevance	X	X			
2	Effectiveness	X		X	X	
3	Efficiency			X	X	
4	Sustainability	X			X	X
5	Impact			X		X

- A rough assessment was made on the importance of each EQ as regard to the various evaluation criteria.
- A balanced judgement was made integrating the responses to the various EQ.
- Evaluation Question 1 also collected evidence on the possible replicability of the different PCD mechanisms.

3) Overall judgement of evaluation results

A two way process was followed.

- A balanced judgement will be made integrating the specific judgement on the various EQ and evaluation criteria. Here again there is no weighting of the various EQs in the overall judgement.
- A judgement will be made based on main conclusions, which are not structured along the EQ but take elements from various EQ. This process is more intuitive based.

Both processes could be compared and harmonised to finalise the conclusions and recommendations.

These steps were used by presenting the mechanisms that have been analysed (6 case studies reports). Each EQ was answered for each mechanism.

In the synthesis note, the results from the various data collecting methods which are described in section 4.1.8 of this inception note will be presented for each EQ.

In the final report, only main findings are presented so as to ensure an accessible and concise document that presents the main outcomes, findings and recommendations so as to meet the criteria defined in the Terms of References. In the appendices to this report, basic collected and analysed information will be featured, which will contain most of the 'evidence-base' underpinning the final report. .

2.6 Evaluation Question Grid

The following table gives an overview of all Evaluation Questions, Judgement Criteria and Indicators that were formulated. The table also presents the methods for data that informed the responses to each of these indicators.

ECDPM / PARTCIP / ICEI – PCD Mechanisms Study – Overall table for allocating methods to the various EQ

Methods of data and information collection and analysis

1) The following methods have been used to structure the information
   - o   Identification of the intervention logic
   - o   Use of evaluative questions
2) The following methods are used to collect and analyze information
   - o   Methods for optimizing document - data collection
   - o   Grid for literature reviews
   - o   Matching-/ adequation grid between information needs (EQ) and methods to be used
   - o   Grid for capitalising evaluation results
   - o   Grid for interviews both structured and unstructured
   - o   Questionnaires
   - o   Workshops
   - o   SWOT analysis
   - o   Case studies
   - o   Country profiles
   - o   Grid for comparison of mechanisms
3) The following tools should synthesize the results
   - o   Assessment process for each EQ
   - o   Flow diagram on findings,-conclusions and recommendations
   - o   Short synthesis with main results

Quality assurance tools
- Standard formats for reports
- Flow diagram of information between reports
- Selection process for case studies
- Selection process for questionnaires
- Workshops (internal and external)
- Triangulation / cross-checking of information

Sources of information
- o   Actors,-People
- o   Database
- o   Documents
- o   Observation
- o   Own experience

The following table refers mainly to the 2nd category of methods. Please be aware that all methods can be used for collecting and analyzing information related to each EQ. In this table we will focus on particular methods that could be more appropriate in dealing with a specific EQ, but this list is not exhaustive. In the same spirit, all information should be discussed with various groups so as to integrate various perceptions. Mentioning a category of group doesn't mean that the discussion will only involve this category, but that the perception of this category is of higher importance compared to the others.

EQ 1				
To what extent and why did the process of establishing the selected intra-governmental PCD mechanisms respond to specific constraints and produce mechanisms that are particularly suited to these parameters?				
Judgement criteria	**Indicators**	**Key issues**	**Source of information**	**Methods**
1.1 Effect national debate on coherence had on establishment of PCD mechanisms				
	1.1.1 Parliamentary debate on government policy positions, evolution of national context, debate in media, NGO lobbying etc	Existence of a debate; type of actors involved in this debate and their role; discussion of the coherence issue in media; or as an issue in actors' agenda	Documents Actors Own experience	Literature review Case studies Interviews
	1.1.2 Evidence of changes in government position on coherence following public debate	Comparison of strategy documents; mention of specific debate in strategy documents	Documents Actors	Literature review Interviews
1.2 Evidence and perceptions that international thinking on PCD have influenced mechanisms				Questionnaire
	1.2.1 Internal follow-up documents on major international speeches & commitments	Mention of international debates in internal strategy papers and documents relating to the mechanisms;	Documents Actors	Literature review Interviews
	1.2.2 Extent to which international debates referred to in national debate	References by different national actors to international debate on PCD; recommendations made by other actors (peer review,…)	Documents Actors	Literature review Interviews
1.3 Major 'agents of change' advocated for the mechanisms, contributed to its establishment and participate in the further promotion and activities				
	1.3.1 Presence of major actors of change advocacy on PCD	Type of actors active in this field	Documents	Literature review
	1.3.2 Evidence on which external actors had access to and were capable of influencing the mechanism.	Participation of actors in setting up mechanisms or in debate; production of recommendations from actors; evidence of integration of actors' comments	Documents	Literature review
	1.3.3 Assessments from various actors on key factors that prompted establishment of the mechanisms and main actors who push for them	List of key factors and main reason why they have functioned	Actors	Interviews Case studies
1.4 Major national or international examples of policy (in)coherence for development which prompted the establishment of the mechanisms.				
	1.4.1 Indications that particular cases of (in)coherence caught public imagination		Documents Actors Own experience	Literature review Interviews

	1.4.2 Evidence of media and civil society using particular cases of (in)coherence in debate on PCD issues		Documents Actors	Literature review Interviews
	1.4.3 Evaluations & reviews of cooperation programmes identifying negative impact of lack of coherence		Documents Actors Own experience	Literature review Grid for assessing evaluation results Interviews
1.5 Dissatisfaction with impact and effectiveness that existing coherence mechanisms have on PCD (limited effects...)				
	1.5.1 Lack of movement on PCD over years of existence of mechanisms	Do actors accept that there is no real movement on PCD	Actors	Interviews Case studies
	1.5.2 Evidence of insufficient impact of other broader coherence mechanisms on development policy		Document Actors	Literature review Grid for assessing evaluation results Interviews
1.6 Uniqueness of particular PCD mechanisms to a particular national context				
	1.6.1 Existence of features of the PCD mechanisms that are not common or even evident in other cases	List of issues that are being considered as specific by the actors; specificity in the set up of mechanism	Document Actors	Literature review Grid for comparing mechanisms Interviews
	1.6.2 Evidence of causal links between the characteristics of the PCD mechanism and particular features of the national context	Mention of particular features in mechanism documents	Document Actors	Literature review Grid for comparing mechanisms Interviews
1.7 Success in surmounting specific obstacles for setting up PCD mechanisms				Questionnaire
	1.7.1 Evidence of obstacles for promoting coherence	Kind of obstacles for promoting coherence; mention in documents or by actors	Document Actors	Literature review Case studies Interviews
	1.7.2 evidence of arbitration processes	How these obstacles have been tackled and with success or not; kind of decision process / compromise-finding; actors involved in this discussion	Document Actors	Literature review Case studies Interviews
EQ 2 **How and why are the selected intra-governmental PCD mechanisms relevant in promoting intra-governmental PCD in their particular national context?**				
Judgement	**Indicators**	**Key issues**	**Source of**	**Methods**

criteria			information	
2.1 Mechanisms are in line with the national policy objectives (policy relevance)			Documents Actors	Literature review Case studies Interviews
	2.1.1 Number of references to policy objectives			
	2.1.2 Mention of PCD mechanisms in development strategy documents			
2.2 Mechanisms are integrated in the national policy, implementation and practices (institutional relevance).				Questionnaire
	2.2.1 Administrative culture conducive to intra-sector dialogue	Evidence of established culture of consultation and dialogue with other government departments and ministries	Documents Actors Own experience	Literature review Case studies Interviews
	2.2.2. Evidence of appropriate institutional linkages with other policy formulation, decision making and management systems and agencies	Kind of existing linkages; actors involved; kind of decision making process,…	Documents Actors Own experience	Literature review Case studies Interviews
2.3 Key issues from national political context have been integrated in the selection and design of mechanisms (contextual relevance)				Questionnaire
	2.3.1 Evidence that mechanisms are adapted to political reality of country	List of main political issues; mention of specific action to tackle these issues,…	Documents Actors Own experience	Literature review Case studies Interviews
	2.3.2 Design of PCD mechanisms takes account of national political culture of dialogue	Actors involved in the process; frequency of meeting; exchange mechanisms; type of approach (bottom-up, holistic,…)	Documents Actors Own experience	Literature review Case studies Interviews
2.4 Mechanisms' design and actions correspond to their official purpose and take into consideration main pre-conditions (internal relevance).				
	2.4.1 Terms of reference of mechanism are clear and relate directly to its purpose	Internal logical structure of the mechanism (linkages actions, outputs, impact),	Documents	Literature review
	2.4.2 Internal logic of how mechanism is expected to operate is consistent with its mandate	mandate clearly formulated, preconditions and external factors taken into account;	Documents Actors	Literature review Case studies
2.5 Mechanisms are in line with the internationally recognised demand for PCD				
	2.5.1 Reference to EU commitments on PCD in the mechanism's mandate		Documents	Literature review
	2.5.2 Reference in the mechanism's mandate to recent international thinking on PCD		Documents	Literature review
	2.5.3 Existing external assessments of	List and result of external assessments	Doucments	Literature review

			Actors	Case studies Interviews
2.6 Mechanisms' remits cover main policy sectors relevant for development				
	2.6.1 Reference to development policy is made in the mechanisms' mandates		Documents	Literature review
	2.6.2 All the key other policy sectors affecting development policy – directly or indirectly – are identified and targeted by the mechanisms		Documents	Literature review
	2.6.3 Evidence from other policy sectors of awareness of PCD mechanism, its role and its potential importance for their policy sector	Mention of PCD in other policy sectors papers; focus on added value of sectoral and development strategies	Documents	Literature review

EQ 3
How effective and efficient are the selected intra-governmental PCD mechanisms in achieving their objectives within their context? In cases where governments have established several intra-governmental PCD mechanisms, to what extent and how do these mutually reinforce each other or do they perhaps work at cross purposes in some respects?

Judgement criteria	Indicators	Key issues	Source of information	Methods
3.1 The design and modus operandi of mechanisms facilitates progress towards intra-governmental PCD.				Questionnaire
	3.1.1 Positive internal (or external) assessments of the mechanisms and the way they work	List of existing assessment and their results; compare internal and external assessment; precise methodology used if available;	Documents Actors	Literature review Evaluation review Case studies Interviews
	3.1.2 Increased speed in addressing issues of incoherencies	If possible practical example of improved speed; precise process of incoherency and conflict resolution	Documents Actors	Literature review Case studies Interviews
	3.1.3 Evidence that coordination between various ministries is relatively easy both in general and specifically on PCD	Kind and use of existing coordination actions; Actors perception	Documents Actors	Literature review Case studies Interviews
	3.1.4 Evidence in other policy sectors of recognition of importance of taking account of PCD in policy work	Concrete examples in other policy sectors of PCD affecting choices	Documents Actors	Literature review Case studies Interviews
	3.1.5 Evidence that coherence issues are mainstreamed in identification and appraisal process for national programs with an external impact	Sample of national programs and analysis; actors perceptions	Documents Actors	Literature review Case studies Interviews

3.2 There is clarity among most relevant actors about the identity, role, specific focus and modus operandi of the mechanisms				Questionnaire
	3.2.1 Awareness on the issue of intra-governmental coherence and the existing mechanisms is high	Actors perception; mention of PCD in actors' documents	Documents Actors	Literature review Case studies Interviews
	3.2.2 Information about the mechanisms and the way they work can be easily traced through different electronic or other knowledge sharing systems (in-house systems and external ones)	List of existing systems; mention of PCD in these systems	Documents Actors	Literature review Case studies Interviews
	3.2.3 Descriptions of the mechanisms, their modus operandi and the actors involved are clear and simple to follow	role of actors clearly stated; arbitration measures also presented,…	Documents Actors	Literature review Case studies Interviews
	3.2.4 Type & characteristics of mechanisms can be readily described by officials who are expected to use them		Actors	Case studies Interviews
	3.2.5 Staff training courses and briefing programmes for new staff adequately and regularly cover use of mechanisms	List of existing training or capacity building in PCD; perception of actors about quality and impact	Documents Actors	Literature review Evaluation review Case studies Interviews
3.3 The mechanisms' activities contribute towards progress on intra-governmental PCD (as per outcomes in logical intervention diagram).				
	3.3.1 Number of ministries/departments regularly involved in dialogue and negotiations on policy coherence for development.	Statistics on consultations if available, attendance lists from minutes of meetings, perceptions of actors	Documents Actors	Literature review Evaluation review Case studies Interviews
	3.3.2 Evidence of regular information sharing and dialogue about the day to day use of the mechanisms between junior and senior policy making levels	List of existing systems or sharing procedures; perception of actors	Documents Actors	Literature review Case studies Interviews
	3.3.3 Officials using the mechanisms can point to examples where their use has enabled policy in other sectors to be adapted to favour PCD.	List of examples	Documents Actors	Literature review Case studies
	3.3.4 Officials' (or other relevant actors') views on how easy or difficult it is to use the mechanisms	List of problems and obstacles encountered; solution founds; strengths of the mechanisms (SWOT analysis)	Documents Actors	Literature review Case studies Interviews
3.4 Appropriate levels of resources (human and financial capacity) are provided to ensure full and			Documents	Literature review

efficient use of the mechanisms			Actors	Case studies Interviews
	3.4.1 Evidence that mechanisms are equipped with sufficient amounts of resources, manpower in order to function satisfactorily			Mechanisms comparison grid
	3.4.2 Absence of any recurring complaints about under- or over-resourcing			Evaluation review
3.5 PCD mechanisms are strong enough in relation to coherence mechanisms of other policy sectors, or other pressure within broader policy process				Questionnaire
	3.5.1 Examples of cases where a conflict of interest between policy sectors arose and the PCD mechanisms facilitated their satisfactory resolution (in favour of PCD)	Presentation of examples; cases of strengthened coherence, resolution of incoherencies), arbitration process,…	Documents Actors Own experience	Literature review Case studies Interviews
	3.5.2 Low frequency of cases where it has been impossible to find a 'PCD positive' solution to a conflict of interests between policy sectors	Discuss hot dossiers; Try to find out why it was impossible to find a solution	Documents Actors	Literature review Case studies Interviews
3.6 Degree to which combination of three different types of mechanisms takes place and how they support each other (Policy statements, Administrative and institutional mechanisms and Knowledge and Assessment mechanisms)				
	3.6.1 Frequency of combinations of three types of mechanisms	List of existing mechanisms	Documents	Country profile
	3.6.2 Evidence of synergies with other PCD mechanisms; inter-linkages and mutual support between in the daily use of the mechanisms	Linkages clearly formulated in mechanism documents; practical use by actors	Documents Actors	Literature review Case studies Interviews
	3.6.3 Evidence that users understand the value of the potential synergies between different mechanisms and actively and regularly seek them out	Mention of synergy in documents; actors perceptions	Documents Actors	Literature review Mechanisms comparison Country profile Case studies Interviews
	3.6.4 Knowledge inputs are seen as part of the success of the mechanisms and as contributing to their legitimacy	References to valuable role played by knowledge (e.g. information from monitoring & evaluation, NGO or academic studies, press reports, etc.) in debates on coherence		Literature review Country profile Case studies Interviews
EQ 4 **What are the key factors contributing to the success of the selected intra-governmental PCD mechanisms and their impact on**				

intra-governmental PCD and why? What are the mechanisms' strengths and weaknesses in this respect?				
Judgement criteria	Indicators	Key issues	Source of information	Methods
4.1 Mechanisms impact positively on encouraging increasing levels of PCD			Documents Actors	Literature review Case studies Interviews
	4.1.1 Officials and other actors can point to PCD successes which they attribute to the use of the PCD mechanism and can justify the causality	SWOT analysis		Evaluation review
	4.1.2 Supporting documentary or other evidence exists to confirm positive perception of actors on the impact of the PCD mechanism			
4.2 The impact of the PCD mechanisms can be traced back to or linked to a limited number of factors				Questionnaire
	4.2.1 Officials and other actors commonly make the link between impact and particular factors and can justify the causality	List of these factors (SWOT analysis); presentation of causality	Documents Actors	Literature review Case studies Interviews
	4.2.2 External observers perceive links between impact in terms of increasing PCD and the mechanisms in place	Discuss the linkages and their main features	Documents Actors	Literature review Case studies Interviews
	4.2.3 Officials and other actors are clear about the strengths and weaknesses of PCD mechanisms	SWOT analysis	Documents Actors	Literature review Case studies Interviews
4.3 Incentives/disincentives perceived or experienced by officials that help or hinder the full application of the mechanisms				
	4.3.1 Actors feel they are encouraged to and supported in using PCD mechanisms	Examples of support or encouragement given		Case studies Interviews
	4.3.2 Evidence that possible constraints are identified, addressed and effectively countered.	Examples of constraints being addressed		Case studies Interviews
4.4 Monitoring & evaluation system contributing to ensuring that mechanisms remain well adapted to their task			Documents Actors	Literature review Case studies Interviews
	4.4.1 Strengths and weaknesses noticed in the implementation of the mechanisms			
	4.4.2 Objectives of the mechanisms are regularly reviewed			
	4.4.3 Example of adaptation of development			

Judgement criteria	Indicators	Key issues	Source of information	Methods
	programmes design			
4.5 Importance of political back-up as a key factor, relative to others, in ensuring PCD mechanisms have impact				Questionnaire
	4.5.1 Evidence that impact of PC mechanism varies in line with degree of political support for the mechanisms' work	Perceptions, examples of where strong political support has helped PCD mechanism be effective and of opposite or again of cases where impact was low at first but increased once political support was forthcoming	Documents Actors	Literature review Mechanisms comparison Country profile Case studies Interviews
	4.5.2 Officials and other relevant actors regularly highlight political will as key factor behind impact of PCD mechanisms	Actors perceptions. What do actors cite as most important factor behind impact of PCD mechanisms?	Documents Actors	Literature review Case studies Interviews
4.6 Informal mechanisms – processes also impact (negatively/positively) on PCD				
	4.6.1 Informal mechanisms are sufficiently visible to be assessed and contribute to PCD	List of informal mechanisms; actors involved; processes launched; assessment of potential or perceived impact	Documents Actors	Literature review Case studies Interviews

EQ 5
What (and why) are the main factors influencing the sustainability of the selected intra-governmental PCD mechanisms?

Judgement criteria	Indicators	Key issues	Source of information	Methods
5.1 PCD has become entrenched in government thinking and is becoming second nature to policy makers				Questionnaire
	5.1.1 Evidence of PCD mainstreaming in every day work	Mention of PCD in regular papers, working plans, actors perceptions…	Documents Actors	Literature review Case studies Interviews
	5.1.2 Specialist PCD staff spend less of their time persuading other officials of the simple value of PCD and proportionally more of their time helping them find practical solutions to encouraging PCD and resolving conflicts	Actors perceptions	Actors	Literature review Case studies Interviews
5.2 Government political commitment to PCD has been sustained over some time and is shared by the major political parties in the country				
	5.2.1 Government statements in support of PCD can be traced back over time.		Documents Actors	Literature review Country profile Case studies Interviews

	5.2.2 The positions of different political parties also support PCD	Party policy statements, actors perceptions	Documents Actors	Literature review Case studies Interviews
5.3 Resources are available to keep PCD mechanisms operating as long as needed				Questionnaire
	5.3.1. Mechanism is budgeted for on the same (multi-annual) basis as other government functions		Documents Actors	Literature review Case studies Interviews
	5.3.2 The budget for PCD mechanism is not regularly seen as a potential area for savings any more so than other areas		Documents Actors	Literature review Case studies Interviews
	5.3.3 Human resources are available in the government	List of staff posts available to work on PCD. Can they cover all the work easily? Are there long running vacancies for posts on PCD ?	Documents Actors	Literature review Case studies Interviews
5.4 Institutional status and capacity of the on-going mechanisms are clearly established				Questionnaire
	5.4.1. Perceived ownership and legitimacy of the mechanisms among politicians, civil society organisations and civil servants.	Actors' perceptions	Documents Actors	Literature review Evaluation review Case studies Interviews
	5.4.2 Low turnover of staff working with/ in the mechanisms	Statistics or only actors perceptions	Documents Actors	Literature review Case studies
	5.4.3 Increasing institutionalisation or formalisation of mandate.	Focus on evolution of mechanisms and its acceptance; comparison of successive mandates	Documents Actors	Literature review Case studies Interviews
	5.4.4 Reporting and communication activities of the mechanisms increases over time: increased visibility	Type of communication media used;	Documents Actors	Literature review Case studies Interviews
5.5 Mechanisms have the capacity to adapt and renew themselves in order to meet new or changing demands			Documents Actors	Literature review Case studies Interviews
	5.5.1 Changes over time in functioning of the mechanisms	Kind of change and reasons for these changes		
	5.5.2 PCD Mechanism has a functioning M&E system associated with it and there is evidence that this has an impact on changes made to the mechanism	Description / list of M&E system(s) employed; Examples of impact	Own experience	
5.6 Decreasing opposition to the PCD mechanisms and their continued existence			Documents	Literature review

		Actors	Case studies Interviews
5.6.1 Evidence that criticism of the need for PCD is decreasing			
5.6.2 Reduction of cases of officials seeking to avoid or obstruct operation of PCD mechanisms	Actors perceptions, minutes of conference		Evaluation review