



Evaluation of EU support to local authorities in enlargement and neighbourhood regions (2010-2018)

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Evaluation of EU support to local authorities in Enlargement and Neighbourhood regions (2010-2018)

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

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Evaluation of EU support to local authorities in Enlargement and Neighbourhood regions (2010-2018)

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1 General overview of the approach

The mapping of EU support to LAs is crucial to get an overview of the type of support, sectors, implementation modalities, implementing partners, final beneficiaries and associated budgets. Thematically, the mapping provides an overview of the sectors/areas in which the EU has provided support to ALAs/LAs and their relative importance in terms of number of actions and related budgets.

Geographically, the mapping informs us about the distribution of EU support to LAs per countries and regions and the relative share of the financial volume allocated to them.

For the purposes of this evaluation, 'mapping' refers to the process of understanding what is and is not part of LA support (based on a typology of EU interventions in support of LAs) and to identify all relevant interventions (spending and non-spending, the latter being primarily policy dialogue). The documentary analysis carried out by the evaluation team so far has identified a 'typology' of interventions based on several sources and in line with the thematic areas and scope presented in the TOR which is presented in the following section. The inventory has played a key role in shaping the typology by directing attention towards the patterns and different types of interventions that have been supported in partner countries. Here, clear evidence emerged on the foci of EU support. These include decentralisation reforms, capacity development for LAs, peer-to-peer direct support to LAs (also in cooperation with the European Committee of the Regions) and support to individual regions, cities and municipalities, possibly using territorial approaches to local development. The analysis of global- and region-specific EU policy frameworks carried out in line with the reconstruction of the intervention logics provided additional information on EU objectives and programming. While there are many EU interventions directly targeting the LAs, other interventions equally affect the overall institutional context in which LAs operate, deliver public services and strive to become (over time) legitimate and accountable local institutions. Thus, the following section presents the categories and subcategories of EU support to Local Authorities in scope for the present Evaluation.

2 Typology of EU support to Local Authorities

The portfolio is split into two broad categories which are in turn divided in subcategories.

2.1 Primary support (Category A)

This category covers EU interventions, which have as an objective to strengthen the local authorities' role, their capacities and performance as accountable policy makers and local service providers. This is in line with the landmark EU Communication of 2013 which calls for the empowerment of LAs to fulfil their 'general mandate' and contribute to better development and governance outcomes. These types of interventions are split into the following subcategories.

2.1.1 Sub-category A.1: EU support to improving national LA-specific regulatory frameworks

This first category consists of EU interventions where the objective is to support national reforms in the field of decentralisation and local governance with major implications for intergovernmental relations and the framework conditions within which LAs operate. Typically, this category includes interventions aimed at fostering decentralisation, reforming the legal frameworks for LAs, altering the intergovernmental fiscal transfer mechanism and improving central level support systems for LAs.

Central governments are the main (if not exclusive) policy interlocutor, partner and beneficiary in this type of interventions. EU support is centralised, although LAs are often included as target beneficiaries with the explicit aim of strengthening their finances, capacity and accountability. Analysis shows that sector budget support in the fields of decentralisation and regional development is the preferred aid modality to support the top-down reform of national policy frameworks and institutional arrangements.

EU interventions under this sub-category often have the objective of improving the governance framework and hence LA incentives. Examples of improved governance and incentives would include interventions aiming to change accountability systems by having closer scrutiny (including penalties for poor performance), more autonomy, rewarding well managed LAs, increase transparency, increase revenue, strengthen authority, etc. While the major focus of such actions is shaping the context for what the ToR term 'local governance', this is often in combination with the more general objective of improving local level service delivery, LAs' democratic legitimacy and accountability, but from the perspective of central level reforms and policies (as opposed to the next sub-category A2 which focus directly on the LAs).

Table 1 Examples of EU interventions providing support to improve national regulatory frameworks for LAs

<i>Intervention title and year</i>	<i>Finance (m€)</i>
(North Macedonia) Support to the consolidation of the local self-government system, 2017	2
(Ukraine) Budget support to Ukraine's Regional Policy - Sector Policy Support Programme, 2015, 2017	53.1
(Tunisia) CAP2D - Cap sur la Décentralisation et le Développement Intégré des territoires, 2015	39.4

2.1.2 Sub-category A.2: EU support to empowering LAs by improving their political, financial and administrative capacities to deliver on their mandates and be accountable

EU interventions under this category have explicit institutional development objectives oriented towards LAs – that are closely linked to the 2013 Communication's stress on empowering LAs as autonomous development actors. These support programmes can also have generic development and governance outcomes (e.g. better service delivery). Yet in this category, LAs are at the centre of the process and the primary target beneficiary of a systemic, transformative institutional development agenda.

The geographical focus of these interventions is clearly at the local level (contrary to sub-category A1 which is concentrated on the national level). They typically seek to promote integrated approaches (over a longer period of time) to strengthening the ability of LAs to fulfil their core mandates, enhance their overall institutional and financial capacity, foster their role as catalysts of territorial development, ensure horizontal co-operation with the local private sector and civil society, as well as improve their democratic accountability towards citizens.

The broader, more political and longer-term institutional development agenda of such interventions distinguishes them from more instrumental, short-term interventions geared at enhancing the capacity of LAs as 'implementing agencies' for infrastructure projects (sub-category A.3) or local economic development actions (sub-category A.4). In practice, the EU often seeks to achieve such institutional empowerment objectives through complementary measures or project-based approaches (as they tend to offer more possibilities to engage at local level and deliver resources directly to LAs). A limited number of Twinning projects at local level and events through TAIEX contribute to institutional development within this sub-category.

The new territorial approach to local development (TALD), as conceived by the EU, fits well in this category. The December 2016 DEVCO guidance emphasizes the central position of LAs in catalysing long-term processes of territorial development, insists on the need to start planning from the perspective of local level dynamics (to complement centrally led initiatives as in A1) and promotes integrated approaches to turning LAs into genuine and accountable development actors. EU interventions under this category use a combination of actions (e.g. improving the regulatory framework, multi-stakeholder dialogues, multi-sectoral approaches, national policies) and are, overall, characterized by a holistic approach to local development. Implementing partners within this category are very heterogeneous (involving all types of partners from local authorities to international organizations). The majority of support is however delivered by EU MS agencies and private consultancy/training companies.

Table 2 *Examples of EU interventions improving LAs' political, financial and administrative capacities*

<i>Intervention title and year</i>	<i>Finance (m€)</i>
(Albania) Support to Territorial and Administrative Reform Project – STAR2, 2015	3.5
Ukraine Local Empowerment, Accountability and Development Programme (U-LEAD), 2016	93.3
(Lebanon) Support to Municipal Finance in Lebanon (MUFIN), 2011	19.7

2.1.3 Sub-category A.3: Local infrastructure and related service delivery

The third key area of primary support concerns support to LAs for addressing specific local challenges where infrastructure is the key investment. It typically focuses on local infrastructure with results in the following areas: energy efficiency, waste management, water and sanitation or transport (often blended with investments from, e.g., IFIs/DFIs), housing, etc.

Many LAs have difficulties in mobilizing the financing for investments in the infrastructure needed to fulfil their core mandates and may also have limited technical / managerial capacity to design, supervise and

implement large-scale infrastructure projects. Hence, they need external support, not only in terms of financing, but often also technical assistance to fulfil their specific role in a multi-actor setting. This also applies to conflict-ridden contexts. For instance, the instability in Syria has been a driver for infrastructure investments in host countries (e.g. Lebanon and Turkey), where EU supports LAs to deliver core services such as basic water, sanitation and social help).

The approach is different here than in the above categories of primary support. While LAs play a role in the implementation, often as partial owners of the infrastructure or as operators, interventions under this category typically involve multiple partners, including development banks (IFIs such as ERDB, EIB, KfW, ADE and IFC), construction/engineering companies, central/regional authorities and of course the EU. Consequently, the use of blending as an aid modality is widely spread across this sub-category (e.g. the Western Balkan Investment Framework (or WBIF) and the Neighbourhood Investment Platform (or NIP).

Contrary to sub-category A2, EU support here typically focuses on concrete time-bound delivery of works / services and not on a systemic, transformative institutional LA development agenda. However, these interventions tend to include capacity development and governance objectives directed towards LAs of a more instrumental / functional nature to ensure effective construction management and subsequent operation and maintenance of the constructed facilities. As a result, LAs often benefit in terms of TA for design, supervision and implementation, as well as upgraded human resources specific for the infrastructure. In this intervention area, LAs often have a key role in ensuring the sustainability of the action, as they are often the owner/co-owners of the infrastructure or have responsibilities in operating or maintaining facilities.

Table 3 *Examples of EU interventions supporting Local infrastructure and related service delivery*

<i>Intervention title and year</i>	<i>Finance (m€)</i>
(Serbia) Municipal Infrastructure Support programme, 2010	30.2
(Regional) Covenant of Mayors	
(Lebanon) Upgrading water supply facilities for communities in Lebanon affected by the consequences of the conflict in Syria, 2013	8.8

2.1.4 Sub-category A.4: Local (Economic) Development

This category comprises EU support aimed at stimulating local development in promising areas (e.g. tourist promotion). Their levels of ambitions and scope fall short in comparison to those sub-category A2 (including TALD processes), which go beyond individual and short-term actions and rather seek to foster locally led and holistic processes over a longer period.

Similarly to sub-category A3 interventions, the role of LAs is of an instrumental / functional nature. There is no explicit, political and structured agenda of empowering LAs as democratic institutions at local level. The EU support provided is generally of a short-term nature that may directly involve LAs as beneficiaries (alongside a wide range of other implementing partners or local actors). Often these actions follow a project-based approach, use a mix of technical assistance, training, strategizing (e.g. local economic development plans), sensitisation and demand-driven approaches (e.g., through calls for proposals), and small-scale infrastructure (generally grant financed).

Table 4 *Examples of EU interventions supporting local (economic) development*

<i>Intervention title and year</i>	<i>Finance (m€)</i>
Local and Regional Competitiveness in North Macedonia, 2015	18
(Georgia) M4EG - Empowering Local Economic Opportunities for Sustainable Growth	0.6
Appui au développement local dans le nord du Liban (ADEL-NORD), 2012	17.3

2.2 Secondary support (Category B)

LAs are part of a country's overall political and economic system. As a result, there are many interventions which do not directly target LAs, but still affect them via changes in the overall context (e.g. legal reforms, new policies) and may contribute to their empowerment as legitimate and autonomous actors at local level. This category covers EU interventions which aim at shaping the entire (national) policy sectors (e.g. PAR/PFM, social sectors and agriculture), thereby changing the context in which LAs operate. These interventions focus on nationally-driven policy reforms – often in the form of sector

budget support – and are interesting for this evaluation because the partner countries involved increasingly carry out these national/sectoral reforms in a ‘multi-level governance system’ and ‘decentralising environment’ whereby LAs are mandated by the national constitution or laws to take charge of the local implementation of reforms (e.g., by changing public administration practices or specific aspects of local service delivery). However, these reforms are not primarily about changing the relations between the central and local authorities (as decentralisation reforms in A.1 are), but are often broader policy reforms within themes (e.g. public administration) or sectors.

As a result, they will therefore have to be taken into consideration for a comprehensive assessment of EU support to LAs. The team has distinguished two main areas: (i) support to reforms of the public administration and finance management (which aim at shaping a country’s overall political and administrative system) and support to reforms in specific policy sectors.

2.2.1 Sub-category B.1: Public administration reforms and PFM

In the Enlargement region, most partner countries are implementing substantial reforms, often driven by the need to approximate standards to the EU as well as to meet the political criteria. In the Neighbourhood region, some countries (such as Armenia, Moldova, Georgia, Ukraine or Tunisia) are pursuing public administration reforms, while others (such as Algeria or Morocco) are accelerating their efforts to reform their public finance management, including at local level, reflecting the multi-level governance system at work. A key differentiator between East and South is that those in East who have signed up to a deep and comprehensive free trade agreement have a well-established strategic framework for implementing public administrative reforms, whereas those in South don’t. While the main foci of these reforms are central level line ministries (including ministries of finance), the ramifications of the outcomes of the EU interventions often have implications for LAs. Procurement reforms, for example, have nationwide applicability and the principles promoted at central level (e.g., merit-based human resource policies, transparency, accountability and service delivery) also apply to the local level, even if the EU support initially engaged with the responsible central level bodies. Moreover, such reforms can also change both the fiscal and political space for LAs, which in turn can affect their performance (e.g. if the reforms result in more revenues available for LAs, the scope for improving LAs’ provision of services may also expand).

Table 5 *Examples of EU interventions supporting public administration reforms and PFM*

<i>Intervention title and year</i>
Support to Public Administration Reform in Serbia
Support to Comprehensive Reform of Public Administration in Ukraine
Support to Public Finance Management Reforms in Georgia

2.2.2 Sub-category B.2: Sector policy support

An important share of EU support to partner countries is geared at improving sector policy frameworks and the provision of sector-specific public goods and services. This has been a longstanding mode of cooperation in the Neighbourhood and is now also the preferred approach under IPA-II through ‘sector support actions’. In practice, such support often takes place in decentralising contexts; i.e., in partner countries that are engaged (with varying levels of commitment) in decentralisation reforms which have formally ascribed several roles and responsibilities to LAs in the delivery of public goods and services (or are planning to do so). The competencies and tasks assigned to LAs may vary between sectors.

In such institutional contexts, one may expect the EU interventions supporting sector reforms to build on the prevailing multilevel delivery system at country level by incorporating LAs into programme design. That is why this category of EU interventions is also of concern for this evaluation.

This type of EU intervention centres around the national-level sectoral ministries involved. They are usually the main policy interlocutor of the EU and beneficiary of the financial support. As a result, the implementation approach followed is generally top-down, though there can be substantial components that target directly or indirectly the strengthening of the capacity of LAs as a critical part of the multi-level delivery system in place. The analyses in the case studies provide more insights into this.

Based on the inventory and analysis thereof, the team has identified three sectors of particular interest:

1. **Education and skills development** (40 EU interventions identified), which consist of both project and sector budget support interventions, typically channelled through the central ministry (of education/employment), but with LAs having a role in the implementation, as they are often responsible for, e.g. teacher recruitment and remuneration.

2. **Agriculture and rural development** (44 EU interventions identified) is supported mostly either through IPARD (Enlargement) or ENPARD (Neighbourhood). The ministry of agriculture is the typical recipient but LAs can have a role in, e.g. local extension of advisory services or in supporting parts of the value chains. Measures under sub-category A.4 (local development) can support both agriculture and wider rural development and are thus complementary to this sector support.
3. Finally, **support to the health sector** (5 EU interventions identified) can also have implications for LAs as especially larger municipalities often have considerable health responsibilities, but this varies according to country context.

Table 6 Examples of EU interventions supporting sector policy reforms

Intervention title and year
Sector Reform Contract for Education Reform in Serbia – strengthening links with employment and social inclusion
IPARD and ENPARD

3 Spending activities

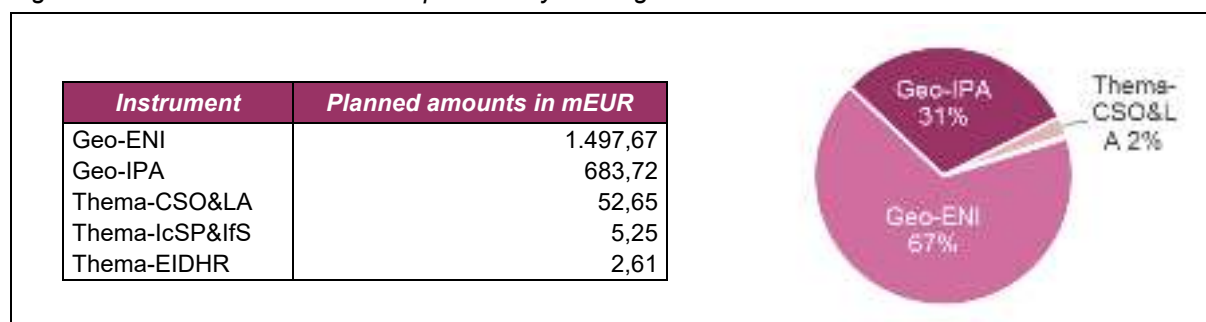
3.1 Primary support: Global overview

The mapping of EU gender-targeted support carried out by the team shows that:

- The evaluation team has identified a portfolio of 677 'primary support interventions' totalling just **above 2.2 billion EUR** of planned amounts covering the decision years 2010-2018.
- Of these, EUR 319 million (14%) have been allocated to regional/multi-country interventions and EUR 1.9 billion (86%) to country-level support.

The vast majority of the LA portfolio is funded by geographical instruments: the European Neighbourhood Instrument (ENI, 67%) and the Instrument for Pre-Accession Assistance (IPA, 31%). A residual percentage is funded by the thematic CSO-LA instrument and even a smaller percentage of funding comes from the IcSP&Ifs and the EIDHR instruments. These are global instruments and only a small portion of its funding can be attributed to countries and activities in the Neighbourhood and Enlargement regions at this stage.

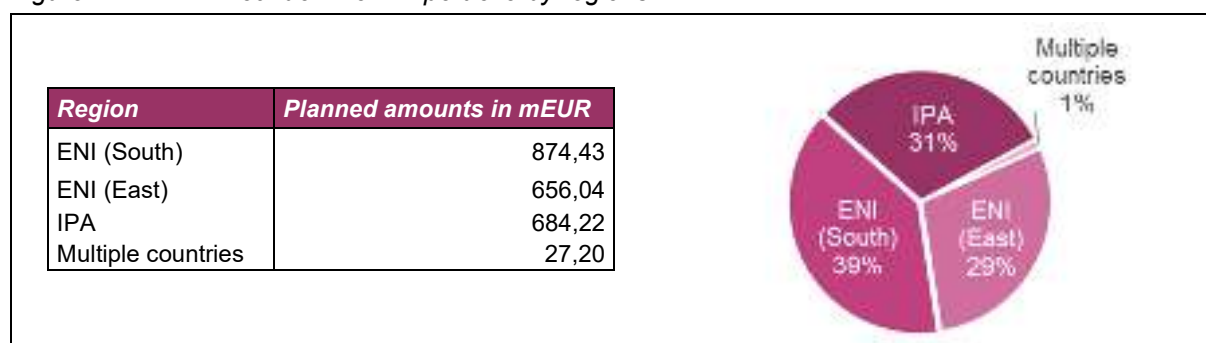
Figure 1 Breakdown of LA portfolio by funding instruments



Source: Particip, based on CRIS data.

Concerning the division of funding by instrument, the geographical distribution is also primarily **concentrated on the Neighbourhood**. However, splitting ENI into South and East, shows a *relatively* even distribution between IPA, ENI South and ENI East.

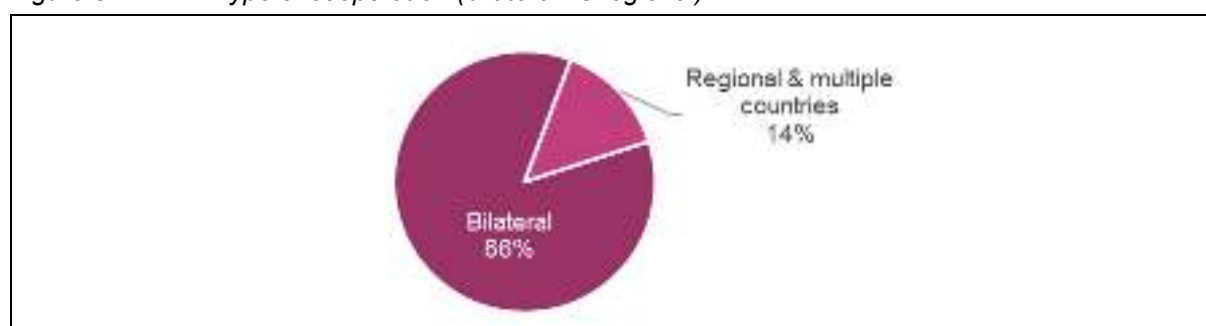
Figure 2 Breakdown of LA portfolio by regions



Source: Particip, based on CRIS data.

Primary support to LAs is mainly delivered via **bilateral interventions**, as shown in Figure 3 below. This is consistent with the approach taken by the two main financing instruments, ENI and IPA, where 75% of funding is used for bilateral cooperation, tailor-made to each country. **Regional interventions**, such as the Covenant of Mayors or the Regional Programme on Local Democracy in the Western Balkans, play a role, but it is relatively minor in terms of financial volume.

Figure 3 Type of cooperation (bilateral vs regional)



Source: Particip, based on CRIS data.

Ukraine stands out as the largest bilateral beneficiary country (both globally and within its sub-region), accounting for the 48% of all the planned amounts in ENI East. This does not come as a surprise when considering its size and population (over 44 million, almost five times the size of Azerbaijan, the second most populous country in ENI East). However, in terms of planned amounts per capita, Ukraine ranks fairly low (both in its East sub-region as well as globally).

In the **Southern Neighbourhood**, primary support to LAs is concentrated in three countries: Tunisia, Morocco and Lebanon. Combined, they are allocated almost three quarters of the planned amounts in the region. Syria, characterized by violent conflict during almost the entire period covered by this evaluation, receives virtually no EU support to LAs.

In the **Enlargement region**, EU primary support to LAs seems to mostly concentrate on the Western Balkans with **Serbia** being the largest beneficiary country. The planned amounts per capita are relatively high in comparison to the Neighbourhood region. The exception is Turkey, which is not a primary target for EU support to LAs, probably a consequence of the de facto centralization that has taken place during the evaluation period, a process that was accelerated with the introduction of the presidential system after the coup attempt in 2016.

Table 7 Breakdown of LA portfolio by beneficiary

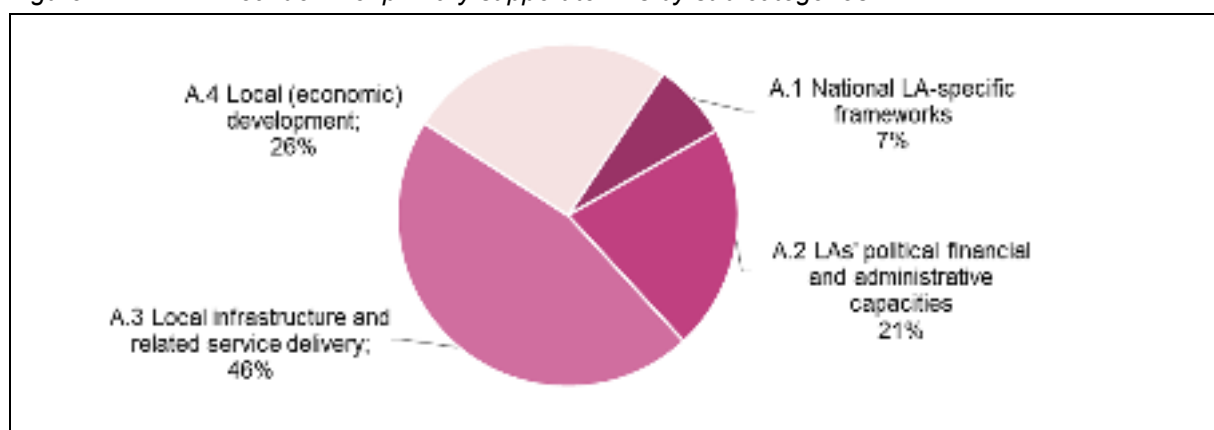
	Countries	Planned amounts in mEUR	Planned amounts per capita
ENI (East)	Ukraine	294,29	6,56
	Moldova	109,28	30,79
	Georgia	88,95	23,88
	Armenia	80,49	27,47
	Belarus	31,78	3,35
	Azerbaijan	9,81	0,98
ENI (South)	Tunisia	288,29	25,00
	Morocco	206,46	5,78
	Lebanon	139,25	22,90
	Egypt	66,96	0,69
	Libya	44,40	6,97
	Jordan	36,02	3,71
	Palestine*	29,74	6,07
	Algeria	27,13	0,66
	Syria	0,00	0,00
IPA	Serbia	201,87	28,76
	Albania	132,83	46,24
	Kosovo	110,69	60,49
	BIH	60,98	17,39
	North Macedonia	59,27	28,46
	Montenegro	42,69	66,64
	Turkey	16,55	0,20

Source: Particip, based on CRIS data.

Applying the thematic typology described above, sub-categories A.1 and A.2 share almost one third of the overall portfolio (see *Figure 4*), with A.1 being the smallest of all sub-categories (7%). This low support to LA specific national frameworks could also be interpreted as reflecting the limited space for the promotion of LAs as independent democratic actors, with only a few countries having substantial decentralisation reforms in progress (e.g. Ukraine, Tunisia, Georgia and North Macedonia), whereas many resisted or reversed decentralising reforms (e.g. Egypt, Turkey and Belarus). A related driver could also be the EU becoming less optimistic (and more realistic) about the genuine political commitment in partner countries to pursue real decentralisation reforms, instead opting for more concrete and less political sensitive intervention, e.g. urban energy.

The biggest areas of support relate to the LAs' mandate to respond to local specific challenges, namely infrastructure (in relation to service delivery) and local development. The support to local infrastructure and related service delivery (A.3) accounts for more than 40% of the overall portfolio. This is partly a reflection of the sub-category including many capital-intensive infrastructure projects, for example in the Neighbourhood Investment Platform (NIP) or the Western Balkans Investment Framework (WBIF) where EU is contributing substantial grants. Moreover, it could also be part of the above-mentioned trend of increasingly focusing on individual cities and territories addressing concrete challenges and opportunities that often have an infrastructural component (e.g. transport, energy, environment, social infrastructure etc.). The increased focus on blended finance has arguably also contributed to the acceleration of this trend, with more finance being leveraged for especially infrastructure.

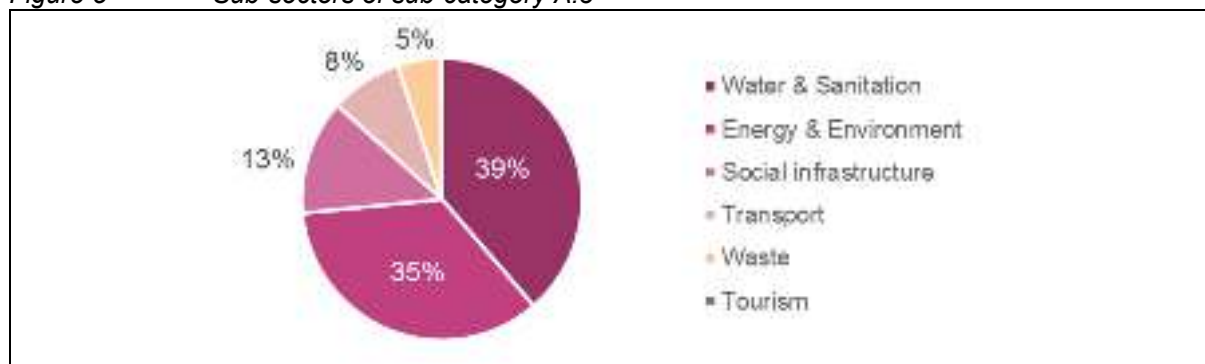
Figure 4 Breakdown of primary support to LAs by sub-categories



Source: Particip, based on CRIS data.

Sub-category A.3 having a relatively wide and heterogenic thematic scope, the evaluation team decided to break it down into sub-sectors, as shown in Figure 5 below. Water & sanitation as well as energy & environment are the sectors with the biggest share of infrastructure projects whereas less funding is going to transport and waste related infrastructure.

Figure 5 Sub-sectors of sub-category A.3



Source: Particip, based on CRIS data.

Analysing the average financial volumes per sub-category (see Table 8) shows that while sub-category A.3 stands out by its sheer number of interventions, its average financial volume per intervention is only average. The support to sub-category A.1 has the highest average volume per intervention above 11 million EUR, which can be explained by the higher number of budget support operations (see Table 9).

Table 8 Average financial volume per sub-category

	A.1	A.2	A.3	A.4
Average financial volume per intervention (in mEURO)	11,49	2,41	5,26	2,83
Number of interventions	14	195	192	1897

Source: Particip, based on CRIS data.

In sub-category A.1 – national frameworks – the high average financial volume is consistent with the predominant aid modality used in this sub-category: budget support. Roughly three quarters of the financial allocations in this sub-category are related to budget support. Standard project approach is the dominant modality in sub-categories A.2 and A.4. The use of Twinning and TAIEX is almost exclusively limited to sub-category A.2.

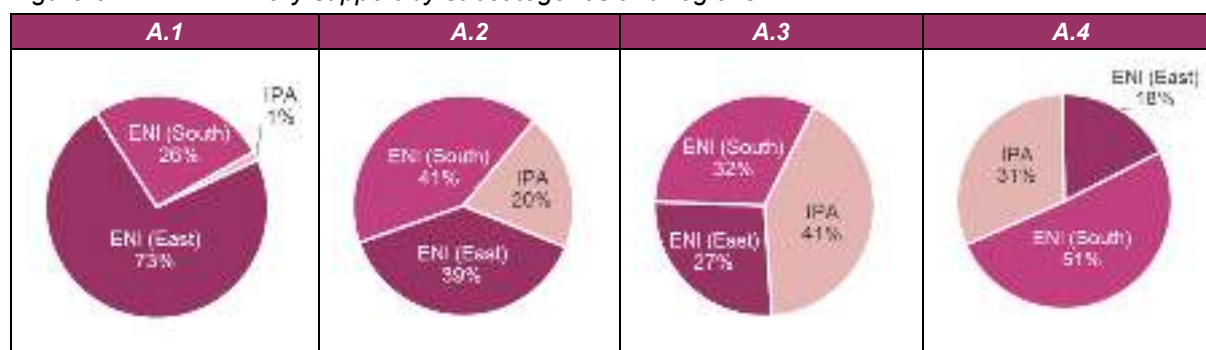
Table 9 Overview of aid modalities (in mEUR)

Modalities	A.1	A.2	A.3	A.4	Total
Project	32,09	454,89	375,90	487,76	1.350,63
Blending			634,71	46,27	680,98
Budget support	126,91			22,50	149,41
Twinning	1,85	12,15		1,83	15,80
TAIEX		3,01			3,01

Source: Particip, based on CRIS data.

When looking at the geographical distribution, Sub-category A.1 is predominant in the Eastern Neighbourhood while is almost non-existent in the Enlargement region (1%). In terms of biggest beneficiary countries, Ukraine spearheads sub-category A.1, closely followed by Georgia and Tunisia. Support to subcategory A.2 is primary concentrated in the Neighbourhood region, although to a lesser extent than Sub-Category A.1. Thus, Tunisia and Ukraine are top of the list for sub-category A.2, with Palestine and BIH following far behind. Support to local infrastructure and related service delivery (Sub-category A.3) is slightly more balanced with the IPA region being the largest beneficiary region. Particularly, Morocco is the leading beneficiary country for sub-category A.3 under which several countries receive a substantial amount of support close to and above 50 million EUR (Moldova and Ukraine in the East; Morocco, Lebanon and Egypt in the South; Serbia, Kosovo and Albania in the Enlargement region). Concerning Sub-category A.4, Figure 6 shows how half of the support to this category is set aside for the Southern Neighbourhood Region. Particularly, Tunisia stands out as the largest beneficiary country for sub-category A.4, with Serbia, Ukraine, Lebanon and Albania also being significant recipients of support.

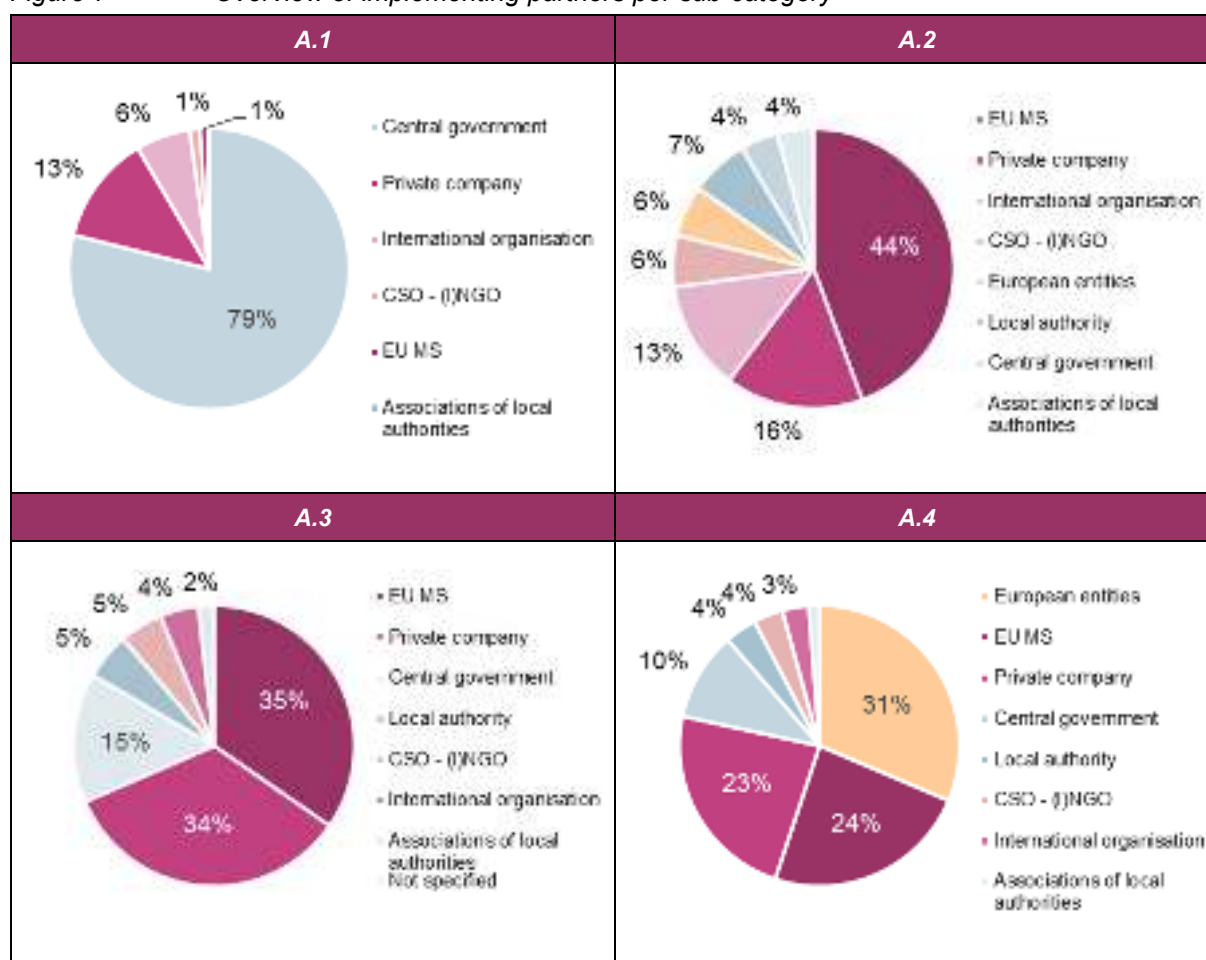
Figure 6 Primary support by subcategories and regions



Source: Particip, based on CRIS data.

As far as implementing partners are concerned, the EU is cooperating with a variety of implementing partners across all sub-categories, showing versatility and potentially flexibility in its approaches. Sub-category A.1 is the only sub-category of support clearly dominated by a single type of implementing partners – central governments – which is highly understandable given this sub-category's objectives and the predominant use of the budget support modality. Also, as presented in *Figure 7*, major part of the implementation of interventions in category A2 is provided by EU MS followed by private companies and international organizations. National authorities at the central or the local level represent a very small share of the implementing partners in this category. Concerning the implementing partners involved in sub-category A.3, this is practically equally distributed between Member States and private companies. Regarding sub-category A4, European entities are prominent, followed by Member States and private companies. Once again local and central authorities represent a small share of the implementing partners for the two last sub-categories (respectively 14% and 20%).

Figure 7 Overview of implementing partners per sub-category



Source: Particip, based on CRIS data.

3.2 Secondary support

While it was possible for the team to assess primary support in a systematic way and conduct the aggregated financial analysis presented above, the very nature of the secondary support category presents several challenges to this type of exercise:

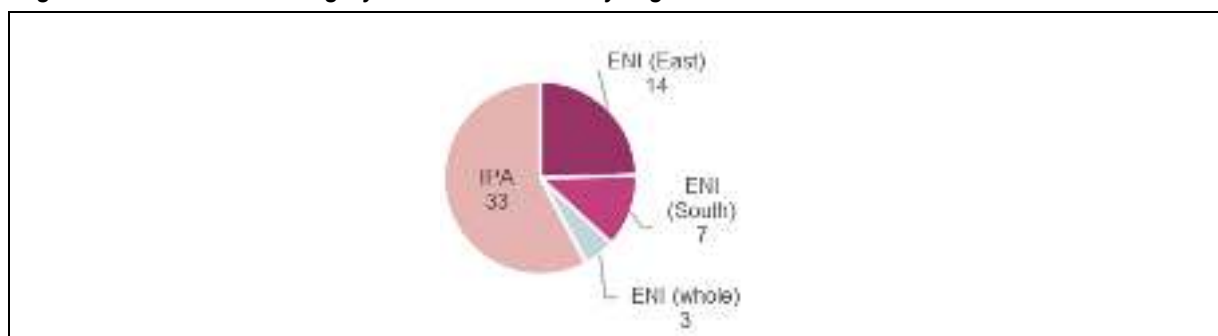
- It is not possible to make an exhaustive inventory of all EU-funded interventions which may have indirect, yet significant, effects on the role and capacities of LAs.
- Even if it were possible, it would be difficult to determine the share of the total financial value of each secondary intervention to be considered as relevant to LAs.

In order to adapt to these challenges, the team has limited the secondary support to the two relatively narrow sub-categories presented above and rather than presenting a flawed financial analysis (which could lead to wrong conclusions), has opted to present statistics based on the number of interventions identified instead.

3.2.1 Sub-category B.1: Public administration reforms and PFM

For sub-category B.1, the team has identified a total of 57 interventions in support of public administration or PFM reforms in the Neighbourhood and Enlargement regions. More than half of these interventions are targeting countries in the Enlargement region as shown in Figure 8. This appears to be consistent with the need to align the accession candidates' administrative procedures to the EU acquis as well as to foster compliance with the political criteria.

Figure 8 Sub-category B.1 interventions by region

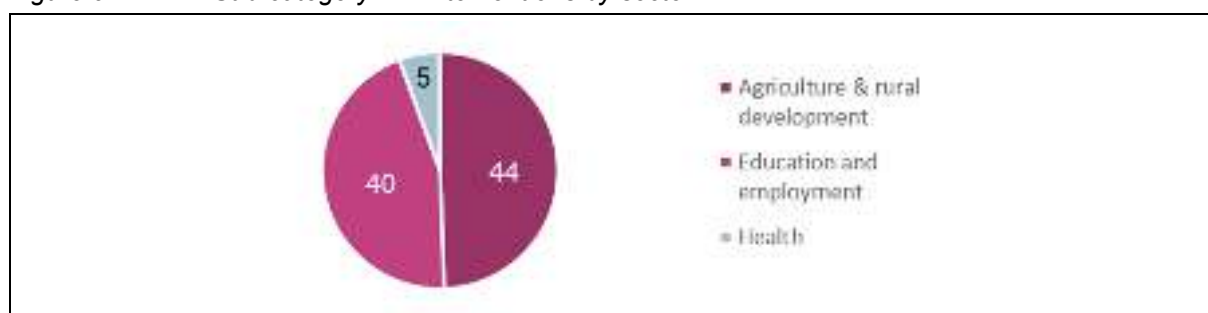


Source: Particip, based on CRIS data.

3.2.2 Sub-category B.2: Sector Policy Support

Sub-category B.2 focuses on sector policy support. Within this sub-category, the team has identified a total of 89 interventions distributed across three sectors of interest:

Figure 9 Sub-category B.2 interventions by sector

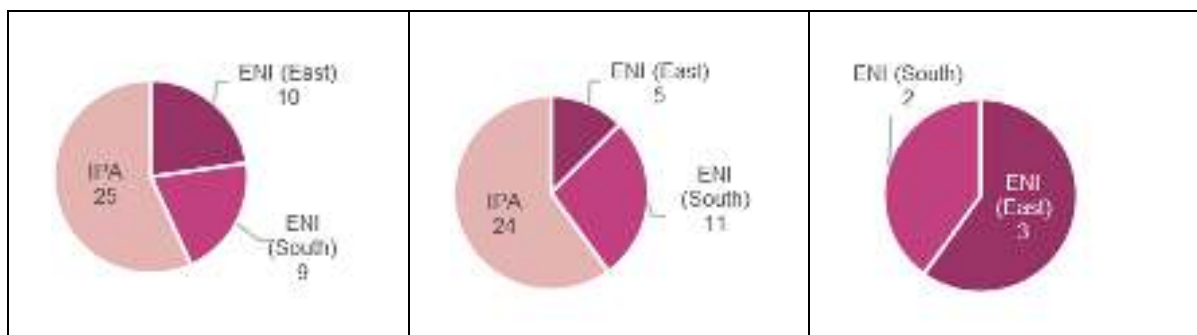


Source: Particip, based on CRIS data.

In terms of geographical distribution, sector policy support to agriculture and education takes place in the Enlargement region in most cases, whereas support to the health sector is only found in the Neighbourhood:

Figure 10 Overview of B.2 sector policy support interventions by region

B.2 - Agriculture	B.2 - Education	B.2 - Health
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Source: Particip, based on CRIS data.

It is interesting to note that while some of the larger beneficiary countries of primary support (e.g. Ukraine and Morocco) do not seem to be targeted by a great number of secondary support interventions (neither B.1 nor B.2), whereas some of the smaller recipients of primary support (e.g. Egypt, Jordan, to a lesser extent Algeria and Azerbaijan) receive more attention in terms of numbers of interventions. This appears to be more pronounced in the Neighbourhood, as the number of secondary interventions (but also the financial volume of primary support) appears to be more equally distributed among the IPA beneficiaries. Even Syria and Libya, which receive almost no primary support at all, are targeted by 2 resp. 3 secondary interventions.

3.3 Detailed overview of aid modalities and their relevance to EU support to LAs

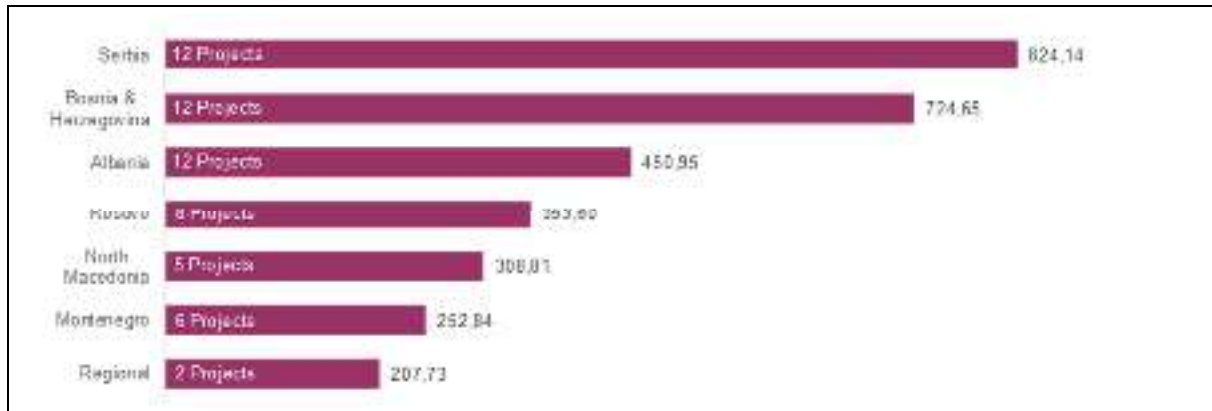
The team presents here an analysis of some of the aid modalities and their relevance to EU support to LAs within the evaluation. This analysis is more elaborated in the case studies and in relation to the relevant JCs and indicators on the mix and use of aid modalities. In this annex, the team has analysed blending interventions through the example of the WBIF, Twinning, TAIEX, and budget support. Where possible, this analysis has been accompanied by a quantitative analysis.

3.3.1 Blending

Government and donor (including EU) funds are not sufficient to fund the ambitions of partner countries and their LAs alone. Hence, there is increased focus on leveraging additional resources by combining e.g. grant financing with other types of finance such as loans and equity finance, the latter often on commercial terms. The key issue is to ensure that additional resources are mobilised, often by reducing the risk to the (semi)- commercial investor. The grant element can also take the form of technical assistance, a credit guarantee, an interest rate subsidy or risk/first loss capital.

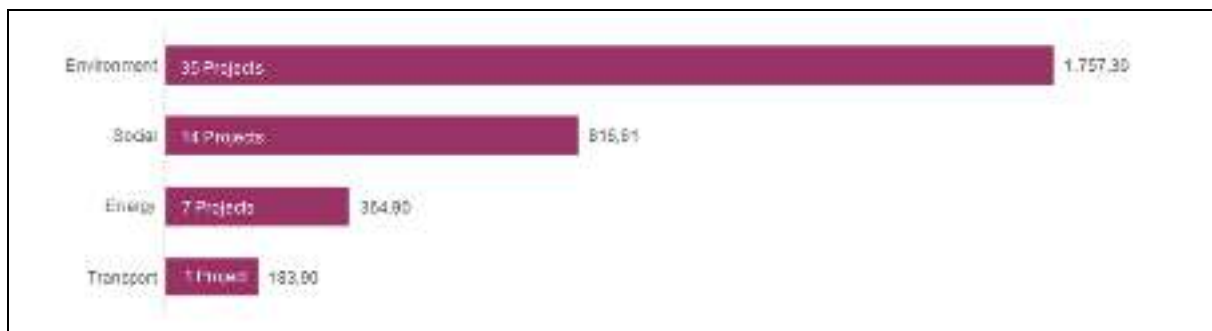
The two blending mechanisms relevant for this evaluation are the Western Balkan Investment Framework (WBIF) and the Neighbourhood Investment Platform (NIP, formerly a *facility*, NIF). Both finance capital-intensive infrastructure projects in sectors such as transport, energy, environment, private sector development and social service delivery infrastructure. The WBIF and NIP projects have been identified by the team as an example of primary support to LAs, mainly as part of the sub-category A.3 Local infrastructure and related service delivery. The WBIF has a long history of supporting investment projects which are benefitting LAs across the Enlargement region. The total estimated investment value of the projects in which LAs benefit through WBIF is more than 3 billion EUR, thus representing 17% of the WBIF portfolio. A more detailed graphical representation of the WBIF portfolio for the local level is presented below:

Figure 11 Estimated value (mEUR) and number of WBIF projects supporting LAs between 2009 and 2019



Source: Particip, based on CRIS data.

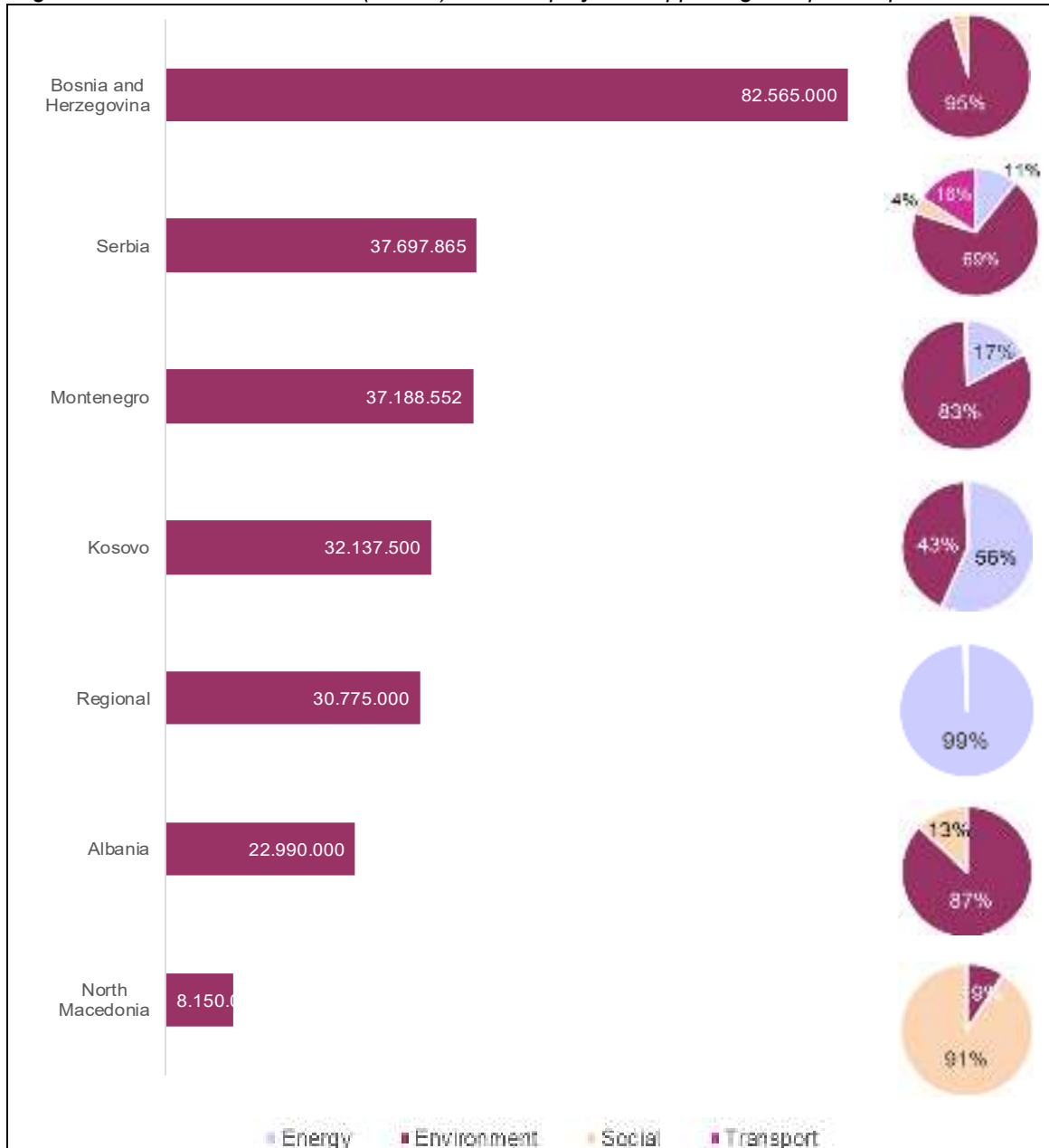
Figure 12 Estimated value (mEUR) and number of WBIF projects at LAs level per sector between 2009 and 2019



Source: Particip, based on CRIS data.

The total value of investment and technical assistance grants provided to the WBIF by the EU benefitting LAs amounts to over 250 million EUR. The following figures provide a break-down of this contribution by recipient and sector

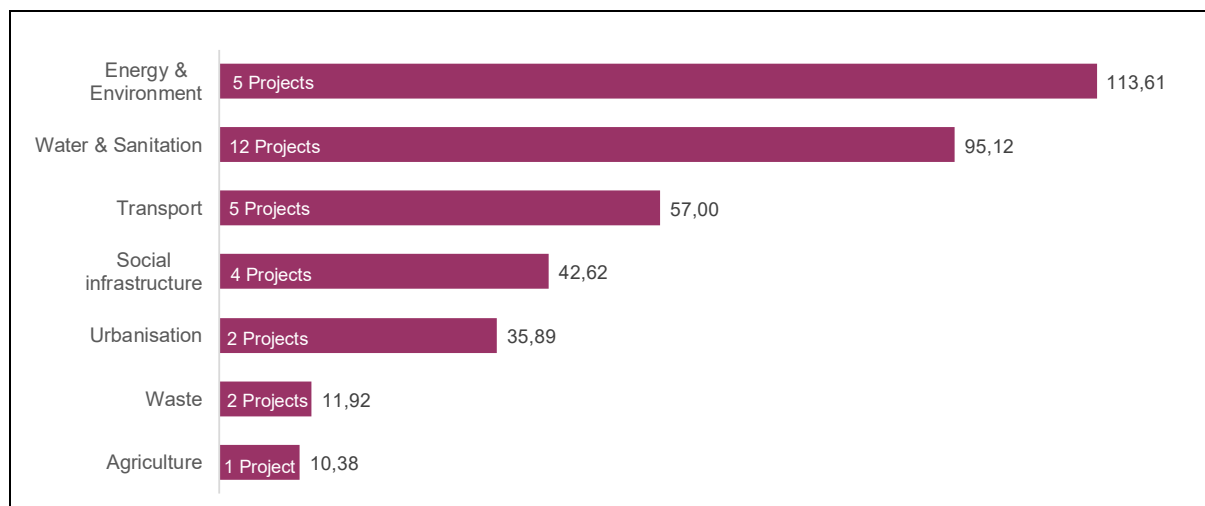
Figure 13 EU contribution (mEUR) to WBIF projects supporting LAs per recipient and sector



Source: Particip, based on CRIS data.

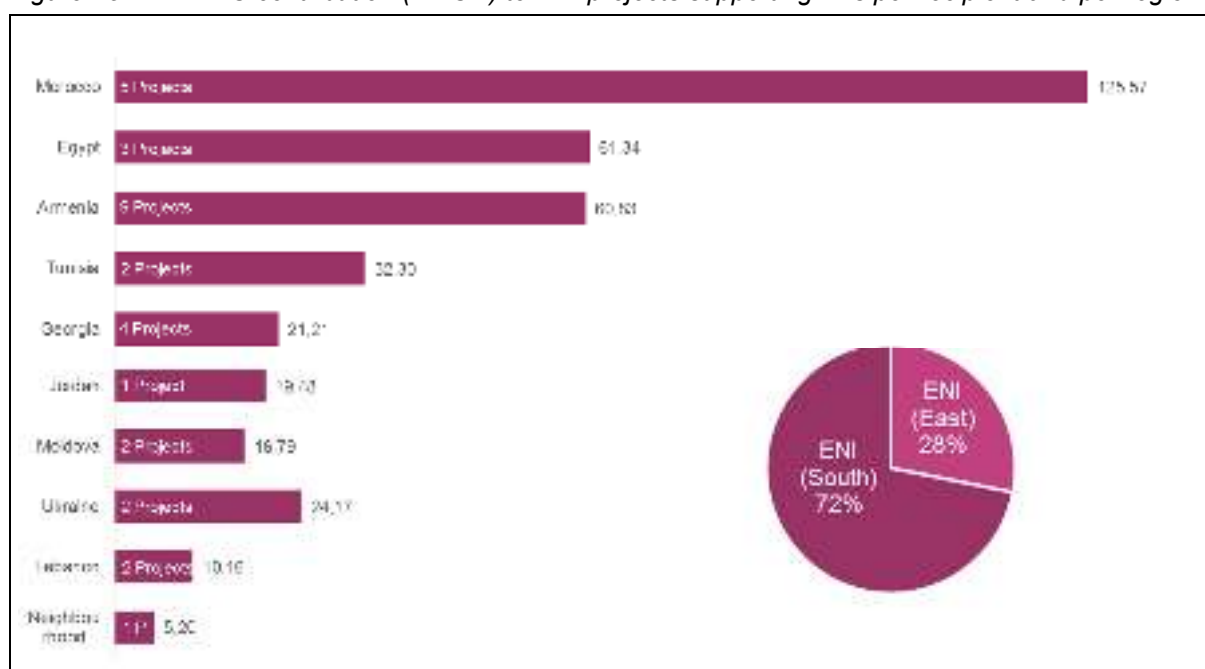
In the Neighbourhood region, the NIP is the main blending mechanism channelling investment finance to specific sectors and projects, typically in infrastructure. The total estimated investment value of the projects in which LAs benefit through NIP between 2010 and 2018 is more than 360 million EUR. A more detailed graphical representation of the NIP portfolio for the local level is presented below:

Figure 14 Estimated value (mEUR) and number of NIP projects at LAs level per sector between 2010 and 2018



Source: Particip, based on CRIS data

Figure 15 EU contribution (mEUR) to NIP projects supporting LAs per recipient and per region



Source: Particip, based on CRIS data

3.3.2 Budget support

Budget support is used by the EU as a mean to strengthen country ownership, financing national development strategies (including poverty reduction strategies) and promoting sound and transparent public finances. It involves i) dialogue with a partner country to agree on the reforms or development results which budget support can contribute to; ii) an assessment of progress achieved; iii) financial transfers to the treasury account of the partner country once those results have been achieved; and iv) capacity development support. Budget support involves the transfer of financial resources to the National Treasury of a partner country, following the fulfilment by the latter of the agreed conditions for payment set out in the contract. Once the transfer has taken place, budget support funds are used in accordance with the partner country's own public financial management (PFM) systems. Budget support is disbursed exclusively to partner countries' central authorities.

Since 2014 (with IPA II) budget support was made available in the Enlargement region. In our portfolio, budget support operations are mainly found in primary support sub-category A.1 (national frameworks) for the and in secondary support sub-categories B.1 and B.2 (PFM/PAR and policy sector reforms).

From an analytical perspective, the evaluation will assess how the EU uses budget support in decentralizing contexts. The EU's budget support guidelines acknowledge the need to take into account

the institutional architecture of the partner country and the role division between central and local authorities (as enshrined in the relevant legislation). This implies a concern to provide budget support in forms that are coherent with the decentralisation framework and the role of LAs in the sectors involved.

3.3.3 TAIEX

TAIEX is the EU's Technical Assistance and Information Exchange instrument. Its aim is to provide candidate countries and potential candidates for EU membership, and the EU's eastern and southern neighbours, with technical know-how and legislative expertise. TAIEX organises workshops, expert missions or study visits so that experts from the EU Member States' public administrations can pass on tailored expertise to address short-term institutional or capacity-building needs. In the period under evaluation, a total of 91 such events have been held to benefit LAs in the Neighbourhood and Enlargement regions (see Table 10):

Table 10 TAIEX events benefitting LAs from 2010-2018

Country	Number of events
Albania	5
Algeria	1
Belarus	3
Bosnia and Herzegovina	4
Croatia ¹	6
Iceland ²	4
Kosovo	1
Moldova	3
Montenegro	7
Morocco	2
Serbia	1
North Macedonia	3
Tunisia	1
Turkey	3
Ukraine	1
Enlargement region	45
Neighbourhood region	1
Grand Total	91

Source: Particip, based on TAIEX data

In total, the financial volume of these 91 events is about 3 million EUR. Due to its focus on approximation and EU legislation, IPA beneficiaries have been the main recipients. Most activities seem to have taken place in the years 2012-2014, as shown by Table 11.

Table 11 TAIEX spent funds per region over time (benefitting LAs) in EUR

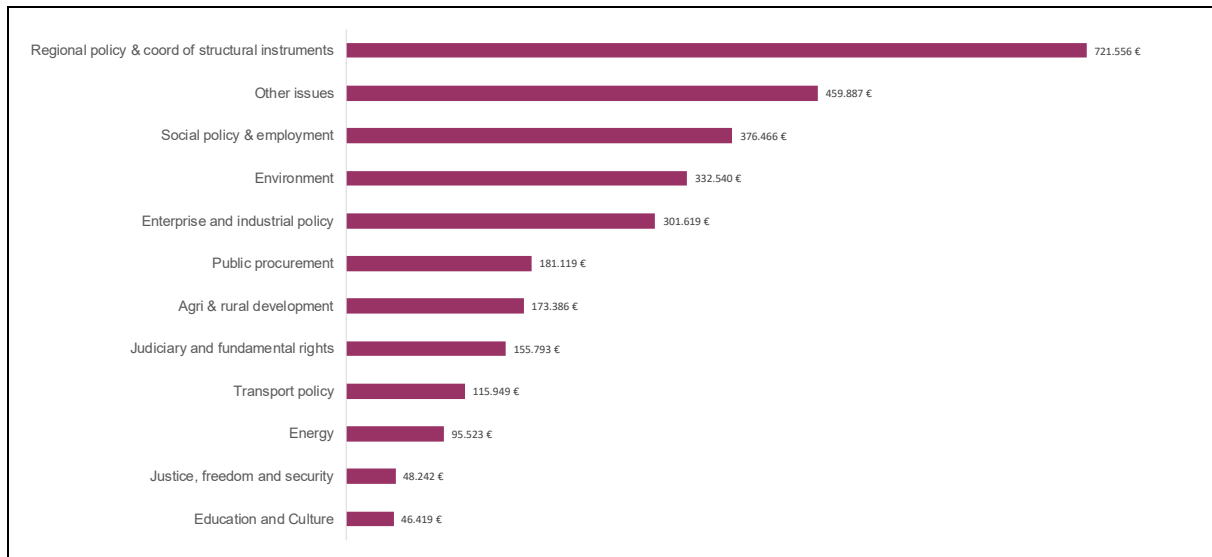
Region	2010	2011	2012	2013	2014	2015	2016	2017	2018	Total
ENPI East	18.914		7.682	26.989			6.428	5.882		65.896
ENPI South			17.389	5.059			36.724			59.172
ENI Whole	20.540									
IPA	10.252	112.215	850.173	909.501	846.359	23.806	25.538	38.188	46.859	683.901
Grand Total	49.706	112.214	875.243	941.549	846.358	23.805	68.690	44.070	46.858	3.008.497

Source: Particip, based on TAIEX data

TAIEX assistance covers all aspects of EU standards and legislation, from fundamental rights to consumer protection. Among the most important areas are the rule of law, democracy, economic governance and connectivity. Figure 16 shows the sectors covered by the events benefitting LAs

Regional policy and the coordination of structural instruments appears to have been the most frequent, followed by various others such as environment, industrial and social policy.

Figure 16 TAIEX costs per topic/sector



Source: Particip, based on CRIS data

Most of TAIEX support goes to central ministries and public agencies but it has also provided direct support to LAs through the Local Administration Facility (LAF) from 2011 to 2015. LAF aimed to increase the capacity of LAs to prepare for EU accession by improving their understanding and knowledge of European integration and the accession process. It also promoted sharing of experiences and best practices with regard to LAs' role in accession and the adaptation of the *acquis*. However, LAF was viewed by EU as too complex, difficult to coordinate with central authorities and too focused on study tours to EU institutions in Brussels; hence, it was suspended after a few years.

More recently, in January 2018, TAIEX launched a pilot in three Western Balkan countries (Albania, Bosnia and Herzegovina and Serbia), through the so-called TAIEX Strategic support to Local Authorities. This TAIEX Strategic Support to Local Authorities provided a platform for exchanges of best practice with local participation in partner countries and EU experts with experience from local and regional authorities with the aim of building administrative capacity of local administrations, filling in gaps and complementing the existing assistance at the local level. Requests for assistance under TAIEX Strategic Support to Local Authorities took the form of non-binding roadmaps of activities, the result of an inclusive process reflecting consultations with local and regional authorities as well as associations of local and regional authorities. The roadmaps were submitted to TAIEX by the respective EU Delegations after final consultation with and approval of the TAIEX national contact points (NCPs).

In general, it is difficult to gauge the level of engagement of LAs in the overall TAIEX programme, but often there are follow-up workshops and dissemination efforts that are aimed at LAs. However, such follow-up workshops and dissemination are the responsibility of the beneficiary countries and often goes unregistered by EU and hence there is not any systemic evidence on the degree to which LAs are involved subsequently.

3.3.4 Twinning

Twinning, an instrument for institutional cooperation between public administrations of EU Member States and of beneficiary or partner countries, has been a key instrument for EC for over two decades. Twinning projects bring together public sector expertise from EU Member States and beneficiary countries with the aim of achieving concrete results through peer-to-peer activities. The direct beneficiary is typically a national-level authority, such as a ministry, agency (e.g. standards agency) or bureau (e.g. statistical bureau). Thus, twinning is typically supporting top-down policies and reforms. However, there have been twinning projects targeting decentralisation processes (e.g. Strengthening the human resources and the institutional capacity of the Kosovo Local Public Administration, which ended in 2013) or twinning projects in the environment sector where the practices at local level have had a direct impact in the implementation of national policies (e.g. Strengthening the central and local level capacities for environmental management in the area of air quality in North Macedonia which ended in 2012 or Strengthening the administrative capacities on central and local level for transposition and implementing new Industrial Emissions Directive which ended in 2017, also in North Macedonia).

In the Enlargement region, the use of twinning is focused on providing support for the adoption of the EU *acquis* primarily dealing with the capacity development needs of the central level government. However, there is arguably also an important role for LAs as they often have a key role in the implementation of the reforms and measures that twinning aims to catalyse (e.g., procurement, new agricultural practices, fight against corruption etc). As of now, there has been one major evaluation of twinning in the Neighbourhood and Enlargement regions (published in 2019), but there was nearly no discussion of the role of LAs. Twinning has not been used very often for the primary support (category A) identified in the mapping. As presented in the financial analysis, the total amount of twinning in primary support only reaches about 10 million EUR. However, there is a wide range of twinning projects which the evaluation team believes to have an indirect impact on LAs, in particular twinning targeting finance and internal market issues (which constitute 17% of the twinning portfolio).

Annex 2: EUDs eSurvey Report

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1 Design and implementation of the E-survey

Purpose and objectives

The objective of the E-survey was to collect primary information on various dimensions of the Evaluation Matrix from **EU Delegations** based the Enlargement and Neighbourhood regions. It notably seeks to understand the effects of the support provided to LAs as well as the political and institutional challenges experienced by EUDs when seeking to expand dialogue and cooperation with LAs. The survey allows to both strengthen the findings emerging from other sources of information and fill gaps. And, by covering non-case study countries, the survey also allows increasing the opportunities for the generalisation of findings emerging from these case studies.

General survey methodology

The questionnaire used for the online survey mostly consisted both of closed and open questions. **Closed questions** had a rating scale from 1 to 4 (or 5, when including the “don’t know” answer). Additionally, respondents had the possibility to comment on the question in an optional text box below to clarify their answer or to introduce additional elements. **Open questions** allowed for further contextualisation and the collection of any additional qualitative elements deemed relevant by the respondents.

While each survey question related to different aspects tackled by the Evaluation Matrix and was directly linked to specific indicators or JCs, the questionnaire as a whole did not mirror the complete spectrum of the evaluation matrix. Rather the objective was to provide the team with additional views on a few key issues. Priority was given to subjects that are difficult to capture through document review.

The questionnaire is structured around the **two main sections**: i) Design of the EU support; ii) Effects of the EU support.

Target group and response rate

In total, the survey gathered the responses of **22 EUDs**. For all EUDs, the Co-operation section has been in charge of filling the questionnaire.

Figure 1 Overview of responses



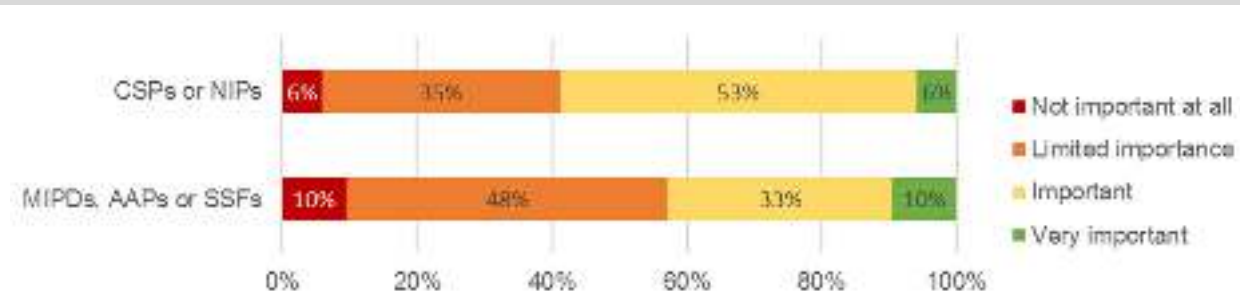
2 Responses – Design of EU support

2.1 Relevance and coherence



Question 1 LAs role in strategic documents

Based on your experience, how much emphasis and importance are attached to **LAs/ALAs role in strategic documents** such as...?



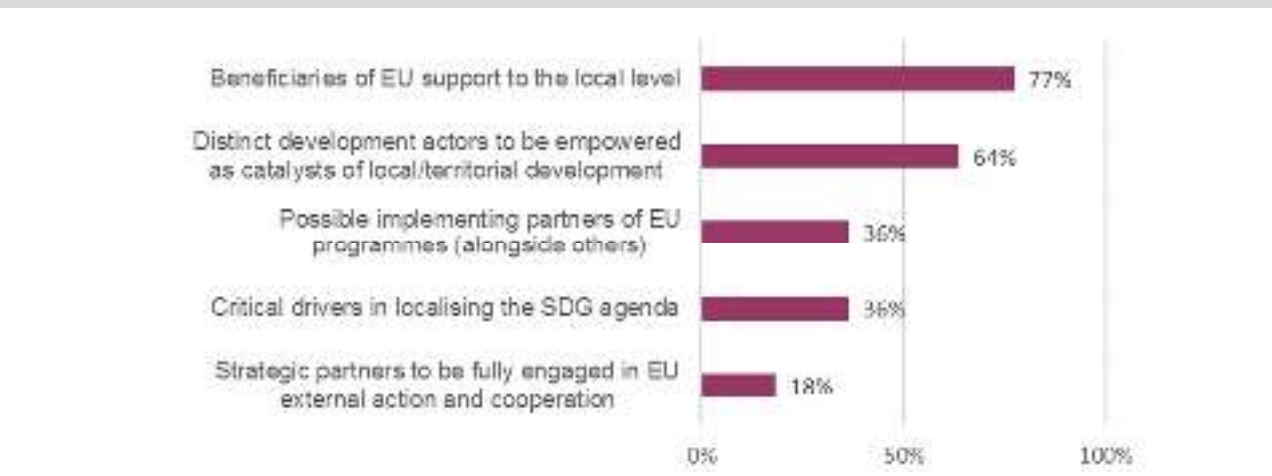
Note: for all variables, N varies between 18 and 21 respondents.

The share of positive answers for Q1 is:

- 59% for Country Strategy Papers (CSPs) or National Indicative Programmes (NIPs);
- 43% for Multiannual Indicative Planning Documents (MIPDs), Annual Action Programmes (AAPs) or Single-Support Frameworks (SSFs)

Question 2 Vision of LAs role at EUD level

Based on your experience, what is the dominant **vision at EUD level** regarding the **role of LAs**?



Note: for all variables, N = 20 respondents.

The selection of qualitative answers provides further insights into respondents' opinions/perceptions and illustrate the different points of view existing among respondents:

Due to having limited to non-devolution of power, including financial and functional decentralization complemented with weaker and not developed management capacity, skills, and etc. LAs are not considered to be powerful, competent champions or agents of change in the country. Moreover, due to lack of financial means, they cannot participate independently in any calls held by EUD that would require certain level of contribution as well as financial management capacity of bigger projects. In this regard they remain to be target groups of projects implemented by NGOs or other CSOs.

Based on the new Constitution, elected councils at all levels of local administration, "would" have a lot of authority over the local, deconcentrated, administration currently in place. However, the existing local

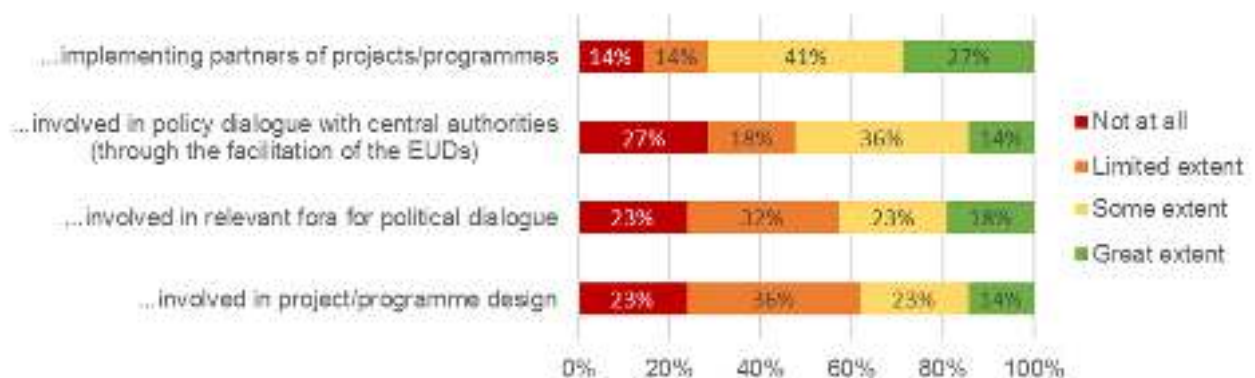
administration law is yet to be amended to be in line with the Constitution before any meaningful and effective reform takes place. The delegation does not work directly with local authorities (governorates) but through line ministries (environment, housing, agriculture) or ministry in charge of local development.

LAs have a twin role being the main actor of decentralisation under good public governance framework and a catalyser of local economic development including communal infrastructure.

The LAs act as beneficiaries of actions and sometimes as implementing partners. There was initiative to support regional development, however the LAs seemed not to have a desire to be involved as much as planned and anticipated. LAs prefer to benefit directly from the EU funded actions than on regional level or from actions targeting several of them.

Question 3 LAs in EU cooperation processes

How would you assess current levels of **LAs/ALAs** involvement in the following EU cooperation processes?



Note: for all variables, N = 22 respondents.

The share of positive answers for Q3 is:

- 68% for the involvement of LAs/ALAs as implementing partners of projects/programmes;
- 50% for the involvement of LAs/ALAs in policy dialogue with central authorities (through the facilitation of the EUDs);
- 41% for the involvement of LAs/ALAs in relevant fora for political dialogue;
- 37% for the involvement of LAs/ALAs in project/programme design.

The selection of qualitative answers provides further insights into respondents' opinions/perceptions and illustrate the different points of view existing among respondents:

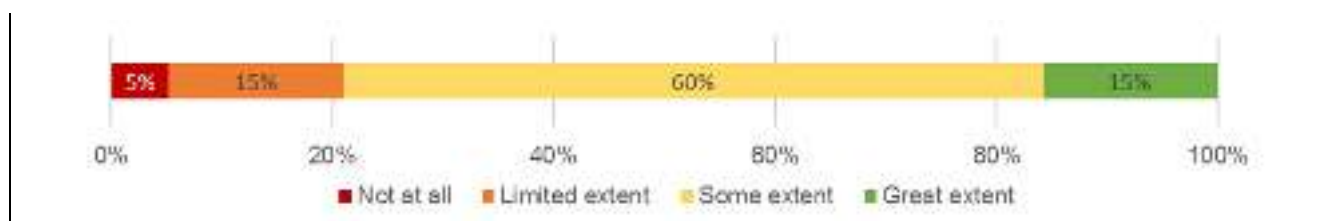
EU conducts regular consultations with LAs during preparation of programmes, but they are not directly involved in programming as this is done by the EUD and experts. The EUD is trying to keep ALAs in the dialogue between Ministry and international partners.

EUD within its regional development portfolio has greatly contributed to design and development of territorial development planning and programming that involved both authorities from central government and also LAs, including appointed executive authorities and municipalities. Within this exercise, that in nature was multi-stakeholder and participative, enabled engagement of LAs from target regions to be actively involved in the process and participated in formulation of government 's regional development policy.

LAs have the most self-initiative when it comes to preparation of actions to be financed by the EU and to participate in implementation of the projects. As implementation of EU support is under direct management, the LAs are involved in the programming only to some extent in the actions that are directly impacting LAs.

Question 4 EU support responsiveness

Based on your experience, rate the extent to which the EU has the **ability to respond to changing needs and priorities of LAs and ALAs** (e.g. new powers to LAs or emergencies) as well as changing political context in a timely manner?



Note: for all variables, N = 20 respondents.

The share of positive answers for Q4 is 75%.

The selection of qualitative answers provides further insights into respondents' opinions/perceptions and illustrate the different points of view existing among respondents:

Active participation of LAs in certain change processes currently enabled through two regional projects - Mayors for Economic Growth and Covenant of Mayors Projects that addresses main needs of the municipalities that are capacity development and financial assistance for active participation as change agents. These programs are carried out under coordination of central governments as well but at least plays the role of opportunities for LAs to build capacity, to have access to finance and to have a say and hence gain trust in their respective constituencies. The regional programs with grant schemes should continue and promoted further and further and should have country specific strategy and approach.

The actions target the development priorities of LA, which are normally not influenced by changes in political context. However, with limits on contracting and implementation set, it is sometimes not possible to react to requested changes due to lengthy procedures

EU procedures to respond take time in normal situation. However, in case of emergencies EU is able to address immediate needs quickly

2.2 Approach to implementation



Question 5 Aid delivery methods

Based on your experience, what have been the **three main aid delivery methods for EU support** to local authorities in the country?

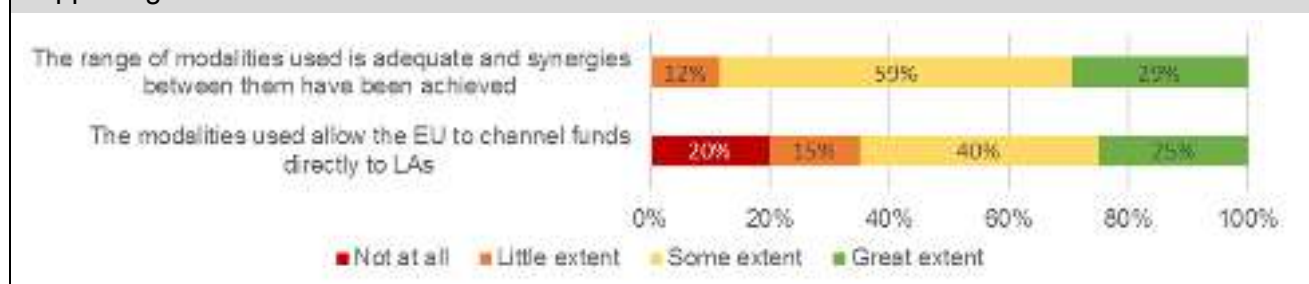


Note: for all variables, N = 22 respondents. Respondents could select up to three choices following an order of importance. In this regard, answers have been weighted and presented above.

All EUDs except two declared that the first main aid delivery method was the project approach. It is followed by budget support and blending (respectively selected by 7 and 5 respondents). Twinning and TAIEX were both selected by 4 respondents. "Other" answers included contribution agreements concluded with international organisations and multi-donor actions, technical assistance, as well as seminars and study tours.

Question 6 Appropriateness - Mix of modalities

Based on your experience, to what extent has the **mix of modalities** (see list suggested in previous question) used by the EU at country and regional level been appropriate to pursue its objectives for supporting local authorities?



Note: for both variables, N =21 respondents.

Regarding the share of positive answers for Q6:

- 88% of respondents consider that the range of modalities used is adequate and synergies between them have been achieved;
- 65% of respondents consider that the modalities used allow the EU to channel funds directly to LAs.

The selection of qualitative answers provides further insights into respondents' opinions/perceptions and illustrate the different points of view existing among respondents:

EU has been working on capacity building of local authorities (technical assistance), grants (EU channelled funds directly to LAs) and budget support (funds were channelled to the state budget and could be transferred to local authorities subject to decision of central government).

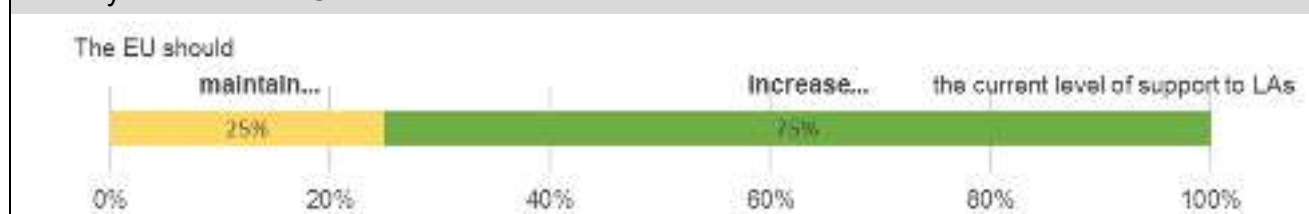
TA is mostly the assistance provided so far. Grants for concrete interventions directly targeting LAs will be launched through new instrument under IPA 2020. Budget support will also include LA-related indicators, but those tranche payments flow into the national treasury. More grants from sectorial interventions need to be providing funds directly to LA.

There has been a case of budget support combined with service contract to improve capacities of beneficiary to implement budget support, however budget support was limited to sectors aiming to improve the government administration and not addressing the wider problem (i.e. employment, business development, etc).

The mix of instruments is not really targeting LAs as such (except for the programmes coming in direct support to the Ministry of Local Development). Governorates and their services are targeted when projects are localized geographically (e.g. waste treatment, water expansions, rural development, urban development).

Question 7 Appropriateness - Level of EU support

Based on your experience, how **appropriate** is the **current level of support to LAs** given the country context and EU's resource constraints?

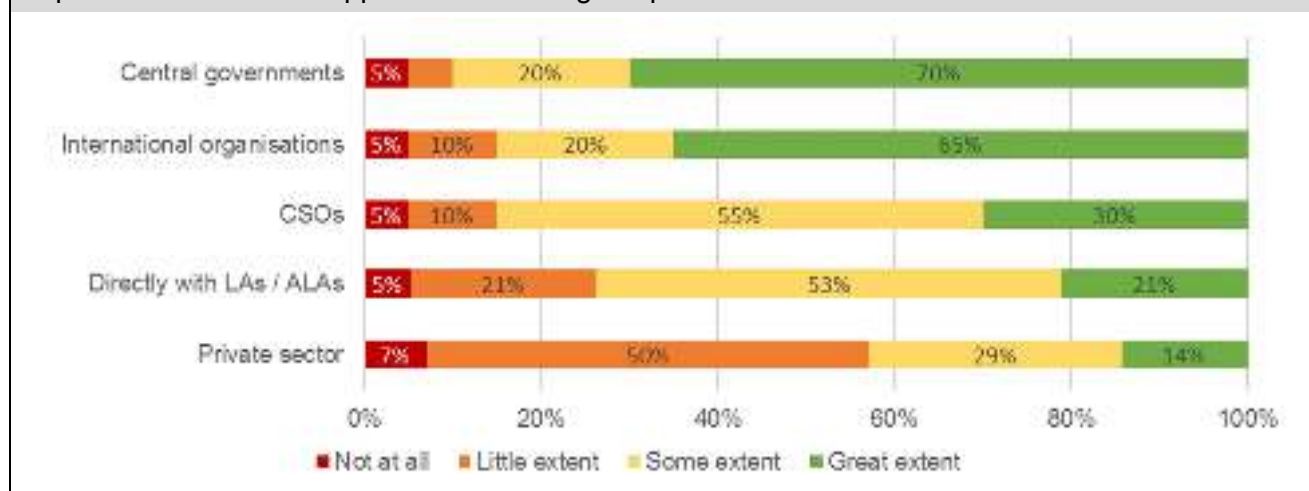


Note: N =21 respondents.

- 75% of respondents think the EU should increase the current level of support to LAs;
- 25% of respondents think the current level of support to LAs should be maintained.

Question 8 Involvement of partners

Based on your experience, to what extent has the EU engaged the following **partners** in the implementation of EU support to LAs during the period 2010-2018?



Note: for all variables, N varies between 16 and 21 respondents.

The share of positive answers for Q8 is:

- 90% regarding the involvement of central governments;
- 85% regarding the involvement of international organisations;
- 85% regarding the involvement of CSOs;
- 74% regarding the direct involvement of LAs/ALAs;
- 43% regarding the involvement of private sector.

The selection of qualitative answers provides further insights into respondents' opinions/perceptions and illustrate the different points of view existing among respondents:

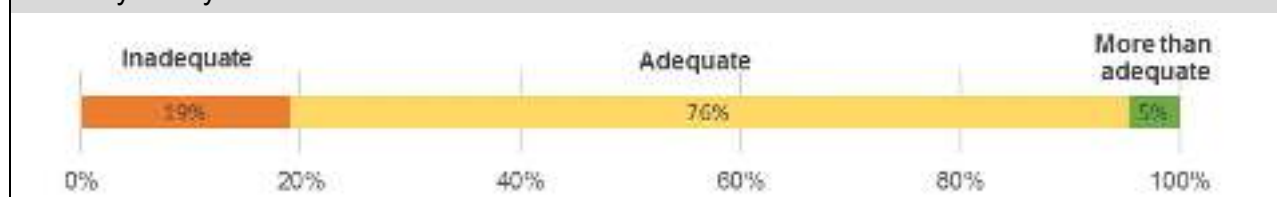
For implementation of regional projects, central governments are national coordinators and under their direct coordination the assistance takes place. Only within grant projects, LAs are targeted as part of components. LAs to my knowledge has not been directly engaged since they cannot demonstrate financial and technical management capacity to be eligible for grant calls for proposals due to limited financial resources and capacity. GIZ was engaged to work with LAs to build their capacity to design and implement local development plans.

More programming, more policy discussion and more direct implementation directly with LAs is needed. Weak ALAs do not help this process. EU is going to invest and support the Consultative Council where institutional dialogue takes place between levels of governance.

The vast array of EU cooperation counts a number of grants and blending operations that are localised at Governorate or urban level and rely on a policy mix of involving private and public sectors as well as community-based organisation.

Question 9 Human resources

Would you say that there are sufficient **human resources** at the EUD level to deal with LAs?



Note: N = 21 respondents.

The share of positive answers for Q9 is 81%.

The selection of qualitative answers provides further insights into respondents' opinions/perceptions and illustrate the different points of view existing among respondents:

Besides the program manager for good local governance, the EUD program managers are guided by the Head of Cooperation to develop their programs including a local dimension of cooperation. A local expert was useful so far to assist the program manager, but ATA funds were not assigned for this purpose in 2020 – such a pity!

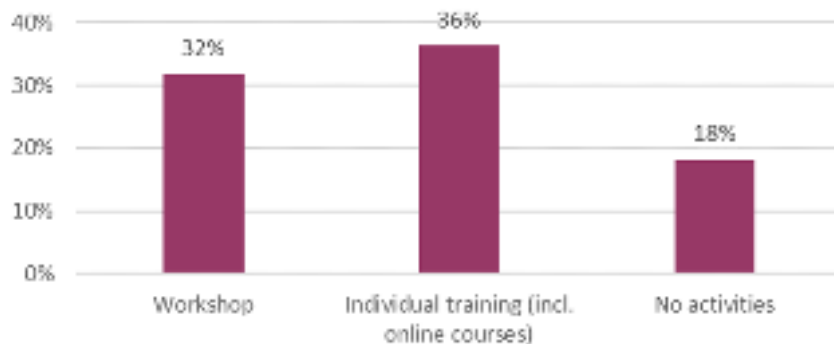
The human resources within the EUD benefit from diversified experience and knowledge of the various existing and possible instruments of intervention.

The EUD is involved in programming of aid and staff has proven capable of developing programs that are addressing issues LAs are facing.

Variable would be a better word. Having done several recruitments for staff to be overseeing LA related programmes, there are occasional limitations to find colleagues being able to go beyond basic contract management. Dealing with LA requires a good understanding of local governance functioning, which is often not available.

Question 10 Capacity development at EUD level

What kind of **capacity development activities on decentralisation, local development and local governance** has been offered (if any) between 2010 and 2018?



Note: for all variables, N = 22 respondents.

The selection of qualitative answers provides further insights into respondents' opinions/perceptions and illustrate the different points of view existing among respondents:

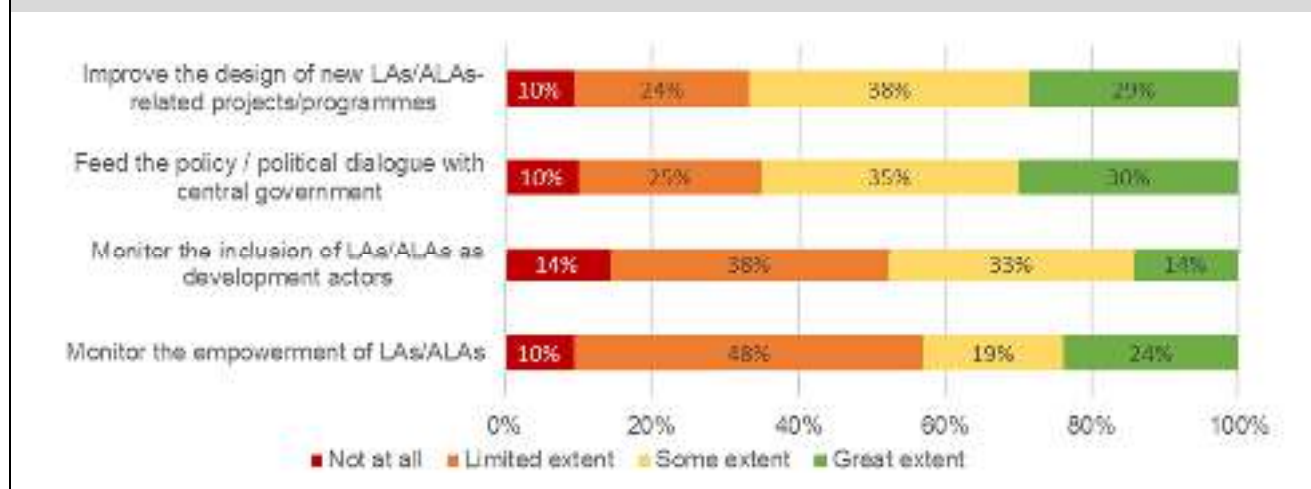
I participated in the TALD course. In 2020 I was supported and able to follow an external training as well. EU lean catalogue should offer more in terms of training related to local governance.

Rarely are there training courses for the EUD, generally these are individual training courses for project managers (e.g. training on the territorial approach to local development - TALD or on governance and the involvement of civil society).

Workshop were held in HQ but EUD staff could not attend due to work overload internally.

Question 11 Monitoring and learning mechanisms

Based on your experience, to what extent is EU using its **monitoring and learning mechanisms** to...?



Note: for all variables, N =19 respondents.

The share of positive answers for Q11 is:

- 67% for improving the design of new LAs/ALAs-related projects/programmes;
- 65% for feeding the policy and political dialogue with central government.
- 48% for monitoring the inclusion of LAs/ALAs as development actors.
- 43% for monitoring the empowerment of LAs/ALAs.

The selection of qualitative answers provides further insights into respondents' opinions/perceptions and illustrate the different points of view existing among respondents:

Through budget support, periodic evaluations and monitoring missions, assessment of performance indicators and sector dialogue provide appropriate monitoring and ownership mechanisms. Exchanges within the thematic group, which is sometimes open to external actors (e.g. in June 2019 to an ALA President) also help to ensure the coherence of donor intervention and the discussion of topics of interest and monitoring.

Given the protracted and complex operating environment of the EUD, policy dialogue on empowerment of LAs is currently constrained.

LAs is simply not a discipline core to the EC set of traditional covered fields. However, there are signs of interest for its central role in any country's development let alone when the country has an EU membership prospect. Hopefully this translates into official policies and programs in support to LAs.

The implemented projects are regularly monitored by the EUD staff. The info received is used for improvement of the future programming as well as for dialogue with government. The inclusion in development and empowerment of LA is monitored in limited extent, as the main interlocutor for programming is central government.

The importance of building a strong relationship with LAs is generally considered only in the margins. Great to have a successful project to show to VIP visitors. Little understanding, interest and priority to see a strong network of LA relations as an opportunity to extend EU awareness, democracy etc in mentioned countries.

Question 12 Call for proposals

Based on your experience, have local authorities (LAs) / associations of local authorities (ALAs) been involved and been successful in **call for proposals** (CfP)?



Note: for all variables, N = 22 respondents.

The share of positive answers for Q12 is:

- 68% for the involvement of LAs and 35% for their success in CfP;
- 32% for the involvement of ALAs and 21% for their success in CfP.

The selection of qualitative answers provides further insights into respondents' opinions/perceptions and illustrate the different points of view existing among respondents:

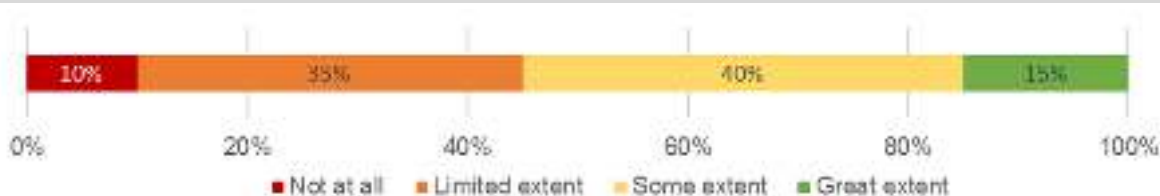
LAs sometimes take part in calls for proposals, but often as implementing partners (more than lead partners). As far as ALAs are concerned, no participation has been made. Generally speaking, funds for the support of LAs and ALAs are very limited and the call for proposals mechanisms are not adapted to this type of actors.

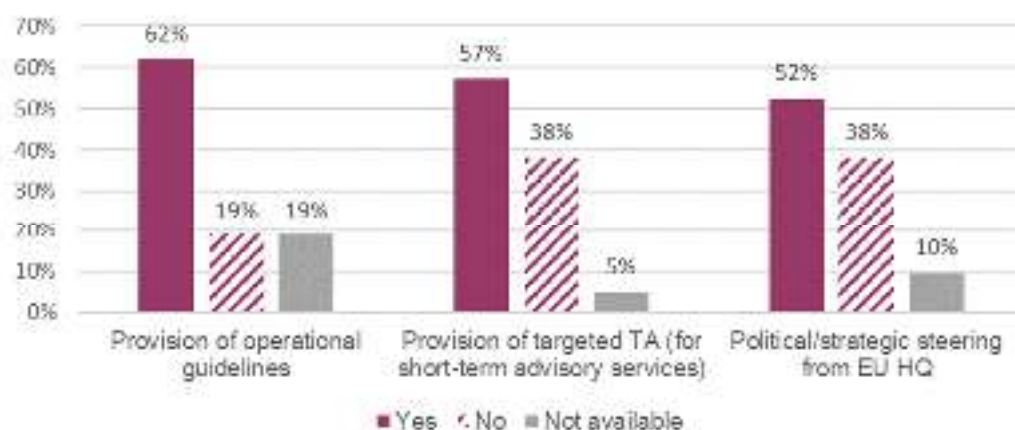
Some of the grants implemented showed that without external technical assistance support, LAs have limited capacity to manage the projects. Therefore, in some areas most of the projects have been unsuccessful.

They are usually involved as target beneficiaries. Only once, an association of village municipalities was co-applicant in one call that was successful, but it was dismissed due to incapability to manage the project financially and technically.

Question 13 Institutional set up

Based on your experience, to what extent has the **institutional set up** (cooperation between EUD and HQ, management of interventions, coordination of global, regional and bilateral activities etc.) facilitated the provision of EU support local authorities in the country?





Note: for all variables, N = 22 respondents.

The share of positive answers for Q13 is 55%.

The selection of qualitative answers provides further insights into respondents' opinions/perceptions and illustrate the different points of view existing among respondents:

Only within regional programs guidance to certain extend. Due to limited uptake in the country, the overall guidance was also limited.

The political and strategic steering is not linked to LAs and ALAs, but rather on central level, when preparing specific development documents.

We have asked the colleagues in DEVCO to support with briefing and speeches and have had good support during the drafting of new actions in the sector of Urban Development.

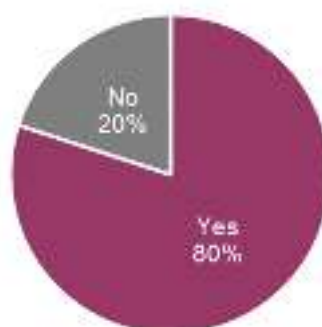
The EUD received support from Headquarters through a mission for the preparation of the identification of the budget support programme.

2.3 Coordination



Question 14 Donor working groups

Is the EUD engaged in any **donor working groups** that focus directly on LAs and related policy processes (e.g. dealing with the localisation of SDGs, regional policy or decentralisation reforms)?

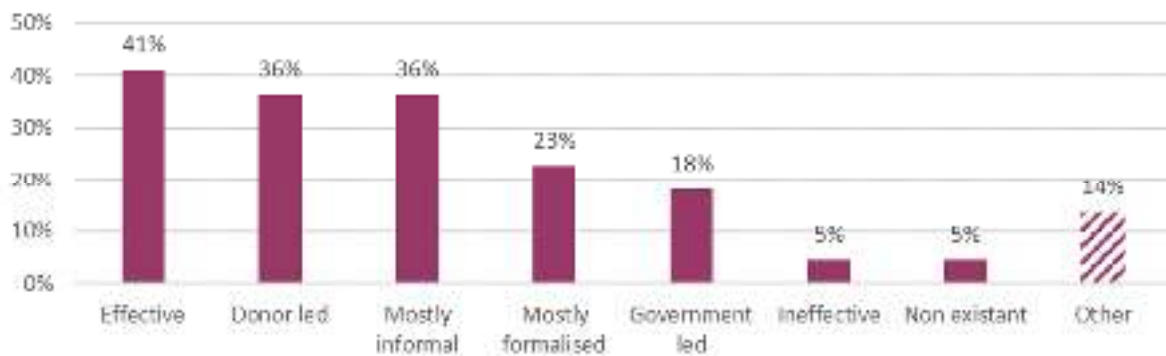


Note: N = 22 respondents.

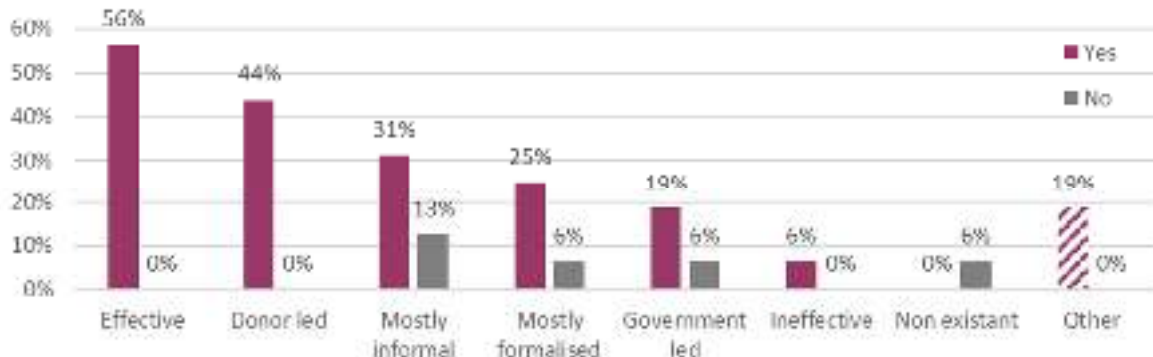
Question 15 Coordination among EU and partners

How would you characterise the **division of labour and coordination among EU and partners** - including domestic actors- on how to support local/territorial development and enable LAs?

Results regardless EUDs engagement in LA-related donor working groups



Comparison between EUDs engaged (or not) in LA-related donor working groups

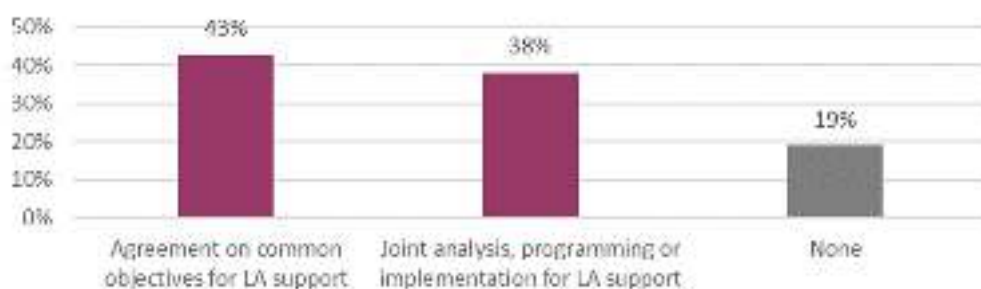


Note: for all variables in the first graph, N = 22 respondents. In the second graph, N = 16 respondents who stated that the EUD was engaged in a LA-related donor working group ('Yes' Serie) and 4 respondents that stated that the EUD is not engaged in such groups.

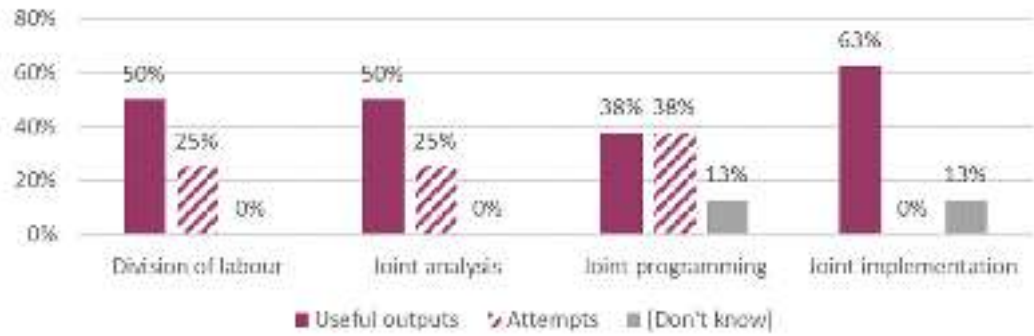
Two respondents stated that the coordination among EU and partners was co-led by the government, the EU and an EU MS or another development partner ('other' answer in both graph).

Question 16 Coordination among EU and EU MS

Would you say that there have been... with EU MS?



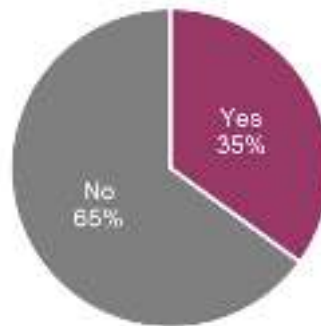
Please indicate how developed are joint actions with EU MS



Note: for all variables in the first graph, N = 22 respondents. In the second graph, N = 8 respondents who stated that there have been joint actions with EU MS.

Question 17 Strategic relationship

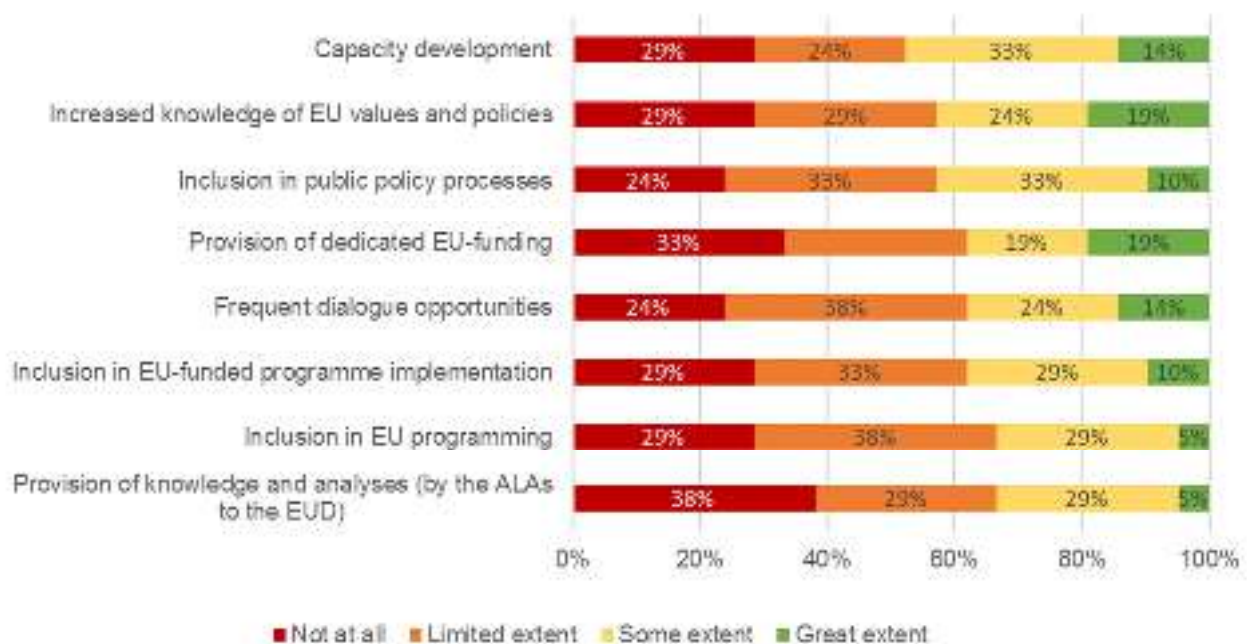
Is there a **strategic relationship** -such as regular dialogue, funding, etc.- in place between the EU and the ALA(s) in your country?



Note: for all variables, N = 22 respondents.

Question 18 Cooperation with ALAs

How would you characterise **cooperation with ALAs**?



Note: for all variables, N = 17 respondents.

The share of positive answers for Q18 is:

- 48% for ALAs' capacity development;
- 43% for the increased knowledge of EU values and policies and the inclusion of ALAs in public policy processes;
- 38% for the provision of dedicated EU-funding, frequent dialogue opportunities and the inclusion of ALAs in EU-funded programme implementation;
- 33% for the inclusion of ALAs in EU programming and the provision of knowledge and analyses (by the ALAs to the EUDs).

Question 19 EU added value

Would you say that EU support to LAs provides **added value** compared to EU MS, IFIs, and other donors, including Council of Europe?

Note: EU support refers to all types of EU actions (dialogue, projects, etc.), including projects funded by the EU and implemented by other actors such as EU Member States, international financial institutions, and other donors, including the Council of Europe.



How does this added value materialise?	Percentage
In pushing for decentralization reforms that enhance the autonomy and funding base of LAs	92%
In capacity development	83%
In creating more space for LAs in policy processes	83%
In the provision of direct funding	50%

Note: N = 22 respondents for the first question. For the second one, N = 12 respondents who agree or strongly agree with the statement 'EU support to LAs provides added value compared to EU MS, IFIs, and other donors'.

The share of positive answers for Q19 is 60%.

The selection of qualitative answers provides further insights into respondents' opinions/perceptions and illustrate the different points of view existing among respondents:

EU is working with the largest number of amalgamated communities among international development partners, implements the widest range of capacity building initiatives.

The EU is the only donor providing general non-targeted support to the advanced regionalisation process.

More and more EUDs invest in municipalities as 'agents for change', an ally on the EU path.

More than any of the international organisations, the EU is most suitable to link to EU experiences on local governance.

To the best of my knowledge, all sides are included in interventions related to the LAs, so there is not much of competition, more coordination.

3 Responses - Effects of the EU support

3.1 LAs' enhanced engagement in development/accession processes and in EU external action



Question 20 National framework for LAs

Based on your experience, to what extent has the EU external action **helped creating space** (e.g. enhanced the role of LAs in public policymaking) **for ALAs and LAs** or at country and regional levels?

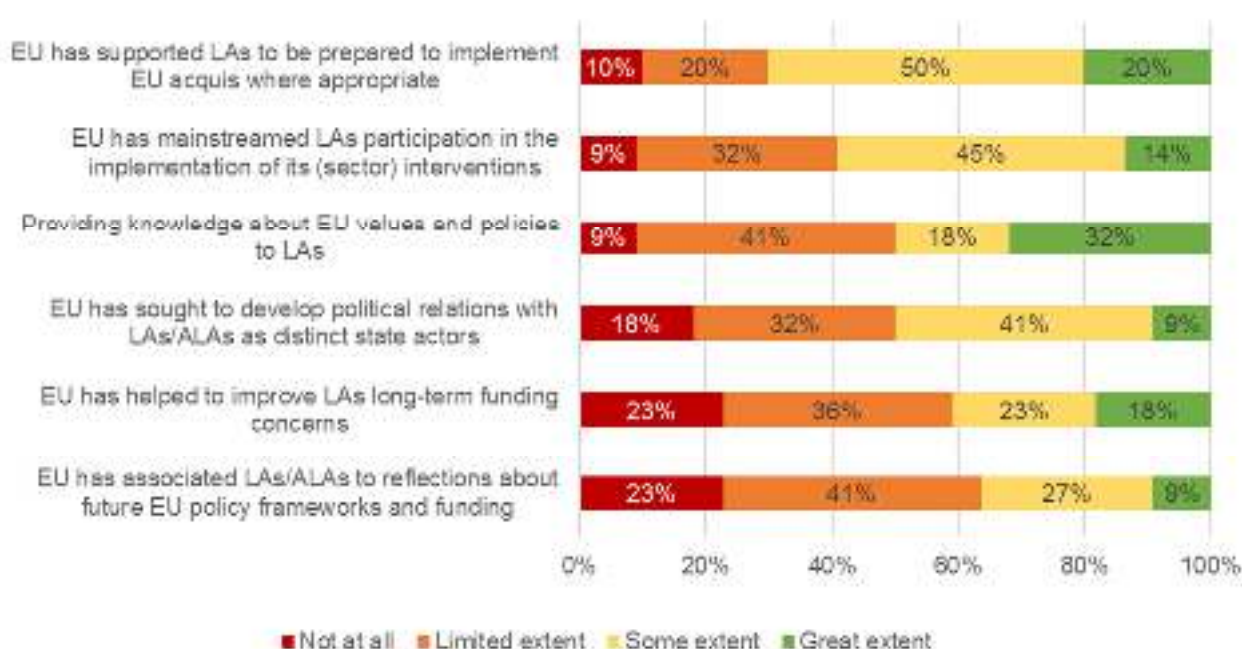


Note: for all variables, N = 21 respondents.

The share of positive answers for Q20 is 62%.

Question 21 LAs as active partners

Based on your experience, how has the EU considered **LAs as active partners in development / enlargement processes (if applicable) and in EU external action?**



Note: for all variables, N = 22 respondents (except for the label about EU acquis for which N = 10 respondents).

Respondents who stated that 'knowledge about EU values and policies was provided to LAs' (N = 11) were asked if the EUD improved knowledge of EU among ALAs/LAs through **awareness / information campaigns**. 91% of respondents answered positively.

The selection of qualitative answers provides further insights into respondents' opinions/perceptions and illustrate the different points of view existing among respondents:

In all EU-funded programmes involving LAs, ALAs have communication components which are monitored by the EU Delegation.

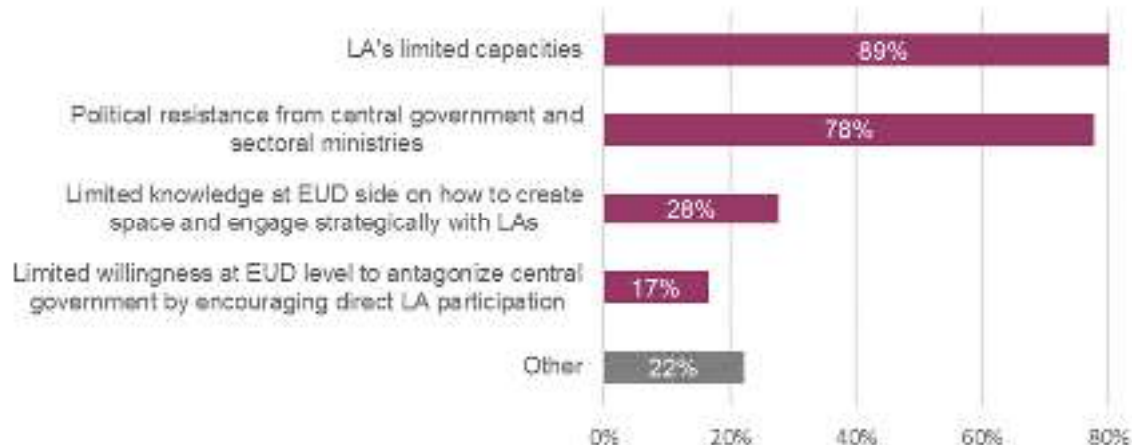
All these contributions were done thanks to the LA envelope (under CSO-LA thematic line). In the absence of a future LA thematic line and in the context of an OECD country, the collaboration between the EU and LAs will certainly decrease.

By supporting the reform of territorial governance through budget support, the EU ultimately contributes to the financing and involvement of LAs in the implementation of this reform.

In general, the EU remains strongly focussed on the central government and underestimates the potential of closer working with LA.

Question 22 Obstacles to LA mainstreaming

What are the major impediments to integrating LAs in mainstream EU cooperation processes?



Note: for all variables, N varies = 18 respondents.

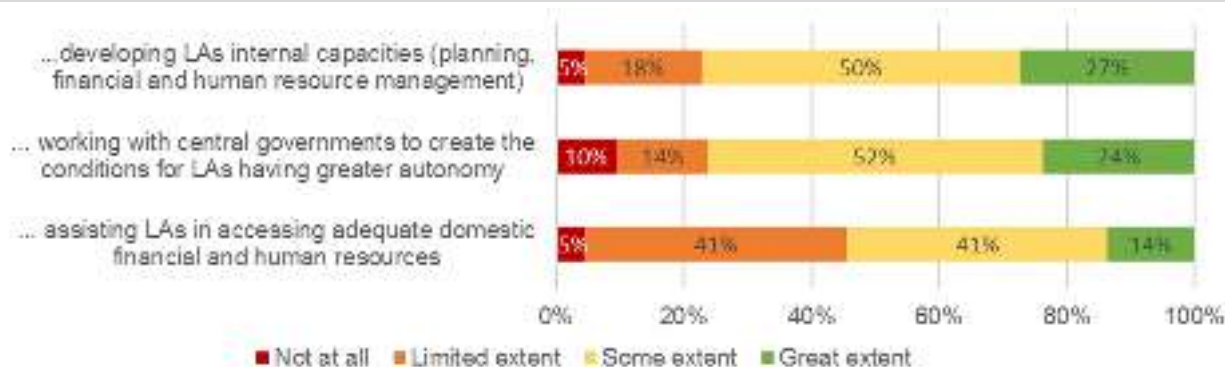
Among 'other' answers, incomplete decentralization process and other country-specific context, limited willingness of DG NEAR to engage with LAs and limited strategic communication with government were highlighted as obstacles to LA mainstreaming.

3.2 LAs' empowerment and capacities



Question 23 Economic and political empowerment

Based on your experience, how has EU support contributed to **empowering LAs economically and politically** between 2010 and 2018?



Note: for all variables, N varies between 21 and 22 respondents.

The share of positive answers for Q23 is:

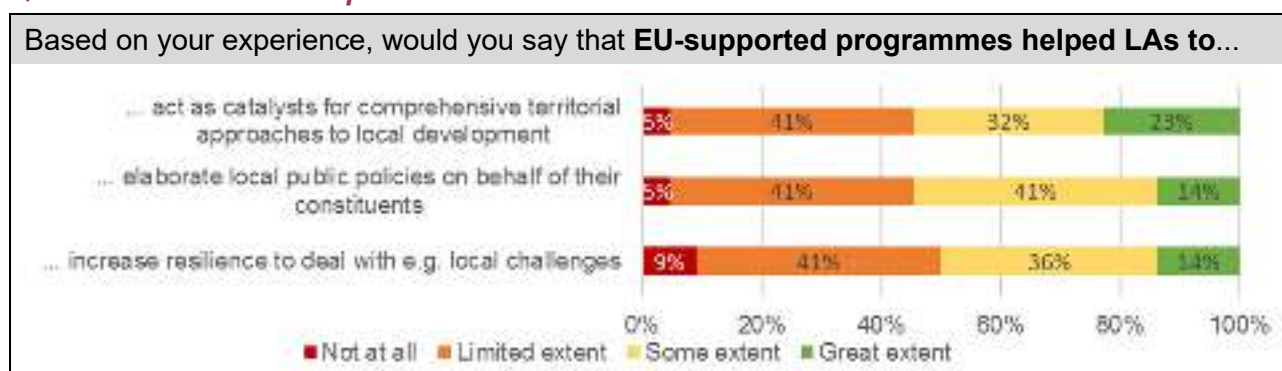
- 77% for the EU developing LAs internal capacities (planning, financial and human resource management);
- 76% for the EU working with central governments to create the conditions for LAs having greater autonomy;
- 55% for the EU assisting LAs in accessing adequate domestic financial and human resources.

The selection of qualitative answers provides further insights into respondents' opinions/perceptions and illustrate the different points of view existing among respondents:

Within projects, LAs were supported as part of target groups, such as in improvement of territorial planning and financial management skills.

Interaction between LAs and central government remains to be weak. Mostly heavily dependent on central government funds transfer, LAs have limited space for autonomous actions. However, by implementing numerous projects (especially in the environment field), EU has raised attention to LAs significant role in local implementation of EU horizontal policies. Same goes for the institutional capacities. However, central government treats these projects as standalone ones with limited understanding of IPA sectoral approach, pursued by EU.

Question 24 Partnerships



Note: for all variables, N = 22 respondents.

The share of positive answers for Q24 is:

- 55% for the LAs' enhanced role as catalysts for comprehensive territorial approaches to local development and the elaboration of local public policies on behalf of their constituents;
- 50% for the increased resilience to deal with e.g. local challenges.

The selection of qualitative answers provides further insights into respondents' opinions/perceptions and illustrate the different points of view existing among respondents:

EU-funded programmes support LAs in development of local economic plans, provision of administrative services, exchange of the best practices with European municipalities. Starting from March 2020, in the framework of a project:

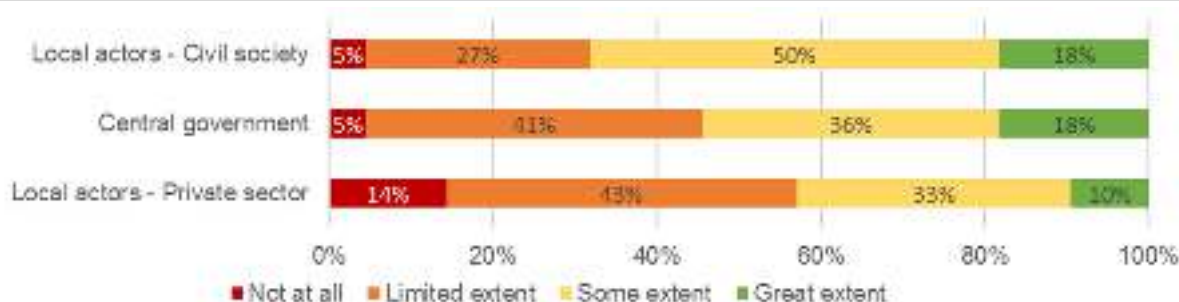
- medical kits to 932 LAs were provided;
- forums with mayors of EU MS to share experiences of COVID-19 resilience measures at the local level were organised;
- municipalities were consulted on new modes of administrative services provision during pandemic.

On resilience, there is anecdotal evidence on more effective responses to the COVID-19 crisis of those LAs that have been participating in EU and other international supported programmes focussing on empowerment of LA.

LAs cannot do much without central support. At least EU helped to raise LAs voice in cases of projects implemented at the local level.

Question 25 Partnerships

To what extent have EU-supported programmes helped LAs to make strategies on how to develop their cities/territories (from the bottom-up) in partnership with...



Note: for all variables, N varies between 21 and 22 respondents.

The share of positive answers for Q25 is:

- 68% for civil society (local actors);
- 55% for central government;
- 43% for private sector (local actors).

The selection of qualitative answers provides further insights into respondents' opinions/perceptions and illustrate the different points of view existing among respondents:

For regional development executive authorities have more power as agents of development, they also receive financial means from central government to deliver development measures, but these means usually concentrated to mainly regional centres and are not equally distributed to more peripheral communities/constituencies.

The current environment is not conducive enough to be able to assess this.

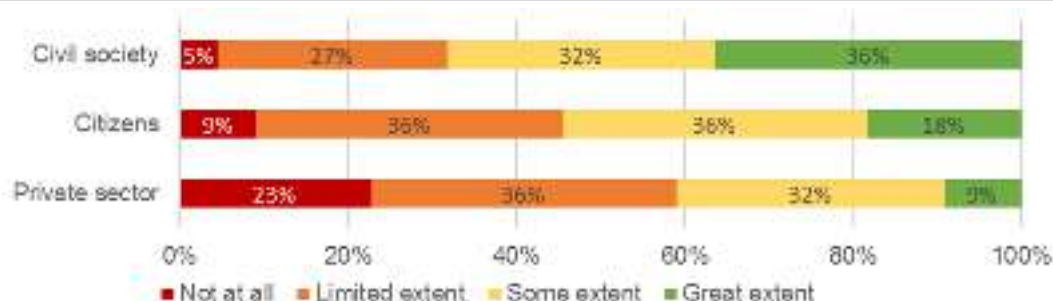
Projects have been implemented by CSOs (following a call for proposals) with the support of rural municipalities. Some NIFs also participate in the territorial development strategy of LAs.

3.3 Accountability, participation and local democracy



Question 26 Involvement in the management of local public affairs

Based on your experience, to what extent has EU helped the following group of actors to have a stronger voice in the management of local public affairs?



Note: N = 22 respondents.

The share of positive answers for Q26 is:

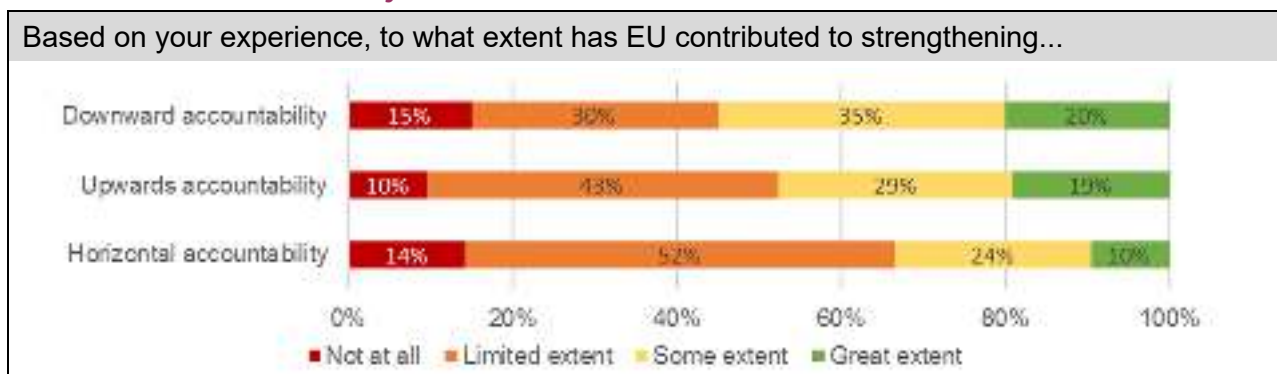
- 68% for civil society;
- 55% for citizens;
- 41% for private sector (with 23% of 'Not at all' answers).

Some qualitative answers provide further insights and illustrate different point of views:

There has been more attention and projects with CSOs and LAs than with private sector or citizens in general.

These mentioned actors were involved in the participatory local level planning process where they contributed to the design of the local level development planning. There are also other projects that target directly CSOs development where support is more evident and substantive.

Question 27 Accountability



Note: for all variables, N varies between 20 and 21 respondents.

The share of positive answers for Q27 is:

- 55% for downward accountability by increasing access to information and deepening engagement with citizens (and their representatives), local media and CSOs;
- 48% for upwards accountability by strengthening LAs links with, and, oversight by, central authorities;
- 33% for horizontal accountability by strengthening mutual scrutiny and local governance between the local public administration, local politicians and other local authorities.

Some qualitative answers provide further insights and illustrate different point of views:

There are some examples of good practices that we can share but the overall context is too restrictive to be able to generalise and draw conclusions.

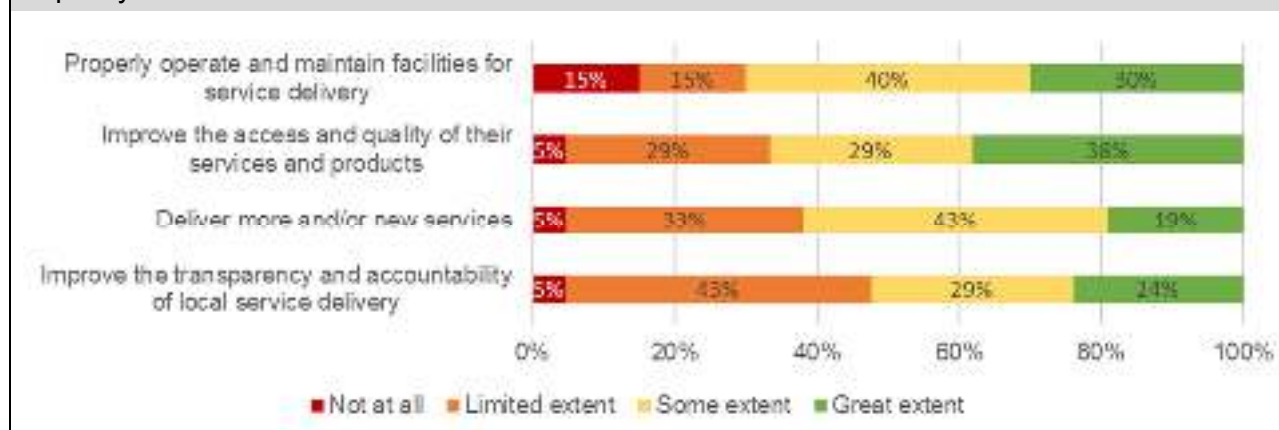
In such a centralized state, there is no need to further strengthen links between LAs and central government. Downward accountability is supported by the two different programmes.

3.4 Service delivery and response to local challenges



Question 28 LAs' capacities improvement

Based on your experience, to what extent have EU-supported actions have increased LAs capacity to...



Note: for all variables, N varies between 20 and 21 respondents.

The share of positive answers for Q28 is:

- 70% for LAs' increased capacity to properly operate and maintain facilities for service delivery;
- 67% for LAs' increased capacity to improve the access and quality of their services and products;
- 62% for LAs' increased capacity to deliver more and/or new services;
- 52% for LAs' increased capacity to improve the transparency and accountability of local service delivery.

Some qualitative answers provide further insights and illustrate different point of views:

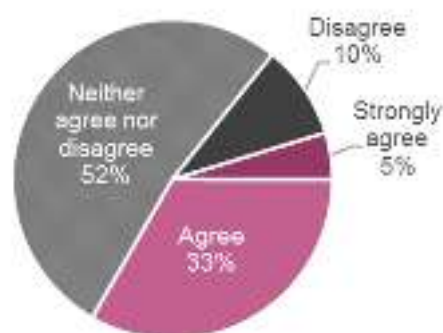
As target groups in CSO projects certain capacities have been improved.

Some specific sectors such as water, waste have often an implementation component at local level.

It's hard to generalize impacts of EU projects in local communities and their positive effects. It can be rather discussed per area of support (per action documents), looking what was achieved and what is to be achieved, as part of some bigger puzzle. Some of the local projects are rather of low impact, but they are still being implemented from year to year.

Question 29 LAs response to local challenges

Based on your experience, would you say that, with EU support, **LAs have the capacity to respond or responded adequately to (emerging) local challenges** (e.g. climate change, inequality, migration flows, food production, security, floods, etc.)?



Note: for all variables, N = 22 respondents.

The share of positive answers for Q29 is 38%.

Some qualitative answers provide further insights and illustrate different point of views:

The EU supports the implementation of the various consultative bodies at the level of the regions. These bodies are in charge of issues related to inequalities, gender, youth and the local private sector.

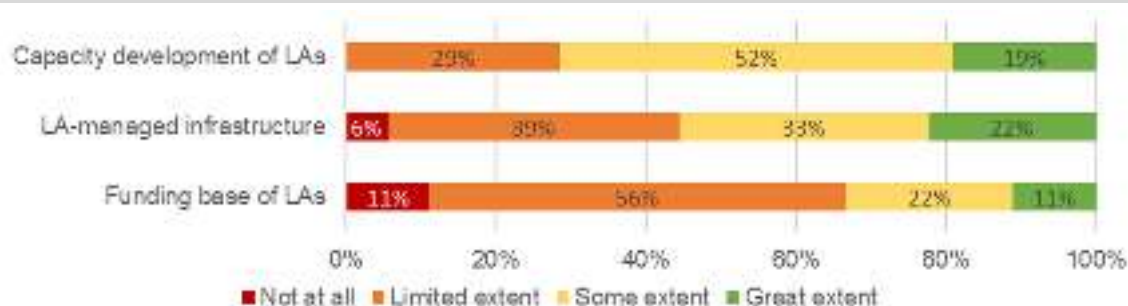
Support to local authorities to tackle climate change will start next year.

Respective interventions targeting engagement of LAs have not taken place.

There are examples of good practices in the water and waste treatment sectors, rural and urban development sectors, social protection and private sector engagement, but it would be difficult to generalise given the current restrictive context.

Question 30 Sustainability

Based on your experience, to what extent are the following aspects of EU support **sustainable**?



Note: for all variables, N varies between 13 and 16 respondents.

The share of positive answers for Q30 is:

- 71% for the capacity development of LAs;
- 56% for LA-managed infrastructure (e.g. roads, buildings & utilities);
- 33% for capacity development of LAs.

Some qualitative answers provide further insights and illustrate different point of views:

Capacity development is definitely very sustainable. However, the sustainability of projects based on LA-managed infrastructure is questionable. After grant projects finish, the EU cannot follow-up on the property rights.

Changing elected officials complicate capacity development. Combined support for financial and territorial reform makes it possible to support the LA funding mechanism.

3.5 Lessons learnt

Based on your experience, what have been the main **success and hindering factors** of EU support to LAs?

<i>Success factors</i>	<i>Hindering factors</i>
<i>Answered by more than 25% of respondents</i> • LAs' increased capacities • Set of (various) instruments and modalities • National authorities' commitment to decentralization/LAs' empowerment	• LAs' lack of capacities (<i>answered by 50% of respondents</i>) • Reluctance of central governments to empower LAs (<i>answered by 39% of respondents</i>)
• LAs' increased knowledge about EU • CSOs involved/supported and existing citizens' demand for democracy • Implementation of sector programmes • Improved transparency & accountability • EU support to decentralisation (at central level)	• Centralised administrative system • Lack of funding • Lack of ownership

Note: N = 18 respondents. Factors in the white area have been mentioned by at least two respondents.

3.6 Final remarks

Here are some final remarks concerning EU support to GEWE:

DG NEAR is lacking a clear strategy to support LA. It is not even clear which Unit in HQ is in charge for it and can advise or steer colleagues in the EUDs

In a country with as weak administration at central level, support to self-governing municipalities and cities becomes a strategic instrument to force central level to improve its own performance via a bottom-up competition. This insight might be fundamentally important for the EU for designing strategic policies to foster Local Self Governments within Neighbourhood countries.

The decentralisation process just started but the EUD is aware of the challenges of territorial development and the need to work directly with local authorities as development actors.

On a political level, local governance becomes core to the EU action around the globe. On a financial and operational level, adequate resources set aside and with more agile, more targeted instruments, the EU can respond effectively and timely to changing local needs. Specific pipelines should be dedicated to LAs.

Support to LAs (especially in territories with minorities) has been done thanks to the LA thematic line (and EIDHR in a limited number of cases) but will be suspended if a bilateral LA envelope is not allocated in the future.

Within the grants call for proposals, the requirement to have LAs to be main applicants should be flexible, so they could be co-applicants to CSOs who have greater experience of working with international donors, particularly with EU. More strategic communication or dialogue should take place in higher levels to emphasize the importance the EU gives to LAs and their role as development agents to achieve development goals, including SDGs.

EU strategy and policy on how to better and more effectively cooperate with LAs and ALAs would be welcomed!

Annex 3: ALAs eSurvey Report

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1 Design and implementation of the E-survey

Purpose and objectives

The objective of the E-survey was to collect primary information on various dimensions of the Evaluation Matrix from **EU Delegations** based the Enlargement and Neighbourhood regions. It notably seeks to understand the effects of the support provided to LAs as well as the political and institutional challenges experienced by EUDs when seeking to expand dialogue and cooperation with LAs. The survey allows to both strengthen the findings emerging from other sources of information and fill gaps. And, by covering non-case study countries, the survey also allows increasing the opportunities for the generalisation of findings emerging from these case studies.

General survey methodology

The questionnaire used for the online survey mostly consisted both of closed and open questions. **Closed questions** had a rating scale from 1 to 4 (or 5, when including the 'don't know' answer). Additionally, respondents had the possibility to comment on the question in an optional text box below to clarify their answer or to introduce additional elements. **Open questions** allowed for further contextualisation and the collection of any additional qualitative elements deemed relevant by the respondents.

While each survey question related to different aspects tackled by the Evaluation Matrix and was directly linked to specific indicators or JCs, the questionnaire as a whole did not mirror the complete spectrum of the evaluation matrix. Rather the objective was to provide the team with additional views on a few key issues. Priority was given to subjects that are difficult to capture through document review.

The questionnaire is structured around the **two main sections**: i) Design of the EU support; ii) Effects of the EU support.

Target group and response rate

In total, the survey gathered the responses of **11 ALAs**.

Figure 1 Overview of responses

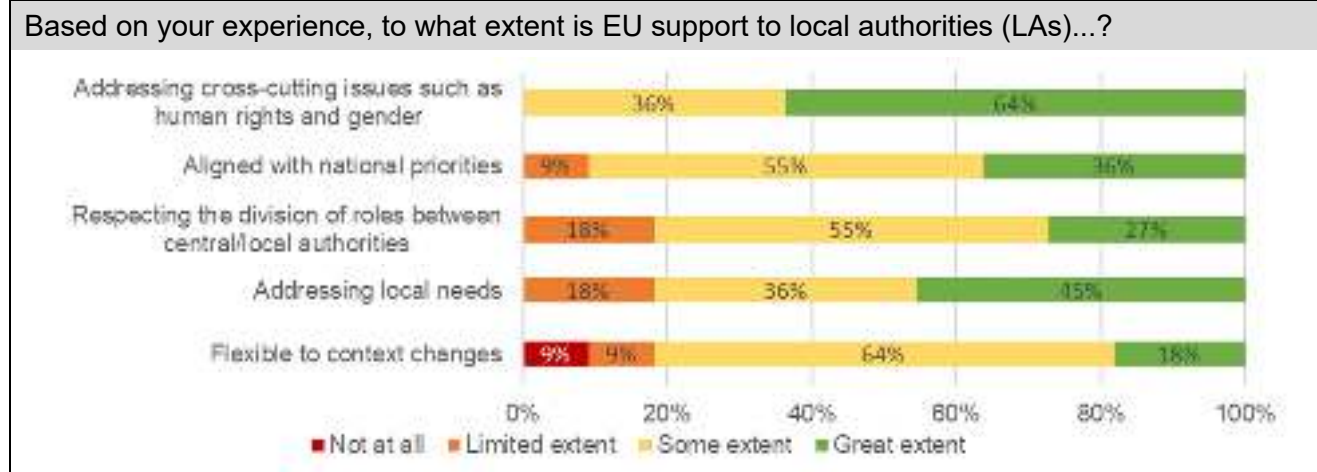


2 Responses – Design of EU support



2.1 Relevance and coherence

Question 1 ALAs perception of EU support



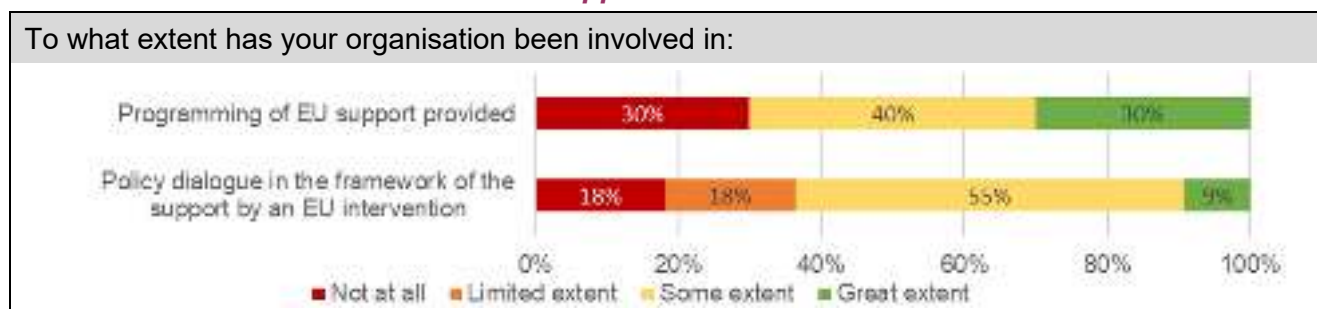
Note: for all variables, N = 11 respondents.

The share of positive answers for Q1 is:

- 100% for EU support addressing cross-cutting issues such as human rights and gender;
- 91% for EU support aligned with national priorities;
- 82% for EU support respecting the division of roles between central/local authorities;
- 82% for EU support addressing local needs;
- 82% for EU support flexible to context changes.

No specific comments were reported.

Question 2 ALAs involvement in EU support



Note: for all variables, N = 11 respondents.

The share of positive answers for Q2 is:

- 70% for programming of EU support;
- 64% for policy dialogue in the framework of the support by an EU intervention (e.g. on a given sectoral policy area that affects LAs).

The highest proportion of 'Not at all' answers concerns the programming of EU support (indicated by one third of respondents).

The selection of qualitative answers provides further insights into respondents' opinions/perceptions and illustrate the different points of view existing among respondents:

Our organisation comprises more than 90% of LGs but it never was consulted concerning design and programming of EU support provided in the country. Unfortunately, the policy dialogue takes place only between EU institutions and central government. This leads to the entire row of negative consequences including aid and development programs not reaching out to the population and vice a versa being considered as a source of corruption for central governments. In the last 2-3 years, the situation started to change, and have emerged EU programmes with direct focus upon LGs addressing the needs of local infrastructure. However, the involvement of the ALA in the policy dialogue related to the EU programming is still missing completely. Transparency of the programs also asks for some essential improvements as normally the ALA finds out about new EU programs only from mass media when they are already being decided and starting to be implemented.

The ALA has been known as an essential factor in the IPA programming process and information source for the EU programmes available for the LAs. The ALA has been full member of the programming and monitoring bodies of national IPA, as well as cross-border cooperation programmes from the beginning.

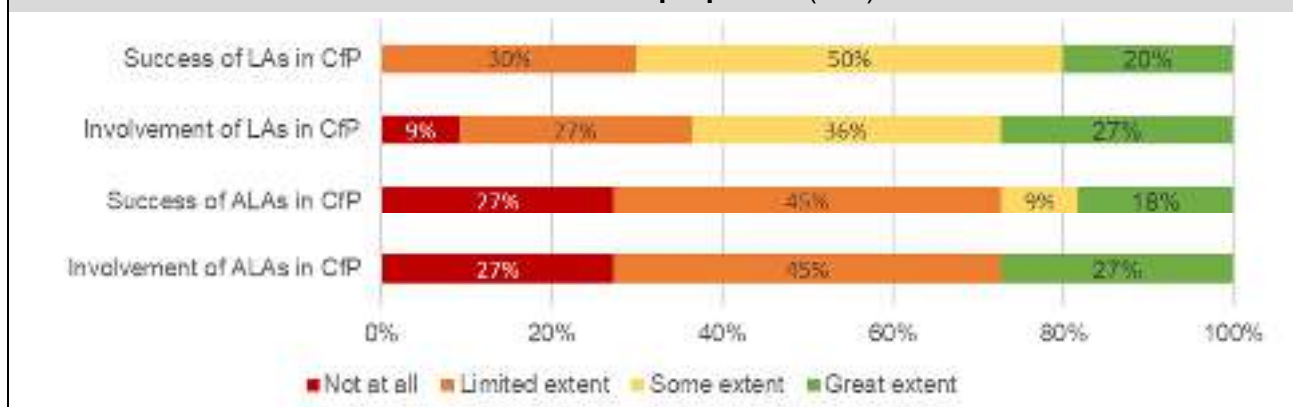
There is a systematic dialogue between LA and the EUD, all programs and policy documents are well consulted with central and local governments as well as with domestic CSOs.

2.2 Approach to implementation



Question 3 Call for proposals

Based on your experience, have local authorities (LAs) / associations of local authorities (ALAs) been **involved and been successful in call for proposals (CfP)**?



Note: for all variables, N = 11 respondents.

The share of positive answers for Q3 is:

- 70% for the success of LAs in CfP and 67% for their involvement in CfP;
- 27% for the involvement and success of LAs in CfP.

It is worth to mention that 72% of respondents consider the involvement and success of LAs in CfP as limited or non-existent.

The selection of qualitative answers provides further insights into respondents' opinions/perceptions and illustrate the different points of view existing among respondents:

First of all, there were very few if at all EU programs for LGs yet 2-3 years ago. Second, even though afterwards have emerged few important EU programs for LGs, on one hand majority of them are not coming via competitive bidding or via open calls, on the other hand, their number is still rather limited to cover all the needs. Third, talking about open calls - those are rather putting off LGs due to three main reasons - language too departed from realities and understanding of development in the developing countries, micromanagement and over-sophisticated demands at the application and implementation stages, co-financing radically diminishing any possibilities to apply for LGs apart may be for 4-5 biggest ones, while after the pandemic crisis even those will have significant troubles to apply as financial resources at their

own discretion with LGs are extremely limited even with the biggest among them. Besides co-financing is hardly fair when central governments never co-finance EU programs for the central level institutions.

Up to 25 LAs participated to CfP and 15 of them got funding from the EU, 11 municipalities were given grants by the Government under the framework of the Direct Budget Support from the EU (through Pilot Integrated regional development program). The ALA is also implementing projects financed by the EU.

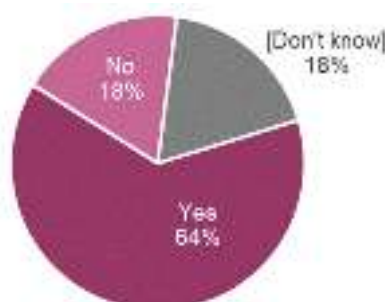
LAs are well informed about the possibilities to apply for CfP (especially by the ALA), but their success is limited with the lack of adequate capacities (human above all) for the preparation of the project proposals. Some of the LAs use external support for the preparation of the project proposals, particularly for the preparation of infrastructure proposals. One of the challenges is maturity of the project-technical documentation. The ALA has been involved and has been successful in CfP to the great extent due to the strong human and technical capacities, high quality of project management, financial management and result-orientation of project teams.

2.3 Coordination



Question 4 Donor working groups

Is your organisation engaged in any **donor working groups** that directly concern LAs and related core policy processes (e.g. dealing with the localisation of SDGs, regional policy or decentralisation reforms)?



Note: for all variables, N = 11 respondents.

The share of positive answers for Q4 is 64%.

The selection of qualitative answers provides further insights into respondents' opinions/perceptions and illustrate the different points of view existing among respondents:

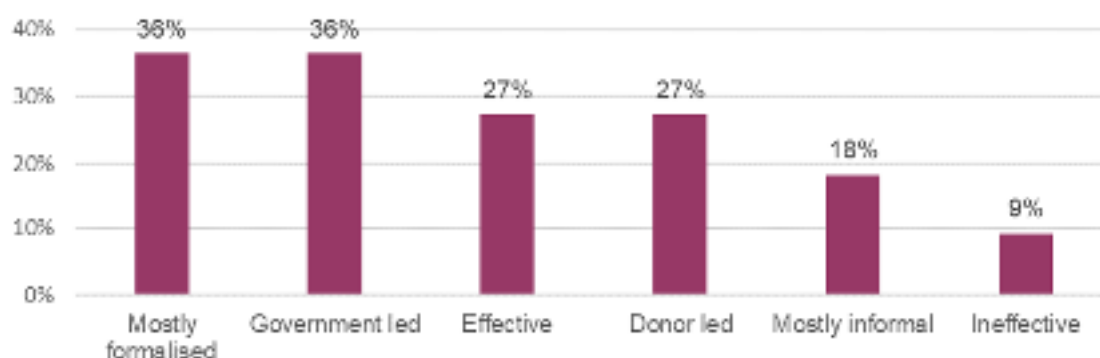
Donor working groups meet with state institutions but not with National ALAs.

We are part of the consultation group to the EUD to Georgia.

The ALA has a partnership with the Government and thus lobbies.

Question 5 Coordination among EU and partners

How would you characterise the **division of labour and coordination among EU and partners** - including domestic actors- on how to support local/territorial development and enable LAs?

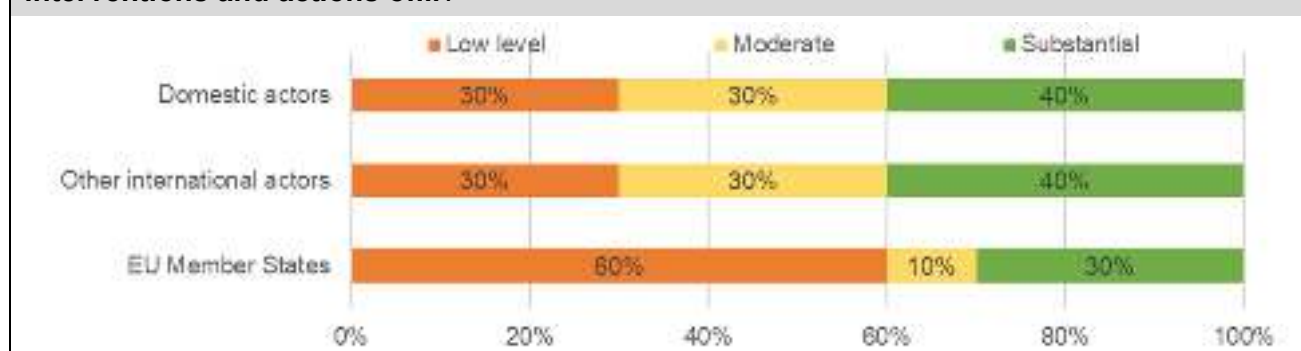


Note: for all variables, N = 11 respondents.

36% of respondents consider that division of labour and coordination among EU and partners is mostly formalised and government led whereas 27% consider it effective and donor led, 18% consider it mostly informal and 9% ineffective.

Question 6 Synergies

At what level would you say that there are **synergies between EU support to LAs and the interventions and actions of...**?



Note: for all variables, N varies between 10 and 11 respondents.

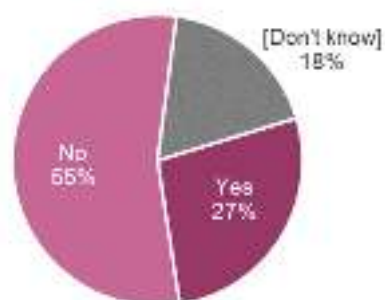
The selection of qualitative answers below provides further insights into respondents' opinions/perceptions and illustrate the different points of view existing among respondents:

The biggest problem is that donors and international organizations are trying to promote many issues which are rather far from the needs and realities of the developing countries. Quite often such approaches are often downgrading capacities for national development and are hardly listening if at all the local actors. For example, in many sectors and fields (justice, finance, solid waste, regionalization, social protection, education, public procurement, etc.) donors are inclined to promote centralization or rather centralized models of development leading to further consolidation of authoritarian trends in already heavily centralized and authoritarian developing societies.

Decentralised cooperation actions carried out by EU Member States' LAs are not necessarily considered in EU support programmes. EU support depends on synergies with national actors without considering the real needs of local authorities.

Question 7 Strategic relationship

Is there a **strategic relationship** - such as regularised contact or managing EU projects funding- in place between your organisation and the EU?

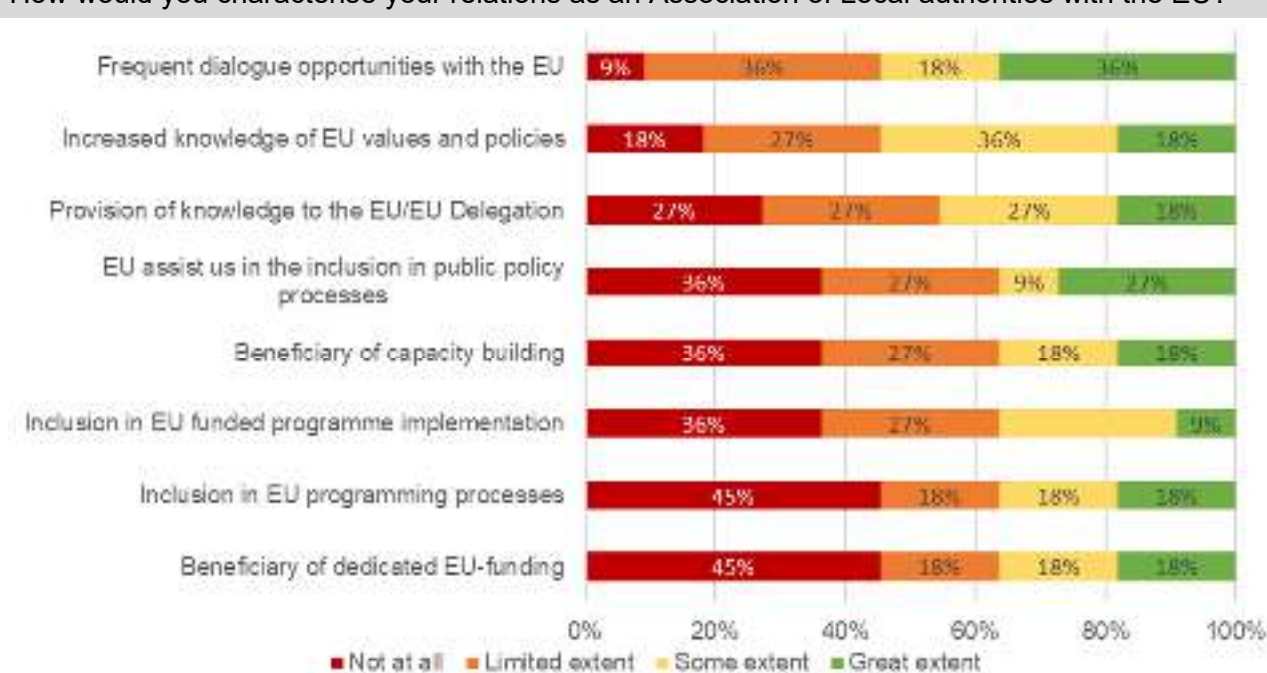


Note: for all variables, N = 11 respondents.

The share of positive answers for Q7 is 27%.

Question 8 ALAs-EU relations

How would you characterise your relations as an Association of Local authorities with the EU?



Note: for all variables, N = 11 respondents.

The share of positive answers for Q8 is:

- 55% for frequent dialogue opportunities with the EU;
- 55% for increased knowledge of EU values and policies;
- 55% for provision of knowledge (e.g. on decentralisation, local democracy, other local issues) to the EU/EU Delegation;
- 36% for EU assistance in the inclusion in public policy processes (e.g. national policy dialogue);
- 36% for capacity building;
- 36% for inclusion in EU funded programme implementation;
- 36% for inclusion in EU programming processes (e.g. planning new projects);
- 36% for the allocation of dedicated EU-funding to ALAs.

It is worth to mention that for 5 aspects of EUD-ALA relationship (out of 8), one third of respondents or more consider it as non-existent.

The selection of qualitative answers provides further insights into respondents' opinions/perceptions and illustrate the different points of view existing among respondents:

Since 2010, our only opportunity for dialogue with the EU has been in 2018-2019 for the development of a capacity strengthening project.

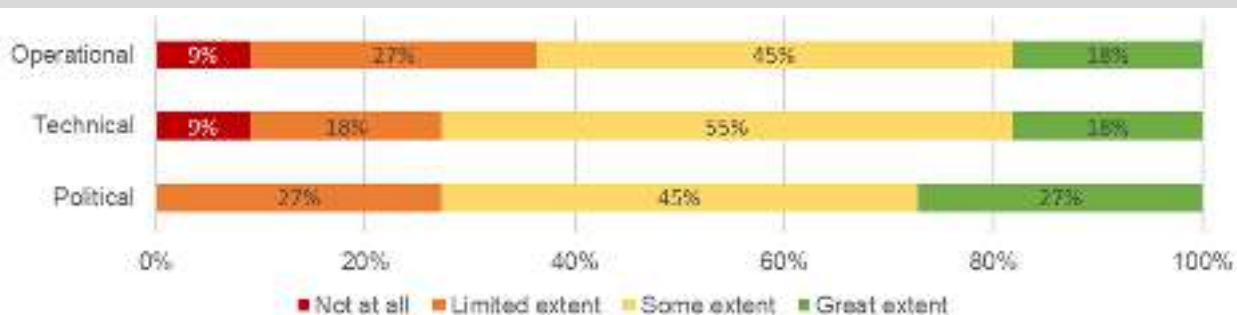
The ALA is part of CSO consultative platform to the EUD and is involved in many actions implemented by the EU.

The ALA provides active support which can help LSGs to improve further and deepen their cooperation with different international and European organisations, platforms, networks and initiatives of the LSGs. LSGs can join them on their own or through the ALA, which represents the interests of LSGs authorities. This includes cooperation with the Committee of the Regions of the European Union through the Joint Consultative Committee of the Committee of the Regions of the EU and the country, but also facilitation to use the Technical Assistance and Information Exchange instrument of the European Commission (TAIEX). The ALA also cooperates with the Council of Europe through the activities of the Congress of Local and Regional Authorities and several associations and networks of the LSGs from Europe, as well as implementing programmes in area of LAs development: the Council of European Municipalities and Regions (CEMR), the Network of Associations of Local Authorities of South-East Europe (NALAS), the European Association for Local Democracy (ALDA) and the European Cities of Culture Network (AVEC). Specialized networks include the Energy cities and the European Alliance of Cities and Regions for Roma Inclusion. Cooperation with the EU Delegation has been developing from the beginning, especially through programme Exchange which has been implemented by the ALA over the past 15 years, introducing EU practice and standards at local level.

We are members of all existing pan-European associations of LGs and via them we have diverse and multiple possibilities to dialogue with EU institutions in Brussels, though not in the country.

Question 9 EU added value compared to other donors' support

Based on your experience, to what extent has **EU support added value compared to other donors' support**, during the period 2010-2018?



Note: for all variables, N = 11 respondents.

The share of positive answers for Q9 is:

- 73% for its political weight, convening power and supranational nature;
- 73% for its technical expertise and knowledge its partners;
- 64% for its operational capacity, funding levels, long-term commitment.

It is worth to mention that for all aspects of EU support added value, more than a quarter of respondents consider it as limited or non-existent.

The selection of qualitative answers provides further insights into respondents' opinions/perceptions and illustrate the different points of view existing among respondents:

EU is more important as a political actor of guidance and support for democratic and development processes and democratic organizations including LAs and ALAs. It has quite limited capacities in understanding developing countries, of their priorities, needs and aspirations and hence at policy level in different fields. Normally it adjusts everything to EU realities or is trying to push countries to EU practices and this hardly ever works in totally different environment. EU support is more essential and more efficient in technical fields such as trade, technology, infrastructure, etc.

EU support to LAs has been the most important factor for accelerating development and growth. EU support more reflects the needs of LAs as it has been coordinated with LAs and ALAs. It encouraged more

intermunicipal cooperation, cooperation with other stakeholders such as CSOs and private sector in local community, as well as integration of horizontal topics such as environmental protection, vulnerable groups and rights based approach in general in LAs work.

The EU plays very important role. The EUD was an institution that facilitated dialogue between political actors on changes in the Constitution.

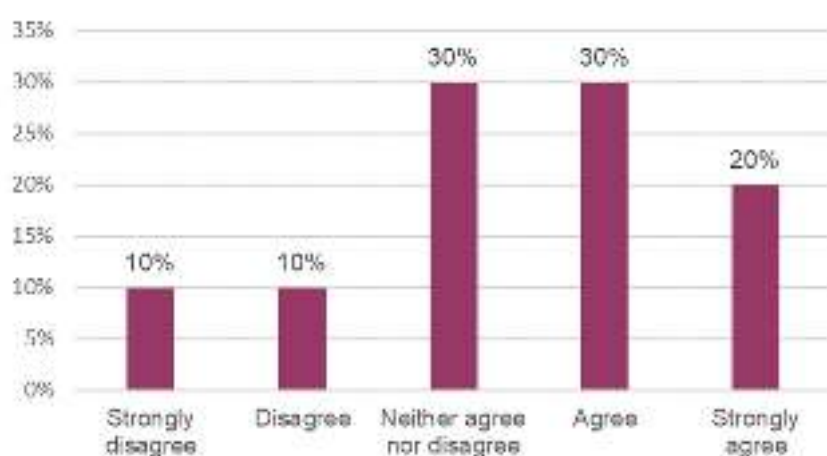
3 Responses - Effects of the EU support

3.1 LAs' enhanced engagement in development/accession processes and in EU external



Question 10 National framework for LAs

Based on your experience, to what extent has the **EU external action helped creating space** (e.g. enhanced the role of LAs in public policymaking) for ALAs and LAs?



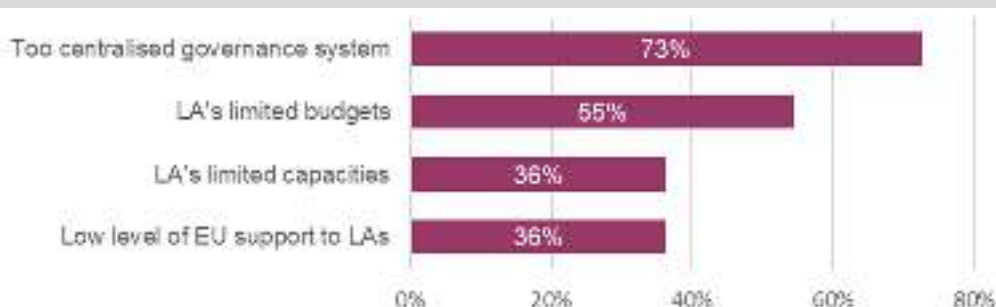
Note: for all variables, N = 10 respondents.

The share of positive answers for Q10 is 50%.

No specific comments were reported.

Question 11 Obstacles to ALAs and LAs involvement

What are the **most important obstacles** for giving ALAs and LAs a more prominent role and more space?



Note: for all variables, N = 11 respondents.

According to 73% of respondents, the most important obstacle is too centralised governance system, followed by LA's limited budgets (55% of respondents). LA's limited capacities and the low level of EU support to LAs were highlighted by one third of respondents.

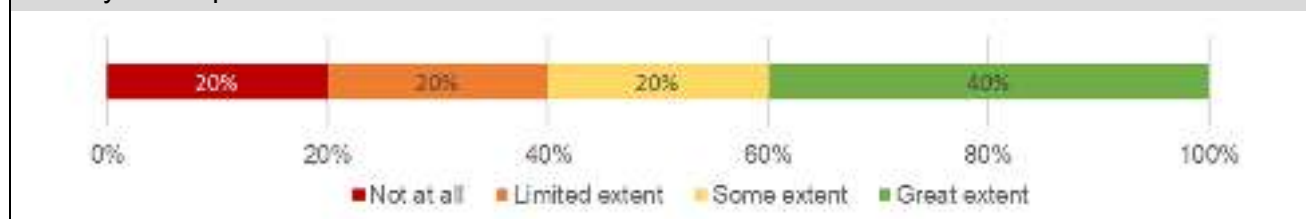
The selection of qualitative answers provides further insights into respondents' opinions/perceptions and illustrate the different points of view existing among respondents:

Although the IPA programming process has been inclusive regarding LAs' and ALA's needs, at the same time EU accession negotiation process was not so open to the needs of LAs or their representation. It is centralized and the negotiation structure existing at national level do not accept LAs or the ALA as a formal member with voting rights. The head of the specific accession negotiation group for specific chapter has discretion right to invite representative of an institution which can be important to the chapter to be an observer. Until now, the ALA has been included in working groups for negotiation of 3 chapters (chapter 19 - Social Policy and Employment, 22 - Regional Policy and Coordination of Structural Instruments, and 27 - Environmental and Climate Change), even if the ALA identified that 21 out of 35 chapters are essential for LAs. LAs solely do not have enough capacities and knowledge to represent the needs in these accession negotiation groups.

Support, promotion and protection of the constituency-based representative organizations such as ALAs as main advocates of local democracy, local autonomy and decentralization, main protectors of LAs and communities' rights and main capacity building agents for LGs is not perceived as important by EU. At the same time, due to the above mentioned capacities ALAs together with associated LAs normally are among the major strongholds of national democracy in the developing countries.

Question 12 Development needs identification

Based on your experience, to what extent has the EU relied on your organisation - or LAs - to better identify development needs?



Note: for all variables, N = 10 respondents.

The share of positive answers for Q12 is 60%.

The selection of qualitative answers provides further insights into respondents' opinions/perceptions and illustrate the different points of view existing among respondents:

Everything goes through central level. So, EU is identifying development needs with central institutions and this is a big obstacle. We do have a ministry that is administrating municipalities, and this is not in accordance with EU charter on Local Autonomy. So far, we had Ministry on EU integration that was a focal point for EUD to identify development needs. We hope that in the future this behaviour will be changed and that LAs and ALA, as their representative, will be involved in identifying development needs and capacity development needs.

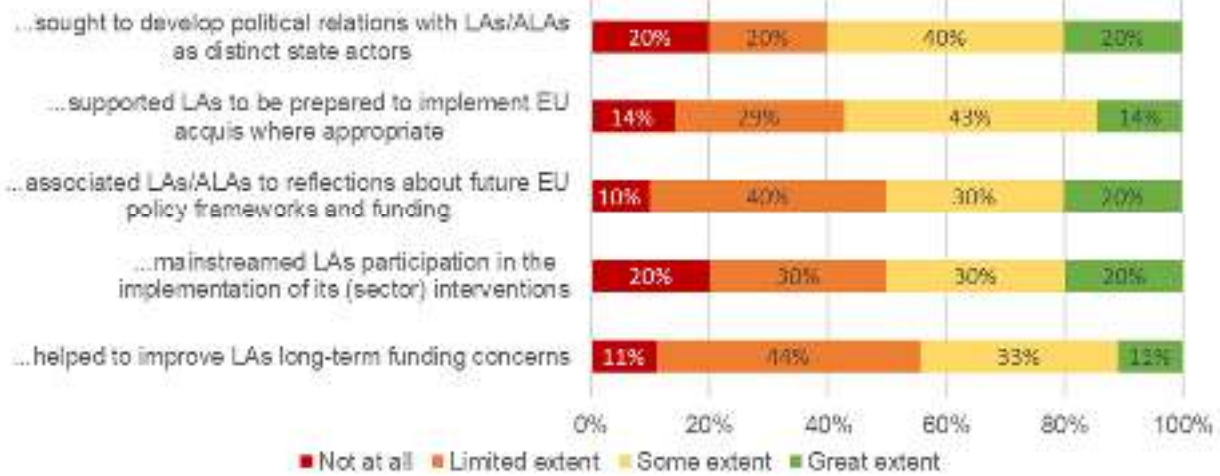
The ALA has been part of the programming process of EU financial assistance, providing information on LAs development needs identified through various methodologies implemented at local level.

The ALA is consulted under extremely rare but rather useful informal discussions.

Question 13 LAs as active partners

Based on your experience, how has the EU considered **LAs as active partners in development / enlargement processes** (if applicable) and in EU external action?

EU has...



Note: for all variables, N = 10 respondents (except for the label about EU acquis for which N = 7 respondents).

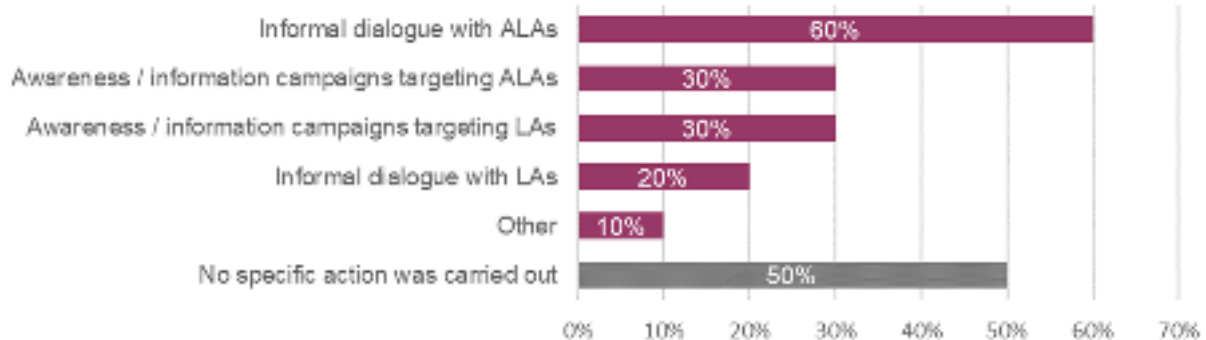
Regarding the share of positive answers for Q13:

- 60% of respondents consider that the EU has sought to develop political relations with LAs/ALAs as distinct state actors;
- 57% of respondents consider that the EU supported LAs to be prepared to implement EU acquis where appropriate;
- 50% of respondents consider that the EU associated LAs/ALAs to reflections about future EU policy frameworks and funding;
- 50% of respondents consider that the EU mainstreamed LAs participation in the implementation of its (sector) interventions;
- 44% of respondents consider that the EU helped to improve LAs long-term funding concerns.

It is worth to mention that for each label, at least 10% of respondent selected 'Not at all'.

Question 14 ALAs/LAs' improved knowledge of EU

Based on your experience, how has the **EUD improved knowledge of EU among ALAs/LAs?**



Which **type of information** was mainly shared by EU?



**EU-Accession requirements and the role of LAs in implementing the EU acquis*

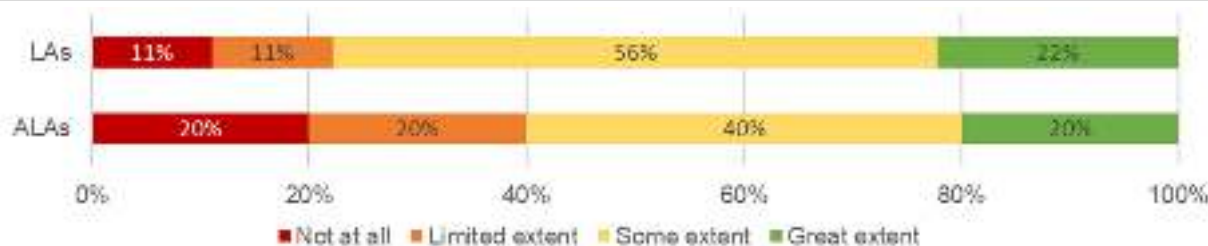
Note: for all variables in the first graph, N = 10 respondents. For all variables in the second the second graph, N = 5 respondents who previously stated that the EUD improved knowledge of EU among ALAs/LAs.

Both graphs reflect the responses to questions with multiple choices possible. As an example, 60% of respondents stated that the EUD improved knowledge of EU among ALAs through informal dialogue with them. And all respondents stated that the EUD mainly shared information about EU values and policies.

In the first graph, the other 'channel' to improve knowledge of EU was through a formal consultation between the EUD and ALA/LA and CSOs.

Question 15 Citizens' improved knowledge of EU

Based on your experience, do you - or LAs - communicate to citizens the benefits of engaging with the EU (including the results of EU programmes)?



Note: for all variables, N = 10 respondents.

The share of positive answers for Q15 is 78% for LAs and 60% for ALAs.

The selection of qualitative answers provides further insights into respondents' opinions/perceptions and illustrate the different points of view existing among respondents:

First of all, such benefits for LAs can be seen only during last 2-3 years, while before that as it was mentioned already there were almost none at all programs for LAs. Second, the overall effects of the EU support were quite questioned by society (though not by LAs or ALA) because of arising democracy threats after years and years of donors support.

LAs have limited human resources for communication to citizens on the EU topics. Establishing EU officers in LAs who, among other obligations, ought to communicate EU values and benefits towards citizens, is in the beginning. LAs promote benefits of the EU towards citizens on different occasions (project results promotion, EU events organisation) by decision-makers and local employees. The ALA developed different tools for supporting LAs in addressing this communication - Manual for communication on EU issues with citizens, trainings for LAs PRs, supporting the organisation of different EU events by LAs (EU local democracy week, EU mobility week), workshops, lectures.

We do not have direct contact with citizens, but we inform the LAs in our network of the programmes launched by the EU that may concern them.

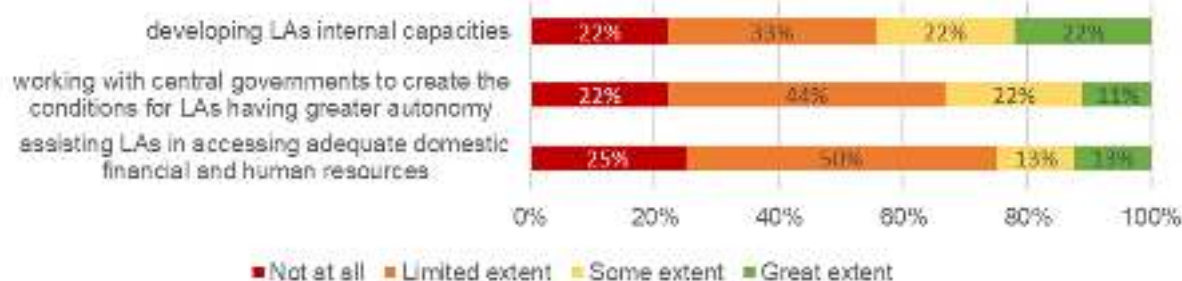
Since we did not have any cooperation with EU during this period of time, we did not know how to communicate about benefits of our ALA towards our members. Nevertheless, we, as ALA, are strongly supported by Swiss Development Cooperation, Swedish International Development Agency (SIDA), German GiZ, UNDP, USAID projects, UNHABITAT, OSCE etc.

3.2 LAs' empowerment and capacities



Question 16 Economic and political empowerment

Based on your experience, how has EU support contributed to **empowering LAs economically and politically** between 2010 and 2018?



Note: for all variables, N = 10 respondents.

The share of positive answers for Q16 is:

- 44% for developing LAs internal capacities (planning, financial and human resource management);
- 33% for working with central governments to create the conditions for LAs having greater autonomy;
- 25% for assisting LAs in accessing adequate domestic financial and human resources, meaning that 75% of respondents consider EU contribution as limited or non-existent.

For each label, around a quarter of respondents consider that EU did not contribute at all to empowering LAs economically and politically between 2010 and 2018.

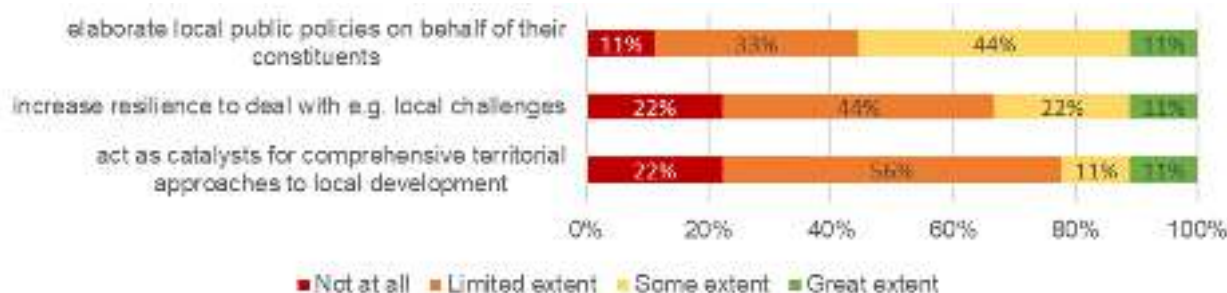
The selection of qualitative answers provides further insights into respondents' opinions/perceptions and illustrate the different points of view existing among respondents:

As it was mentioned already in no feasible way EU has supported LAs or ALAs before 2015-2016. After that important but rather limited on the national scale support started to materialize. Especially useful are the projects in local infrastructure. Many of those initiatives are continuing to be implemented and yet will be evaluated in the future.

Number of programmes implemented by the ALA or in partnership with the ALA supported reform of the local government system and decentralization, improving the status of local employees, developing HR function in LAs and developing planning processes and financial capacities and resources.

Question 17 Partnerships

Based on your experience, would you say that EU-supported programmes helped LAs to...



Note: for all variables, N = 10 respondents.

The share of positive answers for Q17 is:

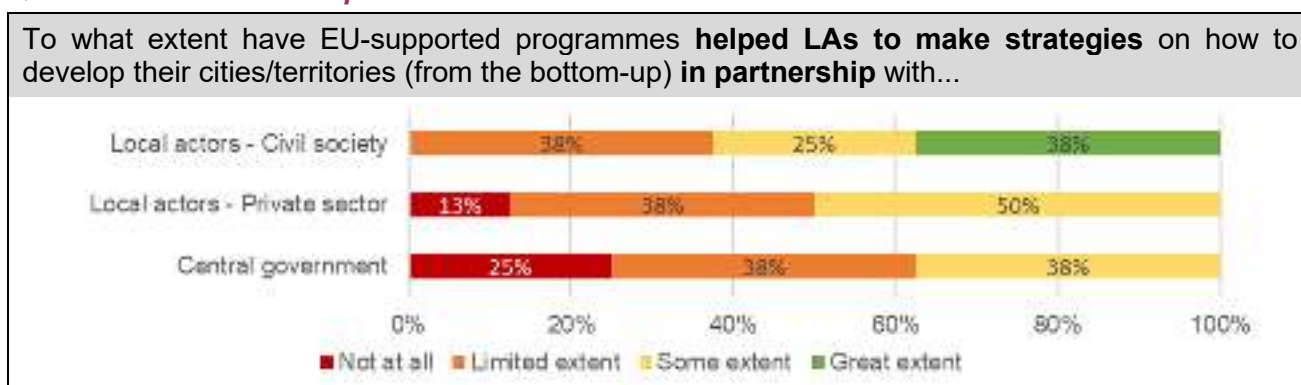
- 55% for the elaboration of local public policies on behalf of their constituents;

- 33% for increased resilience to deal with e.g. local challenges;
- 22% for their enhanced role as catalysts for comprehensive territorial approaches to local development.

For each label, at least 44% of respondents consider EU contribution as limited or non-existent. The most negative perceptions concern LAs' capacity to act as catalysts for comprehensive TALD, with more than half of respondents answering that EU contribution in this regard is limited (and 22% answering that is non-existent).

No specific comments were reported.

Question 18 Partnerships



Note: for all variables, N = 10 respondents.

The share of positive answers for Q18 is:

- 63% for civil society;
- 50% for private sector;
- 38% for central government.

It is worth to mention that no respondent selected 'Great extent' regarding the extent to which EU-supported programmes helped LAs to make strategies in partnership with private sector and central government.

The selection of qualitative answers provides further insights into respondents' opinions/perceptions and illustrate the different points of view existing among respondents:

Principle of participation is to some extent respected when they have been drafting strategic or action plans (e.g. Environmental strategy, Rural development strategy, etc.) supported by EU programmes. Sometimes, representatives of the CSOs and private sector are included as a member of the working groups. Most of the key local actors directly or indirectly participated in the consultation process via public debates, hearings surveys. However, it can be observed that during the implementation period they are excluded, and LSGs did not provide them with the information on the implementation progress or what strategic priorities have been realized and what has been the effect of the implemented activities.

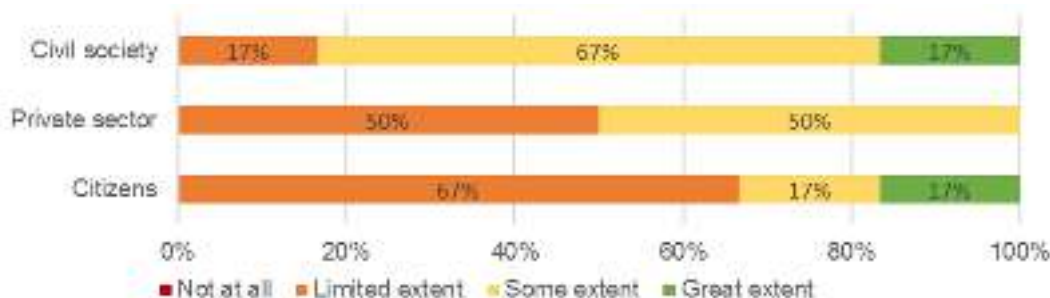
Unfortunately, strategies hardly work when there are so many strategies in each and every field, at each and every level, at all local authorities' level. And none of them are really working due to a lack of funding at triple local, national and international levels (from international partners).

3.3 Accountability, participation and local democracy



Question 19 Involvement in the management of local public affairs

Based on your experience, to what extent has EU helped the following group of actors to have a stronger voice in the management of local public affairs?



Note: for all variables, N = 10 respondents.

The share of positive answers for Q19 is:

- 84% for civil society;
- 50% for private sector;
- 34% for citizens (with 67% of respondents considering EU contribution as limited).

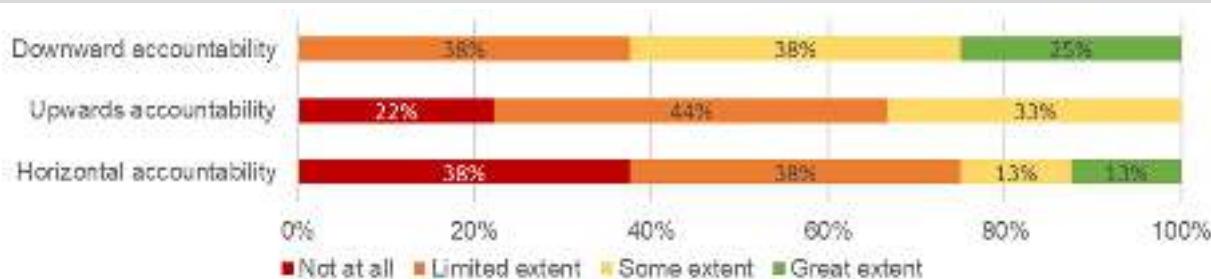
The selection of qualitative answers provides further insights into respondents' opinions/perceptions and illustrate the different points of view existing among respondents:

Involvement of these stakeholders in preparation of strategic and action documents at local level, as project partners for preparation and implementation of projects, in creation of different consultative inter-sector bodies (such as business councils, security councils, gender equality commission, etc.) contributed to the changes in perception of LAs regarding inclusion of different voices in these processes.

We are not aware of any EU projects involving citizens, civil society or the private sector.

Question 20 Accountability

Based on your experience, to what extent has EU have contributed to strengthening...



Note: for all variables, N = 10 respondents.

The share of positive answers for Q20 is:

- 63% for downward accountability by increasing access to information and deepening engagement with citizens (and their representatives), local media and CSOs;
- 33% for upwards accountability by strengthening LAs links with, and, oversight by, central authorities;
- 25% for horizontal accountability by strengthening mutual scrutiny and local governance between the local public administration, local politicians and other local authorities.

38% of respondents consider EU contribution to strengthened horizontal accountability as non-existent and 22% of respondents have the same perception of EU contribution to upward accountability.

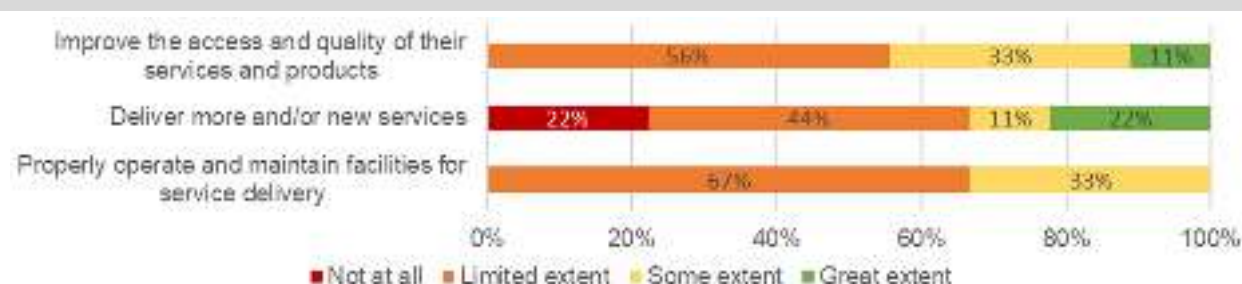
No specific comments were reported.

3.4 Service delivery and response to local challenges



Question 21 LAs capacity to deliver service

Based on your experience, to what extent have EU-supported actions have increased LAs capacity to...



Note: for all variables, N = 10 respondents.

The share of positive answers for Q21 is:

- 44% for the improvement of the access and quality of LAs' services and products;
- 33% for the delivery of more and/or new services;
- 33% for the operation and maintenance of facilities for service delivery.

For each label, more than half of respondents consider EU contribution as limited or non-existent.

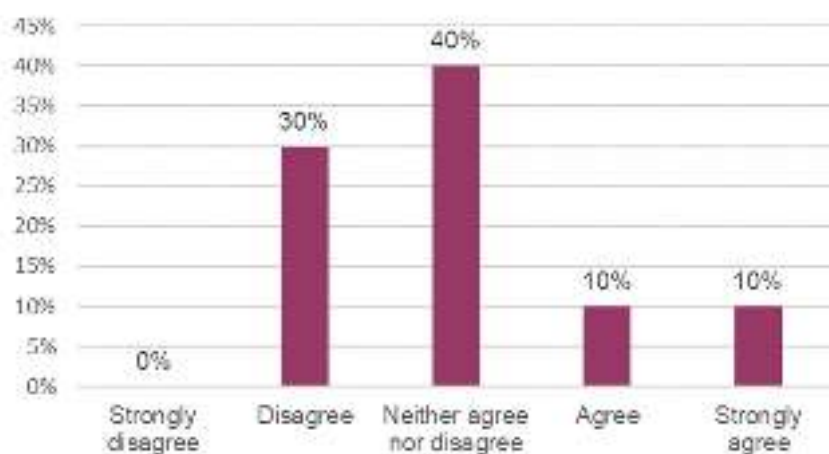
The selection of qualitative answers provides further insights into respondents' opinions/perceptions and illustrate the different points of view existing among respondents:

Many new services in area of social protection or communal area have been introduced or existing improved. Access and quality of services were also raised. The main challenge for LAs is to maintain these services and their quality after project funding to secure funds and human capacities for service delivery and operation of facilities.

The vast majority of projects are so called "soft" projects.

Question 22 Obstacles to LA mainstreaming

Based on your experience, would you say that, with EU support, **LAs have the capacity to respond or responded adequately to (emerging) local challenges** (e.g. climate change, inequality, migration flows, food production, security, floods, etc.)?



Note: N = 10 respondents.

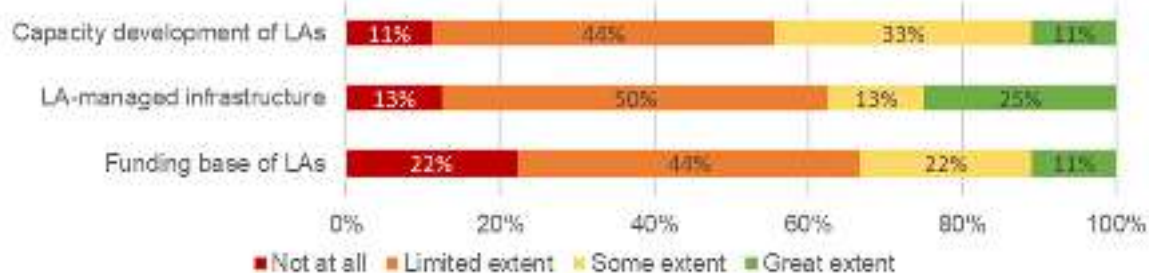
The share of positive answers for Q22 is 20%.

The selection of qualitative answers provides further insights into respondents' opinions/perceptions and illustrate the different points of view existing among respondents:

Respond of LAs to these challenges often depend on the whole coordination which is done by national level. Even with the EU support, LAs cannot adequately respond to these challenges if they depend on the decision of national level.

Question 23 Sustainability

Based on your experience, to what extent are the following aspects of EU support **sustainable**?



Note: for all variables, N = 10 respondents.

The share of positive answers for Q23 is:

- 44% for capacity development of LAs;
- 38% for LA-managed infrastructure (e.g. roads, buildings & utilities);
- 33% for the funding base of LAs.

For each label, more than half of respondents consider EU contribution as limited or non-existent. No specific comments were reported.

3.5 Lessons learnt

The overall number of qualitative answers do not permit to identify trends but:

- Investments in local infrastructure, capacity building and the involvement of ALAs in programming and monitoring processes were indicated as **success factors**; and

- Centralization and imposing centralized models in different sectors as well as lack of support to and dialogue with ALAs were indicated as **hindering factors** of EU support to LAs.

3.6 Final remarks

Here are some final remarks concerning EU support to LAs:

Our overall remark is that EU contribution and support was successful and additional improvement could be made through fine tuning of instruments which would strengthen capacities and resources of LAs for better use of EU support and to make its results sustainable.

The EU should tend to apply more intensively the 'more for more' principle.

Annex 4: List of persons consulted

Name	Unit/Sub-Entity	Position
EC & EEAS-HQ		
Felix Fernandez-Shaw	DG DEVCO	Director
Chantal Marijnissen	DG DEVCO C2	Head of Unit
Philip Sauerbaum	DG DEVCO C5	Policy officer
Eric Beaume	DG DEVCO G3 (Formerly DEVCO C5)	Deputy Head of Unit
Anka Schuster	DG NEAR	International Aid and Cooperation Officer
Carolina Lasso-Navarro	DG NEAR A1	Policy Officer
Wolfgang Nozar	DG NEAR A1	Deputy Head of Unit Coordination Officer and Negotiator
Ritva Heikkinen	DG NEAR A3	Team Leader
Inma Perez Rocha	DG NEAR A3	Policy officer
Damien Ruggeri	DG NEAR A3	Policy officer
Bernard Brunet	DG NEAR A5 (Turkey)	Head of unit
Cyril Dewaleyne	DG NEAR B2	Program Manager
Talander Jansen	DG NEAR B2	Programme Manager
Viola Calabrese	DG NEAR C1	Programme Officer, Municipal Development & Digital Economy
Lucien Jega	DG NEAR C1	Programme assistant
Alexander Voll	DG NEAR C1	Policy Officer
Iva Babic	DG NEAR C3	Project officer
Helen Larsson	DG NEAR C3	Team Leader
Silvio Lazzari	DG NEAR C5	Policy Assistant, Local Authorities
Marc Jorna	DG NEAR D1	Senior Expert Western Balkans Horizontal policy
David Cullen	DG NEAR D3	Head of Unit
Tanja Dimitrova	DG NEAR D5	Policy officer
Maite Martin	DG NEAR D5	Team Leader
Andrew Williams	DG REFORM	Policy Officer
EU Delegations		
Orlando Fusco	EEAS Albania	Programme Manager
Irakli Khmaladze	EEAS Georgia	Project Manager, Economics, Regional Development and Public Finance
Andrej Bartosiewicz	EEAS Georgia	Project Manager, Biomass Energy Project
Alexandre Darras	EEAS Georgia	Project Manager, Kutaisi Wastewater project
Michele Pierpaoli	EEAS Lebanon	Project Manager, Water & Wastewater Affairs
Gianandrea Villa	EEAS Lebanon	Project Manager, Local Governance and Local Authorities (Focal point for the evaluation)
Olivier Boudart	EEAS Lebanon	Attaché, Environmental Affairs
Briac Deffobis	EEAS Morocco	Head of Section, Social sectors and Rural and Territorial Development
Philippe Lebussey	EEAS Morocco	Programme Manager in charge of the PADT programme (formerly in charge of DRIN and INDH)
Jacques Legros	EEAS Morocco	Head of section, Environment
Jean-François Moret	EEAS Morocco	Programme manager, Economic Competitiveness, Environment & Infrastructure
Sandrine Beauchamp	EEAS Morocco	Programme Manager
Séverin Strohal	EEAS Morocco	Head of Section, Governance and Civil Society

Agnès Bertholier	EEAS Morocco	Programme Manager, Governance and Civil Society
Said Dahraoui	EEAS Morocco	Programme Manager, Governance and Civil Society
Silvia Favret	EEAS Morocco	Programme Manager
Hikmat El Farjani	EEAS Morocco	Programme Manager
Laetitia Graux	EEAS Morocco	Programme manager, Literacy, Youth, Higher Education and Research
Ghizlane Ratbi	EEAS Morocco	Focal point for the evaluation
Karl Giacinti	EEAS North Macedonia	Programme Manager
Prodanova Donka	EEAS North Macedonia	EVA Manager
Dimitar Malinovski	EEAS North Macedonia	Project Manager
Irena Ivanova	EEAS North Macedonia	Project Manager, Support to CSO
Kus-Ivanova Katerina	EEAS North Macedonia	Project Manager WBIF
Elvis Ali	EEAS North Macedonia	CBC Project Manager
Ruzica Andronikova	EEAS North Macedonia	Programme Manager
Bojan Zivadinovic	EEAS Serbia	Focal point for the evaluation
Danka Bogetic	EEAS Serbia	Project Manager
Ana Stankovic	EEAS Serbia	Project Manager
Valentina Di Sebastiano	EEAS Serbia	Project Manager
Ekmel Cizmecioglu	EEAS Serbia	Project Manager
Alexandra Pesch	EEAS Serbia	Project Manager
Mirjana Maksimovic	EEAS Serbia	Project Manager
Jean-Pierre Sacaze	EEAS Tunisia	Head of Section, Environment
Fatma Moussa	EEAS Tunisia	In charge of programmes on decentralisation, local governance and LAs
Mario Varrente	EEAS Tunisia	Head of the Section, Governance
Simone Raudino	EEAS Ukraine	Sector Manager, Economic, Trade and International Financial Cooperation
Benedikt Herrmann	EEAS Ukraine	First Secretary, Policy Officer for Decentralisation and Sectoral Reform
Iryna Hubarets	EEAS Ukraine	Sector Manager, Competition and Economic Cooperation
Raudino Simone	EEAS Ukraine	Sector Manager, Economic, Trade and International Financial Cooperation
Andriy Bandura	EEAS Ukraine	Sector Manager, Energy- Gas related issues and Nuclear Safety
Sergiy Ladnyy	EEAS Ukraine	Projects Manager, notably EU4PAR
Benedikt Herrmann	EEAS Ukraine	First Secretary
Natalia Starostenko	EEAS Ukraine	Sector Manager, Local development
Mira Didukh	EEAS Ukraine	CBA Manager
Local authorities		
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Natalia Kakabadze	(Georgia) Bolnisi Municipality	Project Manager, 'Establishing a platform for efficient flow of business activities in Bolnisi'
Marta Bibilashvili	(Georgia) Gori Municipality	Project Manager, 'Empowering Local Economic Opportunities for Sustainable Growth'
Konstantine Tavzarashvili	(Georgia) Gori Municipality	Mayor
Lasha Khmaladze	(Georgia) Gori Municipality	Head of Department
Nino Gvasalia	(Georgia) Poti Municipality	Project Manager and Advisor to the Mayor on Infrastructural Issues
Sandro Kandelaki	(Georgia) Tbilisi City Municipality	Project Manager, 'Creating Business Accelerator for sustainable SME development'
Davit Begiashvili	(Georgia) Telavi municipality	Deputy Mayor, Co-applicant for Biomass Energy and Energy Efficient Technologies project

Giorgi Tavberidze	(Georgia) Telavi municipality	Head of the Economic Development & Property Management Department, Co-applicant for Biomass Energy and Energy Efficient Technologies project
Georges Youssef	(Lebanon) Municipalité de Menjès	President
Ali Moussa	(Lebanon) Municipality of Fneideq (North Lebanon)	Vice President
Basel El Hajj	(Lebanon) Municipality of Tripoli (North Lebanon)	Head of the Local Development Committee
Khaled Woley	(Lebanon) Municipality of Tripoli (North Lebanon)	Vice President
Taghrid Merehby	(Lebanon) Municipality of Tripoli (North Lebanon)	Local Development Officer
Roger Ashi	(Lebanon) Union of Municipalities of Haut Chouf (Mount Lebanon)	Mayor and President of UoM
Abdallah Abdelwahab	(Lebanon) Union of Municipalities of al Fayha	Director of UoM
Mohamed Sefiani	(Morocco) Commune Urbaine de Chefchaouen	Mayor
Khalid Morjane	(Morocco) Région Béni Mellal-Khénifra	Managing Director of Services
Najjari Miloud	(Morocco) Région de l'Oriental	Managing Director of Services
Dean Stojanov	(North Macedonia) Municipality of Veles	Head of Sector
Ace Kocevski	(North Macedonia) Municipality of Veles	Mayor
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Zhika Stojanovski	(North Macedonia) Municipality of Ilinden	Mayor
Blagoj Bochvarski	(North Macedonia) Municipality of Shtip	Mayor
Faruk Suljevic	(Serbia) Novi Pazar	Local Economic Development Office
Dragan Nikolić	(Serbia) Sabac	Member of the City Council
Violeta Šestić	(Serbia) Sabac	Head of Local Economic Development Office
Ana Marinković	(Serbia) Sabac	Advisor for development projects with LED Office
Katarina Krnić	(Serbia) Svilanjac	Head of Sector for Investments
Slađana Nedeljkovic	(Serbia) Svilanjac	Head of Accounting
Saša Mladenović	(Serbia) Leskovac	Head of Department for Public Affairs and LED
Maja Kocić	(Serbia) Leskovac	LED Office representative
Đorđe Stanković	(Serbia) Leskovac	LED Office representative
Dejan Jovanovic	(Serbia) JCC CoR	Co-chair of the JCC between Serbia and the CoR
Rober Fejstamer	(Serbia) Kanjiza municipality	President of the Municipality, Representative in the Congress of LRAs, Deputy Member of the JCC between Serbia and the CoR
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Béchir Odeimi	(Lebanon) Cités Unies Liban / Bureau Technique des Villes Libanaises	President
Ducisa Perisic	(North Macedonia) Association of the Units of the Local Self-Government (ZELS)	Director
Kelmend Zajazi	(North Macedonia) Network of Associations of Local Authorities in South-East Europe (NALAS)	Executive Director
Nikola Tarbuk	(Serbia) Standing Conference on Towns and Municipalities	Deputy Secretary General for Advocacy
Aleksandra Vukmirovic	(Serbia) Standing Conference on Towns and Municipalities	Head of Department for EU Integration and International Cooperation, Secretary of the Serbian national delegation in the Congress of LRAs
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Civil Society Organisations		
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Halyna Bolyukh	(Ukraine) Agricultural Service Cooperative 'Rador', Radisne village, Krasyliv rayon, Khmelnytska oblast	Head of Agricultural Service Cooperative (CBA Project)
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Neil Clarke	(Ukraine) Minority Rights Group Europe	Managing Director and Head of Europe & Central Asia Programmes
Other Development Partners		
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Anne-Lucie Lefebvre	(Morocco) World Bank	Senior Public Sector Specialist
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Chaymae B	(Morocco) World Bank	Political Economy Specialist
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Petar Vasilev	(Serbia) Swiss EDA	National Programme Officer for Governance
Todd Andrews	(Serbia) USAID	Program Strategy and Coordination Office Director
Shanley Pinchotti	(Serbia) USAID	Director of the Office of Democratic Governance and Economic Growth
Ivan Vukojevic	(Serbia) USAID	Deputy Director, Program Strategy and Coordination Office
Snežana Vojčić	(Serbia) SIDA	Programme Officer
Zeljka Topalovic	(Serbia) UNDP	Programme Analyst, Good Governance
Ana Radojevic	(Serbia) UNDP	Project Assistant
Natasa Protic	(Serbia) UNDP	Programme Associate
Olena Ruditch	(Ukraine) UNDP	Programme Coordinator, Local Governance and Decentralisation Reform, Recovery and Peacebuilding Programme, (CBA Project).
Iryna Boiko	(Ukraine) UNDP	Regional coordinator in Volyn oblast (CBA Project)
Marat Kyurchevsky	(Ukraine) USAID	Project Management Specialist
Susanna Dellans	(Ukraine) SIDA	Programme Director for U-LEAD with Europe, Improved Administrative Service Delivery
EU member states		
Ramy SALIBA	(Lebanon) AFD	Responsible of Infrastructure Section
Mathieur Artiguenave	(Morocco) AFD	Project Manager
Alexander Proehl	(Morocco) GIZ	Programme manager
Silke Nikolay	(Morocco) GIZ	Head of Programme
Bastian Veigel	(Ukraine) GIZ	GIZ Programme Director of U-LEAD with Europe
Cecilia Chroona	(Ukraine) Embassy of Sweden	Counsellor and Head of Reform Cooperation
Other EU institutions		
Tatiana Dimitrova	CoR, CIVEX	Policy officer
Petri Mirala	CoR, CIVEX	Policy officer
Jatin Seejore	(Georgia) EIB	Head of Unit Public Sector, Project Manager
Rugile Handley	(Georgia) EIB	Head of Blending Unit - International Relations and Enlargement
Aleksandre Bakhtamayan	(Georgia) EIB	Public investment and TA in EaP countries
Hervé Guénassia	(Morocco) EIB	Country Lead
Anna Barone	(Morocco) EIB	Head of Representation
Other stakeholders		
Marité Moras	CoE, Co-operation and External Relations	Head of unit
Aleksandar Jovanovic	CoE	Programme Manager
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Zvuad Archvadze	(Georgia) Mayors for Economic Growth	Country Coordinator for Azerbaijan and Georgia for the
Julia Dzingailo	(Georgia) Mayors for Economic Growth	Regional Coordinator/Communications Manager
Klaus Richter Marku Bardhyl	(North Macedonia) B&S Europe	Preparatory Actions for IPA 2020 Municipal Support Programme
Naguib Amin	Clima-Med	Clima-Med, Team leader

External consultants	Clima-Med / Human Dynamics	Clima-Med Coordinator (formerly involved in CES-MED)
Oussama Kaassamani	Clima-Med	Clima-Med, Local Sustainable Development Specialist
Branko Mikasinovic	(Serbia) EPTISA	Project Director
Jorge Rodriguez	(Morocco) Consultant	TA linked to the Ettamkeen programme
Rachid Karroum	(Morocco) Consultant	TA linked to the Ettamkeen programme
Alfonso Garcia	Independent	Consultant
Carl Wright	PLATFORMA	Consultant (formerly SG for CLGF)
Olivier Baumard	PLATFORMA	Project officer

Annex 5: List of documents consulted

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1.3.1 ENI

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- European Parliament (2018): EP Resolution of 29 November 2018 on the 2018 Progress Report on the former Yugoslav Republic of Macedonia. 2018/2145(INI).
- European Parliament (2014): EP Resolution of 27 November 2014 on Serbia: the case of accused war criminal Šešelj. 2014/2970(RSP).
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- European Parliament (2017): EP Resolution of 14 June 2017 on the 2016 Commission Report on Serbia. 2016/2311(INI).
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1.4 Policy documents with a thematic focus

- European Commission (2008): COM(2008) 626 Local authorities: actors for development
- European Commission (2012): COM(2012) 492 final The roots of democracy and sustainable development: Europe's engagement with Civil Society in external relations
- European Commission (2013): COM(2013) 280 final Empowering LAs in partner countries for enhanced governance & more effective development outcomes
- European Commission (2014): COM(2014) 490 final The Urban Dimension of EU Policies – Key Features of an EU Urban Agenda
- European Commission (2016): Tools & Methods series - Reference document n° 23: Supporting Decentralisation, local governance and local development through a territorial approach

- European Commission (2018): SWD (2018) 269 final European Union (EU) cooperation with cities and local authorities in third countries
- European Committee of the Regions (2012): Opinion, Global Europe: a new approach to financing EU external action. CIVEX-V-032
- European Committee of the Regions (2013): Opinion, Empowering local authorities in partner countries for enhanced governance and more effective development outcomes. CIVEX-V-041
- European Committee of the Regions (2013): Opinion, Devolution in the European Union and the place for local and regional self-government in EU policy making and delivery. CIVEX-V-034
- European Committee of the Regions (2015): Opinion, Enlargement Strategy and Main Challenges 2014-2015. CIVEX-VI/002
- European Committee of the Regions (2015): Opinion, EU Enlargement Strategy 2015-2016. CIVEX-VI/008.
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- European Committee of the Regions (2018): Opinion, Enlargement Package 2018. CIVEX-VI/033.
- European Committee of the Regions (2018): Opinion, Neighbourhood and the World. CIVEX-VI/038

1.5 Other documents

- Court of Auditors (2010): Annual Report on the activities funded by the eighth, ninth and tenth European Development Funds (EDFs).
- Court of Auditors (2010): Annual Report concerning the financial year 2009.
- Court of Auditors (2010): Corrigendum to Annual Report of the Court of Auditors on the implementation of the budget concerning the financial year 2009.
- Court of Auditors (2011): Annual Report on the activities funded by the 8th, 9th and 10th European Development Funds (EDFs).
- Court of Auditors (2011): Annual Report concerning the financial year 2010.
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- Court of Auditors (2013): Annual Report on the activities funded by the eighth, ninth and 10th European Development Funds (EDFs).
- Court of Auditors (2013): Annual Report concerning the financial year 2012.
- Court of Auditors (2014): 2013 EU audit in brief. Introducing the 2013 annual reports of the European Court of Auditors.
- Court of Auditors (2014): Annual Report concerning the financial year 2013.
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- Court of Auditors (2018): 2017 EU audit in brief. Introducing the 2017 annual reports of the European Court of Auditors.
- Court of Auditors (2018): Annual Report concerning the financial year 2017.
- European Committee of the Regions (2012): EU financial assistance available to local and regional authorities in Eastern Partnership countries. ISBN: 978-92-895-0615-1
- European Committee of the Regions (2012): The EU funds available for Local and Regional Authorities from the Southern and Eastern Mediterranean countries ISBN: 978-92-895-0654-0
- European Committee of the Regions (2013): A roadmap to reform in public administration, fiscal decentralisation and territorial cooperation. ISBN 978-92-895-0755-4
- European Committee of the Regions (2014): The efficient use of funds for local and regional authorities under the IPA-II regulation. ISBN: 978-92-895-0796-7
- European Committee of the Regions (2016): Review of the European Neighbourhood Policy. CIVEX-VI/011.
- European Committee of the Regions (2018): Eastern Partnership deliverables for 2020: The contribution of local and regional authorities. CIVEX-VI/030.
- European Committee of the Regions (2018): Enlargement: The inclusion of Western Balkan local and regional authorities in the EU's macro-regional, cross-border and other transnational cooperation initiatives. CIVEX-VI/032.
- European Committee of the Regions (2018): EU financial assistance available to local and regional authorities in the candidate and potential candidate countries for EU Enlargement.
- UN (2015): Transforming our world: the 2030 Agenda for Sustainable Development. A/RES/70/1

EU support (geographical)

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1.6 Evaluations with a geographic focus

1.6.1 ENI

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- European Commission (2014) : Evaluation des opérations d'appui budgétaire au Maroc .
- European Commission (2014): Evaluation of the European Union's Cooperation with occupied Palestinian territory & support to the Palestinian people .
- European Commission (2014): Eval of the Eastern Partnership Youth in Action Window.
- European Commission (2015): Evaluation of information and communication activities towards the EU Member States in the area of EU Enlargement.
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- European Commission (2015): Evaluation of information and communication activities towards the EU Member States in the area of EU Enlargement Annexes 2.
- European Commission (2016): Thematic Evaluation on Support to Economic Governance in Enlargement and Neighbourhood Countries.
- European Commission (2016): Evaluation on support to SME Competitiveness in Enlargement and Neighbourhood Countries .
- European Commission (2018): Ex-post Evaluation of 2007-2013 ENPI CBC Programmes.

- European Commission (2017): External Evaluation of the European Neighbourhood Instrument (ENI) (2014 – mid 2017).
- European Commission (2017): Evaluation of the European Union's Cooperation with Azerbaijan .
- European Commission (2017): Evaluation of EU support for Security Sector Reform in Enlargement and Neighbourhood countries (2010-2016).
- European Commission (2018): Evaluation of the EU's external action support in the area of migration - Roadmap.
- European Commission (2018): Evaluation of EU support to local authorities in Enlargement and Neighbourhood regions (2010-2018) - Roadmap.
- European Commission (2018): Evaluation of the European Union's engagement with Civil Society in the ENI regions (2007-2018) – Thematic Level Evaluation - Roadmap.
- European Commission (2018): Evaluation of the European Union's cooperation with Armenia - Country Level Evaluation - Roadmap.
- European Commission (2018): Thematic Eval of EU support for Rule of Law in Neighbourhood countries and (potential) candidates of Enlargement (2010-2017) - Roadmap.
- European Commission (2018): Evaluation of performance of EU Info Centres in the Enlargement and Neighbourhood regions (2012-2017).

1.6.2 IPA

- European Commission (2013): Interim evaluation and meta-evaluation of IPA assistance.
- European Commission (2006): Ex post Evaluation of Phare: National Programmes - Romania.
- European Commission (2006): Ex post Evaluation of Phare: National Programmes – Slovenia.
- European Commission (2006): Ex post Evaluation of Phare: National Programmes – Slovak Republic.
- European Commission (2007): Ex post Evaluation of Phare: National & CBC Programmes - Bulgaria.
- European Commission (2007): Ex post Evaluation of Phare: National Programmes – The Czech Republic.
- European Commission (2007): Ex post Evaluation of Phare: National Programmes – Lithuania.
- European Commission (2008): Review of Twinning in Croatia.
- European Commission (2008): Ad-Hoc Evaluation of the CARDS Programme in Bosnia and Herzegovina .
- European Commission (2008): Ad Hoc Evaluation of CARDS Programmes in Albania.
- European Commission (2009): Review of Phare Assistance to Preparation for Structural Funds in Croatia .
- European Commission (2009): Retrospective Evaluation of CARDS Programmes in Montenegro .
- European Commission (2009): Retrospective Evaluation of CARDS Programmes in Kosovo .
- European Commission (2009): Retrospective Evaluation of CARDS programmes in the former Yugoslav Republic of Macedonia .
- European Commission (2009): Retrospective evaluation of CARDS programmes in the Republic of Serbia .
- European Commission (2010): Strategic/Interim Evaluation of EU IPA Pre-accession Assistance to Montenegro.
- European Commission (2010): Strategic/Interim Evaluation of EU IPA Pre-Accession Assistance to Albania.
- European Commission (2010): Strategic / Interim Evaluation of EU IPA Pre-accession Assistance to Kosovo (under UNSCR 1244/99) .
- European Commission (2010): Strategic / Interim Evaluation of EU IPA Pre-accession Assistance to Bosnia & Herzegovina.

- European Commission (2010): Strategic / Interim Evaluation of EU IPA Pre-accession Assistance to Serbia.
- European Commission (2013): Evaluation to support the preparation of pre-accession financial instruments beyond.
- European Commission (2011): Mid-term Meta Evaluation of IPA Assistance.
- European Commission (2011): Interim Evaluation of Cross-Border Programmes (Intra-Western Balkan Borders) under the CBC Component of IPA Report 1.
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- European Commission (2011): Review of Twinning in Turkey: Final Report.
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- European Commission (2012): Thematic Evaluation of EU's support to Civil Society in the Western Balkans and Turkey.
- European Commission (2012): Strategic/Interim evaluation of support for improvement in governance and management (SIGMA) programme.
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- European Commission (2013): Interim evaluation and meta-evaluation of IPA assistance.
- European Commission (2013): Eval Lot 3 of Rule of Law, Judicial Reform & Fight against Corruption & Organised Crime Western Balkans.
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- European Commission (2013): IPA - interim evaluation and meta-evaluation of IPA assistance - Country Report Serbia.
- European Commission (2013): IPA - interim evaluation and meta-evaluation of IPA assistance - Country Report Montenegro.
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- European Commission (2013): IPA - interim evaluation and meta-evaluation of IPA assistance - Country Report Bosnia and Herzegovina.
- European Commission (2013): IPA - interim evaluation and meta-evaluation of IPA assistance - Country Report Albania.
- European Commission (2014): Thematic Evaluation of EU's Support to Refugees in Bosnia and Herzegovina, Kosovo, Montenegro and Serbia .
- European Commission (2014): Ex post Evaluation of the Assistance Provided by the EU's Turkish Pre-Accession Instrument, 2002-2006.
- European Commission (2014): Evaluation of the EU-TURKEY Customs Union.
- European Commission (2014): Mapping of Sector Strategies Final Report .
- European Commission (2014): Mapping of Sector Strategies - Country Report Albania.
- European Commission (2014): Mapping of Sector Strategies - Country Report BiH.
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- European Commission (2014): Mapping of Sector Strategies - Country Report Kosovo.
- European Commission (2014): Mapping of Sector Strategies - Country Report Montenegro.
- European Commission (2014): Mapping of Sector Strategies - Country Report Turkey.
- European Commission (2014): Meta-Eval Cooperation Instruments – Works & Supplies.
- European Commission (2014): Meta-Eval Cooperation Instruments – Works & Supplies - Summary.

- European Commission (2014): The political economy of donor intervention in Western Balkans & Turkey: mapping and potential for stronger synergies.
- European Commission (2014): The political economy of donor intervention in Western Balkans & Turkey: mapping and potential for stronger synergies - Summary.
- European Commission (2015): Eval of the EU Cooperation with Jordan - Country Level Eval.
- European Commission (2015): Thematic Evaluation on IPA Support to Roma Communities.
- European Commission (2015): Third interim evaluation of IPA assistance.
- European Commission (2015): Evaluation of PHARE financial assistance Multi-Country.
- European Commission (2015): Thematic evaluation on IPA support to the fight against corruption.
- European Commission (2015): Evaluation of TAIEX Instrument.
- European Commission (2015): Evaluation of TAIEX Instrument - Annexes.
- European Commission (2015): Évaluation de l'assistance de l'UE à la Turquie dans le domaine de la santé et la sécurité au travail.
- European Commission (2015): Evaluation of Western Balkans Investment Framework (WBIF).
- European Commission (2016): Evaluation of IPA Information & Communication Programmes Vol1.
- European Commission (2016): Evaluation of IPA Information & Communication Programmes Vol2 Annexes.
- European Commission (2016): IPA II Monitoring, Reporting and Performance Framework.
- European Commission (2016): Evaluation of IPA Cross Border Cooperation Programmes 2007-2013.
- European Commission (2017): External Evaluation of the Instrument for Pre-accession Assistance (IPA II) (2014 – mid 2017).
- European Commission (2018): Strategic, country-level evaluation of the EU's cooperation with Serbia over the period 2012-2018 - Roadmap.

1.7 Evaluations with a thematic focus

- European Commission (2012): Thematic global evaluation of the Commission support to decentralisation processes. Final Report Vol 1 February 2012.
- European Commission (2012): Thematic global evaluation of the Commission support to decentralisation processes. Final Report Vol 2b February 2012.
- European Commission (2006): Thematic Report on support to the JHA Acquis.
- European Commission (2006): Thematic Report on Phare support to agriculture.
- European Commission (2006): Thematic Evaluation Report Economic & Social Cohesion in Bulgaria and Romania.
- European Commission (2006): Thematic Report on Support to PAJC in Bulgaria and Romania.
- European Commission (2007): Ex post Evaluation of Phare support allocated between 1999-2001.
- European Commission (2007): Ex post Evaluation of Phare: MBP – Sigma.
- European Commission (2007): Ex post Evaluation of Phare: MBP – TAIEX.
- European Commission (2007): Ex post Evaluation of Phare: MBP – SME Finance Facility.
- European Commission (2007): Ex post Evaluation of Phare: Thematic Environment.
- European Commission (2007): Thematic Report – Phare Cross Border Cooperation (CBC).
- European Commission (2008): Ad-hoc evaluation of the CARDS regional programmes in the Western Balkans.
- European Commission (2012): Evaluation of governance, rule of law, judiciary reform and fight against corruption and organised crime in the Western Balkans.
- European Commission (2013): EX-POST Evaluations of CARDS Programme in the Western Balkans.

- European Commission (2017): Evaluation of EU support to social protection in external action (2007-2013).
- European Commission (2018): Evaluation of the Twinning instrument in the period 2010-2017 - Roadmap.