

EVALUATION AND FITNESS CHECK (FC) ROADMAP			
TITLE OF THE EVALUATION	Evaluation of EU support to social protection in external action (2007-2013)		
LEAD DG – RESPONSIBLE UNIT	DG NEAR A3	DATE OF THIS ROADMAP	01 / 2016
TYPE OF EVALUATION	Evaluation	PLANNED START DATE	Q1 / 2016
	Ex-post	PLANNED COMPLETION DATE	Q4 / 2016
	Mixed	PLANNING CALENDAR	<a href="http://ec.europa.eu/smart-regulation/evaluation/index_en.htm">http://ec.europa.eu/smart-regulation/evaluation/index_en.htm</a>
<b>This indicative roadmap is provided for information purposes only and is subject to change.</b>			

A. Purpose
(A.1) Purpose
<p>The objective of the evaluation is to assess the EU support provided in external action for social protection during the period 2007-2013. The evaluation should provide an assessment on the attained results, their impact and sustainability, the good practices and pitfalls in IPA I<sup>1</sup>, ENPI<sup>2</sup>, DCI<sup>3</sup> and EDF<sup>4</sup> programming and implementation.</p> <p>The results of the evaluation will be used to:</p> <ul style="list-style-type: none"> <li>▪ support the decision-making, both at strategic (planning) level, and at the level of the design of future action programmes /interventions;</li> <li>▪ feed into the reflection on the revision of future policies in view of the recent adoption of the 2030 Agenda for Sustainable Development;</li> <li>▪ demonstrate whether already on-going/planned IPA (I) II, ENPI/ENI<sup>5</sup>, DCI and EDF action programmes/interventions in the area of social protection have taken on board the lessons learnt from the previous programming period;</li> <li>▪ provide recommendations for the European Commission (EC) on the best way to approach and improve its support to the development of social protection systems in partner countries both in terms of the use of policy dialogue and financial assistance;</li> <li>▪ contribute to the preparation and adjustment of action programmes, namely for IPA II, ENI, DCI and EDF assistance to the extent possible;</li> <li>▪ feed into the mid-term review of financing instruments;</li> <li>▪ feed into mid-term reviews of country/region multi-annual indicative programmes.</li> </ul>
(A.2) Justification
<p>This evaluation is in line with the "evaluation first principle", requiring a comprehensive evaluation on the performance of policy, instruments, and programmes in the context of planning new interventions.</p> <p>In addition, in its conclusions on the Communication on Social Protection in European Union Development Cooperation<sup>6</sup> from 15 October 2012, the Council invited the Commission and European External Action Services (EEAS) to provide a report on the progress made on the implementation of the Communication by 2014 in the context of programming process and the use of key implementing methods and approaches, such as provision of technical assistance in support of capacity building, professional exchanges, evidence-based programming, maximisation of impact and the integration of social protection into other sector policies and programmes.</p> <p>Thus, this evaluation will contribute to address this requirement and in addition its results will feed also the preparation of the mid-term review of external financing instruments which is due to be finalised by the end of</p>

1 Instrument for Pre-Accession Assistance 2007-2013, [http://ec.europa.eu/enlargement/instruments/overview/index\\_en.htm](http://ec.europa.eu/enlargement/instruments/overview/index_en.htm)

2 European Neighbourhood and Partnership Instrument 2007-2013, [https://ec.europa.eu/europeaid/funding/european-neighbourhood-and-partnership-instrument-enpi\\_en](https://ec.europa.eu/europeaid/funding/european-neighbourhood-and-partnership-instrument-enpi_en)

3 Development Cooperation Instrument, [https://ec.europa.eu/europeaid/how/finance/dci\\_en.htm\\_en](https://ec.europa.eu/europeaid/how/finance/dci_en.htm_en)

4 European Development Fund, [https://ec.europa.eu/europeaid/funding/instruments-programming/funding-instruments/european-development-fund\\_en](https://ec.europa.eu/europeaid/funding/instruments-programming/funding-instruments/european-development-fund_en)

5 European Neighbourhood Instrument 2014-2020, [http://eeas.europa.eu/enp/how-is-it-financed/index\\_en.htm](http://eeas.europa.eu/enp/how-is-it-financed/index_en.htm)

6 COM(2012)446

2017.

Moreover, in September 2015 the UN General Assembly adopted the 2030 Agenda for Sustainable Development, a universal, integrated action plan, balancing economic, social and environmental dimensions. The Agenda acknowledges the fundamental role of social protection and its cross-cutting policy approach in attaining the Sustainable Development Goals (SDGs), with nationally defined Social Protection Floors as a crucial starting point. The implementation of the Agenda will require a strengthened policy dialogue on cross-sectorial strategies and budgets, and further evidence on the impact of social protection policies and programmes.

## B. Content and subject of the evaluation

### (B.1) Subject area

The last decade has seen high growth in emerging and developing countries, and considerable progress on all Millennium Development Goals (MDGs). Yet poverty reduction has not been evenly spread throughout the world, nor have the benefits of growth at national level been evenly shared. A large number of people remain trapped in chronic poverty, which is increasingly associated with exclusion and marginalisation. The global food, fuel and financial crises have added to global poverty and inequality.

Social protection has proven to be an effective mechanism for increasing equity (e.g. through social transfers and increased access to basic social services) and supporting resilience to shocks and protection against individual and covariate risk, making it a key element in poverty prevention and reduction and for inclusive growth. Yet social protection coverage in low and middle income countries is usually low and even if some emerging economies have succeeded in providing access to social protection schemes to millions of people, the level of protection often remains insufficient, when not negligible. Economies with low social protection coverage are often characterised by high levels of informality, a low tax base, relatively low budget allocations for social protection, highly segmented social insurance systems that mostly benefit only a small minority in the formal sector, and highly fragmented or limited social assistance schemes.

Against this background, demand for social protection is growing and an increasing number of partner countries are responding by placing the development of comprehensive social protection systems at the centre of their national development strategies. The adoption of the Recommendation on Social Protection Floors (SPFs) at the 2012 International Labour Conference, strongly supported by the EU, reflects this development, and has also acted as an additional spur to it in some cases.

Governments face the twin challenges of both designing social protection policies and programmes that have better, more inclusive coverage and greater coherence, and then operating them with greater efficiency and in ways that are fiscally feasible and sustainable. Well-designed social protection is an investment in human development and contributes to inclusive growth. Furthermore, even when the political will exists, the capacity of governments to respond depends not only on financing (and the ability to raise tax revenues or mobilise contributions rather than rely on debt or donor finance), but also on the institutional capacity of the relevant government agencies and the ease with which it can be deployed in order to deliver social protection.

**Within the EU**, the main policy framework in the field of social protection is the Europe 2020 strategy and the Open Method of Coordination for social protection and social inclusion (Social OMC), which aims to promote social cohesion and equality through adequate, accessible and financially sustainable social protection systems and social inclusion policies. Through the Social OMC, the EU provides a framework for national strategy development for social protection and social investment, as well as for coordinating policies between EU countries on issues relating to: poverty and social exclusion, health care, long-term care and pensions. Furthermore, the Commission adopted in October 2013 a Communication on Strengthening the Social Dimension of the Economic and Monetary Union<sup>7</sup> by tightening up coordination and surveillance of employment and social policies under the European Semester, while fully respecting national competences. This Communication also highlights the role of the social partners and of social dialogue at both national and international level.

**In the context of its Enlargement policy**, the EU provides financial and technical support to beneficiary countries for political and economic reforms towards the alignment with EU standards and *acquis*, with a view to EU membership. The *acquis* in the social field includes minimum standards in the areas of labour law, equal opportunities, health and safety at work and anti-discrimination as well as a mechanism to coordinate national social security provisions for insured persons and their family members moving to another Member State.

As far as social protection is concerned, the EU provides support to the 'enlargement countries' to make the necessary reforms to improve and modernise their social protection systems to be able to respond to changing societal needs<sup>8</sup> following the work done by Member States in the framework of Social OMC. This requires investment in capacity building, in particular with regards to the social partners and the preparation for the future intervention of the European Social Fund.

**In the context of Neighbourhood and Development policies** the EU provides support to partner countries for the design and implementation of "policies and reforms which improve the coverage, quality of and access to basic social infrastructure and services and take account of local needs and specific demands of the most vulnerable and disadvantaged, thus reducing the inequalities of access to these services (...). [In practice,] Cooperation shall promote and support the development and implementation of policies and of systems of social protection and security in order to enhance social cohesion and to promote self-help and community solidarity"<sup>9</sup>.

In practice, in order to achieve effective social protection, the European Commission (EC) focuses its cooperation with partner countries on measures for administrative and technical capacity development in support to country-owned and country-led social protection policies and programmes that address the underlying causes of inequality and vulnerability – particularly those that affect women, children and people with disabilities; support to the engagement of civil society, social partners, and the private sector; and support approaches that seek to enable partner countries to participate in productive economic activity and employment.

#### (B.2) Original objectives of the intervention

Social protection lies at the heart of the European social model, committed to providing universal access to social protection in its Member States, with a variety of systems and practices. This experience gives a unique role to the EU in supporting the development of comprehensive and financially sustainable social protection systems in partner countries by means of exchange of experience and policy and technical advice in support of capacity development.

The Commission, since its overall EU Enlargement Strategy 2010-2011, welcomed the intention of many enlargement countries to reflect the Europe 2020 strategy in their national reform priorities, as also confirmed by the regional strategy set out under the coordination of the Regional Cooperation Council for the Western Balkans. One of the targets of the Europe 2020 strategy concerns fighting poverty and social exclusion aiming that by 2020 there will be at least 20 million fewer people in the EU in or at risk of poverty and social exclusion. With social protection playing an important role in reducing poverty and vulnerability, in building-up resilience to shocks throughout the lifecycle and supporting inclusive growth, the EU provides support to enlargement countries to improve and modernise their social protection systems to be able to eventually ensure<sup>10</sup>:

- access for all to basic resources, rights and social services needed for participation in society;
- adequate retirement incomes for all and access to adequate and sustainable pensions;
- access for all to high-quality and sustainable healthcare and long-term care.

Through its European Neighbourhood Policy (ENP), the EU works with its southern and eastern neighbours to achieve their stabilisation and the greatest possible degree of economic integration<sup>11</sup>. The support provided to partner countries should be coherent with the objectives and principles of the EU development cooperation policy outlined in the Joint Statement entitled "the European Consensus on Development", like the eradication of poverty, the pursuit of the MDGs, promoting policy coherence for development<sup>12</sup>.

In 2011, the EU Communication on the Agenda for Change<sup>13</sup> called for a more comprehensive approach to human development, supporting increased access to quality health and education services and enhanced social protection in support of inclusive growth characterised by "people's ability to participate in and benefit from wealth and job creation". Thus, the EU should support the decent work agenda, social protection systems and encourage policies to facilitate regional labour mobility to fully exploit the interrelationship between migration, mobility and employment.

The 2012 Communication on Social Protection in EU development cooperation<sup>14</sup> established that the goal for development cooperation in this field should be to improve equity and efficiency in provision, while supporting social inclusion and cohesion, as the essential underpinnings of inclusive, sustainable growth and poverty reduction. The Council, in the related Council Conclusions, underlined the importance of:

<sup>8</sup> Based on COM(1999)347 final and COM(2005)706 final

<sup>9</sup> The Cotonou Agreement, signed in Cotonou on 23 June 2000, last revised in Ougadougou on 22 June 2010

<sup>10</sup> COM (2005) 706 final

<sup>11</sup> The European Neighbourhood Policy has been recently reviewed introducing a new approach to strengthen the partnership between the EU and the partner countries. The changes brought by the COM(2011) 303 should thus be taken into account in this evaluation

<sup>12</sup> EC Regulation no 1638/2006

<sup>13</sup> COM(2011) 637 final

<sup>14</sup> COM (2012) 446 final

- supporting the development of inclusive, nationally-owned social protection policies and programmes, including social protection floors;
- focusing on measures for capacity building and integrating civil society, social partners and private sector initiatives;
- supporting the active involvement of civil society organisations (CSOs) in strengthening social protection policies in partner countries;
- protecting against protracted crises and build resilience.

The Council also underlined that the financing of social protection benefits should ultimately be nationally funded in order to ensure ownership and sustainability of social policy.

### (B.3) How the objectives were to be achieved

The EU support in external action for social protection is provided through policy dialogue and EU financial assistance.

- EU policy dialogue

**At international level**, the Commission is a member of the Social Protection Inter-Agency Cooperation Board (SPIAC-B), which was established in 2012 at the behest of the G20. The SPIAC-B is co-chaired by the World Bank and International Labour Organization (ILO) and includes UN agencies, programmes and funds, international financial institutions and bilateral development agencies. This is the mechanism for coordination at international level of the main actors in social protection including a significant number of EU Member States. In this framework, the EU has contributed to shape global thinking and development of policy making, and it has led the push for ensuring participation by representatives of partner countries from the global south. The Commission also participates in the work of the Inter-Agency Social Protection Assessment (ISPA), initiative set up by the SPIAC-B to develop consistent and evidence-based tools that support governments to assess and improve their national social protection systems, programs and delivery mechanisms. The EU has also intervened on the follow-up of the ILO Recommendation N° 202 in ILO tripartite meetings.

In its cooperation with **enlargement countries** the Commission is engaged in policy dialogue:

- in the framework of bilateral and regional fora on economic policy and on employment and social policies to guide the programming of financial assistance towards the objectives of Europe 2020, especially with respect to socio-economic development<sup>15</sup>
- as part of the accession process;
- as part of the programming process of IPA assistance, setting specific objectives and priorities for support in: Multi-Annual Indicative Financial Frameworks (MIFFs) and Multi-Annual Indicative Planning documents (MIPDs) (for IPA I); Annual and/or multi-annual (action) programmes;
- specifically for the 2014-2020 programming period – in the framework also of sector reform programmes and for budgetary support.

In its cooperation with **EU neighbourhood countries** the Commission is engaged in policy dialogue:

- at bilateral level, through the agreement of ENP Action Plans or Association Agendas, in line with Association Agreements or other agreements between the EU and partner countries;
- at regional level in the framework of Eastern Partnership<sup>16</sup> and Union for the Mediterranean<sup>17</sup> initiatives;
- as part of the programming process of ENPI/ENI assistance, setting specific objectives and priorities for support in Country Strategy Papers, Multi-annual Indicative Programmes, Annual and/or multi-annual (action) programmes; and more specifically, in the case of budgetary support programmes;

In its cooperation with **developing countries**, the Commission is engaged in policy dialogue:

- at bilateral level with India, Brazil, China, and South Africa, within the framework of their respective Strategic Partnerships with the EU;
- at regional level, for example, in the framework of the Joint Africa-EU Strategy;
- as part of the programming process of DCI/EDF assistance;
- in the framework of the implementation of budget support through good governance and development contracts and of sector reform contracts;

The policy framework on social protection built of numerous Commission's communications and Council conclusions<sup>18</sup> emphasises that the following principles should guide policy dialogue and other interventions in support to social protection systems:

<sup>15</sup> In the EU Enlargement Strategy 2015 (COM(2015) 611 final), the economic governance inspired by the European Semester is now a central element that encompasses employment and social policies

<sup>16</sup> Platform 2 - "Economic Integration and Convergence with EU Policies"

<sup>17</sup> Euro-Mediterranean Social Dialogue Forum

- **inclusiveness:** social protection systems should guarantee that everyone is protected against major life-cycle risks, including persons in the informal economy. This entails availability of and accessibility to social protection systems and programs, while ensuring non-discrimination, gender equality, and designing schemes and programmes to respond to the special needs of persons with different characteristics, circumstances and vulnerabilities; equality between men and women should be mainstreamed in all activities aiming at the above mentioned objectives; this means assessing the consequences for women and men at all stages of planning, decision-making and follow-up relating to such activities;
  - **adequacy:** the programs and schemes that make up the system should provide regular and predictable benefits and quality services that are adequate to meet social protection needs of the population and achieve national/program objectives. As a minimum, benefits contribute to poverty reduction, equity, ensure income security, access to health and other services along the life cycle and promote productive economic activity;
  - **coherence, complementarity and coordination** between economic, employment and social protection policies at EU and national levels; Institutional arrangements promote coordination across institutions responsible for the design, administration and delivery of social protection systems and programmes;
  - **sustainability:** the financial resources raised and allocated should be aligned with actual and expected systems and programme outcomes, demographic patterns, and the economic development; contributions should be based on beneficiaries' contributory capacity; budgets should be executed as planned to allow for full implementation and monitoring of social protection schemes and programs; legal and institutional frameworks should articulate the long term financial requirements to ensure long term funding commitments, including envisaged tax and revenue reforms.
  - **governance, institutional set up and capacity:** clear internal rules, regulations, reporting mechanisms and operating procedures specify the relationships, roles and responsibilities of bodies and actors involved in social protection
  - **social dialogue and dialogue with civil society:** the involvement/consultation of social partners and civil society in the modernisation of social protection systems is crucial; the capacity of the social partners and civil society to contribute to this process should be increased.
- EU financial assistance

IPA assistance for social protection was made available during 2007-2013 under the Component I (Transition Assistance and Institution Building) open to all IPA beneficiary countries and Component IV (Human Resource Development), only accessible to candidate countries.

ENPI, DCI as well as the 10<sup>th</sup> EDF assistance during 2007-2013, was used to support bilateral or thematic programmes for the development of nationally-owned social protection systems that provide the basis for universal access to nationally defined social protection floors, delivering better and higher levels of protection for all people throughout their life. More specifically, these programmes have tended to support the development an appropriate legal and institutional framework for the provision of effective and efficient social protection coverage through technical cooperation and the strengthening of the administrative and implementation capacities of governments, implementing agencies, social partners and other non-state actors.

EU assistance has been implemented through the following modalities:

- twinning, twinning light and TAIEX<sup>19</sup>;
- SOCIEUX<sup>20</sup>
- technical assistance;
- investments in the regulatory infrastructure to support alignment with European Union norms and standards;
- grant schemes;
- project preparation facilities;
- budget support.

The enlargement countries benefited in addition, from the Community Programme for Employment and Social Solidarity – PROGRESS- for 2007-2013<sup>21</sup>.

Diagrams showing the interaction between EU policy dialogue and financial assistance in the achievement of overall policy framework objectives are presented in Annexes I and II.

18 COM (1999)347 final; COM (2000) 379 final; COM(2003) 261 final; COM (2005) 33final; COM (2005) 706 final; COM (2008) 412 final; COM (2011) 303;COM (2012) 446 final; COM (2006) 249 final

19 Technical Assistance and Information Exchange instrument of the European Commission, [http://ec.europa.eu/enlargement/tenders/ta/ex/index\\_en.htm](http://ec.europa.eu/enlargement/tenders/ta/ex/index_en.htm)

20 Social Protection European Union Expertise in Development Cooperation, [https://ec.europa.eu/europeaid/social-protection-eu-expertise-development-cooperation-socieux\\_en](https://ec.europa.eu/europeaid/social-protection-eu-expertise-development-cooperation-socieux_en)

21 <http://ec.europa.eu/social/main.jsp?langId=en&catId=327>

## C. Scope of the evaluation/FC

### (C.1) Topics covered

For the purpose of this evaluation, social protection shall refer to the public actions taken in response to levels of vulnerability, risk and deprivation which are deemed socially unacceptable within a given policy or society.

In other words, public policies and actions that aim at:

- **addressing risks and needs** by "enhancing the capacity of all people, including the poor and vulnerable groups to escape from poverty, or avoid falling into poverty, and better manage risks and shocks" and
- **building human capital** through "providing a higher level of social security through income security and access to essential services (in particular, health and education) throughout active and inactive periods and periods of need throughout the lifecycle<sup>22</sup>."

The evaluation will focus on EU support (policy dialogue and financial assistance) provided for the development of social protection systems in partner countries, more specifically on the social insurance and social assistance measures to address the following risks and needs: unemployment, parental responsibilities, sickness and healthcare, employment injuries/work accidents, disability, loss of a spouse or parent, old age, housing, and social exclusion.

The evaluation will not assess the interventions which focus mainly on: employability and labour market measures, technical and vocational education and training (TVET), livelihoods promotion, food security, disaster and risk reduction interventions.

The evaluation shall:

- Assess the performance (relevance, efficiency, effectiveness, coherence, impact, sustainability and EU value added) of EU support (policy dialogue and financial assistance) during 2007-2013 for the development of social protection programmes and policies in partner countries; in addition, it will assess the complementarity and coordination of EU interventions with other actions carried out by Member States, international donors and international organisations in the region;
- Assess the Intervention logic of IPA II, ENI, DCI and the 11<sup>th</sup> EDF (2014-2020) planning documents addressing social protection, in order to assess their coherence with the relevant policy framework and programming guidelines.
- In particular, assess how the planning documents take on board past lessons, have moved towards Sector Approach and Sector Budget Support and to which extent they have established clear objectives, targets, indicators, baselines and monitoring mechanisms. Assess already on-going programmes/projects addressing social protection to see how well they reflect the new approach and assess their efficiency and likely effectiveness at this early stage of their implementation;
- Provide conclusions and recommendations both at policy and financial instrument level on how to further improve the support provided to social protection, including cross-fertilisation between IPA, ENI, DCI and EDF experiences.

The performance assessment of EU past assistance will be done on a sample of interventions that provided support to the preparation and implementation of social protection systems financed under the following instruments/programmes:

- IPA I 2007-2013: Components I and IV programmes/actions;
- PROGRESS 2007-2013: interventions;
- ENPI 2007-2013: country and multicountry programmes; budgetary support;
- DCI 2007-2013: bilateral, regional and thematic actions.
- 10<sup>th</sup> EDF (2008-2013): bilateral, regional and thematic actions.

A mapping of interventions will be prepared by the external evaluators as part of this assignment.

### Geographical coverage

The evaluation should cover:

- IPA I<sup>23</sup> beneficiary countries –Albania, Bosnia and Herzegovina, Montenegro, Kosovo\*, the former Yugoslav Republic of Macedonia, Croatia<sup>24</sup>, Serbia and Turkey;

<sup>22</sup> COM(2012)446

<sup>23</sup> The Icelandic government has decided to put the EU accession negotiations on hold. In this context, the European Commission, in agreement with the Icelandic government, has suspended preparatory work on IPA for the period 2014-2020. As a consequence Iceland will not be covered by this evaluation.

- ENPI partner countries – Algeria, Armenia, Azerbaijan, Belarus, Egypt, Georgia, Israel, Jordan, Lebanon, Republic of Moldova, Morocco, Palestine\*, Tunisia and Ukraine<sup>25</sup>.
- Countries covered by DCI and EDF – social protection has been a focal sector only in a limited number of countries in 2007-2013, among which: El Salvador, Paraguay, Tajikistan, Kyrgyzstan, China, Philippines, Rwanda, Lesotho, Ethiopia, Angola, Malawi.

During the inception and desk phases the EU support to all above mentioned countries shall be subject of analysis, whereas during the field phase only around 8-10 countries will be visited following the establishment by the evaluators of a relevant and representative sample of interventions to be further analysed. The sample of interventions will be defined, in cooperation with EC services, on the basis of an initial mapping exercise to be carried out during the inception stage. It will have to be representative also from the point of different implementation modalities used.

## (C.2) Issues to be examined

Indicative evaluation questions:

### **I. Performance assessment of EU support during 2007-2013 for the development of social protection systems in partner countries**

#### **Relevance:**

- To what extent has the policy dialogue carried out in bilateral and regional contexts been in line with the objectives set in the EU policy framework on social protection? (see Annexes I and II)
- To what extent have the (original) objectives, defined in the programming/planning documents, proven to correspond to the needs and capacities of the partner countries in the area of social protection and the EU policy framework on social protection?
- To what extent have the EU interventions proved to be relevant to those needs?

#### **Effectiveness:**

- To what extent has the policy dialogue led to the formulation of appropriate objectives and design of programming documents and actions to respond to the needs of the partner countries in the area of social protection?
- To what extent have the objectives defined in the programming/planning documents been achieved?
- To what extent do the outputs and results of EU interventions correspond and contribute to the achievement of the objectives?
- What have been the (quantitative and qualitative) effects of the EU interventions?
- To what extent can these changes/effects be credited to the EU interventions?
- To what extent have the social partners and civil society been successfully involved in the policy dialogue for the programming, implementation/monitoring of EU interventions in the social protection field?
- To what extent has EU supported efforts by international organisations in the social protection field?

#### **Efficiency:**

- To what extent has the policy dialogue and programming process of EU assistance for social protection been carried out in an efficient way?
- What factors influenced the efficiency with which the achievements observed were attained?
- To what extent has the choice of aid modality been the most appropriate? Could the use of other type of financing or mechanisms have provided better cost-effectiveness?
- To what extent were the monitoring systems setup to function at regular intervals and be capable of collecting data and detecting problems? To what extent were the indicators appropriately designed to measure the progress in relation to the baseline situation and the effectiveness of the targets implementing the priorities? To what extent were the targets set realistic?
- To what extent are the costs involved justified, given the changes/effects which have been achieved?

#### **Impact:**

- To what extent the EU support (policy dialogue and financial assistance) has contributed to the development/modernisation of social protection systems that are adequate, inclusive, accessible and sustainable and to social protection floors?

\* This designation is without prejudice to positions on status, and is in line with UNSCR 1244/1999 and the ICJ Opinion on the Kosovo declaration of independence.

<sup>24</sup> Croatia is included as an IPA beneficiary country 2007-2012.

\*This designation shall not be construed as recognition of a State of Palestine and is without prejudice to the individual positions of the Member States on this issue.

<sup>25</sup> Libya and Syria are not considered due to the political situation of the countries

- To what extent enlargement countries are converging towards EU objectives and targets? To what extent are countries converging towards relevant international standards?
- To what extent are the outputs and immediate results translated into the desired/expected impacts? Are impacts sufficiently identified /quantified? Were there any unexpected impacts (both positive and negative)?
- To what extent do the observed effects contribute to the achievement of the policy framework overall objectives?
- How fairly are the observed changes/effects distributed across the different stakeholders, genders and social groups? Are the needs of women and men appropriately addressed by these interventions? If not, why? If so, was this due to a specific element in programming or implementation?

#### **Sustainability:**

- To what extent are the outcomes of the EU interventions likely to continue producing effects after the end of EU funding?
- How can the programming and implementation of EU interventions be enhanced to increase the impact and sustainability of EU assistance in the area of social protection?
- To what extent are the beneficiaries with strategic/policy and management responsibility demonstrating ownership of the results?
- How much have the social protection mechanisms in Enlargement, Neighbourhood and development cooperation countries evolve thanks to the EU support (policy dialogue and financial assistance)?

#### **Coherence, Complementarity, Coordination:**

- To what extent are the EU interventions coherent with other interventions which have similar objectives?
- To what extent are the EU interventions in the social protection field supported by different EU financial instruments coherent and complement each other (e.g. ENPI/IPA interventions with SOCIEUX/PROGRESS actions/activities?)
- To what extent are the EU interventions coherent with national policies, wider EU policy and international obligations?
- To what extent are the EU interventions for social protection coherent with EU economic and employment policies and interventions in the concerned countries?
- To what extent do EU policy and interventions in the social protection field support and usefully supplement other policies/interventions, in particular those pursued by the Member States and international donors in the region?
- To what extent are the interventions of EU, Member States, international organisations and donors organised to maximise their joint effects in the partner countries?

#### **EU added value:**

- What is the additional value resulting from the EU interventions, compared to what could be achieved by the Member States in the region and/or by the partner countries themselves at national and/or regional levels?
- To what extent do the issues addressed by EU interventions continue to require EU support?
- What would be the most likely consequences of stopping or withdrawing the existing EU support?

## **II. Assessment of the Intervention logic of IPA II, ENI and DCI (2014-2020) and 11<sup>th</sup> EDF planning documents/programmes addressing social protection**

- To what extent are the priorities in the area of social protection identified in the Country Strategy Papers, Sector Support Frameworks and the Multi-Country Strategy Papers (and where appropriate other key reference documents) translated into appropriate actions into the Sector Planning Documents/Action Programmes/Action Documents? How coherent and consistent are they?
- To what extent has the EU assistance been designed to fit to the policy objectives and national strategies concerning social protection and how have they have been translated into actions?
- To what extent does the programming of this assistance provide for linkages between national and regional programmes and assistance from other donors?
- To what extent does the programming of this assistance take both women's and men's need into consideration?
- To what extent does the intervention logic facilitate the quality of the programme? How robust is the intervention logic in terms of depicting causal relationships between inputs, outputs, results, and outcomes?
- To what extent is the choice of aid modality the most appropriate? Could the use of other type of financing or mechanisms provide better cost-effectiveness?
- How adequate and relevant are the monitoring and evaluation systems and the performance indicators to measure the results, outcomes and impacts?
- To what extent has the IPA II/ENI/DCI/EDF assistance been designed based on the lessons learned from



the past and on-going experience?

- What are the main gaps/weaknesses in the policy dialogue and programming of EU assistance carried out in the social protection field?

### III. Lessons learned and recommendations

- What lessons learned can be drawn from the EU interventions (policy dialogue and financial assistance) in support of development/modernisation of social protection mechanisms in aforementioned countries?
- How can programming of EU assistance be improved to achieve the policy objectives in a more effective and efficient way?
- How can programming of such assistance be enhanced to improve the impact and sustainability of EU interventions and generate stronger focus on the sector support type of actions?
- How can the lessons learned contribute to the work of the relevant Commission's thematic services?
- How can the EU better benefit from cooperation with relevant international organisations (e.g. ILO, World Health Organization, World Bank);

### (C.3) Other tasks

As part of this assignment, the contractor will be asked to reconstruct the intervention logic of EU support provided for the development of social protection systems during the 2007-2013 in partner countries and map the relevant EU interventions.

The final evaluation questions and methodology for this assignment will be completed and agreed upon during the inception phase of the evaluation.

## D. Evidence base

### (D.1) Evidence from monitoring

ENPI, IPA I, DCI and EDF actions have been subject to result oriented monitoring (ROM). The ROM reports, as well as internal monitoring reports will be used by the evaluators during the Inception and Desk phases and to prepare the field missions as one among many inputs.

### (D.2) Previous evaluations and other reports

Some relevant EC studies/evaluations have taken place at national, regional and EC level. They, together with the relevant performance audits of the European Court of Auditors, will be taken into account in the carrying out of the current evaluation. Hereunder non-comprehensive list of available studies/evaluations:

#### Studies:

- Concept Paper "Supporting Social Protection Systems" (DEVCO,2015)
- European Report on Development 2010 "Social Protection for Inclusive Development"<sup>26</sup>
- Study on "Social Inclusion and Youth in EC External Cooperation, including the case of ENP Countries", Project No. 2009/221657 - Version 2;
- The Public Pursuit of Secure Welfare: Background Paper on International Development Institutions, Social Protection & Developing Countries<sup>27</sup>, December 2013;
- Social transfers in the fight against hunger. A resource for development practitioners<sup>28</sup>;
- Social protection and social inclusion in Armenia, Azerbaijan and Georgia synthesis report<sup>29</sup>, 2011
- Social protection and social inclusion in Belarus, Moldova and Ukraine - Synthesis Report<sup>30</sup>, 2010
- "Feasibility of social protection schemes in developing countries"<sup>31</sup> (2013, European Parliament)
- Study on Social Protection in Sub-Saharan Africa<sup>32</sup> (DEVCO, 2013)

#### Thematic evaluations<sup>33</sup>:

- Thematic global evaluation of European Commission support in the sectors of ESI (Employment and Social Inclusion) in partner countries (including vocational training) during 1999-2009, published in 2011
- Evaluation of the European Union's Support to two European Neighbourhood Policy Regions (East and

26 [https://ec.europa.eu/europeaid/policies/research-development/research/european-report-development-2010-social-protection-inclusive\\_en](https://ec.europa.eu/europeaid/policies/research-development/research/european-report-development-2010-social-protection-inclusive_en)

27 [https://ec.europa.eu/europeaid/public-pursuit-secure-welfare-background-paper-international-development-institutions-social\\_en](https://ec.europa.eu/europeaid/public-pursuit-secure-welfare-background-paper-international-development-institutions-social_en)

28 <http://bookshop.europa.eu/en/social-transfers-in-the-fight-against-hunger-pbMNB12003/>

29 <http://ec.europa.eu/social/main.jsp?catId=89&langId=en&newsId=1045&moreDocuments=yes&tableName=news>

30 <http://ec.europa.eu/social/main.jsp?catId=89&langId=en&newsId=892&furtherNews=yes>

31 [http://www.europarl.europa.eu/meetdocs/2009\\_2014/documents/deve/dv/study\\_social\\_protecti/study\\_social\\_protection.pdf](http://www.europarl.europa.eu/meetdocs/2009_2014/documents/deve/dv/study_social_protecti/study_social_protection.pdf)

32 [http://ec.europa.eu/europeaid/sites/devco/files/study-on-social-protection-in-sub-saharan-africa\\_en.pdf](http://ec.europa.eu/europeaid/sites/devco/files/study-on-social-protection-in-sub-saharan-africa_en.pdf)

33 [https://ec.europa.eu/europeaid/node/80199\\_en](https://ec.europa.eu/europeaid/node/80199_en); [http://ec.europa.eu/enlargement/news\\_corner/key-documents/index\\_en.htm](http://ec.europa.eu/enlargement/news_corner/key-documents/index_en.htm)

South) (2004-2010), published in 2013

- Review of the EU external action legal instruments (2006-2010), published in 2011
- Synthesis of Budget Support Evaluations (2010-2014), published in 2014
- Strategic evaluation of the EU Support to health in third countries (2001-2010), published in 2012
- Thematic Evaluation of EU's Support to Refugees in Bosnia and Herzegovina, Kosovo, Montenegro and Serbia, contract n° 2012/308441/
- Interim evaluation and meta evaluation of IPA assistance. Evaluation of Multi Beneficiary Programmes, published in 2013;
- Interim evaluation and meta evaluation of IPA assistance. Meta Evaluation of IPA assistance. Published in 2013
- Third interim evaluation of IPA assistance, published in 2015
- Thematic Evaluation on IPA Support to Roma Communities, published in 2015

Programme evaluations<sup>34</sup>:

- The Mid-term Evaluation of PROGRESS, December 2011
- The Mid-term Evaluation of SOCIEUX, May 2015.
- Ex-post evaluation of the Programme for employment and social solidarity – PROGRESS 2007- 2013 and recommendations for the successor programmes to PROGRESS 2014-2020

Country evaluations<sup>35</sup>:

- Strategic evaluation of the EU cooperation with Georgia (2007-2013), published in 2015
- Evaluation of the European Union's Cooperation with the Hashemite Kingdom of Jordan (2007-2013) - Country Level Evaluation, published in 2015
- Joint strategic evaluation of budget support operations in Morocco (2005-2012), published in 2014
- Strategic evaluation of the EU cooperation with the occupied Palestinian Territory and support to the Palestinian people (2008-2013), published in 2014
- Strategic evaluation of EU budget support to Tunisia (1996-2008), published in 2011
- Strategic evaluation of the EU cooperation with Egypt (1998-2008), published in 2010
- Strategic evaluation of EU cooperation with Ukraine (2002-2009), published in 2010
- Strategic evaluation of the EU cooperation with Moldova (2000-2006), published in 2007
- Strategic/Interim Evaluation of EU IPA Pre-Accession Assistance to Albania, Project No. 2010/231987 - Version 2
- Interim/Strategic Evaluation of EU IPA Pre-Accession Assistance to Bosnia & Herzegovina
- Strategic / Interim Evaluation of EU IPA Pre-accession Assistance to Kosovo (under UNSCR 1244/99), Project No. 2010/231987
- Strategic/Interim Evaluation of EU IPA Pre-Accession Assistance to Montenegro, contract no. 2010/241390
- Strategic/Interim Evaluation of EU IPA Pre-Accession Assistance to Serbia, contract no. 2010/231827
- Ex-Post Evaluation of the assistance Provided by the EU's Turkish Pre-Accession Instrument, 2002-2006 Review of twinning in Turkey, N°06/PO/01/003/101911
- Evaluation of the European Union's Cooperation with Lesotho 2008-2013
- Joint strategic evaluation of budget support operations in Morocco (2005-2012)
- Strategic evaluation of the EU cooperation with the occupied Palestinian Territory and support to the Palestinian people (2008-2013)
- Upcoming evaluation of EU's cooperation with Paraguay.

(D.3) Evidence from assessing the implementation and application of legislation (complaints, infringement procedures)

N/A

(D.4) Consultation

Stakeholders for this evaluation include:

National/regional stakeholders include (non-exhaustive list):

- National IPA coordinators (NIPAC);
- National Coordinating Units in ENI countries (NCU)
- Operating Structures of participating beneficiary countries

<sup>34</sup> <http://ec.europa.eu/social/keyDocuments.jsp?type=0&policyArea=86&subCategory=987&country=0&year=0&advSearchKey=progressevaluation&mode=advancedSubmit&langId=en>

<sup>35</sup> [https://ec.europa.eu/europeaid/node/80199\\_en](https://ec.europa.eu/europeaid/node/80199_en); [http://ec.europa.eu/enlargement/news\\_corner/key-documents/index\\_en.htm](http://ec.europa.eu/enlargement/news_corner/key-documents/index_en.htm)

- Members of the IPA monitoring committees, the Sectoral monitoring committee
- Ministries or agencies in charge of social protection, finance, planning, etc.
- Representative trade unions and employers' organisations
- Associations of providers of in-kind social protection services (e.g. social care, health care, long-term care)
- Relevant civil society organisations and research institutions

International stakeholders (non-exhaustive list):

- International Labour Organization (ILO)
- World Bank
- UNICEF
- OECD
- Council of Europe
- Relevant civil society organisations and research institutions

Stakeholder consultation.

1. Inception and desk phases

- During the inception and desk phases, the EU and national/regional stakeholders will be consulted via phone/email/face to face discussions based on a comprehensive consultation strategy developed by the contractor. Use of interviews, surveys, questionnaires and other tools will be considered and decided upon during the inception phase. Comments/views will be taken on board from these stakeholders before the finalisation of the Inception and the Desk phase reports.

2. Field phase

- During the field phase 8-10 countries will be visited by the evaluators.

3. Final report

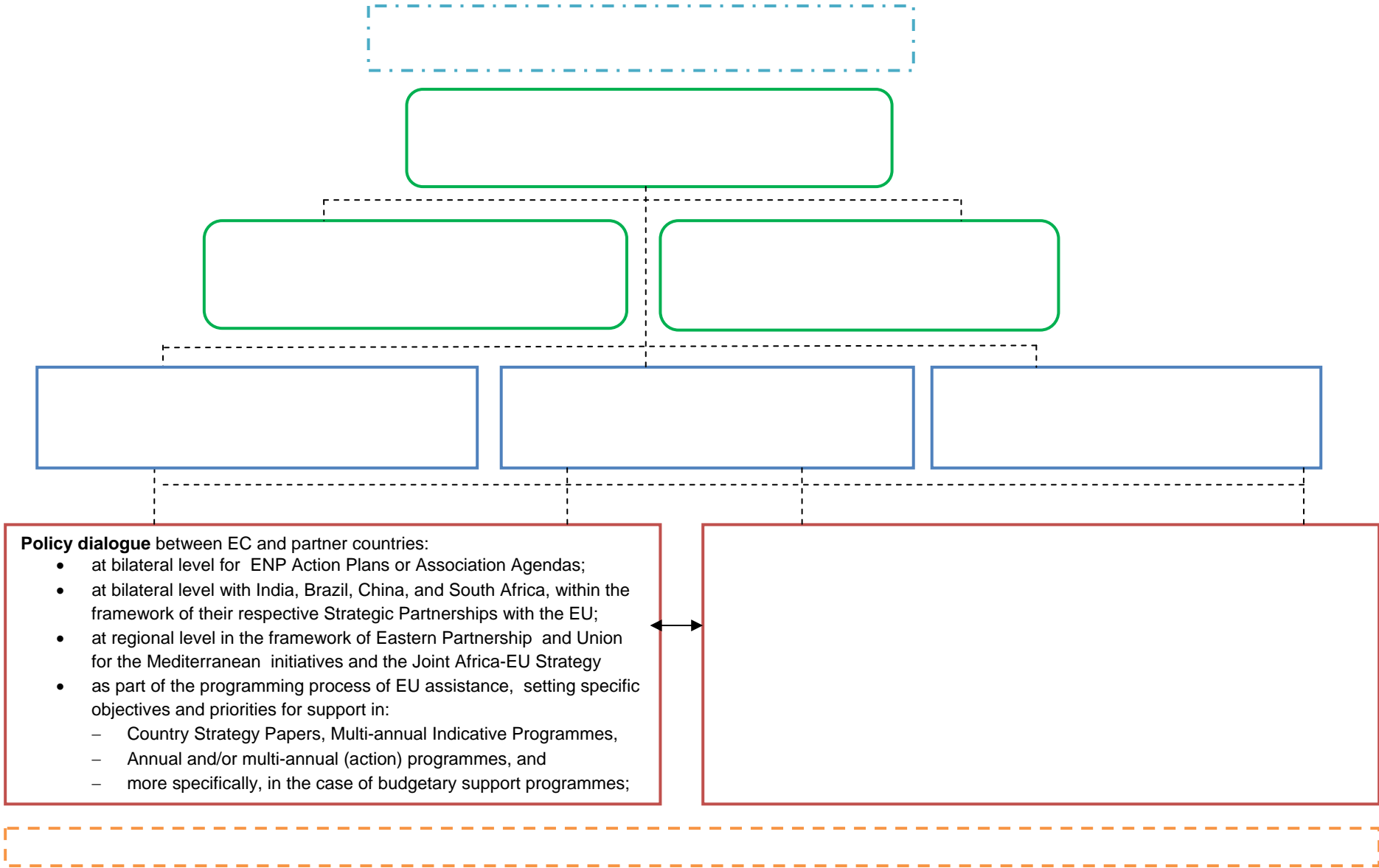
- A stakeholders' workshop will be held towards the end of the field phase before the elaboration of the draft final report to discuss the findings and preliminary recommendations;
- The draft final report will be sent for comments to the stakeholders listed above before its finalisation.

4. Dissemination

- A dissemination seminar/conference will be held in Brussels once the evaluation has been completed.

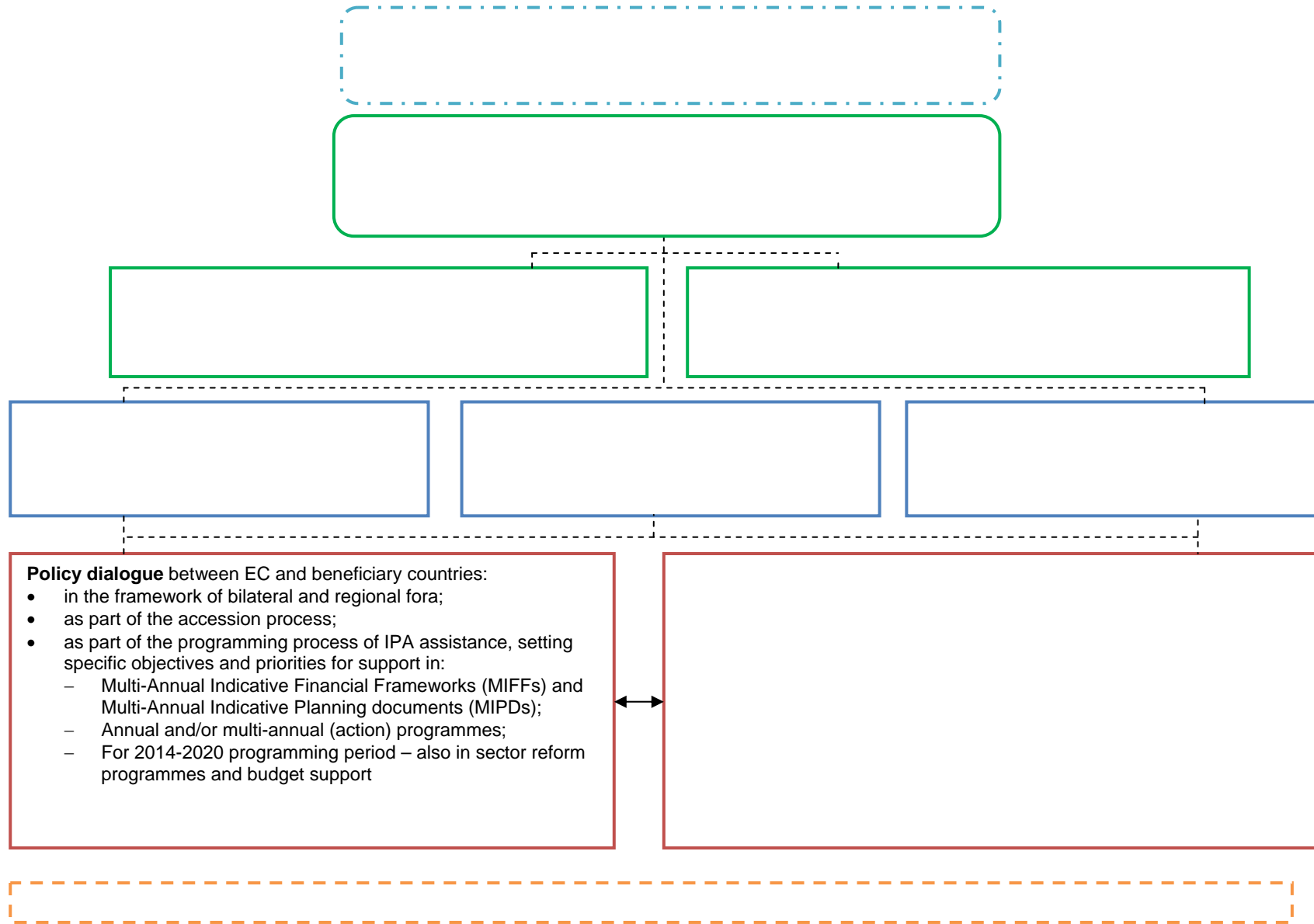
**(D.5) Further evidence to be gathered**

In addition to the above consultation strategy (to be further defined), the contractor will gather evidence from desk research and other activities as needed.



<sup>36</sup> Based on COM (2012) 446 final





<sup>37</sup> Based on COM (2005)706 final