



## **WORK PROGRAMME FOR STRATEGIC EVALUATIONS** **2018-2022**

### **I. Introduction**

#### **I.1. Principles and framework**

The overall principles governing the evaluation of EU International Cooperation and Development policies and activities are set out in [COM\(2013\) 686 “Strengthening the foundations of Smart Regulation - improving evaluation”](#), in the 2015 [Better Regulation](#) package and in “[Evaluation matters](#), – [The Evaluation Policy for EU development co-operation](#)” (2014). The aim of evaluation policies and activities is to provide our organisation with evidence for informed decision-making. Public accountability, learning from experience and promotion of synergies are at the centre of our evaluation principles.

Embracing these principles, the Work Programme for Strategic Evaluations 2018-2022 aims to establish a close link between evaluation planning and the policy agenda.

The Work Programme has been approved by the Commissioner for International Cooperation and Development, in agreement with the High Representative/Vice-President for Foreign Affairs and Security Policy and the Commissioners for European Neighbourhood Policy and Enlargement Negotiations and for Humanitarian Aid and Crisis Management.

#### **I.2. Scope and structure**

The legal basis of the various instruments requires the Commission to "*regularly evaluate the results of geographical and cross-border policies and programmes and of sectoral policies and the effectiveness of programming in order to ascertain whether the objectives have been met and enable it to formulate recommendations with a view to improving future operations*".

This Work Programme covers the following categories of strategic evaluations:

1. ***Geographic evaluations*** which assess the cooperation policies, and the contribution of projects, programmes and instruments to these policies over a significant period of time in a given **country or region** (see Annex I).
2. ***Thematic evaluations*** which assess the cooperation policies, aid modalities and the contribution of projects and programmes to these policies in a given **thematic area or sector** over a significant period of time. They also include major evaluations that could lead to changes in the policy and/or regulatory framework and do not feed into an overarching evaluation (see Annex II).

***Evaluations of interventions (also known as “project and programme evaluations”) are outside the scope of this Work Programme.*** These evaluations are conducted on a decentralised level by EU Delegations and Headquarters’ operational services. They are listed in the Operational Evaluation Plan (OEP) drawn up by each Delegation or Service and cover a wide variety of interventions. They are also used as input for geographic and thematic evaluations.

In line with the Better Regulation Guidelines, the present Work Programme is organised as a five-year rolling work programme for the sake of forward planning. However, it is reviewed and fine-tuned on a yearly basis in order to take on board new priorities and adjust to new developments.

This Work Programme is therefore **more complete and accurate for the first two years of the 2018-2022 period and more indicative for the following years**. For the years 2018 and 2019, it corresponds to the delivery capacity of the Section for Strategic Evaluations of unit DEVCO.04 (Results, Evaluation and Business Processes), based on its current staff allocation.

The Work Programme is structured into geographic and thematic evaluations for reasons of clarity. However, these evaluations should not be seen as isolated blocks. Geographic evaluations inform and feed the thematic evaluations and vice versa.

## **II. Geographic evaluations**

### **II.1. Typology and Criteria**

Geographic evaluations, conducted at country or regional level, are categorised as:

- *Bilateral (country/regional) evaluations*, evaluating only EU development aid managed by the Commission;
- *Joint evaluations* conducted with other donors whatever the form of their support;
- *Budget Support (BS) evaluations*, which usually aim at involving all donors who provide budget support in a country.

The choice among the three categories of geographic evaluations depends on the share of budget support in a country and on other donors' – including partner countries' – interest in undertaking a joint evaluation.

Due to constraints on resources which do not allow the evaluation of every country portfolio in every programming cycle, a set of criteria has been adopted for the geographical evaluations:

- **Financial coverage:** amount of funds allocated under previous and ongoing programming cycles;
- **Regularity:** year of previous evaluation and/or special need in the context of joint programming;
- **Proportionality:** coverage of regions.

The Work Programme for Strategic Evaluations thus allows for a balanced geographical coverage, evaluation of a significant share of the financial allocations of the current programming cycle, and regular evaluation of cooperation in countries.

Moreover, in line with the new European Consensus, there is a particular focus on fragile and conflict-afflicted countries. This is reflected by the fact that evaluations in fragile countries for the period 2018-2022 represent 19.02% of financial allocations of the current programming cycle, but 62.5% of the overall planned evaluations (see Annex I), marking a significant increase from the previous Work Programme.

## II.2. Main adjustments in relation to the previous work programme (2017-2021) for geographic evaluations

In order to better match corporate needs, the following adjustments have been made:

- i) The starting date of the evaluation of Rwanda is planned for 2018 instead of 2017;
- ii) The evaluations of Samoa (Pacific) and Iraq for 2019 and Guyana for 2021 are new entries in the work programme;
- iii) The evaluation of Somalia has been postponed for 2020 in order to take into account the ongoing changes in the programming cycle and related new programmes;
- iv) The evaluation of the Central African Republic will be re-launched in late 2018 due to the cancellation of the previous contract;
- v) The evaluations of Malawi and Tajikistan will start in 2019 instead of 2018;
- vi) The starting date of the evaluations of Niger and Nigeria has been planned for 2019 and 2020 respectively, rather than for 2021.

## II.3. On-going work on geographic evaluations

In June 2018, the following geographic evaluations were on-going (not yet published):

- *Bilateral Country/Regional Evaluations:* Ivory Coast, Afghanistan, Eastern-Southern Africa and Indian Ocean, Western Africa, Central Africa, Latin America and Myanmar;
- *Joint Country Evaluation:* Nicaragua;
- *Budget Support Evaluations:* Peru, Cambodia, El Salvador.

Apart from the evaluations of Myanmar, Nicaragua and Latin America (Regional), all the other evaluations are expected to be finalised and published in 2018.

## **III. Thematic Evaluations**

### III.1. Principles for defining thematic evaluations

The principles for defining the thematic evaluations in the 2018-2022 programme stem from the [Global Strategy for the European Union's Foreign and Security Policy](#) and the [new European Consensus](#).

The three dimensions of sustainable development (economic, social and environmental) set the priorities of the thematic evaluations.

The thematic evaluations seek to provide a comprehensive picture of the following areas:

- Human rights, democracy and other aspects of good governance; focus is also put on security, fragility and transition under the umbrella of a more integrated, coherent and coordinated response, on migration, and on civil society and local authorities;
- Inclusive and sustainable growth: agriculture and energy, natural resources management, climate change, education and jobs creation; business environment, regional integration and access to world markets; new financial tools in order to leverage further resources to increase the EU's impact on poverty reduction.
- The nexuses between development and security and defence, state and societal resilience, climate change, fragility/conflict, inclusiveness, gender equality, human rights, multilateralism and joint implementation are taken into account.

### III.2. Main adjustments in relation to the previous work programme (2017-2021) for thematic evaluations

Based on an agreement with the EEAS, FPI and DG NEAR, the evaluation of Conflict Prevention will start in 2018 and will also include the aspect of Peace Building (Conflict Prevention and Peace Building Evaluation), thus encompassing a more comprehensive and integrated approach. Furthermore, this evaluation will include countries under the mandate of DG NEAR.

The evaluation of the EU Emergency Trust Fund for stability and addressing root causes of irregular migration and displaced persons in the regions of the Sahel and Lake Chad, the Horn of Africa and in parts of North Africa has been added in the work programme for the year 2018 to get information earlier than planned. This mid-term evaluation includes countries under the mandate of DG NEAR and will be coordinated with the migration evaluation led by DG NEAR.

The evaluation of EU Development Cooperation on Drugs is a new entry in the Work Programme. This evaluation derives from the need to integrate the new approach pledged by the UN General Assembly Special Session on Drugs (UNGASS) and its link to development cooperation aspects. Moreover, it is fuelled by the need of investing in a common approach on drugs within the EU.

The evaluation of Civil Society Organisations and Local Authorities, first thematic programme of the DCI - Development Cooperation Instrument - will start with a first phase (2018) to ensure the evaluability of the programme through robust primary information, and continue with a second phase (2019) to carry out a comprehensive evaluation.

The evaluation of Global Public Goods and Challenges, second thematic programme of the DCI, has been inserted in the Work Programme for the year 2020<sup>1</sup>.

A series of meta-evaluations on Governance, Human Rights and Rule of Law have also been added for the year 2020. The geographical scope of the evaluation of Cooperation with the UN, also planned for 2020, should be further defined.

The evaluation of Resilience will be postponed in order to allow time for conducting a comprehensive assessment in line with the priorities and challenges set out in the JOIN (2017) 21 final Communication '[A Strategic Approach to Resilience in the EU's external action](#)'.

### III.4. On-going thematic evaluation work

In May 2018, the following thematic evaluations were on-going: Policy Coherence for Development, Social Protection (led by DG NEAR), and Sustainable Energy Cooperation. These evaluations should be finalised and published in 2018.

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<sup>1</sup> Although CSO-LA and GPGC are mentioned as programmes in the DCI, they are closely linked to DEVCO policies as regards its work with, firstly, Non-State Actors and secondly, the approach to Global Public Goods. They are thus considered as strategic evaluations. However the GPGC evaluation is to be confirmed (both timing and approach).



***ANNEX I : Geographic Evaluations***

<b>Evaluation description</b>						
Title	Evaluation level	DEVCO Directorate	Joint	Budget Support	Fragile <sup>2</sup>	Comments
<b>Planned for 2018</b>						
Rwanda	Country	E	X		X	Ongoing preparation, postponed from 2017. MS already engaged
Central African Republic	Country	E			X	Re-launched Evaluation
Mali	Country	E	X		X	Evaluation already included in the 2017-2021 work programmes and planned for this year. MS already engaged
<b>Planned for 2019</b>						
Angola	Country	D				Evaluation already included in the 2017-2021 work programme and planned for this year
Iraq (tbc)	Country	F			X	New Evaluation requested by Directorate F
Kyrgyzstan	Country	F				Evaluation already included in the 2017-2021 work programme and planned for this year
Malawi	Country	D				Evaluation already included in the 2017-2021 work programme
Mauritania	Country	E			X	Timing requested by the HoD and Director E
Nepal (tbc)	Country	F				New evaluation asked by the Director F. The previous evaluation in Nepal was published in 2012

<sup>2</sup> EU Crisis List 2017/18

Niger (tbc)	Country	E			X	Timing requested by the Director E
Samoa Island (tbc)	Country			X	X	Evaluation requested by Director F in replacement of Vietnam budget support evaluation which will eventually be dealt by the EU Delegation
South Sudan	Country	D			X	Evaluation already included in the 2017-2021 work programme and planned for this year
Tajikistan	Country	F				Evaluation already included in the 2017-2021 work programme and planned for this year
Zimbabwe	Country	D			X	Evaluation already included in the 2017-2021 work programme and planned for this year
<b>Planned for 2020</b>						
Ethiopia	Country	D			X	Evaluation already included in the 2017-2021 work programme planned for this year
Haiti	Country	G			X	Evaluation already included in the 2017-2021 work programme planned for this year
Mozambique	Country	D				Evaluation already included in the 2017-2021 work programme planned for this year
Nigeria	Country	E			X	Evaluation already included in the 2017-2021 work programme planned for this year
Papua New Guinea	Country	F			X	Evaluation already included in the 2017-2021 work programme planned for this year
Somalia	Country	D			X	Timing in line with Director D
<b>Planned for 2021</b>						
Guyana	Country	G		X	X	
<b>Planned for 2022</b>						
Benin	Country	E				
Jamaica	Country	G				
Liberia	Country	E			X	

**ANNEX II: Thematic and other evaluations**

Year of launch	Evaluation focus	Policy areas	Comments
2018	Conflict Prevention and Peace Building Evaluation (CPPB)	Conflict and fragility	Embarking on the experience gained since the last evaluation, the purpose of the evaluation is mainly to assess the mainstreaming of CPPB into policies and implementation covering all stages of the conflict cycle and evaluate the results of EU's engagement in CPPB. This evaluation will include the neighbourhood area and will be led by DEVCO.
2018	State Building Contracts	Governance	This evaluation intends to look for the first time at the application of this implementation modality in fragile contexts and with which results.
2018	Vocational Training and Employability	Governance	Following on in this important area from the evaluation of employment and social inclusion published in 2011, an evaluation of vocational training will be of great value in improving the effectiveness of our support for better policies in support of the private sector and employment creation, notably for young people and women.
2018	Migration <sup>3</sup>	Migration	Migration is now firmly embedded in the EU foreign policy, including its development policy. The EU's agenda on migration sets out a European response, combining internal and external policies, making use of various tools, and involving all actors. The objective of this evaluation will be to assess the relevance, effectiveness and value added of EU interventions in this area. This evaluation will be led by DG NEAR but will also cover DG DEVCO countries.
2018	EU Emergency Trust Fund for Africa		Established at the end of 2015, the EU Emergency Trust Fund for Africa has financed so far 146 programmes across its three regions of intervention (Sahel Region and Lake Chad, Horn of Africa, North of Africa) for a total of around €2.4 billion. This is a mid-term evaluation of this Trust Fund, which was officially constituted at the Valetta summit on migration in November 2015. The evaluation will focus on the strategic approach and its operationalization, the governance structure, first results achieved so far, and will draw conclusions and recommendations in view of enhancing in particular its efficiency and effectiveness, EU value added and expected impacts.

<sup>3</sup> Although DG NEAR leads this evaluation, its implementation will have a serious impact on the workload of DEVCO 04.

2018	Civil Society Organisations and Local Authorities (CSO- LA) – Evaluability Study		First phase of the evaluation: assess the evaluability of the programme (including availability and quality of secondary datas); and if needed evaluate further a representative sample of interventions already implemented.
2019	Civil Society Organisations and Local Authorities (CSO- LA) Programme	Governance	Following the first phase, the evaluation will focus on the assessment of the thematic programme CSO and Local Authorities (2014-2020 with a budget EURO 1.907 billion). The legal base of this Programme lays in the Regulation 233/2014 of the European Parliament and Council ‘establishing a financing Instrument for Development Cooperation (DCI)’. The objective of DCI is defined mainly ‘to strengthen civil society organisations and local authorities in partner countries.
2019	Agriculture-Growth-Employment	Agriculture Employment	The need for this evaluation is underpinned by the fact that in more and more ACP countries the sector of rural development is an essential focal sector in line with our commitments. The objective of the evaluation is to evaluate the results of the support provided by the EU in this area.
2019	EU Development Cooperation on Drugs (tbc)		The need for this evaluation derives from the necessity of integrating the new approach pledged by the UNGASS and its link to the development cooperation and of investing in a common approach on Drugs within the EU. Major stakeholders of this evaluation will be DG DEVCO, DG HOME, DG NEAR and the Council of the European Union.
2020	Evaluation of Cooperation with UN <sup>4</sup>		The evaluation will cover the partnership between the EU and the UN in terms of channeling development cooperation funds through the UN. Furthermore, assessing the choice of aid modality versus other modalities will be included. The evaluation will build upon the previous evaluation ‘Evaluation of Commission’s external cooperation with partner countries through the organizations’ implemented in 2008. This evaluation will be led by DG NEAR but will also cover DG DEVCO countries.
2020	Economic Partnership Agreements (EPA)	Trade Private Sector	Economic Partnership Agreements (EPAs) are trade and development agreements negotiated between the EU and African, Caribbean and Pacific regions engaged in a regional economic integration process. The EPAs were put in place to help ACP countries integrate into the world economy and share in the opportunities offered by globalization. The objective of this evaluation is to assess the extent to which the implementation of the EU support for EPAs has created favourable conditions to boost trade in the targeted regions, stimulate growth and facilitate job creation.

<sup>4</sup> Such an evaluation also exists in DG NEAR’s work plan for the year 2020. DEVCO 04 proposes that either it leads this evaluation or carries it out on its own.

2020	<u>Meta-evaluations</u> <sup>5</sup> :  - Governance - Human Rights - Rule of Law	Governance Human Rights Rule of Law	The purpose of these meta-evaluations is to make use of the findings from completed evaluations and to feed into the final evaluation of the Instruments post-2022.
2020	EU Trust Funds		Evaluation of this new delivery modality based on 5 years of experience that will have been gained by 2020 in implementing various EU Trust Funds in various contexts. This should be more a meta evaluation than an evaluation as such, based on the information of 3 evaluations of Trust funds: Bekû to be included in the RCA evaluation; Madad evaluated by DG NEAR; EU TF for Africa.
2020	‘Global Public Goods and Challenges’ Programme		This evaluation will focus on the assessment of the thematic programme ‘Global Public Goods and Challenges’. The legal base of this Programme lays in the Regulation 233/2014 of the European Parliament and Council ‘establishing a financing Instrument for Development Cooperation (DCI)’. Actions that range from environment, human development, sustainable energy and agriculture to migration and asylum are funded through this programme.
2021	External Investment Plan	Investment Infrastructure Private sector	The European External Investment Plan is an example of a 'smarter' use of Official Development Assistance to leverage funding from other sources, create quality and decent jobs, and generate inclusive sustainable growth for the benefit of the poorest. It will encourage investments that otherwise would not happen – for example in conflict-affected areas or where economic governance is lacking.
2022	Joint implementation		Having a prominent role in the new European Consensus, Joint implementation is a way of promoting a more coherent, effective and coordinated EU support based on shared objectives in selected sectors or on cross-sectoral specific themes, tailored to the country contexts. Joint implementation for example ranges from delegated cooperation, joint operational programmes to technical expertise (twinning), thematic Trust Funds, Joint management centres and others. Joint implementation is based on joint analyses and is evaluated jointly.
2022	Biodiversity	Biodiversity Natural Resources	Biodiversity and development are closely linked. The European Commission has provided official aid funds for biodiversity-related activities of around €1.3 billion between 2002 and 2017. This evaluation will encompass lessons learnt and practices focused on Agro - biodiversity and Wildlife.

<sup>5</sup> DEVCO 04 is planning to address systematically the need for meta-evaluations and to include them regularly in the Evaluation Work Programme in the coming years.