

ANNEX

**to the Commission Implementing Decision on the financing of the 2021 annual work programme for the operational expenditure to finance evaluation and monitoring activities of external assistance granted by the Union to beneficiaries of pre-accession assistance and of assistance provided in the neighbourhood region**

*Introduction*

This work programme sets out the implementation measures of the operational expenditure to finance evaluation and monitoring of external assistance activities , planned under the 2021 allocation from lines 14.020112 and 14.200404 of the general budget of the European Union to the Directorate-General for Neighbourhood and Enlargement (DG NEAR), for a total amount of **EUR 6 200 000** subject to the availability of the requisite appropriations on the budget line concerned.

This work programme for 2021 covers operational expenditure to finance evaluation and monitoring activities of external assistance granted by the Union in beneficiaries of pre-accession assistance and the neighbourhood region. In specific cases, countries outside the two main regions of interest (notably those managed by the Directorate-General for International Partnerships (DG INTPA)) might be covered by evaluation activities whenever the scope of the evaluations makes it relevant, in the spirit of strengthening synergies and cooperation with programmes under other Union instruments.

This global budgetary envelope of EUR 6 200 000 for 2021 is reserved for **procurement** contracts. All the measures envisaged in the work programme will be financed in accordance with Article 58(1) and Article 58(2), point (d), of Regulation (EU, Euratom) 2018/1046 of the European Parliament and of the Council (the ‘Financial Regulation’)<sup>1</sup> and Article 23 of Regulation (EU) 2021/947 of the European Parliament and of the Council<sup>2</sup> and the relevant procurement rules and procedures, and will be implemented by DG NEAR under direct management, with Unit A4: Coordination of financing instruments - performance, results and evaluation being the programming and implementing unit.

This programme will be implemented by **direct management** by the Commission in accordance with Article 62(1), point (a), of the Financial Regulation.

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<sup>1</sup> Regulation (EU, Euratom) 2018/1046 of the European Parliament and of the Council of 18 July 2018 on the financial rules applicable to the general budget of the Union, amending Regulations (EU) No 1296/2013, (EU) No 1301/2013, (EU) No 1303/2013, (EU) No 1304/2013, (EU) No 1309/2013, (EU) No 1316/2013, (EU) No 223/2014, (EU) No 283/2014, and Decision No 541/2014/EU and repealing Regulation (EU, Euratom) No 966/2012 (OJ L 193, 30.7.2018, p. 1).

<sup>2</sup> Regulation (EU) 2021/947 of the European Parliament and of the Council of 9 June 2021 establishing the Neighbourhood, Development and International Cooperation Instrument – Global Europe, amending and repealing Decision No 466/2014/EU and repealing Regulation (EU) 2017/1601 and Council Regulation (EC, Euratom) No 480/2009 (OJ L 209, 14.6.2021, p. 1).

Procurement will follow the provisions of Part One, Title VII, Chapter 3, of the Financial Regulation.

Where appropriate, the Commission will also make use of Framework Contracts concluded by other Directorates General of the Commission following Part One of the Financial Regulation.

## *1. Description of the programme, objective, expected results and assumptions*

### **2.1 Overall objective**

**The overall objective** of the 2021 evaluation and monitoring programme is to provide an assessment of the implementation of EU support (policy dialogue and financial assistance) in the beneficiaries of pre-accession assistance and the neighbourhood region, and to support the development of evidence-based policies, instruments and operations design.

With regard to Article 34 of the Financial Regulation the focus is on enhancing the relevance, EU value-added, coherence, effectiveness, efficiency, impact, sustainability and accountability of assistance by means of studies, Result Oriented Monitoring (ROM) and evaluations of policies, projects and programmes financed from the Instrument for Pre-Accession Assistance (IPA) and the European Neighbourhood Partnership Instrument (ENPI)/ European Neighbourhood Instrument (ENI)/ Neighbourhood, Development and International Cooperation Instrument - Global Europe NDICI instruments.

This includes, among others, the following:

- any of the IPA I National and Multi-Beneficiary Annual Action Programmes,
- any of the IPA II planning and programming documents (Country and Multi Country Strategy Papers, Country and Multi-country Action programmes, Cross-Border Cooperation Programmes, Rural Development Programmes, etc.),
- ENI/ENPI bilateral programmes, multi-country programmes, cross-border cooperation programmes, managed by the Commission Headquarters, EU Delegations or by the administrations of the beneficiaries and partner countries under different management modes,
- IPA III planning and programming documents (IPA III Programming Framework, annual or multi-annual or multi-country action plans or measures, cross-border cooperation programmes),
- Global Europe-NDICI– Neighbourhood planning and programming documents (Multi-Annual Indicative Programmes, annual or multi-annual action plans or measures, cross-border cooperation programmes).

The ROM system is the external monitoring system of the European Commission. It aims at enhancing the European Commission's accountability and management capacities with a strong focus on results. It supports EU Delegation and Headquarters' services by providing an external opinion on project implementation. ROM activities under this proposal are for the benefit of neighbourhood partner countries.

Evaluations activities under this proposal are for the benefit of beneficiaries of pre-accession assistance and the neighbourhood region. For this purpose, when relevant, evaluation activities may be carried out in countries other than these beneficiaries, e.g. where similar assistance programmes have been implemented, and for which the evaluation results would be relevant for IPA beneficiaries and ENI/ENPI partner countries. Capacity building activities

related to linking planning/programming, monitoring and evaluation might be also supported through this programme. The membership of the Commission at the European Evaluation Society might be supported with a view to benefit from exchanges of evaluation practices with practitioners from the EU Member States and the beneficiaries of pre-accession assistance and the neighbourhood region.

Evaluations, studies, reviews, ROM are aimed at assessing the external and internal coherence, including complementarity and synergies between the instruments (also thematic instruments intervening in the regions) and the contribution of the measures to a consistent EU external action. In that sense, they contribute to implementing the objectives referred in Regulation (EU) 2021/947 of the European Parliament and of the Council and in particular Articles 41 and 42 thereof, as well as Regulation (EU) No 236/2014 of the European Parliament and of the Council<sup>3</sup>, and in particular Article 17 thereof .

## **2.2 Expected results**

**The expected results** of the 2021 evaluation and monitoring programme are evaluations, studies, ROM reports and capacity building activities, which shall provide support to decision making in the planning and implementation of assistance and in the formulation of policies and strategies. The programme's outputs shall also provide the Commission with a judgement of actions according to their results, impacts and needs they aim to satisfy.

Evaluations are planned for IPA I (2007-2013), IPA II (2014-2020), IPA III (2021-2027) ENPI (2007-2013), ENI (2014-2020), NDICI (2021-2027) and other external action instruments if and when relevant. The activities will focus on geographic and thematic/sector evaluations/studies related to programming and implementation of pre-accession assistance in candidate countries, and potential candidates as well as programming and implementation of EU assistance in partner countries and territories covered by the European neighbourhood policy. Selected evaluations could have a broader geographical coverage, covering regions under the responsibility of other instruments. Activities may include capacity building in linking planning/programming, monitoring and evaluation, and ad-hoc evaluations and studies on non-expenditure related themes and policies. The evaluations at Commission headquarters' level are aimed at addressing the strategic level, mostly dealing with evaluation of policies, instruments and sectors with a multi-country perspective to identify orientations for policy making and instrument setting.

Results-oriented monitoring is planned for projects financed under ENI, ENPI and NDICI (2021-2027).

## **2.3 Assumptions and conditions**

It is assumed that all beneficiaries and other stakeholders are fully committed to the implementation of the 2021 evaluation and monitoring programme. The commitment of the

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<sup>3</sup> Regulation (EU) No 236/2014 of the European Parliament and of the Council of 11 March 2014 laying down common rules and procedures of the implementation of the Union's Instruments for financing external action (OJ 77, 15.03.2014, p. 95)

beneficiaries to cooperate closely and to share knowledge as well as experiences is essential for the success of the programme.

The 2021 evaluation and monitoring programme will continue to be implemented in close cooperation with operational managers, EU Delegations and beneficiaries. It will provide an effective support to the decision-making process, enhance the ownership of evaluation results by key stakeholders and ensure that lessons learned from evaluations are taken into consideration for the programming and implementation of EU assistance.

## 2. Implementation

This work programme for 2021 contains two actions and budget breakdown as follows:

| Action   | Type of management                           | EUR                |
|--|--|--------------------|
| 1 Evaluation and capacity building for beneficiaries of IPA III and neighbourhood region - budget line 14.200404 | Direct management by the European Commission | 2 500 000          |
| 2 Results-Oriented Monitoring (ROM) for the neighbourhood region - budget line 14.020112                         | Direct management by the European Commission | 3 700 000          |
| <b>TOTAL</b>   |  | <b>6 200 000</b>   |
| <b>CRIS commitment reference</b>   |  | <b>2021/043046</b> |

### a) global budgetary envelope reserved for procurement:

For 2021, the global budgetary envelope reserved for procurement is EUR 6,200,000. Indicatively, EUR 2,500,000 will be used for evaluations in favour of partner countries from the beneficiaries of pre-accession assistance and the neighbourhood region and capacity building, and EUR 3,700,000 for ROM in favour of neighbourhood partner countries.

### b) indicative number and type of contract award procedures:

Evaluations under this programme will be carried out by external consultants, through service contracts, mostly through existing framework contracts and competitive negotiated procedures. Indicatively, the MFF, programming and evaluation unit of the Directorate-General for Neighbourhood and Enlargement Negotiations will manage approximately five contract award procedures per year.

The monitoring of projects and programmes under the ROM system in the neighbourhood region will be carried out by external consultants.

### c) indicative time frame for launching the procurement procedure:

The indicative timeframe for launching the procurement procedure for the service contracts is throughout year 2022.

A new ROM contract for the Neighbourhood region has started on 1 September 2021, for duration of one year and can be extended through negotiated procedure, up to maximum of four years.

d) Performance monitoring arrangements:

As part of its performance measurement framework, the Commission shall monitor and assess progress towards achievement of the specific objectives set out in the IPA II and IPA III Regulations and ENI and Global Europe-NDICI Regulations on the basis of pre-defined, clear, transparent measurable indicators. The progress reports referred to in Article 4 of the IPA II Regulation and Article 13 of the IPA III Regulation shall be taken as a point of reference in the assessment of the results of IPA assistance. The action plans referred in Article 3 of the ENI Regulation, and in Article 23 of the Global Europe-NDICI regulation shall be taken as a point of reference in the assessment of the results of EU external action in the Neighbourhood regions.

The Commission will collect performance data (process, output and outcome indicators) from different sources. Such data will be aggregated and analysed in order to track the progress versus the targets and milestones established for each of the actions of this programme, as well as the multi-annual programming documents for each country.

In the specific context of indirect management by IPA beneficiaries, National IPA Coordinators (NIPACs) will collect information on the performance of the actions and programmes (process, output and outcome indicators) and coordinate the collection and production of indicators coming from national sources.

The overall progress of EU external action in the Enlargement and Neighbourhood regions will be monitored through the following means:

- a) ROM system;
- b) IPA Beneficiaries and Neighbourhood Partner countries' own monitoring;
- c) Implementing partners (when different from those covered under point (b)) monitoring of EU interventions
- d) Self-monitoring performed by the EU Delegations;
- e) Joint monitoring by the Commission and the IPA Beneficiaries. The compliance, coherence, effectiveness, efficiency and coordination in implementation of financial assistance will be regularly monitored by an IPA Monitoring committee, supported by Sector Monitoring Committees, which will ensure a monitoring process at sector level.

Gender equality, environmental sustainability and climate change will be integrated to all activities to be implemented.

For all regions, evaluations will have to take into account, to the extent possible, indicators for which data exist and baseline values have been set.