



# **Evaluation of EU Support for Security Sector Reform in Enlargement and Neighbourhood Countries (2010-2016)**

## **Annexes 1 - 7 Final Report**

**2018**

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*Evaluation carried out on behalf of the European Commission*

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This report has been prepared by



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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 concerned countries.

## KEY DATA

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# Annex 1 - Intervention Logic

## Reconstructed intervention logic

There is no pre-defined intervention logic or theory of change (ToC) for ENI or IPA support to SSR. The evaluation team has therefore reconstructed one on the basis of EU SSR policy documents and the ENI/IPA regulations. This intervention logic, which is shown in Figure 1, is the Team's understanding of how EU support for SSR to enlargement and neighbourhood countries has been *expected* to lead to the target results identified through activities supported at beneficiary and regional levels.

This intervention logic has provided a framework for the evaluation, helping to both inform the formulation of the EQs and to shape the team's analysis. It summarises the specific objectives of EU support to SSR in IPA and ENI beneficiaries, the activity areas, expected outputs, the outcomes to which these activities will contribute, the intermediate impacts, and the expected global impact.

The intervention logic is based on four key documents that outline the intent of EU support to the security sector in enlargement and neighbourhood countries: Council Regulation (EC) No 1805/2006 of 17 July 2006 establishing an Instrument for Pre-Accession Assistance (IPA), Regulation (EC) No 1638/2006 of the European Parliament and the Council of 24 October 2006 laying down general provisions establishing a European Partnership and Neighbourhood Instrument, Regulation (EU) no 231/2014 of the European Parliament and the Council of 11 March 2014 establishing an Instrument for Pre-Accession Assistance (IPAII), and Regulation (EU) no 232/2014 of the European Parliament and the Council of 11 March 2014 establishing a European Neighbourhood Instrument. These documents describe the objectives, scope and political/policy framework for support to IPA and ENI beneficiaries, including SSR.

In understanding the outputs and outcomes of SSR-related support to IPA and ENI beneficiaries, it has been necessary to take into account other key policy documents, namely the "EU Concept for ESDP Support for Security Sector Reform"<sup>1</sup>, the "Concept for European Community Support for Security Sector Reform"<sup>2</sup>, and the Council Conclusions of 6 June 2006<sup>3</sup> – all three of which constituted the EU policy framework on SSR for the bulk of the period covered by this evaluation. These documents articulate more clearly the assumptions about how EU SSR support will contribute to the identified outputs, outcomes, and intermediate impacts.

The EU seeks to foster strengthened democratic institutions and processes in order to increase the security of the EU and its neighbourhood. There are different expectations regarding engagement with the IPA beneficiaries as compared with the ENI beneficiaries, which influence the objectives of EU assistance. For beneficiaries seeking to join the EU, there is a set of obligations related to the EU policies of freedom, security and justice, the EU *acquis*. This involves both aligning national legislation with the EU *acquis* and implementing the revised legislation so that EU standards and good practices are applied. Without that, there can be no EU membership. In contrast, the assistance to ENI beneficiaries is more flexible and tailored to the specific context of each beneficiary. That said, the direction of change and desired impacts of assistance to both groups are broadly similar.

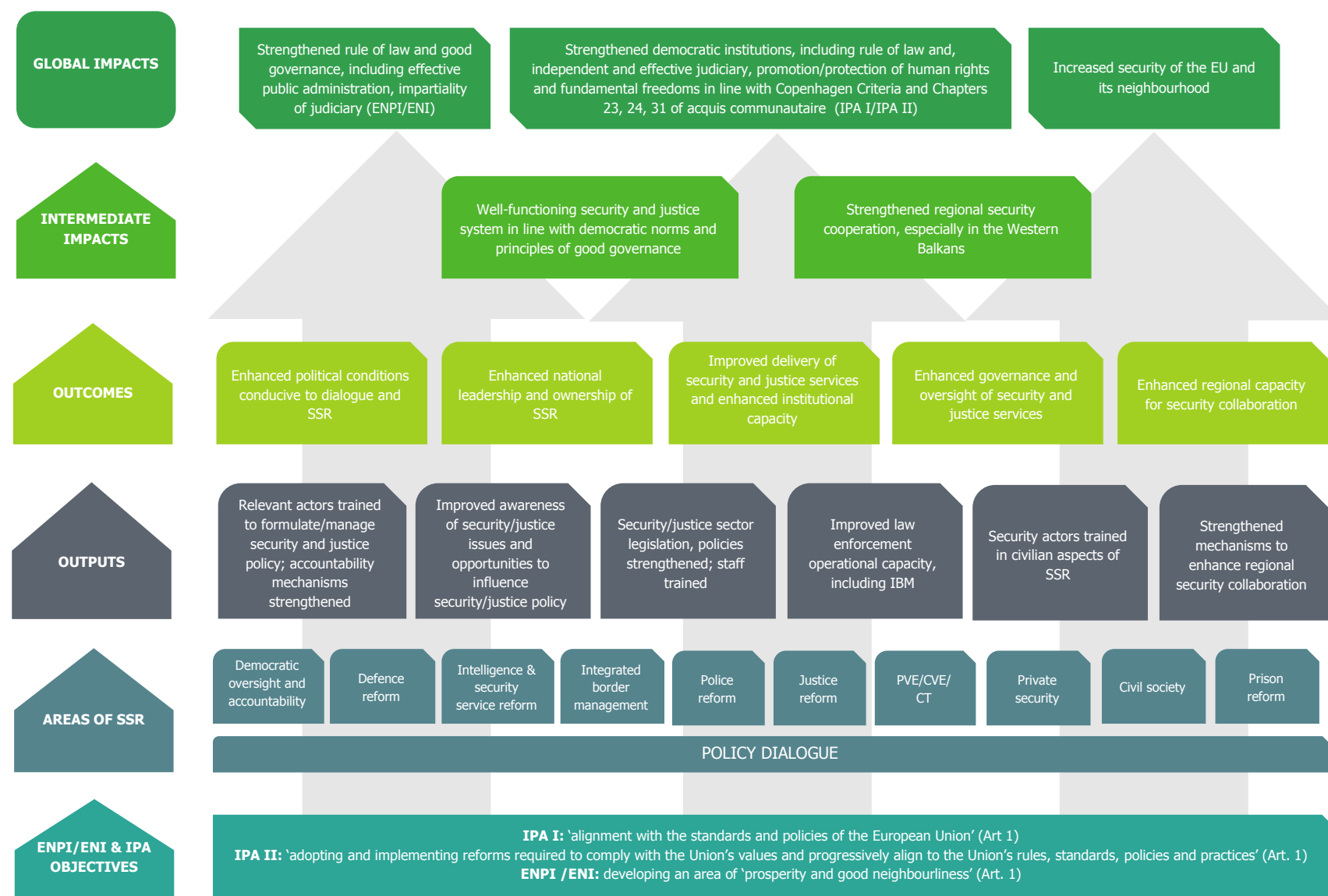
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<sup>1</sup> Council of the European Union, *EU Concept for ESDP Support for Security Sector Reform*. Consilium Europa, 2005.

<sup>2</sup> Council of the European Union. *Concept for European Community Support for Security Sector Reform*, Consilium Europa, 2006.

<sup>3</sup> Council of the European Union, *Draft Council Conclusions on a Policy Framework for Security Sector Reform*, Consilium Europa, 2006.

Figure 1 - Reconstructed Intervention Logic for EU Support to SSR in Enlargement and Neighbourhood Beneficiaries



## Annex 2 - Portfolio Analysis

### SSR contracts, TAIEX events and CSDP missions/operations

The evaluation portfolio contains three types of financial assistance: 1) EC-financed contracts; 2) TAIEX events; and 3) CSDP missions/operations. Together these comprise 'EU SSR financial assistance'.<sup>4</sup> However, the reporting formats for these three forms of assistance are not comparable. EC-financed contracts and TAIEX events are based on annual, calendar-year budgets and it is possible to assign a thematic scope to each contract/event. CSDP missions/operations report expenditure according to mandate timeframe. As a result, some CSDP budget figures cover exactly a year (but not necessarily a calendar year) while others cover more than 12 months and yet others cover less than 12 months. Additionally, CSDP mission/operation mandates cover multiple areas of SSR and the mission-wide data provided to the Evaluation Team do not allow thematic scope to be determined. Finally, budgets for individual TAIEX events were not made available to the Evaluation Team, although annual TAIEX expenditures were disaggregated by geographic region in the data provided by the European Commission's DG NEAR to the Evaluation Team. Total funding and the number of TAIEX events were also broken down by thematic area.

In consequence, a portfolio-wide analysis has been possible only for the total expenditure (**EU SSR financial assistance**) and the geographic distribution of the total expenditure. Analyses of annual financial allocations, distribution of assistance by thematic area (based on the number of contracts/events) and financing mechanism (bilateral, regional, global) are derived from data for **EC-financed contracts and TAIEX events**. The analysis of financial allocations by beneficiary and per capita financial support is based on **EC-financed contracts and CSDP mission/operations** data. Analyses of thematic composition (based on budgets), financing instruments and implementing partners are based solely on **EC-financed contracts**.

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<sup>4</sup> EU support for SSR is financed primarily through the EU budget (external financing instruments), with the exception of CSDP military operations, which are financed by EU Member States. For the purposes of mapping EU financial support to SSR, it has been necessary, as will be described below, to distinguish between financing for CSDP missions/operations and SSR financing channelled through European Commission's contracts ('EC-financed contracts') and TAIEX events.

## Budget and timeline

Figure 1 – Number of EC-financed SSR contracts and TAIEX events, by year of contracting

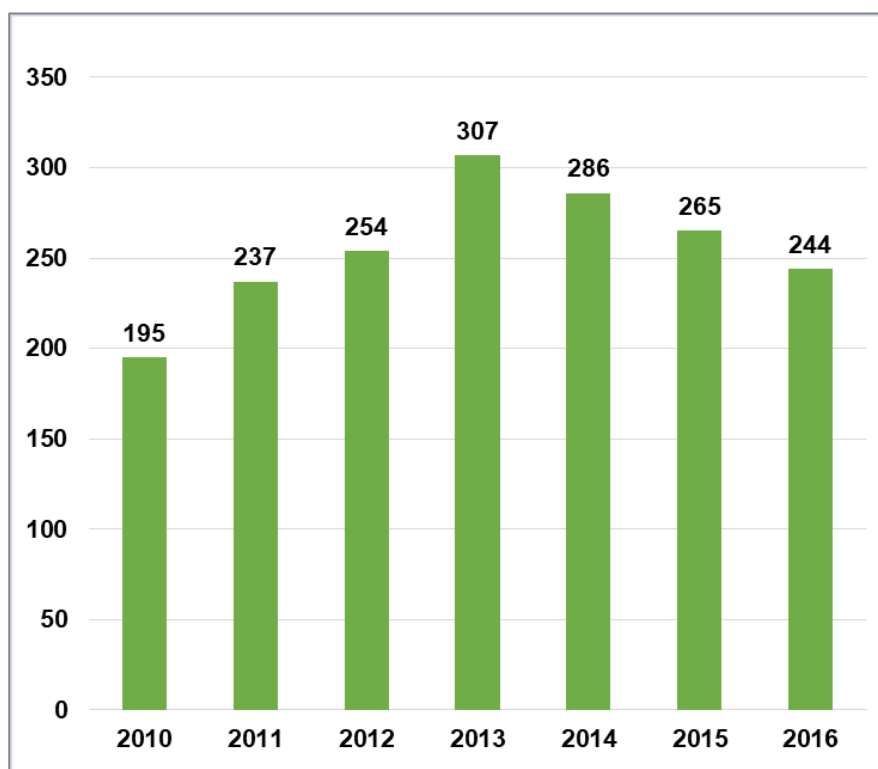


Figure 1 shows that the largest number of EC-financed SSR contracts and TAIEX events is from 2013 (307), closely followed by 2014 (286).

Figure 2 – Financial Commitments channelled through EC-financed SSR contracts and TAIEX events, 2010-2016, € million

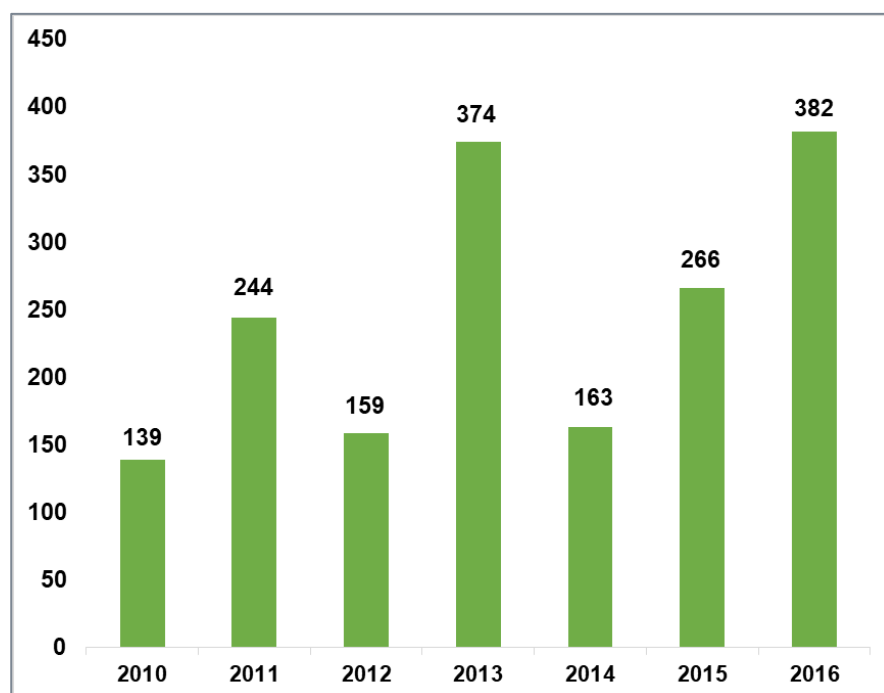


Figure 2 shows that the largest financial commitments for EC-financed SSR contracts and TAIEX events occurred in 2016 (approx. EUR 380 mn), closely followed by 2013 (approx. EUR 375 mn). The lowest commitment took place in 2010 (just under EUR 140 mn)<sup>5</sup>

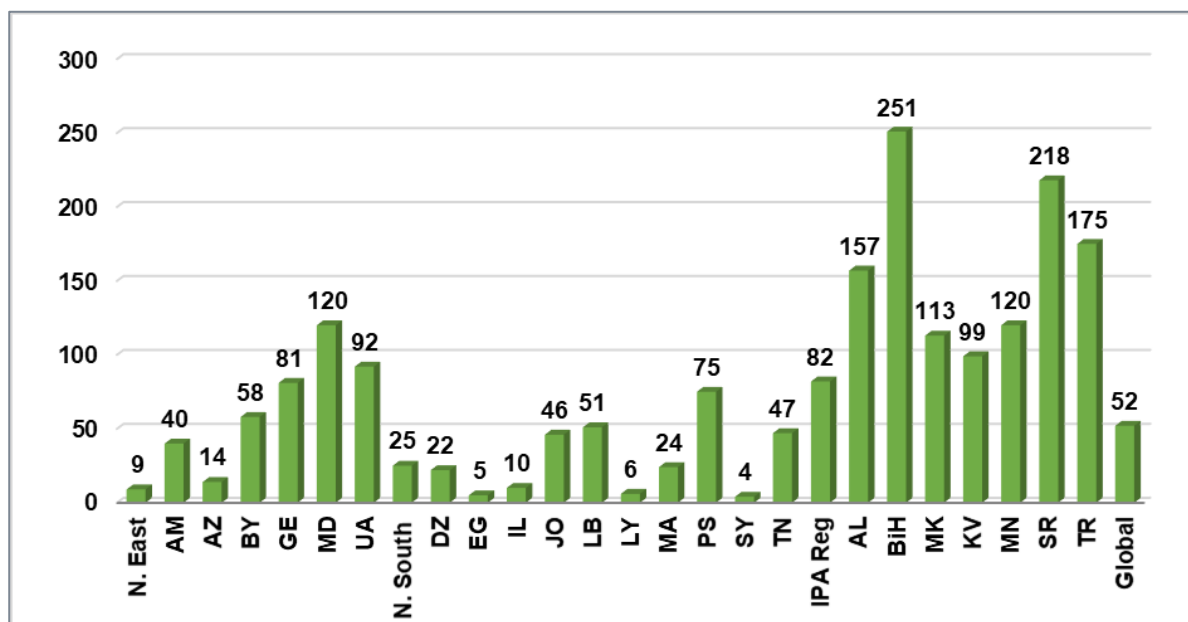
<sup>5</sup> For information on budget expenditure please refer to Figure 2 'Budget and Timeline of SSR Interventions' in Section 3 'Mapping Analysis of Financial Assistance' in the Main Report.



## Geographic distribution

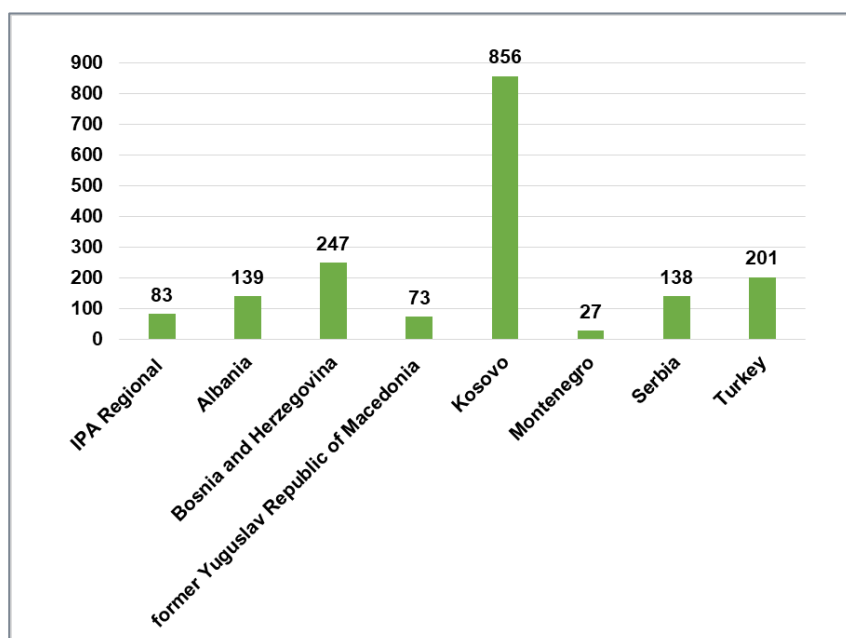
Figure 3 shows the distribution of 1,996 EC-financed contracts and TAIEX events by beneficiary and region (IPA, Neighbourhood East, Neighbourhood South) as well as for those in the Global category.<sup>6</sup>

**Figure 3 – Number of EC-financed SSR contracts and TAIEX events, by beneficiary and region**



Figures 4 to 7 illustrate the allocation of funding channelled through EC-financed contracts and CSDP missions/operations per beneficiary within their respective regions.<sup>7</sup>

**Figure 4 – Allocation of funding channelled through EC-financed contracts and CSDP missions/operations budgets, IPA, € million**



Financial resources channelled through EC-financed contracts and CSDP mission/operation budgets to IPA beneficiaries were allocated unevenly. Kosovo\* was the absolute leader (48%), leaving its regional neighbours far behind (Figure 4). Bosnia and Herzegovina (14%), Turkey (11%), Albania (8%) and Serbia (8%), together received less than Kosovo. Although Bosnia and Herzegovina, and Turkey received comparable

<sup>6</sup> CSDP data could not be disaggregated by calendar year.

<sup>7</sup> Data for TAEIX expenditure per beneficiary were not available to the Evaluation Team. However, EC-financed contracts and CSDP missions/operations account for the vast majority of EU SSR financial assistance to Enlargement and Neighbourhood beneficiaries.

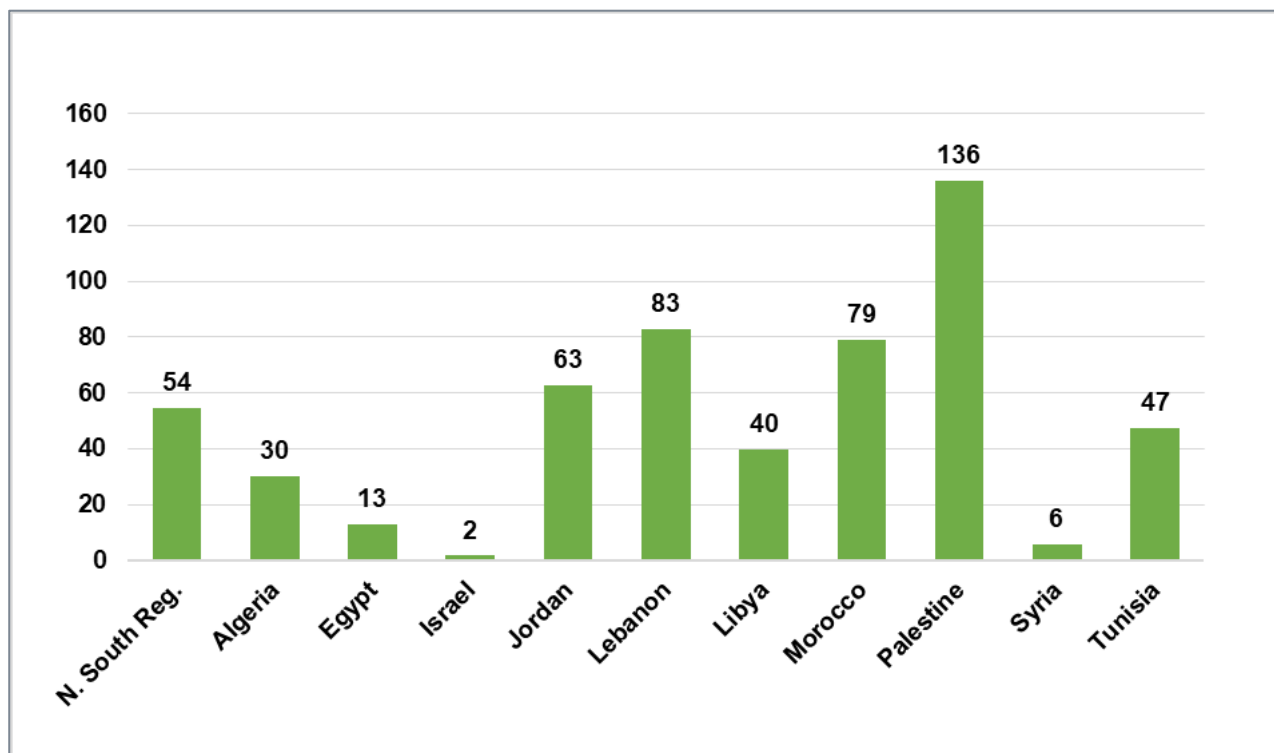
\* This designation is without prejudice to positions on status, and is in line with UNSCR 1244/1999 and the ICJ Opinion on the Kosovo declaration of independence.

levels of support, Turkey is by far the most populous and benefitted less on a per capita basis as a result. The EU provided the least SSR assistance to the former Yugoslav Republic of Macedonia and Montenegro. Approximately 5% of financing for the Enlargement region channelled through EC-financed contracts and CSDP missions/operations was allocated to regional projects (just over EUR 80 mn).

Since the promotion of regional cooperation is a high priority for the EU in the Enlargement Region, nearly one-quarter of the EC SSR budget for IPA was allocated to regional projects.

Financial resources channelled through EC-financed contracts and CSDP mission/operation budgets were also unevenly spread amongst the 10 beneficiaries in the Neighbourhood South (Figure 5). Palestine\* received the largest allocation, followed by Lebanon, Morocco and Jordan. Palestine hosts a CSDP mission, which accounted for a significant portion of its financial allocation. The relatively high volumes of support to Jordan and Lebanon can be explained by additional needs and pressures on their security sector institutions created by their proximity to the Syrian conflict. Very limited assistance was provided to Israel and Syria. This can be explained by the differences in their needs (Israel) and the constraints on implementing externally-supported SSR (Syria). Still, support was provided even under those circumstances. The EU also made its presence felt, via regional programming, although the amount of funds spent on regional programming in the Neighbourhood South is just under 10% of the amount allocated to the IPA region.

*Figure 5 – Allocation of funding channelled through EC-financed contracts and CSDP mission/operation budgets, Neighbourhood South, € million*

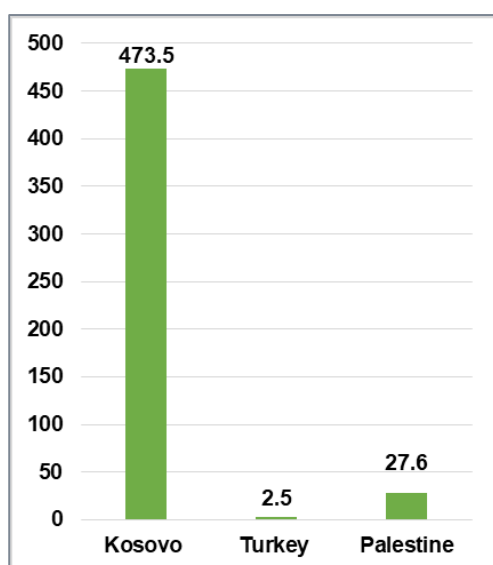
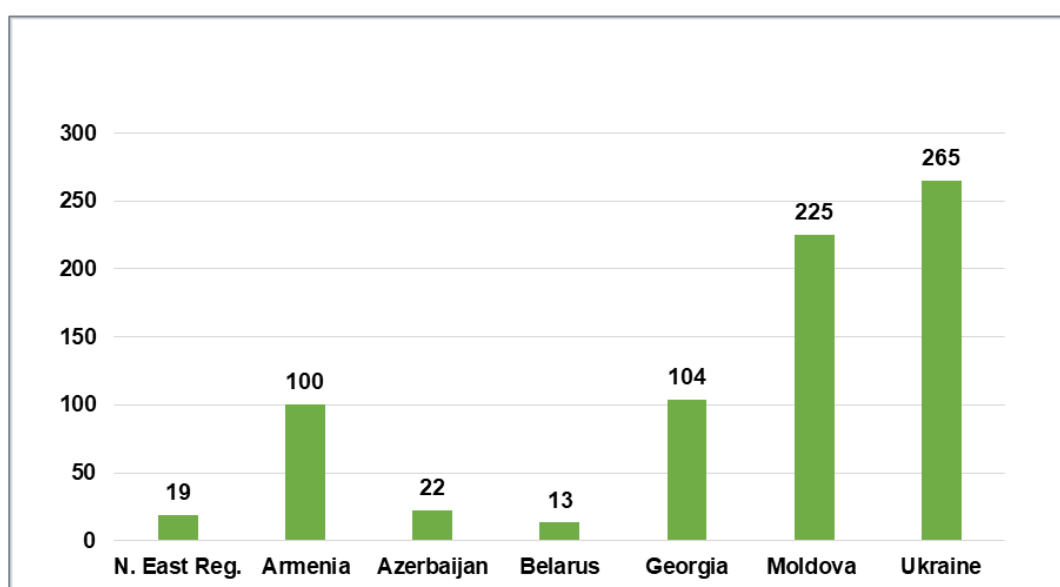


In the Neighbourhood East, the presence of a CSDP mission (EUAM in Ukraine) and a comparable EUBAM mission (Ukraine and Moldova) made a substantial difference in the amount of the financial assistance received by the beneficiaries (Figure 6). In general, beneficiaries on the EU's

\* 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

borders, Ukraine, and Moldova received larger portions of resources channelled through EC-financed contracts and CSDP mission/operation budgets than those in the South Caucasus (Georgia and Armenia), where assistance packages were less generous. However, there was also a considerable disparity within the region between beneficiaries on the EU's borders: Ukraine received 35% of EU financing for SSR in the region while Belarus received only 2%. The up-surge in assistance to Ukraine began relatively recently, as a response to events since the 2014 Maidan revolution. Upper middle-income Belarus and Azerbaijan, which were also not very active participants in the Eastern Partnership, received the least. However, all of them benefitted from the allocation to regional programming (under 3% of the EU allocation), albeit to different extents. That said, the Eastern Partnership received by far the smallest allocation for regional programming of the three regions examined by this evaluation. Regional programmes in Neighbourhood East amounted to just over 20% of IPA regional programming.

**Figure 6 – Allocation of funding channelled through EC-financed contracts and CSDP mission/operation budgets, Neighbourhood East, € million**



**Figure 7 – Per capita assistance, EC-financed contracts and CSDP mission/operation budgets, € million**

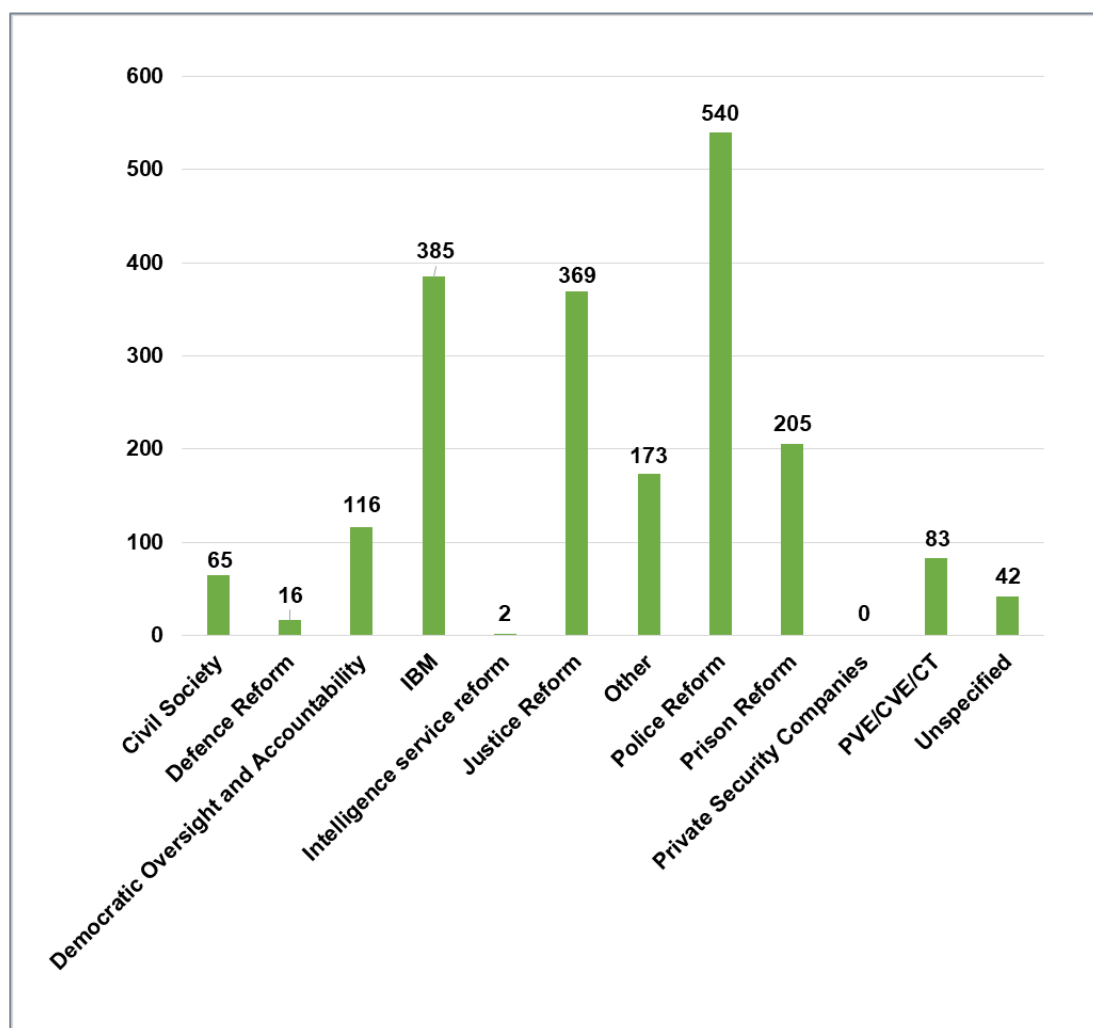
Finally, the Enlargement and Neighbourhood beneficiaries vary greatly by population size, and it is instructive to examine per capita assistance as well as total amounts of financing. As Figure 7 demonstrates, although Kosovo, Turkey and Palestine all have received a relatively large amount of EU SSR assistance in the form of EC-financed contracts and CSDP mission/operation budgets, the picture looks different when support is adjusted for population size.<sup>8</sup> Here, the benefits for the Kosovar population are truly impressive, and to a large extent reflect the cost of the CSDP mission there.

<sup>8</sup> In 2016 population estimates, based on World Population Review data.

## Thematic composition

Figure 8 shows the distribution of the number of EC-financed contracts and TAIEX events according to SSR thematic areas. The largest number of contracts/events supported police reform (540), IBM (385) and justice reform (368). The smallest number of contracts/events was provided to defence reform (16) and intelligence reform (2). 'Other' (173) and 'unspecified'<sup>9</sup> (42) indicate areas that remain unclassified, despite the team's efforts to obtain more information throughout the course of the evaluation.

*Figure 8 – EC-financed SSR assistance through EC contracts and TAIEX events, by thematic area*



The largest number of justice reform contracts/events (59) and police reform contracts/events (105) were allocated to Bosnia and Herzegovina. Prison reform (40) was prioritised in Albania (40) and IBM was prioritised in Ukraine (50). EC-financed contracts for PVE/CVE/CT were primarily allocated to regional Neighbourhood South (6) and global activities (13). Bosnia and Herzegovina (11), Serbia (9), Tunisia (8), former Yugoslav Republic of Macedonia (7) and Moldova (6) received the largest number of CVE/PVE/CT-related TAIEX events. Georgia led in the number of EC-financed contracts allocated for civil society activities (10), closely followed by Albania (9). SSR

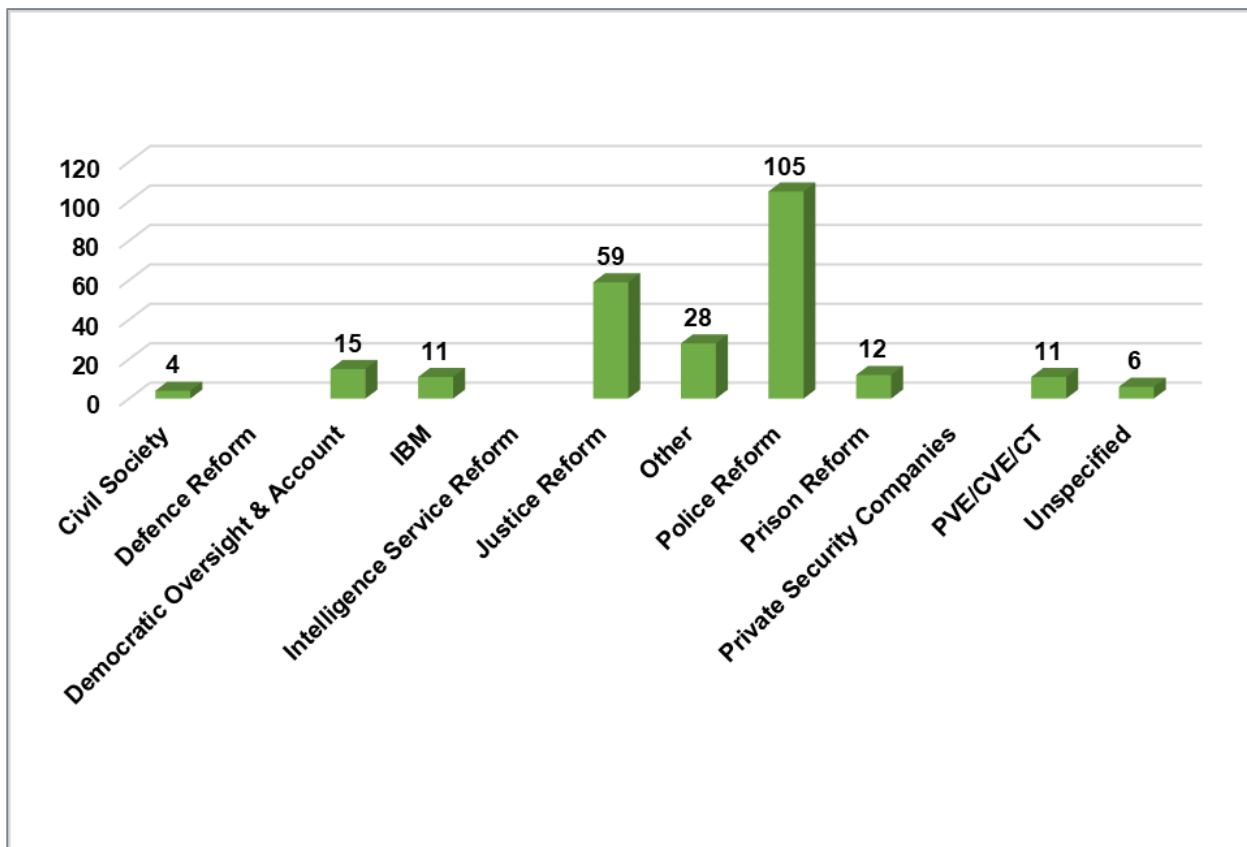
<sup>9</sup> 'Other' includes contracts in thematic areas that are either (a) not explicitly covered by the SSR definition but may nonetheless be SSR or are; (b) clearly relevant but about which too little information was available to assign them to a specific category; 'Unspecified' includes contracts that were coded as SSR in the databases, but for which information was too scarce to be able to interpret them and ascribe to a thematic area.

assistance explicitly targeting intelligence reform was found only in Lebanon and Serbia, each of which received one EC-financed contract in that area.<sup>10</sup> There were no TAIEX events for intelligence reform. The remainder of the thematic areas are fairly evenly distributed across the beneficiaries.

Figures 9 to 16 show the thematic composition of EC-financed contracts and TAIEX events (based on the number of contracts/events) in selected beneficiaries with a high volume of SSR interventions in each of the three regions. They are provided as an illustration of diversity of portfolios at the beneficiary level.

## IPA

**Figure 9 – Thematic composition of EC-financed contracts and TAIEX events in Bosnia and Herzegovina**



<sup>10</sup> The contract in Lebanon was not explicitly an intelligence reform contract but a large contract that dealt both with defence reform and intelligence reform. In the evaluation portfolio, 50% has been allocated to defence reform and 50% to intelligence reform.

Figure 10 – Thematic composition of EC-financed contracts and TAIEX events in Kosovo

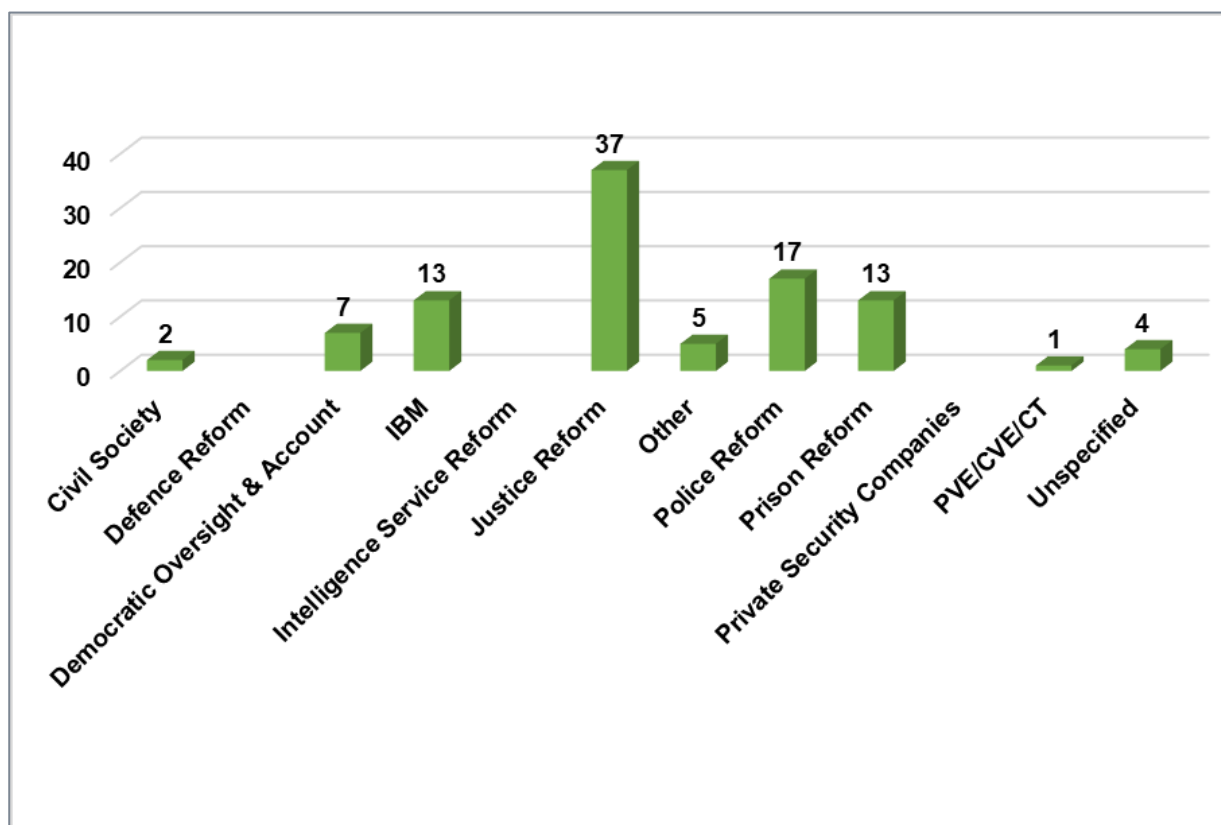


Figure 11 – Thematic composition of EC-financed contracts and TAIEX events in Albania

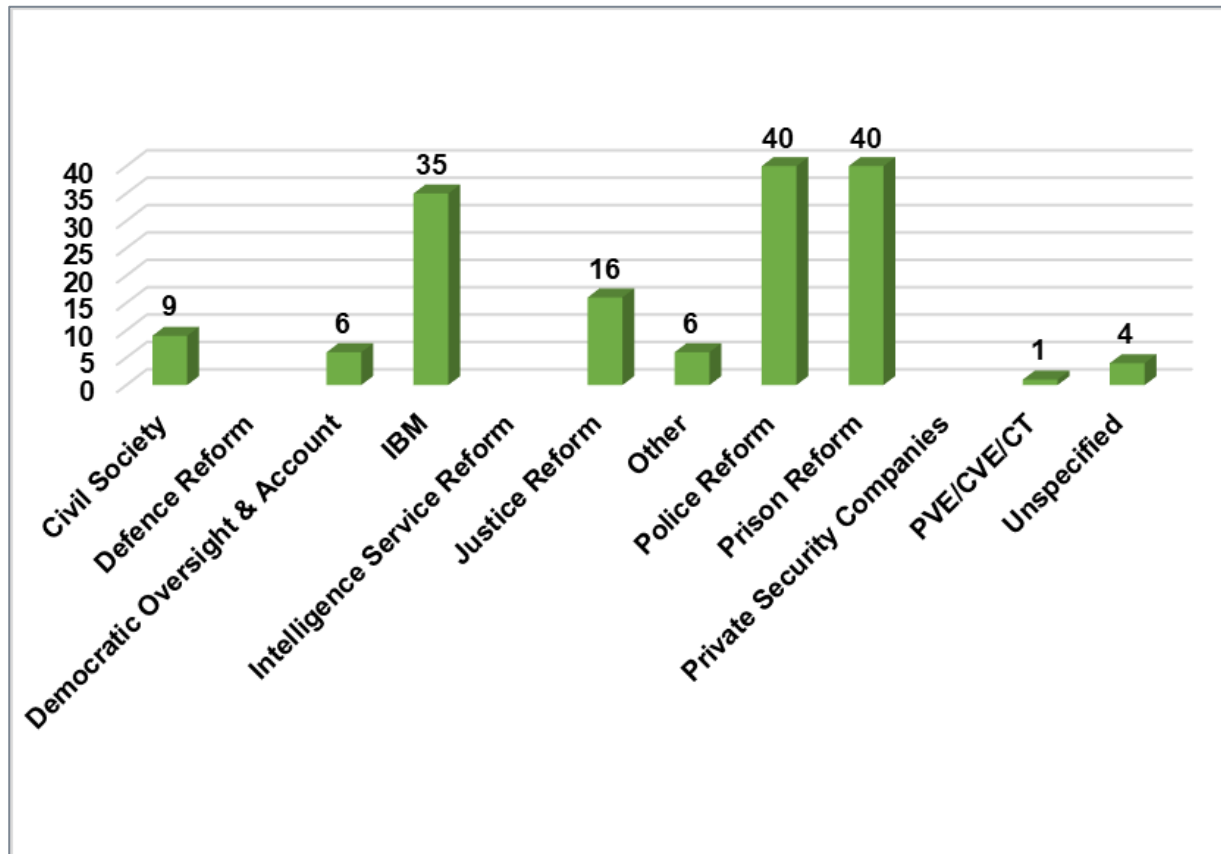


Figure 12 – Thematic composition of EC-financed contracts and TAIEX events in Ukraine

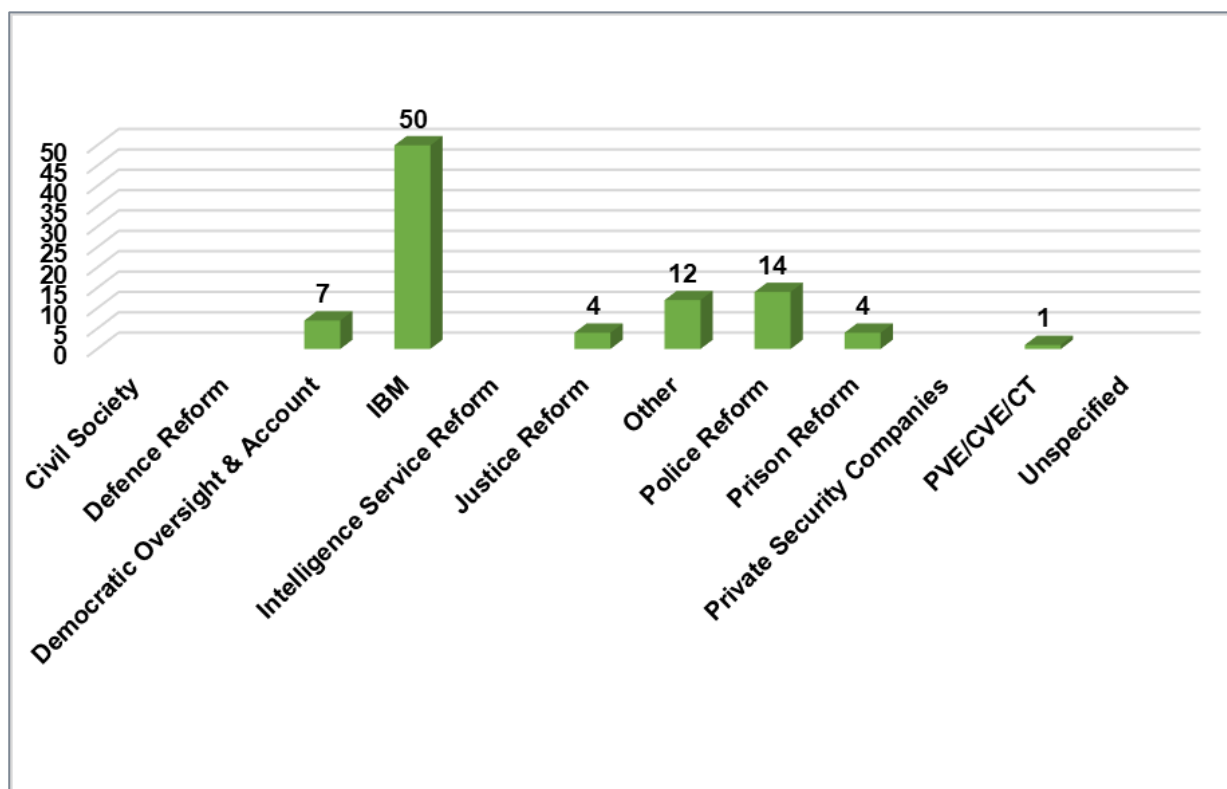


Figure 13 – Thematic composition of EC-financed contracts and TAIEX events in Moldova

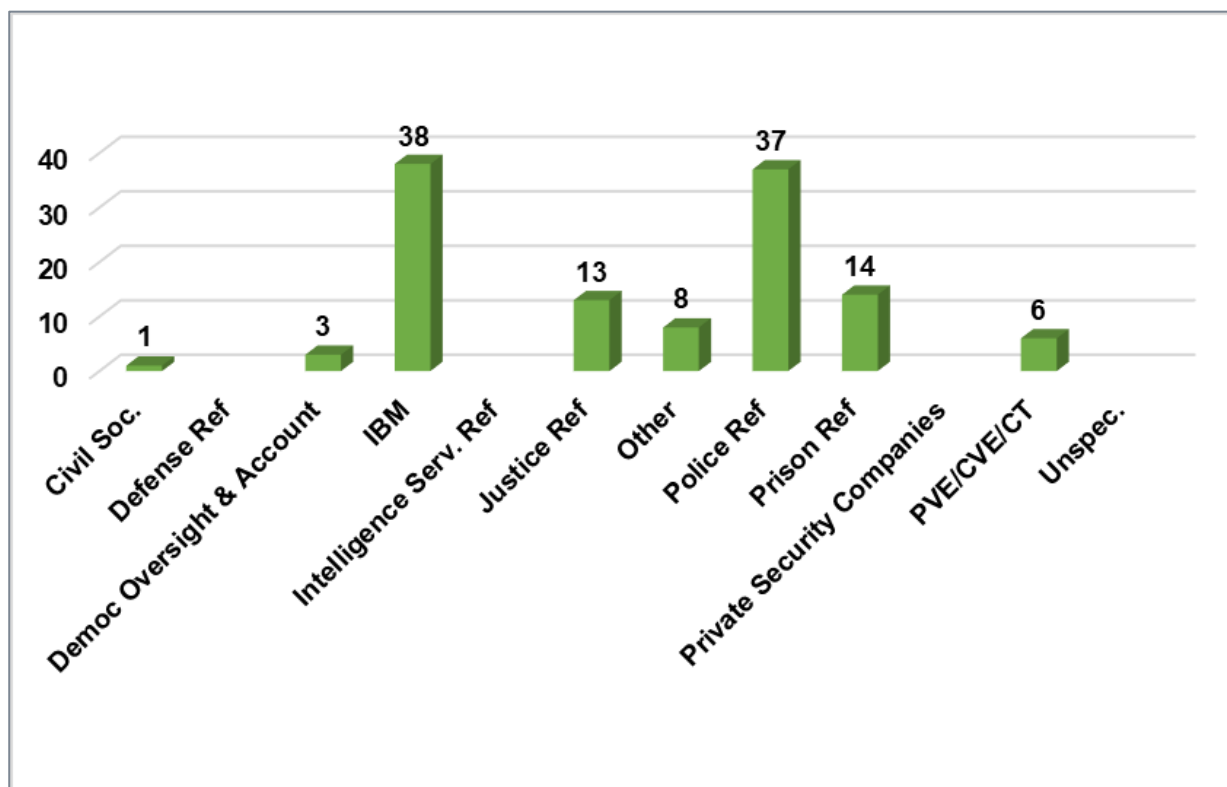


Figure 14 – Thematic composition of EC-financed contracts and TAIEX events in Palestine

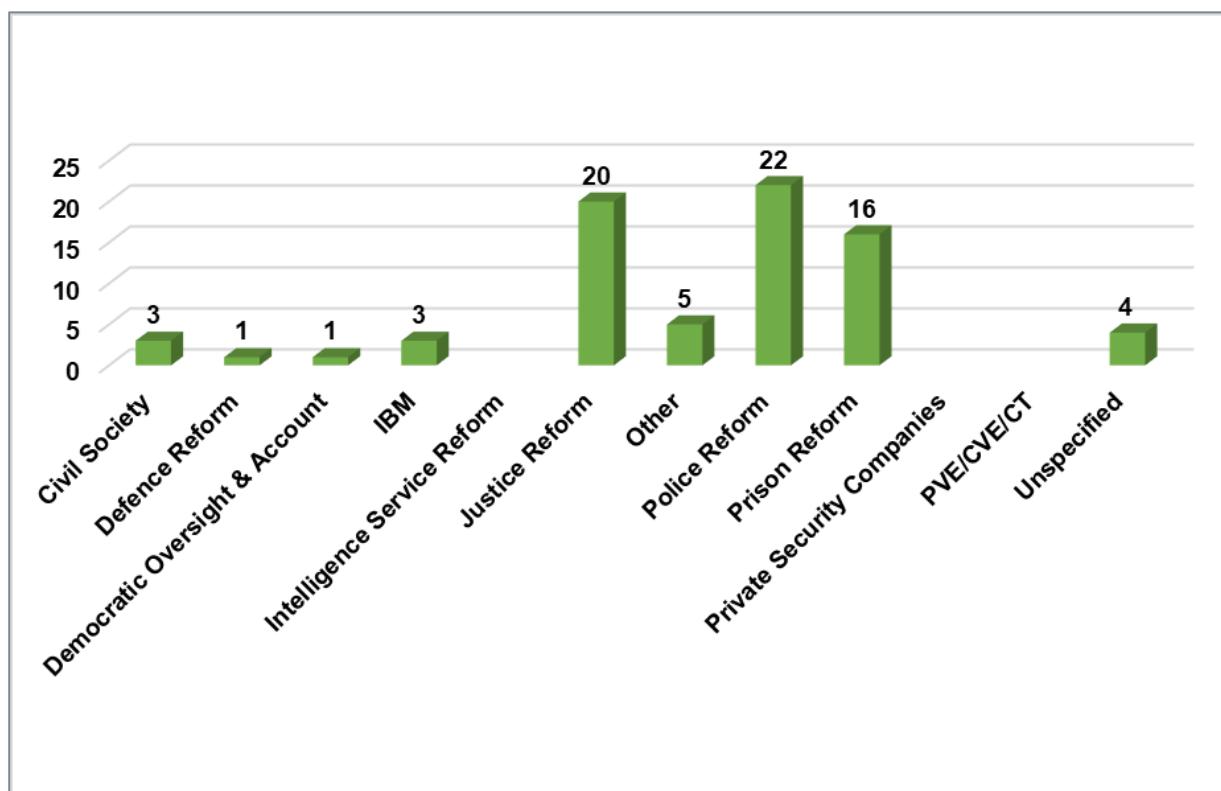


Figure 15 – Thematic composition of EC-financed contracts and TAIEX events in Lebanon

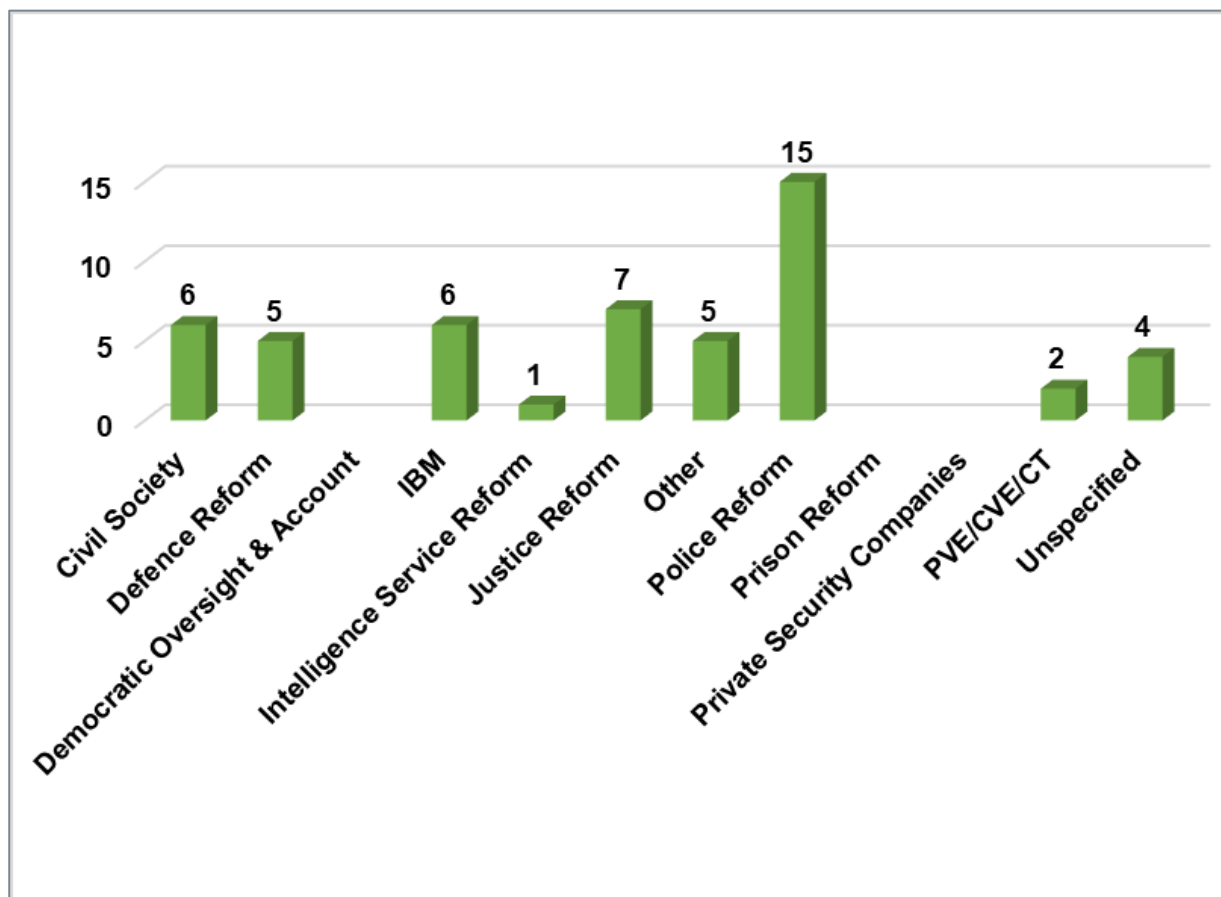
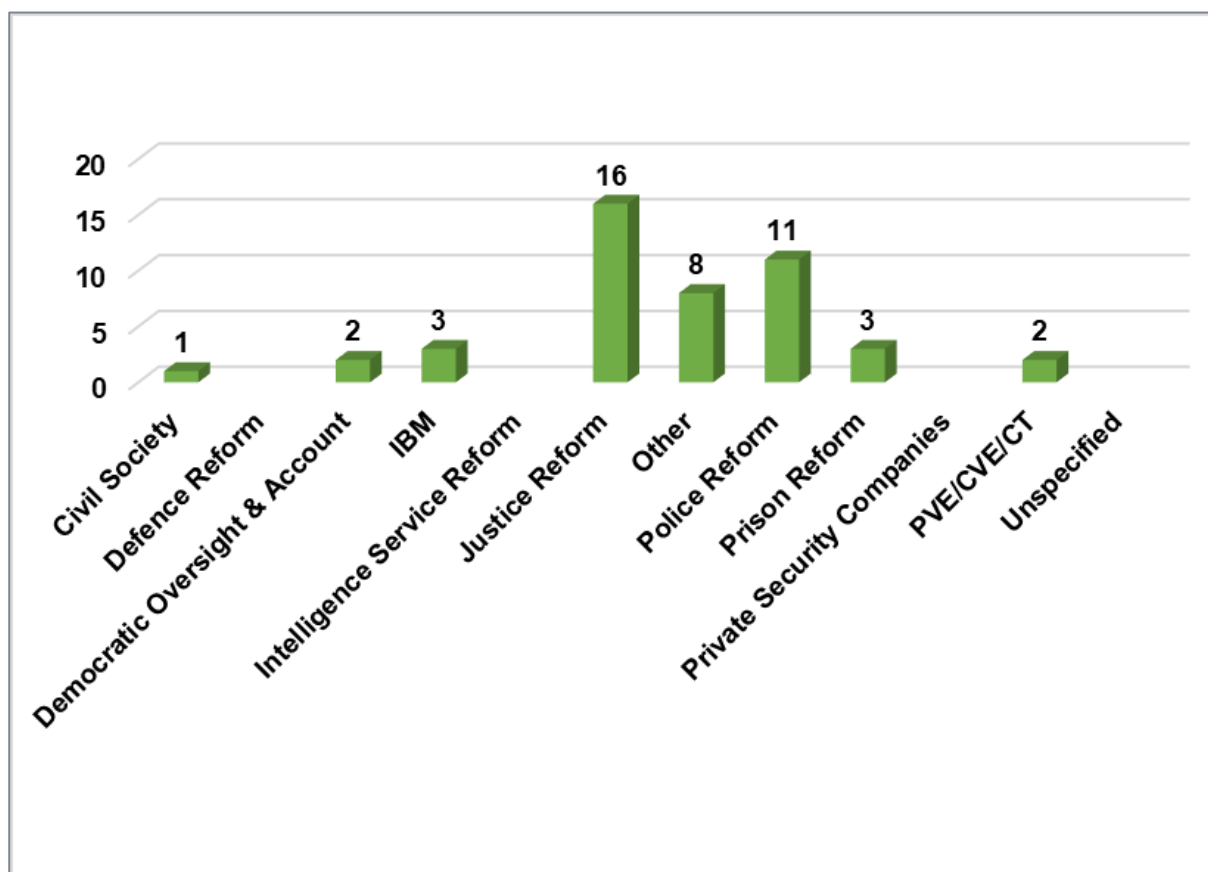




Figure 16 – Thematic composition of EC-financed contracts and TAIEX events in Jordan

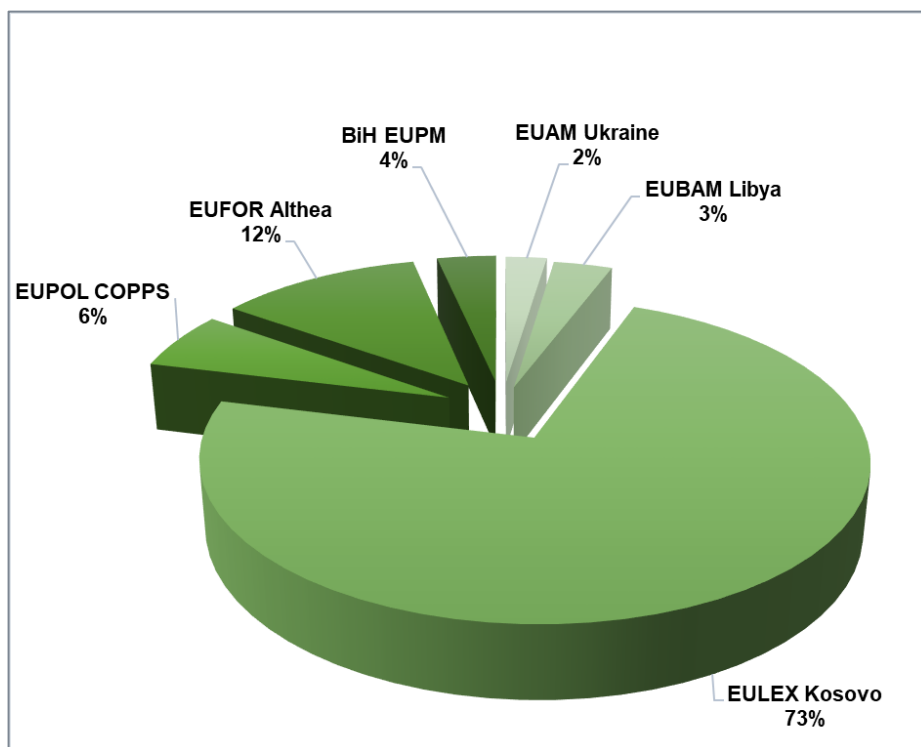


### CSDP missions/operations

The EU's financial commitment to SSR-relevant CSDP missions/operations in the Enlargement and Neighbourhood beneficiaries was just under EUR 995 mn between 2010 and 2016 and constituted approximately 25% of the EU assistance to SSR in the evaluation portfolio. The remaining expenditure (75%) was allocated through EC-financed contracts and TAIEX events. Although the EU Monitoring Mission (EUMM) in Georgia and the EU Border Assistance Mission (EUBAM Rafah) in Palestine are CSDP missions, they do not have SSR mandates and therefore have been excluded from the financial calculation. Figures 17 and 18 and Table 1 below are based on data provided by the EEAS Service for Foreign Policy Instruments and SHAPE/NATO.

As with non-CSDP support, the Enlargement Region received the largest amount of CSDP funding, and EULEX Kosovo, with 73% of the total budget commitment for CSDP, is by far the largest recipient (Figure 17). Missions in Ukraine (EU Assistance Mission) and in Libya (EU Border Assistance Mission) are relatively recent, and their allocations (2% and 3% respectively) reflect that.

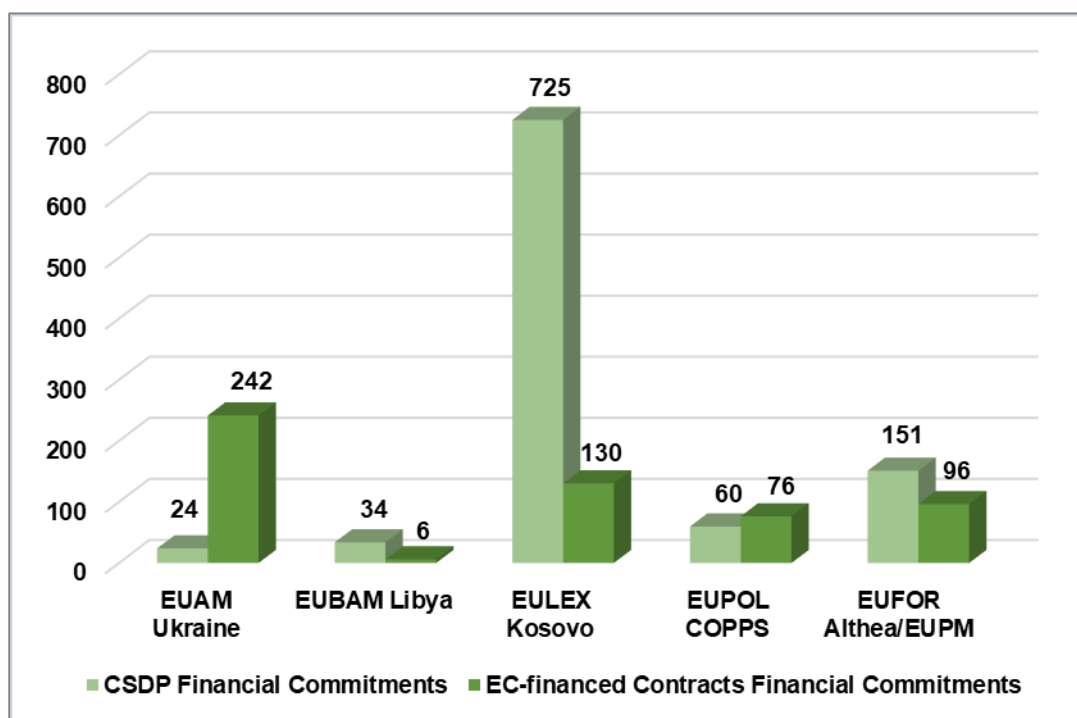
Figure 17 – CSDP total budget commitment, by CSDP mission/operation



In Kosovo and Libya, assistance delivered through CSDP missions exceeds the financial support provided through EC-financed contracts by a considerable amount. As Figure 18 and Table 1 show, while EULEX has committed EUR 725 mn in Kosovo, EC-financed contracts amounted to approximately EUR 130 mn, about 15% of total SSR financing. In Palestine, EC-funded SSR assistance totalled just over EUR 76 mn, exceeding CSDP commitments which were

approximately EUR 60 mn. This difference was greatest in Ukraine. EUAM received only EUR 24 mn, which was dwarfed by the Commission's SSR assistance of approximately just over EUR 240 mn. In Bosnia and Herzegovina, CSDP accounted for approximately EUR 150 mn and exceeded EC-financed contracts which accounted for about EUR 95 mn.

Figure 18 – CSDP missions/operations budgets compared to total EC-financed SSR assistance, € million



*Table 1 – Financial differentiation between CSDP and non-CSDP assistance, € million*

Beneficiary with Missions/Operations	CSDP Missions/Operations Financial Commitments	EC SSR financial commitments
Ukraine	EUAM, 23.8	241.5
Libya	EUBAM, 33.7	5.9
Kosovo	EULEX, 725.4	130.4
Palestine	EUPOL COPPS, 59.7	76.4
Bosnia and Herzegovina	EUFOR Althea and EUPM, 151.0	96.4
<b>Total</b>	<b>CSDP, 993.6</b>	<b>550.5</b>

It was not possible to construct one timeline of financial allocations to CSDP missions/operations showing year-on-year variations because the mandates typically do not correspond to calendar years. Financial allocations are made on the basis of these mandates and may encompass a period longer or shorter than 12 months. Instead, a timeline analysis for individual missions/operations was constructed which allows for observation of trends. Figure 19 demonstrates a sharp drop in financial assistance through EULEX between 2010 and 2011 when EULEX funding was considerably reduced. Disbursements scaled down again for EULEX in 2012. They also decreased in Bosnia and Herzegovina because EUPM completed its mission in 2012 and EUFOR Althea also scaled back its assistance (Figure 20). By contrast, CSDP allocations to the mission in Palestine (EUPOL COPPS), by contrast, increased and the budget for the mission in Ukraine (EUAM) has been steadily growing since 2014 when it was first deployed. Still, the overall CSDP commitment in the Enlargement and Neighbourhood beneficiaries has declined.

*Figure 19 – Budget for EULEX, € million*

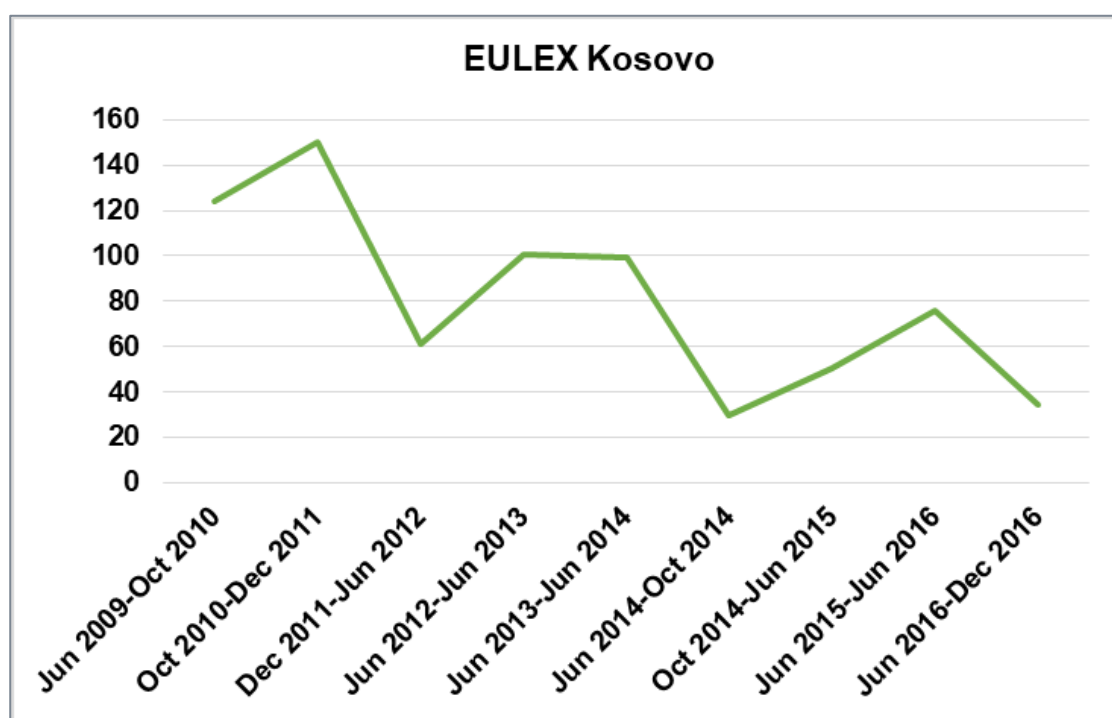
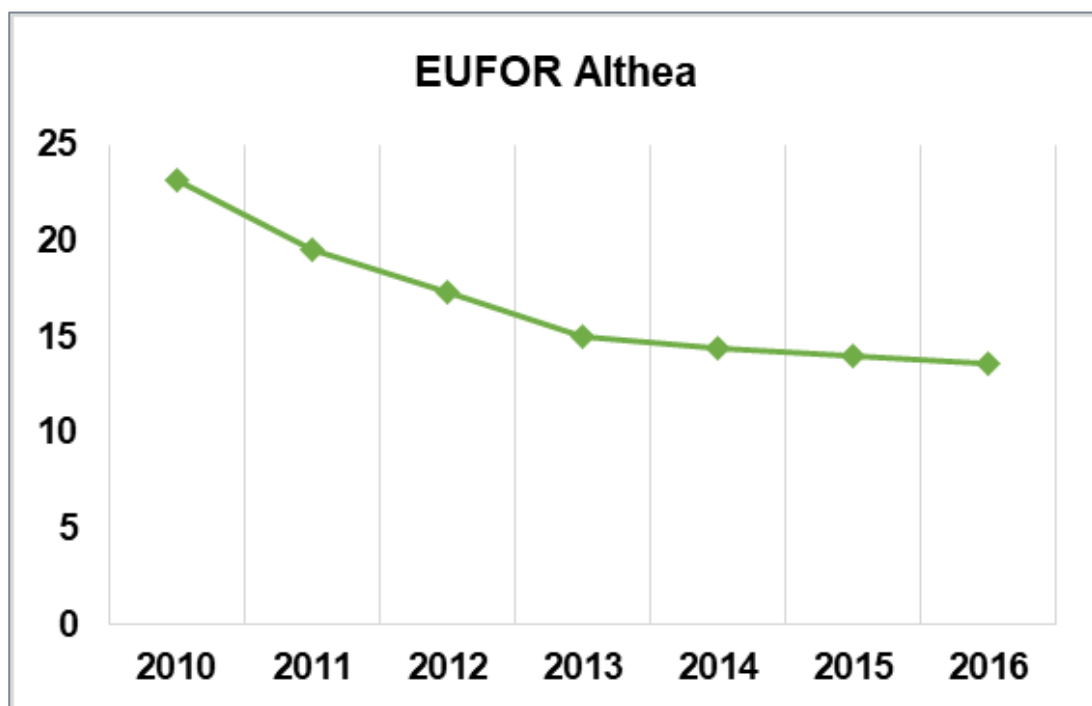
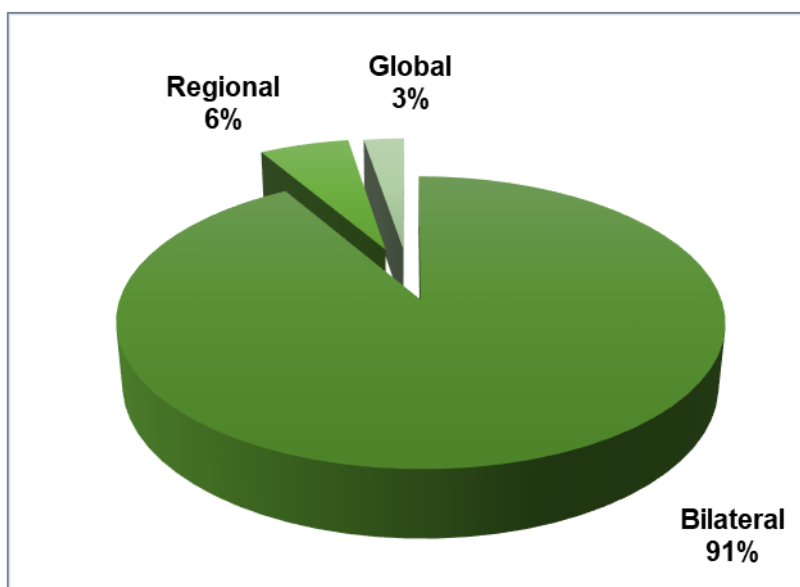


Figure 20 – Budget for EUFOR Althea, € million



### Financing mechanisms

Figure 21 – EC-financed contracts and TAIEX events, bilateral, regional and global projects



Bilateral support accounted for the vast majority (91%) of EC financed SSR contracts and TAIEX events in Enlargement and Neighbourhood beneficiaries (Figure 21). Regional interventions were mostly implemented in the IPA beneficiaries (just over EUR 80 mn). ENI East had relatively modest regional programming, with approximately EUR 20 mn against just under EUR 55 mn for ENI South.

## Annex 3 - Evaluation Matrix

### Evaluation matrix: evaluation questions, judgement criteria and indicators

The Evaluation Questions (EQs), Judgement Criteria (JCs), Indicators and sources of information that were used to collect data are presented in the Evaluation Matrix below. They are structured according to the OECD-DAC and EU evaluation criteria. They are designed to meet the expectations of the ToR whilst clarifying the areas of enquiry that are consistent with the evaluation team's understanding of the overall purpose of this evaluation and SSR as a field of activity.

Table 1 - Evaluation Matrix

EQ 1- Relevance		To what extent has the political/policy dialogue and programming carried out in both bilateral and regional contexts been in line with the objectives set out in the EU policy framework on SSR and with the wider goals of EU external cooperation, and to what extent has EU support (political/policy dialogue) addressed identified needs in the countries concerned?	
JC 1.1	The (original) objectives, defined in the policy/programming/planning documents, have been in line with the EU policy framework on SSR and wider EU external action goals.		
I.1.1.1	% of financing decisions/description of actions which have objectives that potentially contribute to those set out in the EU policy framework on SSR		
I.1.1.2	% of cases when SSR has been integrated in the Country (CSP) and Regional (RSP) Strategy Papers, Action Plans and programming tools		
I.1.1.3	Extent to which the objectives set out in financing decisions/description of actions are in line with the EU's wider external action goals		
I.1.1.4	Extent to which SSR objectives were addressed in the political/policy dialogue with enlargement and neighbourhood beneficiaries and to what extent political priorities were matched by provision of the relevant EU assistance such as financial allocations to SSR projects, CSDP missions and expert accompaniment by the EC.		
Data sources		Interviews	Documents
Data collection		EC EEAS EUD CSDP EUSR	EU SSR policy documents Relevant communications to the EU Parliament Project documentation (including monitoring reports, ROM reports) Internal and external project/programme evaluations EC strategic evaluations IPA and ENI regulations Policy dialogue documentation for IPA negotiations
JC 1.2	EU support for SSR (financial assistance and political/policy dialogue) has reflected a realistic understanding of partner countries' SSR needs and capacities.		
I.1.2.1	Extent to which the design of EU support has been informed by a thorough analysis of the security sector and needs assessments in the beneficiaries		
I.1.2.2	Extent to which the objectives of EU support have been in line with beneficiary and regional priorities, needs		

	and capacities (including absorption capacity)		
I.1.2.3	Evidence of consultations with national authorities, stakeholders and partners during EU intervention identification and formulation		
	Data sources	InterviewsDocuments	
	Data collection	EC EEAS EUD CSDP EUSR Beneficiary stakeholders Civil society actors	Policy dialogue communications/documents Partner government policy/strategy documents Project documentation (including monitoring, ROM reports) Internal and external project/programme evaluations EC strategic evaluations Council Decisions/Joint Actions
JC 1.3	IPA and ENI support has responded to the objectives set out in the IPA I/II Regulations and Enlargement Strategy and ENPI/ENI Regulations.		
I.1.3.1	Extent to which the objectives of IPA I/II SSR support have been consistent with the EU <i>acquis</i> under Chapters 23, 24 or 31		
I.1.3.2	Extent to which the objectives of ENI SSR support have been consistent with Title I, Article 2 of the ENPI and ENI regulations		
JC 1.4	The (explicit or implicit) theories of change and intervention logic for EU SSR support in enlargement and neighbourhood beneficiaries have reflected the local political and security context.		
I.1.4.1	Extent to which (explicit or implicit) theories of change and intervention logics for SSR support in neighbourhood and enlargement beneficiaries are sufficiently tailored to the region/local political-security context in which those interventions have taken place		
I.1.4.2	Extent to which the goals of EU programmes that explicitly promote regional cooperation in SSR adequately reflected the political-security context in enlargement and neighbourhood beneficiaries		
	Data sources	InterviewsDocuments	
	Data collection	EC EEAS EUD CSDP EUSR Beneficiary stakeholders Civil society actors	Policy and project documentation (including monitoring reports) Internal/external project/programme evaluations Open source reports and assessments
EQ 2 - Effectiveness		To what extent have the objectives defined in the programming/planning documents been achieved, or can it reasonably be expected that these objectives will be achieved?	
JC 2.1	The outputs and outcomes of EU SSR support have contributed to the achievement of the intended objectives defined in the financing and programming decisions.		

I.2.1.1	Extent to which the outputs and outcomes of SSR support have been fulfilled		
I.2.1.2	Extent to which the achievement of planned outputs and outcomes has contributed to fulfilling EU SSR objectives		
	<i>Data sources</i>	<i>Interviews</i>	<i>Documents</i>
	<i>Data collection</i>	EC EEAS EUD CSDP EUSR Beneficiary stakeholders	Project documentation (including monitoring reports) Internal and external project/programme evaluations ROM reports; end of projects results exercise for EU Results Framework reporting; EC strategic evaluations
JC 2.2	<b>The application of the EU comprehensive approach has enhanced the effectiveness of EU SSR support.</b>		
I.2.2.1	The extent to which the EU's comprehensive approach to SSR was applied in bilateral and regional programmes		
I.2.2.2	The extent to which the implementation of the EU's comprehensive approach contributed to the achievement of SSR outcomes		
	<i>Data sources</i>	<i>Interviews</i>	<i>Documents</i>
	<i>Data collection</i>	EC EEAS EUD CSDP EUSR EU Member States Beneficiary stakeholders	Policy and project documentation (including financial and end-of-project narrative reports and monitoring reports) Internal and external project/programme evaluations
JC 2.3	<b>Civil society has been involved in the entire management cycle for EU SSR interventions.</b>		
I.2.3.1	Extent to which civil society has been involved in consultations aimed at identifying and/or designing EU SSR interventions		
I.2.3.2	Extent to which civil society has been involved in implementing and/or monitoring EU SSR interventions		
I.2.3.3	Extent to which civil society has played a role in policy dialogue relating to SSR		
	<i>Data sources</i>	<i>Interviews</i>	<i>Documents</i>
	<i>Data collection</i>	EC EEAS EUD CSDP EUSR Beneficiary stakeholders	Project documentation (including monitoring reports) Internal and external project/programme evaluations Policy (dialogue) communications/documents

	Civil society actors	
<b>EQ 3 - Efficiency</b>	<b>To what extent has the EU ensured adequate, timely and flexible SSR expertise and support (financial assistance and political/policy dialogue) through its programmes and missions in enlargement and neighbourhood beneficiaries?</b>	
<b>JC 3.1</b>	<b>The IPA and ENI regulatory and institutional set up has enhanced the timeliness, flexibility and cost-effectiveness of EU support for SSR.</b>	
I.3.1.1	% of interventions where serious delays affected the achievement of their outputs and outcomes	
I.3.1.2	Extent to which the appropriateness of intervention inputs and outputs has been ensured and the effective management of interventions promoted	
I.3.1.3	Evidence that regulatory or institutional factors have enhanced or impeded the timeliness, flexibility and cost-effectiveness of the SSR support provided	
<i>Data sources</i>	<i>Interviews</i>	<i>Documents</i>
<i>Data collection</i>	EC EEAS EUD CSDP EUSR Beneficiary stakeholders	Project documentation (including financial and end-of-project narrative reports and monitoring reports)  Internal and external project/intervention reports and evaluations EC strategic evaluations
<b>JC 3.2</b>	<b>SSR support in enlargement and neighbourhood beneficiaries has flexibly adapted to emerging needs.</b>	
I.3.2.1	Extent to which the EU was able to adapt the type of assistance, instrument, aid modality and/or amount of SSR assistance provided as well as the design and/or method of implementation of SSR interventions to major changes in beneficiary security situations/ political context	
I.3.2.2	Evidence that shifts in context were reflected in political/policy dialogue with subsequent feedback into the design and implementation of EU SSR interventions	
<i>Data sources</i>	<i>Interviews</i>	<i>Documents</i>
<i>Data collection</i>	EC EEAS EUD CSDP EUSR Beneficiary stakeholders Civil society actors	Mapping data Policy dialogue communication Monitoring reports Internal and external project/programme evaluations Open-source analytical documents
<b>JC 3.3</b>	<b>The financing modalities chosen were the most appropriate and cost-effective.</b>	
I.3.3.1	Extent to which the financing modalities employed were appropriate to their context	
I.3.3.2	Extent to which the use of other types of donor financing or different financing mechanisms could have provided results more efficiently	
<i>Data sources</i>	<i>Interviews</i>	<i>Documents</i>



<i>Data collection</i>	EC EEAS EUD CSDP EUSR Implementing partners	Project documentation (including monitoring reports, baseline studies, results frameworks, annual/end of project reports)  Internal and external project/programme evaluations  EC strategic evaluations
<b>JC 3.4</b>	<b>EU SSR support is monitored on a regular basis and problems are addressed in a timely fashion at intervention, EUD and headquarter levels.</b>	
I.3.4.1	% of SSR interventions that have involved the implementation of a baseline study/needs assessment	
I.3.4.2	Extent to which progress is measured starting from a baseline through strategic, operational and process indicators and provide information on specific sources of verification	
I.3.4.3	Extent to which SSR interventions set realistic targets for achieving results (outputs, outcomes, impacts)	
I.3.4.4	Extent to which the SSR interventions set up a sound monitoring system at the start and then actively used it during implementation to identify and address problems at the intervention level and as the basis for reporting upwards on progress, challenges	
I.3.4.5	Extent to which staff at EUDs and headquarters have appropriate capacity and are able to routinely monitor SSR processes from the beginning of EU support for SSR, including receiving regular updates on EU SSR interventions and political/policy dialogue, identifying blockages and taking action to resolve problems and report on results	
<i>Data sources</i>	<i>Interviews</i>	<i>Documents</i>
<i>Data collection</i>	EC EEAS EUD CSDP EUSR Implementing partners	Project documentation (including monitoring reports, baseline studies, results frameworks, annual/end of project reports)  Internal and external project/programme evaluations  ROM reports  EAMR  Country reports
<b>EQ 4 - Impact</b>	<b>To what extent has EU support (political/policy dialogue and financial assistance) contributed to the development by enlargement and neighbourhood beneficiaries of security systems that respect internationally accepted human rights, the rule of law and democratic principles; that apply the good governance principles of transparency/openness, participation/inclusivity, and accountability; and fight against corruption?</b>	
<b>JC 4.1</b>	<b>Observed changes/effects contribute to the achievement of the EU SSR policy framework's overall objectives in enlargement and neighbourhood beneficiaries</b>	
I.4.1.1	Evidence that IPA beneficiaries are converging towards EU objectives and targets, in particular in the framework of Chapters 23/24/31, in a manner that is consistent with the overall objectives of the EU SSR policy	
I.4.1.2	Evidence that neighbourhood beneficiaries are converging towards relevant international standards, in the fields of human rights, the rule of law, fundamental freedoms, in a manner consistent with the overall objectives of the EU SSR policy	
<i>Data sources</i>	<i>Interviews</i>	<i>Documents</i>

<i>Data collection</i>	EC EEAS EUD CSDP EUSR Implementing partners National and international CSOs International organisations in the field	Project documentation (including monitoring reports, baseline studies/needs assessments, result frameworks, annual/end of project reports) ROM reports; end of projects results exercise for EU Results Framework reporting; Internal and external project/programme evaluations EC strategic evaluations National Statistics, human rights, rule of law and political analysis reports, EU parliament declarations
<b>JC 4.2</b>	<b>The outputs and outcomes of SSR support have been translated into the impacts anticipated in programming documentation.</b>	
I.4.2.1	Extent to which impacts have been sufficiently identified/quantified/differentiated, and whether qualitative improvements have been adequately documented	
I.4.2.2	Extent to which EU support has made observable impacts in the specific SSR areas and on public perceptions of security and justice issues	
I.4.2.3	Extent to which EU outputs and outcomes of EU support have contributed to the achievement of the observed change	
I.4.2.4	Extent to which the observed effects contribute to the achievement of the overall objectives of the EU's SSR policy framework	
<i>Data sources</i>	<i>Interviews</i>	<i>Documents</i>
<i>Data collection</i>	EC EEAS EUD CSDP EUSR Implementing partners Beneficiary stakeholders EU Member States	EU policy documents Project documentation (including monitoring reports) Internal and external project/programme evaluations ROM reports; end of projects results exercise for EU Results Framework reporting; EC strategic evaluations National statistics on crime, prosecutions International indices, national surveys, perception studies
<b>JC 4.3</b>	<b>EU SSR interventions in IPA and ENI beneficiaries have distributed observed changes/effects equitably across different groups in society.</b>	
I.4.3.1	Extent to which different ethnic and socially vulnerable groups benefitted proportionally from and/or were empowered by the EU support to SSR	
I.4.3.2	Extent to which the needs of women and men were appropriately addressed by interventions	
<i>Data sources</i>	<i>Interviews</i>	<i>Documents</i>
<i>Data collection</i>	EC EEAS	Project documentation, including monitoring reports Internal and external project/programme evaluations

		EUD CSDP EUSR Implementing partners Beneficiary stakeholders Civil society actors	NGO monitoring reports, open source analytical documents
JC 4.4	Unintended consequences of EU SSR support have not produced lasting negative effects.		
I.4.4.1	Extent to which unintended and negative effects of the support occurred and were effectively addressed in a timely manner		
I.4.4.2	Extent to which a Do No Harm approach was applied by the relevant EU actors and national stakeholders		
	Data sources	Interviews	Documents
	Data collection	EC EEAS EUD CSDP EUSR Implementing partners Beneficiary stakeholders	Project documentation (including monitoring reports) Internal and external project/programme evaluations NGO monitoring reports, open source analytical documents
EQ 5 - Sustainability		To what extent is EU support to SSR (financial assistance and political/[policy dialogue) based on nationally owned processes and likely to contribute to a continued reform momentum?	
JC 5.1	Enlargement and Neighbourhood beneficiaries have demonstrated ownership of reform processes during and after EU interventions.		
I.5.1.1	Extent to which outcomes and impacts of EU financial assistance and policy dialogue have persisted after the completion of the interventions		
I.5.1.2	Evidence of contributions by national policy-makers and civil society stakeholders to the design and implementation of EU SSR interventions and/or financial contribution by national governments, enhancing the likelihood of national ownership and commitment to sustainability		
I.5.1.3	Evidence that beneficiaries’ and stakeholders’ engagement in the SSR process is likely to continue, be scaled up, replicated or institutionalised after EU funding and policy dialogue ceases, or that the problem requiring the original intervention has been solved		
	Data sources	Interviews	Documents
	Data collection	EC EEAS EUD CSDP EUSR Implementing partners	Project documentation Internal and external project /programme evaluations ROM reports; end of projects results exercise for EU Results Framework reporting NGO monitoring reports, open source analytical documents EC strategic evaluations Policy dialogue communications/documents

	Local stakeholders EU Member States Other donors/international organisations	
<b>JC 5.2</b>	<b>Sustainability of outcomes/impacts achieved in the course of EU-based SSR reform efforts can be attributed to the EU support</b>	
I.5.2.1	Extent to which progress in SSR reform efforts can be attributed to EU policy dialogue and/or EU financial assistance	
I.5.2.2	Extent to which progress in the reform effort can be chiefly attributed to other donors	
I.5.2.3	Extent to which progress in the reform effort can be chiefly attributed to beneficiary actors	
<i>Data sources</i>	<i>Interviews</i>	<i>Documents</i>
<i>Data collection</i>	EC EEAS EUD CSDP EUSR Implementing partners Beneficiary stakeholders EU Member States Other donors and international organisations	Project documentation Internal and external project/programme evaluations Open-source analysis ROM reports; end of projects results exercise for EU Results Framework reporting; EC strategic evaluations
<b>JC 5.3</b>	<b>EU-backed SSR reform processes (supported through financial assistance and political/policy dialogue) are continued by other EU instruments or followed up with new, complementary activities by EU Member States or other international partners/donors.</b>	
I.5.3.1	Extent to which interventions were discussed with other EU funding instruments, EU Member States or other donors to assess the need for follow up SSR support (delivered through financing and political/policy dialogue)	
I.5.3.2	Whether EU financial assistance and/or political/policy dialogue in support of SSR reform processes were followed-up with interventions developed and implemented by other EU or donor actors where such follow-up was needed	
<i>Data sources</i>	<i>Interviews</i>	<i>Documents</i>
<i>Data collection</i>	EC EEAS EUD CSDP EUSR Implementing partners Beneficiary stakeholders EU Member States Other donors and	Project documentation, including annual and end of project reports Coordination matrices Internal and external project/programme evaluations Open-source analysis

	international organisations	
<b>EQ 6 – Coherence, complementarity and coordination</b>	<b>To what extent has the EU support for SSR reform processes combined political dialogue, cooperation activities/instruments and possible CSDP missions/operations in coherent, complementary and coordinated ways?</b>	
<b>JC 6.1</b>	<b>The EU adequately combines its short-term and long term support into a coherent approach to SSR.</b>	
I.6.1.1	Extent to which mechanisms to link short and long-term support to SSR exist and are used	
I.6.1.2	Extent to which short-term interventions are consistent with long-term policy approaches	
I.6.1.3	Extent to which short-term gains may create consequences that might inhibit long-term objectives	
<i>Data sources</i>	<i>Interviews</i>	<i>Documents</i>
<i>Data collection</i>	EC EEAS Other EU instruments EUD CSDP EUSR Implementing partners Beneficiary stakeholders EU Member States Other donors and international organisations	Policy documents Project/programme documentation Internal and external project/programme evaluations EC strategic evaluations
<b>JC 6.2</b>	<b>EU SSR support is complementary to and coordinated with all relevant actors in the SSR field.</b>	
I.6.2.1	Evidence that mechanisms are in place to facilitate complementarity and coordination with CSDP missions/operations, interventions supported by other EU instruments and EU Member State actions and evidence that these mechanisms are utilised	
I.6.2.2	Extent to which discussions, joint needs assessments and coordination with Member States, international/regional organisations and other donors occurred to maximise their joint effects in the partner countries during the identification and formulation of SSR interventions	
<i>Data sources</i>	<i>Interviews</i>	<i>Documents</i>
<i>Data collection</i>	EC EEAS Other EU instruments EUD CSDP EUSR Implementing partners Beneficiary stakeholders EU Member States Other donors and	Project/programme documentation Internal and external project/programme evaluations EC strategic evaluations

	international organisations	
<b>JC 6.3</b>	<b>The approach to SSR has taken into account linkages between security, development and governance, including democratic principles, rule of law, human rights and institutional capacity building between security, development and governance.</b>	
I.6.3.1	Extent to which political/policy dialogue and programming documents acknowledges linkages between security, development and governance	
I.6.3.2	Extent to which EU support was designed and implemented in such a way as to strengthen these linkages	
I.6.3.3	Evidence that EU support has taken into account and mitigated possible negative impacts of other security, development and governance interventions	
<i>Data sources</i>	<i>Interviews</i>	<i>Documents</i>
<i>Data collection</i>	EC EEAS EUD CSDP EUSR Implementing partners Beneficiary stakeholders Other donors and international organisations	DAC OECD Principles EU SSR policy documents Relevant communications to EU Parliament Project/intervention documentation Internal and external project/programmes evaluations EC strategic evaluations Policy (dialogue) communications/documents
<b>EQ 7 – EU added value</b>	<b>What is the additional value resulting from the EU support (financial assistance and political/policy dialogue) in SSR compared to what could be achieved by EU Member States and/or by other donors or the enlargement and neighbourhood beneficiaries themselves at national and/or regional levels?</b>	
<b>JC 7.1</b>	<b>EU SSR support has added value in comparison to what could have been achieved by the enlargement and neighbourhood beneficiaries themselves at national and/or regional levels.</b>	
I.7.1.1	Extent to which factors associated with enlargement such as the overall opportunity for the EU enlargement path or visa liberalisation drove change in the IPA beneficiaries which would not have been possible otherwise or would have taken much longer to achieve	
I.7.1.2	Evidence that the EU's supranational nature, its convening power, or its political clout has added value to what partners could have achieved at the national or regional level	
I.7.1.3	Extent to which beneficiaries perceive an added value of EU SSR support	
<i>Data sources</i>	<i>Interviews</i>	<i>Documents</i>
<i>Data collection</i>	EC EEAS Other EU instruments supporting SSR EUD CSDP EUSR	Project documentation Internal and external project/intervention evaluations Open-source analytical documents

	EU Member States	
JC 7.2	<b>EU SSR support has added value in comparison to what could have resulted from support offered by EU Member States or by other (non-EU) donors.</b>	
I.7.2.1	Extent to which programme documents identify the EU added value in relation to ongoing support from EU or non-EU donors	
I.7.2.2	Extent to which the EU's supranational nature, its convening power, its political clout, the quality and scope of EU support, as well as availability of specific tools such as CSDP missions, added value in relation to what could have been achieved through EU Member States and other donor programmes	
I.7.2.3	Extent to which EU Member States and other SSR donors perceive an added value of EU SSR support	
I.7.2.4	Extent to which EU SSR support was implemented because other donors were not able or willing to provide support	
<i>Data sources</i>	<i>Interviews</i>	<i>Documents</i>
<i>Data collection</i>	EC EEAS Other EU instruments supporting SSR EUD CSDP EUSR EU Member States Other donors, including international organisations	Project/programme documentation Internal and external project/programme evaluations EC strategic evaluations

# Annex 4 - List of Interviewees

## 4.1 Stakeholders in Brussels

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### **Council of the European Union**

CAVIGNEAUX Elie, Adviser to the EU Anti-Terrorism Coordinator, Council of the European Union, 20 September 2017

REECE, Matthew, Council of the EU, Unit 2-A Enlargement, Head of Section, 20 September 2017

### **DG NEAR**

BRUNET, Bernard, Thematic Support, Monitoring and Evaluation, 13 July 2017

CANEA, Ana Sorina, A4, MFF, programming and evaluation, Evaluation Officer, 19 September 2017

CENDROWICZ, Nicholas, MARTIN, Maite, and VISSER, Henk, D5 Regional Programmes, Western Balkans, 6 July 2017

COMO, Odoardo, former A3 - Head of sector Evaluation, currently B1 - International Aid/Cooperation Officer, 19 September 2017 and 22 September 2017

DE BRUYN, Vanessa, ENPI/ENI Cross Border Cooperation, 6 July 2017

GERSTBREIN, Heike, and SANTUCCIONE, Lucia, TAIEX and Twinning, 6 July 2017

HALGAND, Stéphane, Centre of Thematic Expertise Crisis Reaction and Security Sector Reform, 4 July 2017

KARVINEN, Tehri, A4, Financial Assistance Policy and Strategy, Budget Support Coordinator, 19 September 2017

POIANA, Sinziana, Centre of Thematic Expertise, Civil Society, 7 July 2017

POPOWSKI, Marcejj, Deputy Director General, 4 July 2017, 22 September 2017, 8 March 2018

RACKOWSKI, Daniel, Neighbourhood East Regional Programmes, 7 July 2017

REECE, Anna, Centre of Thematic Expertise. Crisis Response and SSR, 3 July 2017

ROCHEL, Walter and ZWAENEPOEL, Sabine, Thematic, 4 July 2017

### **EEAS**

AUER, Eduard, Western Balkans, 23 May 2017

DEANE, Ken, CPCC, 21 September 2017

DOMM, Rory, Security Policy Department, 20 September 2017

GLUME, Gallia, CPCC, Brussels, 2 November 2017 (by phone)

IKLODY, Gabor, CMPD, 24 May 2017

PISANI, Jean-Marc, CPCC, 24 May 2017 and 21 September 2017

ROMAIN, Bertrand, CSDP, 23 May 2017

RUTTER, Karin, PRISM, 23 May 2017

SCHUEBEL, Dirk, Eastern Partnership, 23 May 2017

TIRMAA KLAAR Heli, CEVPOL, Cyber security, 20 September 2017

VASIU, Mihaela, ENP, 24 May 2017

### **Member States**

Meeting with MS representatives, 21 September 2017

### **NATO Headquarters Brussels**

NATO Headquarters, International Staff (1), 19 September 2017



NATO Headquarters, International Staff (2), 19 September 2017  
NATO Headquarters, International Staff (3), 19 September 2017  
NATO Headquarters, International Staff (4), 19 September 2017  
NATO Headquarters, International Staff (5), 19 September 2017  
NATO Headquarters, International Staff (6), 20 September 2017  
NATO Headquarters, International Staff (7), 21 September 2017 (2 participants)  
NATO Headquarters, International Staff (8), 22 September 2017

### **International NGOs**

HABBIDA Nabila, Senior Project Officer, European Peacebuilding Liaison Office (EPLO), 21 September 2017

LUETHOLD, Arnold, Geneva Centre for Democratic Control of Armed Forces, 6 October 2017

## **4.2 Stakeholders in the Enlargement region**

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### **4.2.1 Albania**

#### **Beneficiary Agencies/Institutions**

BARA, Jonad, prosecutor, General Prosecutor's Office, 15 November 2017

BEKTESHI, Genta, Chief of Integration Sector, Arlinda, Ministry of Interior, 14 November 2017

JAUPI, Rebani, Deputy General Director, Albanian State Police, 15 November 2017

VALIKAJ (Felaj), Ermonela, Chair of the National Security Committee, Assembly of Albania, 13 November 2017

Discussion group with the EURALIUS stakeholders, Ministry of Justice, 15 November 2017:

1. BANUSHI, Yilka, Assembly of Albania (parliament)
2. BEJA, Besmir, Advisor of the Minister of Justice
3. KOLEKA, Ador, Director of Continuous Training, School of Magistrates
4. LUBONJA, Tetis, Director of EU Integration and IPA funds, Ministry of Justice
5. SEMINI, Marina, Professor, School of Magistrates
6. XHAFFERLLARI, Marsida, Chief Inspector, High Council of Justice

Beneficiaries of 'Together Against Police and Prison Torture', group discussion 16 November 2017:

1. BLERTA, Doci, Chief of social issues, General Directorate of Prisons
2. DURBAKU, Lavdimir, Specialist at public order directorate, Police Directorate
3. PEÇI, Idir, professor, School of Magistrates
4. STRAZIMIRI, Uran, father of litigant Arben Strazimiri
5. ZAHARIA, Leonora, wife of litigant Fatal Zaharia

### **EEAS**

ABADIE Cecile, Albania desk, 20 September 2017

### **EUD**

AKDAG, Erol Human Rights, BENLLOCH MIRANDA, Alvaro, political section, TORCOLLI, Francesco, Programme Manager, Justice and Home Affairs, 13 November 2017

FSHAZI, Tidita, Programme Manager, EURALIUS, 13 November 2017

### **DG NEAR**

ALDAYA, Michael, CORTESE, Roberta, and, DEVRIM, Deniz, Desk Albania, 4 July, 2017

### **EU Member States**

CONTI, Giovanni, GALLORO, Massimo, Ministry of Interior, International Police Cooperation Service, Italian Police Liaison Office in Albania, 13 November 2017

GJERMANI, Linda, Community Policing Programme, Swedish Embassy, 17 November 2017

### **International Stakeholders**

BENNET, Stephen, Head of the International Criminal Investigative Training Assistance Program (ICITAP), US Department of Justice, 17 November 2017

BERNHARD, Agnes, Team leader, YORDANOV, Dragomir and MIHAILOVA, Anita, key experts, D'ACHILLE, Carlo, Team Leader, BICJA, Ilir, Senior Legal Expert, PAMECA V, 14 November 2017

EURALIUS programme staff, 15 November 2017

TUNCSIK, Szabolcs, Head of Security Co-operation Department, XHAMALLATI, Mira, OSCE presence in Albania, 14 November 2017

### **Civil Society**

DYRMISHI, Arjan, Institute for Democracy and Mediation, 16 November 2017

NGJELA, Klejda, Programme Manager, MURATEJ, Andi, Attorney at Law, Albanian Helsinki Committee, 16 November 2017

PASHAJ, Anri, independent observer, 17 November 2017

## **4.2.2 Bosnia and Herzegovina**

### **Beneficiary Institutions/Agencies**

DZINDO, Mevludin, Assistant Director for Coordination of the Fight Against Corruption, Agency for the Prevention of Corruption and Coordination of the Fight Against Corruption, 3 November 2017

GRUBESIC, Željko, Secretary of Parliamentary Affairs Delegation Security and Defence, 3 November 2017

HIROS, Nejra, Division for Strategy, Directorate for European Integration, 2 November 2017

HOFBAUER, Friedrich, Resident Twinning Adviser, IPA 2012 Twinning Project, "Strengthening Law Enforcement", Ministry of Security, 31 October 2017

MITROVIC, Dragan, Directorate of Police Coordination, 1 November 2017

SANJA, Ramic, Division for Strategy, Directorate for European Integration, 2 November 2017

SANTIC, Toni, Ministry of Justice, 31 October 2017

SLADOJE, Mitar, Division for Strategy, Directorate for European Integration, 2 November 2017

TEGELTIJA, Milan, Judge, President of the High Judicial and Prosecutorial Council of Bosnia and Herzegovina, 1 November 2017

Ambassador TOPCAGIC, Osman, Former Bosnia and Herzegovina Ambassador to the EU and Director of the Directorate for European Integration, 2 November 2017

Group Meeting, Monitoring and Evaluation Department, Bosnia and Herzegovina Directorate for European Integration, 2 November 2017

Eight officials from the State Investigative Protective Agency, 31 October 2017

### **DG NEAR**

CAMMARATA, Alberto, MUNTEANU, Manuel, and RUNGULE, Zane, Desk Bosnia and Herzegovina, 5 July 2017

### **EUD**

ASIN, Melvin, Head of Cooperation, 3 November 2017

BERGER, Chloe, Head of Rule of Law, 16 October 2017

HINTZEN, Johannes, Programme Manager for Justice Reform, Anti-Corruption and Security, 30 October 2017

HODZIC-ZIJADIC, Normela, Programme Manager, 30 October 2017, 3 November 2017

HRUSTANOVIC-ISOVIC, Lejla, Programme Manager, 30 October 2017

SNAIDAUF, Jan, Head of Political and Economic Section, 30 October 2017

SOOS, Karoly, Rule of Law, 16 October 2017

### **EUSR**

BERTHOUD, Julien, Rule of Law Adviser, 31 October 2017

HADZIMUSIC, Samir, Rule of Law Adviser, 31 October 2017

WOOD, Richard, Senior Adviser to EUSR and Head of Rule of Law Section, 31 October 2017

### **EUFOR**

Dr. WIDRICH, Thomas, Political Adviser to EUSR and COMEUFOR, 30 October 2017 and 3 November 2017

KUNDIGRABER, Bernhard, Chief Training Planning Coordination, EUFOR, 3 November 2017

### **EU Member States**

BUKVIC, Nedem, Swedish Embassy, 1 November 2017

VEBER, Catherine, Deputy Ambassador, French Embassy, 1 November 2017

### **International Organizations**

Dr. LANGAN, William, Head of Security Cooperation, OSCE, 2 November 2017

HANER, Michael, OHR, 1 November 2017

NATO Official, 2 November 2017

TADIC, Slobodan, Senior Programme Coordinator, Sector Leader, Human Security and Justice, UNDP, 31 October 2017

### **Civil Society**

Professor Dr. MUJIC, Asim, University of Sarajevo, Political Science, 1 November 2017

## **4.2.3 Kosovo**

### **Beneficiary Agencies/Institutions**

BEQIRI, Lulzim, Director of the Department for European Integration and Policy Coordination, Ministry of Justice, 26 October 2017

HALILI, Kastriot, Head of Division, Public Administration and Rule of Law, Ministry of European Integration, 26 October 2017

HAVOLLI, Shaip, Kosovo Anti-Corruption Agency, 23 October 2017

KOCANI, Dardan, Acting Director, Ministry of Internal Affairs, Department for European Integration and Policy Coordination, 23 October 2017

KRASNIQI, Ron, Senior Programming Officer, Ministry of Internal Affairs, Department for European Integration and Policy Coordination  
OSMANI, Ruzhdi, Head of Division, Department for European Integration and Policy Coordination, Ministry of Justice, 26 October 2017  
SHILLOVA, Riza, Director of Investigations, Kosovo Police, 27 October 2017  
XHEMA, Behar, Deputy Director, Financial Intelligence Unit, 26 October 2017

### **DG NEAR**

CULLEN, David, MIHAYLOV, Sergey, PERCAN, Davor, and the former Yugoslav Republic of Macedonia, 4 July 2017  
UJKAJ, Lora, DG NEAR, Kosovo, 20 September 2017

### **EU Office/EUSR**

AGANI, Edis, Programme Manager, 27 October 2017  
KAVALLARIS-LADIS, Nikolaos, Political Adviser, 27 October 2017  
MICHALCZUK, Cezary, Head of Rule of Law and Legal Section, 27 October 2017  
NIEVERGELT, Rafael, 23 and 27 October 2017

### **EULEX**

ANDEER, Lina, International Gender Advisor, 24 October 2017  
BESHIRI, Ismije, Head of Political-Reporting Office, 24 October 2017  
CUNNINGHAM, Martin, Head of Strengthening Division, 24 October 2017  
DOMINIK, Katja, Head of Executive Division, 24 October 2017  
FENNEMA, Marianne, Head of Human Rights and Legal Office  
JAKOBS, Helen, Programme Manager, 24 October 2017  
PAPADOPOULOU, Alexandra, Head of Mission, 24 October 2017  
ROUSE, John, Chief of Staff, 24 October 2017  
THRAN, Bernd, Deputy Head of Mission, 24 October 2017

### **EU Member States**

BLESTEL-FEFFER, Carole, First Political Counsellor, Embassy of France, 27 October 2017  
CHABERT, Didier, Ambassador of France, 27 October 2017  
HIPPE, Markus, First Political Counsellor, Embassy of Germany, 25 October 2017  
HUHTAMAKI, Anne, Ambassador of Finland, 25 October 2017  
RAMAJ, Venera, Policy Advisor on Rule of Law, Embassy of Netherlands, 24 October 2017

### **International Organizations**

DUNGA, Edmond, Council of Europe, PECK 1 and 2 Project Manager, 25 October 2017  
ROGHE, Ake, OSCE, Director of the Department for Security and Public Safety, 25 October 2017  
NATO/KFOR Officers, 24 October 2017

### **Civil Society**

Focus Group, 25 October 2017

1. Kosovo Law Institute
2. Kosovar Civil Society Foundation
3. Institute for Kosovo Stability

#### 4.2.4 Serbia

##### **Beneficiary Agencies/Institutions**

KOSTIĆ, Aleksandar, Criminal Police Directorate, General Police Directorate, Ministry of Interior, Republic of Serbia, 23 November 2017

MILOVOJEVIĆ, Marko, National Crime - Technical Centre, Criminal Police Directorate, General Police Directorate, Ministry of Interior, 23 November 2017

NEŠIĆ, Lazar, National Crime - Technical Centre, Criminal Police Directorate, General Police Directorate, Ministry of Interior, 23 November 2017

PEROVIĆ, Danilo, Department for Suppression of Narcotics Smuggling, Service for Combating Organised Crime, Criminal Police Directorate, General Police Directorate, Ministry of Interior, 23 November 2017

PETROVIĆ, Ana, Internal Affairs Sector, Ministry of Interior, and formerly Resident Twinning Adviser Counterpart, CRIS/2010/249-981, 'Police Reform: Internal Affairs, 21 November 2017

POPOVIĆ, Radomir, Head of Service for Drug Addiction Prevention and Drugs Trafficking Suppression, Criminal Investigations Directorate, Ministry of Interior, 24 November 2017

RAILIĆ, Nikola, Deputy Head of Service for Drug Addiction Prevention and Drugs Trafficking Suppression, Criminal Investigations Directorate, Ministry of Interior, 24 November 2017

RAKIĆ, Milan, Project Management Department, Sector for International Cooperation, EU Affairs and Planning, Ministry of Interior, 21 and 23 November 2017

RISTIĆ, Ida, Coordinator, Project Management Department, Sector for International Cooperation, EU Affairs and Planning, Ministry of Interior, 21 and 23 November 2017

ROSTOVIĆ, Radiša, Border Police Directorate, General Police Directorate, Ministry of Interior, 23 November 2017

TOMAŠEVIĆ KOMADINIC, Marina, Police Advisor, General Police Directorate, Ministry of Interior, 23 November 2017

UROŠEVIĆ, Vladimir, Department for Combating Hi-Tech Crime, Service for Combating Organised Crime, Criminal Police Directorate, General Police Directorate, Ministry of Interior, 23 November 2017

VASKOVIĆ, Zoran, Border Police Directorate, General Police Directorate, Ministry of Interior, 23 November 2017

VUKOVIĆ, Mladen, Service for Combating Terrorism and Extremism, Criminal Police Directorate, General Police Directorate, Ministry of Interior, 23 November 2017

##### **DG NEAR**

PAJER, Leonetta, Desk Serbia, 5 July 2017

WENDT, Catherine, Head of Unit (D2 – Serbia), 5 July 2017

##### **EUD**

BIZEL, Nicolas, Head of Operations Section I: Justice, Home Affairs and Social Inclusion, 21 November 2017

HÄYRINEN, Noora, Counsellor, Head of Political Section, 21 November 2017

KUCHAR, Brigitte, Programme Manager for Asylum, Migration, Border Management, 21 November 2017

REPICI, Marcello, Desk Chapter 24 [except Asylum and Migration], 23 November 2017

##### **EU Member States**

CATTOI, Federica, First Secretary, Embassy of Italy, 21 November 2017

### **Implementing Partners**

BALON, Bojana, Coordinator, South Eastern and Eastern Europe Clearing house for the Control of Small Arms and Light Weapons (SEESAC), 4 December 2017  
BOSKOVIĆ, Slobodan, SALW Coordinator, South Eastern and Eastern Europe Clearing house for the Control of Small Arms and Light Weapons (SEESAC), 4 December 2017  
KALCHER, Doris, Resident Twinning Adviser, Fight against Organised Crime, 21 November 2017  
MAJSTOROVIĆ, Mirjana, Horizontal Facility Action on Preventing and Combatting Trafficking in Human Beings in Serbia, Council of Europe, 20 November 2017  
SRBLJANOVIĆ, Igor, Project Officer, SALW Control, South Eastern and Eastern Europe Clearinghouse for the Control of Small Arms and Light Weapons (SEESAC), 4 December 2017  
TURCO, Eugenio, Resident Twinning Adviser, Prevention and Fight Against Corruption, 22 November 2017  
WALENTICH, Gabriele, Seconded Prosecutor/Resident Twinning Adviser, International Cooperation in Criminal Justice: Prosecutors' Network of the Western Balkans, 22 November 2017

### **International Stakeholders**

MAZZOLANI, Denise, Head, Political Affairs Department, Organization for Security and Co-operation in Europe Mission to Serbia, 22 November 2017  
PETROVIĆ-JOVANOVIĆ, Ana, National Programme Officer, Police Affairs Department, Organization for Security and Co-operation in Europe Mission to Serbia, 22 November 2017

### **Civil Society**

DJOKIĆ, Katarina, Researcher, Belgrade Centre for Security Policy, 23 November 2017  
GEORGIJEV, Slobodan, Programme Coordinator BIRN Serbia, Balkan Investigative Reporters Network, 22 November 2017  
STOJANOVIĆ GAJIĆ, Sonja, Director, Belgrade Centre for Security Policy, 23 November 2017

## **4.2.5 Turkey**

### **Beneficiary Agencies/Institutions**

ERKOCAK, Ege, Director, Directorate of Political Affairs, 30 November 2017  
TURAN, Beyza, Director, Directorate of Financial Cooperation, 28 November 2017

Ministry of EU Affairs (group meeting and accompaniment to beneficiary meetings):

DECLE, Sucit, DEMIR, Nazli Seren, and PATAN, Erol (deciphered from handwritten), EU Affairs Experts, Ministry of EU Affairs, 28 November 2017  
KARTAL, Kazim, Coordinator, Ministry of EU Affairs, 28 November 2017

Group meeting at the Ministry of Justice, 28 November 2017 (+ four EU Affairs Ministry staff):

1. ASLIPEK, Ozkan, Head of Section
2. CACIK, Pelin, Administrative Officer
3. CIGDEM, Ertugrul, Enforcement and Protection Officer
4. EGERCI, Deniz
5. HELVACI, Onur, judge, DG for EU Affairs
6. KAÇMAZ, Süleyman
7. KARAKAZU, Busra, DG for European Union, Deputy Head
8. ÖZKAYA, M. Can, social worker
9. OZKAN, Ali Burhan, social worker



10. SIK, Huseyin, judge, CTEEM
11. TEKE, Nimet, Data Preparation and Control Operator

Group meeting at the Ministry of Interior, 28 November 2017 (+ four EU affairs ministry staff):

1. BOYACI, Duran, lieutenant, Turkish Land Forces Command
2. CETINER, Ahmet, Gerdarmerie Major, Turkish Jandarma (CT)
3. DURAN, Fatih, EU expert, Ministry of Interior, EU affairs and foreign relations department
4. DURGUT, Vedat, 3<sup>rd</sup> degree police chief, Turkish National Police
5. HANCIOGLU, Huseyin, Assistant EU expert, Ministry of Interior, EU affairs and foreign relations department
6. KAHRAMAN, Oguzhan, Gerdarmerie Major, Turkish Jandarma (CT)
7. KARAGOZOGLU, Zeynep Betul, Deputy Inspector, Turkish National Police
8. KARAKOC, Hilal, Assistant EU Expert, Ministry of Interior, EU affairs and foreign relations department
9. OZKAN, Yunus Emre, Coordinator of Programming Unit, Ministry of Interior, EU affairs and foreign relations department
10. SIMSER, Ilayda, Coordinator of M&E Unit, Ministry of Interior, EU affairs and foreign relations department
11. YUREKLI, Huseyin, colonel, Turkish Land Forces Command

AKIN, Eda, Treasury Expert, SEPİCİ, İbrahim, Head of NAO Office, SIMIT, Zahit, Treasury Expert, NAO Office, Undersecretariat of Treasury, 29 November 2017

Group meeting at Central Finance and Contracts Unit, 30 November 2017

1. BORGA, Küçükkayalar, Internal Auditor
2. BAŞAK, Tuncer, Team Leader
3. DICLE, Okan, Team Leader
4. EDA, Özil, Contract Manager
5. HÜSEYİN, Tan, Acting Coordinator
6. MELTEM, Tekin, Team Leader

#### **DG NEAR**

FRECH, Eva, Desk Turkey, 9 March 2018

FRECH, Eva, and SCHUSTER, Anke, Desk Turkey, 6 July 2017

#### **EEAS**

NINO-PEREZ, Javier, EEAS, Head of Section, Turkey, 22 September 2017

#### **EUD**

DUNDAR, Burce, Sector Manager, IBM, 27 November 2017

FAZLIOĞLU, Ömer, political section, 27 November 2017

ONSOY, Nur, Sector Manager, Justice, Freedom and Security, Institution Building and Civil Society section, 27 November 2017

SCIALLA, Paolo, Deputy Head of Section, Dimitrina KARAYATOVA, international aid coordination officer, Arzu ŞENER – briefing, 27 November 2017

SIMON, Christian, Advisor for security and counter-terrorism, 30 November 2017

#### **EU Member States**

BEATTIE, Toffer, colonel, British Defence Attaché, UK Embassy, 29 November 2017

CUBEL, Antonio, Police Liaison officer, Counsellor of the Ministry of Interior, Embassy of Spain, 27 November 2017

THOMPSON, James, Counter Terrorism Policy Officer, UK Embassy, 28 November 2017

### **International Stakeholders**

ALACACI, Seher, Assistant Resident Representative, and YARIMAGAN, Evrim, Programme Coordinator, UNDP, 29 November

PAMPARAS, Darijus, IOM, 30 November 2017

ZHYTKOVA, Maria, Border Management and Security Programme, International Centre for Migration Policy Development, 7 December 2017 (Skype interview)

### **Civil Society/ Academic**

HAYATSEVER, Huseyin, journalist, Sputnik News, 28 November 2017

KORKUT, Berivan, EREN, Mustafa, DEMIRBAS, Hilal Basak, Turkey's Center for Prison Studies, 1 December 2017

OZCAN, Nihat Ali, Consultant, TEPAV, 29 November 2017

OZPEK, Burak Bilgehan, TOBB University, 27 November 2017

SADIK, Giray, Associate Professor and Vice Chair, Ankara Yildirim Beyazit University, 29 November 2017

## **4.3 Stakeholders in the Neighbourhood region**

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### **4.3.1 Georgia**

#### **Beneficiary Agencies/Institutions**

AZNAURASHVILI, Zurab, Head of Financial Monitoring Service of Political Parties, State Audit Office of Georgia, 17 November 2017

BARAMIDZE, Aleksandre, First Deputy Minister, Ministry of Justice of Georgia, 14 November 2017

DVALISHVILI, Sophio, State Audit Office of Georgia, 17 November 2017

GHAZADZE, Eka, Deputy Auditor General, State Audit Office of Georgia, 17 November 2017

KILADZE, Sophie, Chair, Human Rights and Civil Integration Committee, Parliament of Georgia, 15 November 2017

MACHAVARIANI, Ekaterine, Deputy Director, Ministry of Internal Affairs of Georgia, 16 November 2017

NATSVLISHVILI, Marika, Director, State Budget Analysis and Strategic Planning Department, State Audit Office of Georgia, 17 November 2017

PERADZE, Maka, Head, Project Management Division, Ministry of Internal Affairs, 16 November 2017

SALUKVADZE, Tamar, Deputy Head, Project Management Division, Ministry of Internal Affairs, 16 November 2017

SANIKIDZE, Zurab, Director of Analytical Department, Ministry of Justice of Georgia, 14 November 2017

#### **DG NEAR**

HAUF, Michaela, DG NEAR, Georgia, 7 July 2017



## **EUD**

CSAKI, Monika, Counsellor, Deputy Head of Political, Press and Information Section, 17 November 2017

DANIS, Peter, Attaché-Programme Officer Justice, 14 November 2017

DLOUCHY-SULIGA, Dorota, Head of Political Section, 17 November 2017

HUET-GUERRICHE, Sophie, Attaché-Thematic Sector Coordinator Human Capital and Governance, 13 November 2017

KHMALADZE, Irakli, Project Manager, Economics, Regional Development and Public Finance, Budget Support Coordinator, 15 November 2017

KHUTSISHVILI, Ketevan, Programme Manager, Rule of Law and Good Governance, Gender Focal Person, 16 November 2017

REY, Vincent, Minister Counsellor, Head of Cooperation, 13 November 2017

## **European Union Monitoring Mission (EUMM)**

DALTON, Kieran, Senior Mission Analytical Capability Analyst, 13 November 2017

## **EUSR**

SEPASHVILI, Giorgi, National Political Adviser, Office of the EUSR for the South Caucasus and the Crisis in Georgia, 15 November 2017

TRIER, Tom, Political Adviser, Office of the EUSR for the South Caucasus and the Crisis in Georgia, European External Action Service, 15 November 2017

## **International Stakeholders**

NATO Official, 16 November 2017

NYSTROM, Dwight, Chief of Political and Economic Affairs, Embassy of the United States of America, 14 November 2017

## **Civil Society**

CHANTURIA, Tsira, Regional Director, Penal Reform International, 15 November 2017

## **4.3.2 Moldova**

### **Beneficiary Agencies/Institutions**

BULAT, Eduard, Head of Policies, Reforms and Projects Management Unit, General Prosecutor's Office, 2 November 2017

CLADCO, Alexandru, General Prosecutor's Office, 2 November 2017

CLIMA, Nicolai, Judicial Inspections, Superior Council of Magistracy, 2 November 2017

DOLINȚĂ, Ștefan, Lt-Colonel, Head, Finance Direction, General Police Inspectorate, Ministry of Internal Affairs, 31 October 2017

LECARI, Fredolin, Head of the Border Police Department, Ministry of Internal Affairs, 31 October 2017

NEGURA, Vladimir, Head, International Relations and External Assistance Directorate, General Police Inspectorate, Ministry of Internal Affairs, 31 October 2017

PÎNZARI, Alexandru, Colonel, Head, General Police Inspectorate, Ministry of Internal Affairs, 31 October 2017

POSTICA, Anatolie Iacob, Colonel (Police), Chief, Internal Protection and Anti-Corruption Service, Ministry of Internal Affairs, 31 October 2017

Group Meeting, Division for the Analysis, Monitoring and Evaluation of Policies, Ministry of Justice, led by Tatiana MORARU, Head of Division 1 November 2017  
Group Meeting, General Police Inspectorate, Ministry of Internal Affairs, led by Vladimir NEGURA, Head, International Relations and External Assistance Directorate, 31 October 2017  
Group Meeting, Bureau for Migration and Asylum, Ministry of Internal Affairs, led by Olga POALELUNGI, Director, 31 October 2017

### **DG NEAR**

SRBOVA, Klara, DG NEAR, C1, Moldova desk, 20 September 2017

### **EUD**

DANIELS, Steven, Justice and Home Affairs Officer, 31 October 2017  
MOCANU, Alexandru, Project Manager, Visa, Mobility and Border, 2 November 2017  
NEAGA, Victoria, Justice Project Manager, 30 October 2017  
YAKOVLEVA Ekaterina, Budget Support, 17 October 2017

### **EU Member States**

AMBERG, Adam, Head of Cooperation, Embassy of Sweden, 31 October 2017  
RADUCANU, Artur, First Secretary Political Section, Embassy of Romania, 30 October 2017  
VIDAICU, Daniela, Project Manager, Embassy of Sweden, 31 October 2017

### **EU High-Level Advisers**

CORCIU, Eugen, EU High-Level Adviser on Internal Affairs, 30 October 2017  
DE BLASIO, Rosario, EU High-Level Adviser on Customs, 30 October 2017  
KALNINS, Inguss, EU High-Level Adviser on Justice, 1 November 2017  
OSTAPKO, Aivars, EU High-Level Adviser on Public Prosecution, 1 November 2017  
TUTILESCU, Marian, EU High-Level Adviser on Police Reform, 30 October 2017

### **Implementing Partners**

BEJENARU, Adrian, Project Manager, Construction of Palanca Jointly Operated Border Crossing Point Project, UNDP, 1 November 2017  
HADZIYINNAKIS, Yiannis, Team Leader, Technical Assistance to Improve Public Finance Policy and Public Finance Management of Moldova, 2 November 2017  
LUCACI, Eduard, Penitentiary System Expert, Support to Enforcement, Probation and Rehabilitation Services Project, 2 November 2017  
MAHNKE, Carsten, Team Leader, GiZ, 2 November 2017  
PICHOR, Slawomir, Head of EUBAM Office in Moldova, European Union Border Assistance Mission to Moldova and Ukraine, 30 October 2017  
SKVORTOVA, Alla, Programme Specialist/Cluster Leader Governance, Justice and Human Rights, UDP, 1 November 2017

### **Civil Society**

GRIBINCEA, Vladislav, Executive Director, Legal Resources Centre from Moldova, 1 November 2017  
GUZUN, Ion, Legal Officer, Legal Resources Centre from Moldova, 1 November 2017

### 4.3.3 Ukraine

#### **Beneficiary Agencies/Institutions**

BILOUS, Natalia, State Fiscal Service, 24 October 2017

BLYSTIV, Tetiana, Committee on National Security and Defence, Verkhovna Rada of Ukraine, 27 October 2017

DRAPIATYI, Bogdan, Head of Secretariat of the Committee on Legislative Support for Law Enforcement, Verkhovna Rada of Ukraine, 27 October 2017

HOMA, Raman, Deputy Chief of the International Cooperation Division, International Police Cooperation Department, National Police of Ukraine, 27 October 2017

HURYN, Oleksandr, Acting Head, Division for Coordination of International Donor Assistance, International Cooperation Department, Ministry of Justice, 24 October 2017

IEROMINA, Olga, Head of EU Cooperation Unit, International Cooperation and European Integration Department, Ministry of Internal Affairs, 25 October 2017

KUNDEREVYCH, Oleksandra, Deputy Head, Division of Strategic Development, Analytics and Standards Department, Accounting Chamber of Ukraine, 25 October 2017

STEPANENKO, Oksana, State Fiscal Service, 24 October 2017

VASYL, Slobodian, Senior Specialist, Division for Coordination of International Donor Assistance, International Cooperation Department Ministry of Justice, 24 October 2017

YAREMENKO, Oleksandr, Deputy Chairman, Accounting Chamber of Ukraine, 25 October 2017

#### **DG NEAR**

LENZING, Katja, and PAUL, Frank, Support Group for Ukraine, 3 July 2017

WAGNER, Peter, Head, Support Group for Ukraine, 3 July 2017

#### **EEAS**

RAMET, Christian, Desk Ukraine, 2 August 2017

#### **EUD**

DAHLGREN, Stephan, 23 October 2017

DELLA PIAZZA, Fabio, Counsellor, Head of Political Section, 23 October 2017

FERRARO, Marco, Sector Manager, Law Enforcement/Fight Against Organised Crime, 23 October 2017

LARSEN, Henrik, Political Officer, Political Section, 23 October 2017

LIMANTAS, Manfredas, Sector Manager, Rule of Law/Anti-Corruption, 26 October 2017

SPIVAK, Andriy, Justice Sector Manager, 23 October 2017

#### **European Union Advisory Mission (EUAM)**

BACH, Peter, Chief of Staff, 25 October 2017

JOHANSSON, Patrick, Public Order Adviser, 26 October 2017

O'SULLIVAN, Maura, Community Policing Adviser, 26 October 2017

TAMMINEN, Tanja, Head of Planning, Coordination Cooperation Department, 25 October 2017

ZARECKA, Marta, Senior Adviser, Border Guards and Customs, 26 October 2017

#### **EU Member States**

KERSTEN, Ivo, Second Secretary Immigration Affairs, Embassy of the Kingdom of the Netherlands, 24 October 2017

RUDINSKAITĖ, Rūta, Third Secretary, Embassy of the Republic of Lithuania, 25 October 2017

VAIVADA, Andrius, Defence Adviser, Embassy of the Republic of Lithuania, 25 October 2017

### **Implementing Partners**

FARRELL, Daniel, Twinning Expert, Border Guards Twinning Project, 26 October 2017

HALENKO, Kate, Council of Europe, 24 October 2017

HORBOVYY, Roman, National Officer, Capacity Building in Migration Management, International Organization for Migration, 26 October 2017

MAYOROVA, Marina, National Officer, Capacity Building in Migration Management, International Organization for Migration, 26 October 2017

MELNIK, Yelizaveta, Senior Project Specialist (State Fiscal Service), Capacity Building in Migration Management, International Organization for Migration, 26 October 2017

SCORRETTI, Laura, Programme Coordinator, Capacity Building in Migration Management, International Organization for Migration, 26 October 2017

### **International Stakeholders**

Two NATO Officials, 27 October 2017

## **4.4.4 Jordan**

### **Beneficiary Agencies/Institutions**

ABBADI, Bakerkh, Engineer, Secretary General, AL-AJARMAH, Ahmad, and KHREISHAT, Zeina, Ministry of Political and Parliamentary Affairs, 16 October 2017

AL TAWHEEL, Wasfi, Acting Head of CVE Unit, Ministry of Culture, 16 October 2017

AWAD, Nizar, Ministry of Planning International Cooperation, 19 October 2017

JAMALIYA, Ahmad, H.E Judge, Secretary General, Ministry of Justice, 17 October 2017

MALLAH, Firas, General budget department, Ministry of Finance, 19 October 2017

MOWANEES, Abbas, Security Affairs and Public Outreach, and URWA, Ulwan, Head of Counter-terrorism branch, Ministry of Interior, 16 October 2017

SHANAAH, Emad, Ministry of Planning International Cooperation, 19 October 2017

Participants in Justice Sector Reform group discussion, 18 October 2017:

1. AL MUSAIMI, Ali, Judge, Technical Office/ Judicial Council
2. ALTALAFEEH, Omar, Assistant Secretary General for Financial and Administrative affairs
3. MAJDALAWIEH, Raesa, Head of Financial and administrative department/ Judicial Institute
4. QARDAHJI, Naela, Engineer, Head of directorate for planning and development of institutional performance, Ministry of Justice

Group discussion at the Criminal Investigation Department: Colonel ALZABI, Amad Hamdi and four other CID officers.

### **DG NEAR**

MESSI, Massimiliano, Desk Jordan, 7 July 2017

### **EEAS**

NEISSE, Frank, EEAS, Desk Lebanon and Jordan, 3 July 2017

### **EUD**

DASSEN, Koenraad, Minister Counsellor, Counter-Terrorism, 18 October 2017

LAAFIA, Ibrahim, First Counsellor, Head of Cooperation, 16 October 2017

STEFFENS, Michael, Programme Manager, quality support and aid coordination, 16 October 2017

### **EU Member States**

MASSMAN, Michael, police reform assistance, Embassy of Germany, 19 October 2017

OXENHAM, Jill, Deputy Head, Conflict Stability Security Fund, British Embassy, 17 October 2017

### **International Stakeholders**

AL-A'DARBEH, Amjad, Country Programme Manager, WARQ, Mahanad, National project officer, UNODC, 18 October 2017

AL MUTAWAKEL, Mohammed, Project Manager, GIZ, 19 October 2017

JABAREEN, Qais, Chief of Party, USAID Rule of Law project, 16 October 2017

LENTZE, Alfons Benjamin, Team Leader, Technical Assistance to Justice Sector Reform, 17 October 2017

WELLER, Evelien, Independent Consultant, 21 August 2017

### **Civil Society**

AL SABAILEH, Amer, Political and Security Analyst, 20 October 2017

AL ZAHABY, Fares, Independent journalist, 20 October 2017

MAGABLEH, Nedal, 'EU support to civil society in Jordan' project, 19 October 2017

## **4.4.5 Lebanon**

### **Beneficiary Agencies/Institutions**

ABOU JAUDI, Roland, General, Head of Planning, General Security, 7 December 2017

ABOU SLEIMAN, Khalil, Brigadier General, Director of LAF Planning General Studies, LAF, 7 December 2017

BEJJANI, Habib, Colonel, Chief, Post Control and Anti-Fraud Division, Customs, 7 December 2017

EL-CHIDIAC, Youssef, Colonel, Head of External State Security Section, General Directorate of State Security, 8 December 2017

EL-JAZZAR, Ziad, General, Chief of Special Criminal Investigations Division, ISF, 5 December 2017

HAJJAR, Ahmad, General, Chief of ISF Academy, ISF, 5 December 2017

HITTI, Maroun, Brigadier General, General Security Adviser to the Prime Minister's Office, 6 December 2017

HOMSY, Oliver, Head of Department of Training and Education, General Directorate of State Security, 8 December 2017

ISSA, General, Director, Border Control Committee, LAF, 7 December 2017

MATAR, Boulos, Brigadier General, Advisor for Military Affairs to the Presidential Palace, 6 December 2017

MEDAWER, Youssef, Colonel, Intelligence Office, General Security, 7 December 2017

MERHEB, Sassine, Brigadier General, Head of Planning and Organization Division, General Directorate of State Security, 8 December 2017

SARKIS, Joseph, Rear Admiral, Deputy Chief of Staff for Planning, LAF, 7 December 2017

SLEILATY, Brigadier General, Naim, Directorate of Intelligence, Chief of Strategic Branch, LAF, 7 December 2017

TIMANI, Marwan, Lebanese Army Officer, Border Control Committee, LAF, 7 December 2017

### **EEAS**

DUHOT, Hubert, former EUD Lebanon staff, 20 September 2017

NEISSE, Frank, Desk Lebanon and Jordan, 3 July 2017 and 21 September 2017

### **EUD**

GHARBAOUI, Samir, Attaché-Justice, Human Rights, and Democracy, 4 December 2017

RIBAUT-GAILLARD, Jerome, CT Expert, 8 December 2017

VALETAS, Thomas, European Migration Liaison Officer, 4 December 2017

VARLESE, Francesca, Attaché-SSR Programme Manager, 4 December and 8 December 2017

WALDE, Falko, Political Officer, 4 December 2017

### **EU Member State**

JUGE, Raphael, Security Attaché, Embassy of France in Lebanon, 5 December 2017

### **Implementing Partners**

BATHISH, Rami, Project Manager and Senior Adviser, Border Management and Security, ICMPD, 5 December 2017

DEUTSCHER, Andre, Superintendent of Police and Key expert for the General Security, SSR Lebanon, 6 December 2017

JOHNSON, Phil, Key Expert and Team Leader, IBM Lebanon, ICMPD, 5 December 2017

PELLEGRINI, Alain, General, Team Leader, SSR Lebanon, 6 December 2017

### **Civil Society Organizations**

GHALI, George, ALEF: Act for Human Rights, 8 December 2017

HOLMQUIST, Charles, Program Director, Search for Common Ground, 8 December 2017

## **4.4.6 Palestine\***

### **Beneficiary Agencies/Institutions**

ABDELKHALEQ, Khoulood, Ministry of Social Development, PA, 7 November 2017

ATTALLAH, Hazim, Major General, Chief of Palestinian Civil Police, 5 November 2017

BARAQ, Ahmad, Attorney General, Public Prosecutor, PA, 7 November 2017

HALA, Mansur, Juvenile Justice Judge, WALHWALI, Ahmad, Juvenile Justice Judge, and DIAB, Nadia, Researcher, High Judicial Council, 9 November 2017

IMRAN, Imad, Ex-manager of Dar Al Aman Juvenile Rehabilitation Centre Ministry of Social Development, 7 November 2017

KHALIL, Thaer, Chief Prosecutor, PA, accompanied by another staff member, 7 November 2017

KHATIB, Sulaiman, Head of Information and Communication Technology Department, Ministry of Interior, PA, 5 November 2017

MLEITAT, Sameer, Logistics Officer-in-charge, Ministry of Interior, 6 November 2017

MUAMMAR, Wafaa, Manager, Family protection and juvenile justice unit at Palestinian Civil Police, 7 November 2017

SHARQAWI, Sameer, Ministry of Justice, 8 November 2017

Officers who participated in the Palestinian Civil Police workshop on 8 November 2017:

1. Brigadier MOUNIER
2. Col lyad KHALAKHALA
3. Col. Mosa YADAC

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\* 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



4. Col. Ryad ODEH
5. Lt Col Ameen BAKER
6. Col Abdel Hakeem Abo AL ROB
7. Col Khalid ABO ZAHRA
8. Col Ramadan SHAQUARI
9. Col. Murad HWAITI

An independent visit to Ubeideih community police station in Bethlehem district was conducted on 10 November 2017

### **DG NEAR**

BEHRMANN, Christian, Desk Palestine and Israel, 5 July 2017

### **EEAS**

MILANI, Raul Fuentes, and TOUSEK, Milos, Desk Political Section Palestine and Israel, 23 May 2017

### **EUREP**

BASSIL, Johnny, Energy and Infrastructure, and LINDORO, Laura, Programme Manager, 7 November 2017

GALLOTTA, Simona, Programme Manager, Rule of Law –Justice, 7 November 2017

HAUER, Ulrike, Head of political section, and PRECHT, Tomas, Political section, 7 November 2017

PITTO, Emanuele, Programme Manager, Crisis Response (IcSP) / Security Sector Reform, 10 November 2017

TANTTARI, Liisa, Head of Section: Support to Civil Society, East Jerusalem and Governance Issues, 10 November 2017

### **EUPOL COPPS**

CAZZANIGE, Jeanluca, Adviser embedded in the Ministry of Interior, EUPOL COPPS, 6 November 2017

GRAMA, Meda, Deputy Head of rule of law, EUPOL COPPS, 6 November 2017

HICKEY, Emma, Human Rights Expert, EUPOL COPPS, 6 November 2017

LANGENSTEIN, Iann, political section, EUPOL COPPS, 6 November 2017

O'CONNOR, Simon, head of Police Advisory Section, EUPOL COPPS, 6 November 2017

### **EUSR**

FREIGANG, Jan, Chief of Staff and Political Adviser to the European Union Special Representative for the Middle East Peace Process, 10 November 2017

### **EU Member States**

NUSEIBEH, Buraq, Security Sector Manager, DFID, 10 November 2017

WIBAUT, Auke, Rule of Law section, Christiaan Bergwerff, Security sector, Representative Office of the Netherlands, 10 November 2017

### **International Stakeholders**

ASAD, Mazen, Consultant (formerly key expert on Palestinian Civil Police project), Human Dynamics, 8 November 2017

BRADLEY, Mark, formerly team leader, Technical Assistance to Palestinian Civil Police project, Human Dynamics, 24 October 2017 (via Skype)

FAVALI, Lyda, Formerly Team Leader of Juvenile Justice project, Human Dynamics, 24 October 2017 (via Skype)  
PALMER, Robert, US Security Coordinator, Political Adviser, 9 November 2017  
WRIGHT, Elizabeth, Programme Manager, Human Dynamics, 13 October (via Skype) and 8 November 2017  
ZREINEH, Nicole, and Annas (family name unknown), Project Managers, GIZ, 9 November 2017

### **Civil Society**

ATSHAN, Leila, Bir Zeit University, Resource person for Juvenile Justice, 9 November 2017  
JABERIN, Shawan, Director, Al-Haq, 9 November  
MAIO, Frederic, DCAF, Head of Office in the Palestinian Territories, 5 November 2017  
NUSEIBEH, Lucy, Director of the Palestinian Centre for the Study of Non-Violence, formerly Nonviolent Peaceforce board member, Jerusalem, 9 November 2017  
QUZMAR, Khaled, Director, Institution of Defence children (DCI), 5 November 2017  
SAED, Raed, Civil Society Activist, formerly BBC, Ramallah, 10 November 2017



# Annex 5 - Bibliography

## 5.1 EU policy documents

---

Council of the European Union, *Council conclusions on CSDP, Meeting Document 8971/15*, 18 May 2015. Available at: <http://data.consilium.europa.eu/doc/document/ST-8971-2015-INIT/en/pdf>

Council of the European Union, *Council conclusions on the EUs comprehensive approach. Meeting Document 9644/14*, 12 May 2014. Available at: <http://data.consilium.europa.eu/doc/document/ST-9644-2014-INIT/en/pdf>

Council of the European Union, *Council conclusions on the Review of the European Neighbourhood Policy, Meeting Document 15169/15*, 14 December 2015. Available at: <http://data.consilium.europa.eu/doc/document/ST-15169-2015-INIT/en/pdf>

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## 5.7 Mapping sources

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# Annex 6 - Evaluation Team

## Evaluation team

A consortium led by Landell Mills and its consortium partner, Linpico, conducted the evaluation of the EU support for Security Sector Reform in enlargement and neighbourhood countries (2010-2016). Dr Susan Penksa led the evaluation team and was supported by two Senior Experts, Dr Anna Matveeva and Ms Nicole Ball, and by two Junior Experts, Ms Klodiana Puro and Ms Sandrine Loeckx. The evaluation team's expertise in key areas of the evaluation (rule of law, human rights, security sector reform, public administration reform/public finance management) has been combined with strong data collection, analysis and complex evaluation skills to deliver a robust and evidence-based evaluation study.

**Susan Penksa (Team Leader)** is an expert on international security and Professor of Political Science at Westmont College, California. She has twenty-four years of applied research, consulting, and field experience. Her core areas of expertise are Security System Reform; the Rule of Law; Peacebuilding/Conflict Stabilization; EU external relations; and gender. Her evaluations have included IPA and ENP beneficiaries, such as an impact assessment of the EU Police Mission in Bosnia and Herzegovina; an evaluation of Bosnian post-conflict military reform for the US Army Combat Studies Institute; and an assessment of EU and NATO assistance in post-conflict Georgia for the Centre for European and North Atlantic Affairs. On behalf of the EU Delegation to the United States, Dr Penksa organized a professional training seminar on EU and transatlantic security at the US Postgraduate Naval School in Monterey, CA. Other clients include DCAF, USAID/Pakistan, and the US Mission to the EU in Brussels. Dr Penksa is a frequent contributor to strategic dialogue on European/transatlantic security and has been an invited speaker to the Austrian Presidency of the EU, the Slovenian Presidency of the EU, the European Parliament, the ICO/EUSR in Kosovo\*, NATO, the EU Police Mission, and the EEAS. She has served as a Visiting Research Fellow at the Centre for European Studies (CEPS) in Brussels, Belgium (2005) and as Senior Associate at the Institute for European Studies (2009-2012). She is the recipient of two prestigious US Fulbright Scholar Awards. Dr Penksa is the co-author (with Roy H. Ginsberg) of *The European Union in Global Security: The Politics of Impact* (Palgrave Macmillan: 2012, 2014).

**Nicole Ball (Public Administration Reform and PFM expert)** is Senior Fellow at the Center for International Policy in Washington DC, a Deployable Civilian Expert at the UK Stabilisation Unit and a Strategic Adviser to the International Security Sector Advisory Team, DCAF in Geneva, Switzerland. She has over 30 years of professional experience in the sphere of security and development, including working with conflict-prone and fragile environments for nearly 25 years. She has 25 years of experience conducting public finance assessments in the security sector and undertaking research on security-sector PFM. She has a demonstrated knowledge of EU external action relating to justice and security sector reform and peacebuilding/conflict management. Ms Ball has led or participated in evaluations, assessments and lessons learning assignments in the areas of security, conflict prevention, peacebuilding and multilateral funding mechanisms funded by international donors, including the European Commission and EEAS. She has participated in the European Union's evaluations of Justice and Security Sector Reform (2010-2011), the EU African Peace Facility (2012-2013) and the Instrument for Stability/Instrument contributing to Stability and Peace (2017). Major non-EU assignments include leading or participating in three assessments of security and justice programming supported by the UK Conflict Pool (2003, 2006-07, 2007-08), assessments of UN funding instruments (2009, 2010) and an evaluation of Denmark's Peace and Stabilisation Fund (2014).

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\* 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



**Anna Matveeva (Senior Security Sector Reform Expert)** is an experienced security sector reform consultant who has 25 years' experience working on issue of conflict and peace building. An experienced evaluator she has conducted 26 conflict prevention and peace building impact assessment evaluations, 18 peace and conflict impact assessment studies and numerous monitoring reviews of civil society development and governance missions. Examples of her high level evaluation work include "Evaluating the Crimea Policy Dialogue," in Ukraine and providing monitoring and evaluation inputs for the Instrument for Stability Stages evaluations. Dr. Matveeva has excellent knowledge of IPA II and ENI partner countries having completed numerous assignments in countries such as Ukraine, Moldova, Bosnia and Herzegovina and Georgia. Dr. Matveeva is a Visiting Senior Research Fellow at the War Studies Department, King's College London and the author of a monograph on the conflict in Ukraine *Through Times of Trouble* (Lexington Books, 2018). She is also an expert on radicalisation and violent extremism, and acted as a consultant to the UN in that capacity. Her work on violent extremism is published by UN Women, in *Small Wars and Insurgencies*, and in *RUSI Journal*.

**Klodiana Puro (Junior Expert)** is an experienced junior expert who has over six years evaluation experience working on over 20 projects in the fields of human rights, rule of law, governance, democracy and capacity building. An excellent researcher she has honed her qualitative and quantitative research skills conducting field and desk research. Ms Puro not only brings her excellent evaluation and research skills to the assignment. She also has experience of working in IPA II countries such as Kosovo. She is an experienced project manager who has spent five years working on projects related to rule of law, governance and human rights. Ms Puro is knowledgeable of EC procedure having worked on numerous EC funded projects. Currently, Ms. Puro works as Planning Analyst for Reports to Parliament for the Department of Indigenous Affairs in Canada.

**Sandrine Loeckx (Junior Expert)** is an expert with more than 9 years of experience in the civil society, human rights and development sector with a very good knowledge of evaluation process, project cycle management and EU funding mechanism. She has participated in several evaluation exercises as project manager within the European Commission and as part of the team in charge of the evaluation. Based on these evaluation experiences and database development, she is specialised in data collection and analysis.

The evaluation team has been supported by Landell Mills in-house project management and technical staff, Ms. Eunice Aure, Ms. Diletta Carmi and Ms. Hannah Isaac.

Mr. Peter Brorsen, a leading evaluation expert focusing in the areas of governance, justice and peace building, has also provided external quality assurance throughout this evaluation.



# Annex 7 - Terms of Reference



EUROPEAN COMMISSION  
Neighbourhood and Enlargement Negotiations

A - STRATEGY AND TURKEY  
A.3 - THEMATIC SUPPORT, MONITORING AND EVALUATION

## FRAMEWORK CONTRACT COM 2015

EuropeAid/137211/DH/SER/Multi

### Evaluation of EU support for Security Sector Reform in enlargement and neighbourhood countries (2010-2016)

## TERMS OF REFERENCE

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## **MANDATE AND GENERIC OBJECTIVES**

The systematic and timely evaluation of its programmes, activities, instruments, legislation and non-spending activities is a priority<sup>11</sup> for the European Commission<sup>12</sup> in order to demonstrate accountability and to promote lesson learning to improve policy and practice.<sup>13</sup>

The results of the evaluation will be used to:

- demonstrate whether already on-going/planned IPA (I) II, ENPI/ENI<sup>14</sup> action programmes/interventions in the area of SSR have taken on board the past lessons learnt;
- feed into the reflection on the revision of policies/programmes in view of the recent adoption of the 2030 Agenda for Sustainable Development and new policy framework for SSR;
- provide recommendations for the European Commission (EC) on the best way to approach and improve its support to SSR both in terms of the use of policy dialogue and financial assistance following the adoption of the new EU SSR policy framework<sup>15</sup>;
- contribute to the preparation/ adjustment of action programmes, namely for IPA II and ENI assistance to the extent possible;
- contribute to the development of a monitoring and evaluation framework, including indicators for security capacity building and SSR related activities

## **EVALUATION RATIONALE AND SPECIFIC OBJECTIVES**

The purpose of this evaluation is to provide an assessment and evidence on the scope and performance of the implemented and on-going EU support for Security Sector Reform (SSR) in countries covered by the IPA and ENPI/ENI instruments. It aims at providing recommendations for the improvement of the programming and implementation of EU support to Security Sector Reform in line with the principles laid down in the communication JOINT (2016) 31 final "Elements for an EU-wide strategic framework to support security sector reform" and the Global Strategy for the European Union's Foreign and Security Policy.

### **2.1 Specific objectives**

The specific objectives of this evaluation are to:

- Assess the performance (relevance, efficiency, effectiveness, coherence, impact, sustainability and EU value added) of EU support (policy dialogue and financial assistance) to SSR in partner countries during 2010-2016;
- Assess the coherence, complementarity and coordination of EU interventions financed from IPA/II and ENPI/ENI with other actions financed from other EU instruments, CFSP/CSDP actions and actions carried out by Member States, regional and international donors (state and/or international organisations) for SSR in the partner countries;

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11 EU Financial Regulation (art 27); Regulation (EC) No 1905/2000; Regulation (EC) No 1889/2006; Regulation (EC) No 1638/2006; Regulation (EC) No 1717/2006; Regulation (EC) No 215/2008.

12 SEC(2007) 213 "Responding to Strategic Needs: Reinforcing the use of evaluation"; Better regulation package

13 COM (2011) 637 "Increasing the impact of EU Development Policy: an Agenda for Change"

14 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)

15 Joint Communication to the European Parliament and the Council: Elements for an EU-wide strategic framework to support security sector reform (JOIN(2016) 31 final); [https://ec.europa.eu/europeaid/sites/devco/files/joint-communication-ssr-20160705-p1-854572\\_en.pdf](https://ec.europa.eu/europeaid/sites/devco/files/joint-communication-ssr-20160705-p1-854572_en.pdf)

- Assess the Intervention logic of IPA II and ENI (2014-2020) planning documents addressing SSR, in terms of their coherence with the new policy framework.
- Provide conclusions and recommendations both at policy and financial instrument level on how to further improve the support provided to SSR, including cross-fertilisation between IPA and ENI experiences.

The evaluation will assess to what extent the EU support to SSR leads to the development of security systems that respect internationally accepted human rights, the rule of law and democratic principles; apply the good governance principles of transparency and openness, participation and inclusivity, and accountability; and fight corruption.

## **2.2 Evaluation users and stakeholders**

Beneficiaries of this evaluation are the European Commission (DG NEAR) and the IPA and ENI partner countries.

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
- Members of the IPA and Sector monitoring committees
- TAIEX National Contact Points (NCPs)
- Law enforcement institutions
- Civil management institutions
- Criminal justice system institutions
- Armed forces, intelligence services
- Civil oversight institutions
- Non-state security actors

International stakeholders (non-exhaustive list):

- UN
- Council of Europe
- OSCE
- Regional Cooperation Council (RCC)
- Other regional/international organisations

EU stakeholders (non-exhaustive list):

- EEAS
- EU Delegations
- EU Agencies (e.g. CEPOL, EUROPOL, etc...)
- EU Counter-Terrorism Coordinator

A fully-fledged consultation strategy, including an Open Public Consultation, as foreseen by the Better Regulation is not applicable in this case. Nevertheless, it is expected that the consultants come up with a consultation strategy indicating which key stakeholders will be involved in the evaluation process and how.

## **BACKGROUND**

### **3.1 Policy framework**

In 2005 and 2006, two distinct SSR policies were released and framed up to 2016, the Union's support to partner countries/third states in security sector reform. The “EU Concept for ESDP Support for Security Sector Reform” (2005) focused on the principles, key elements and modalities for the European Security and Defence Policy (ESDP, now CSDP<sup>16</sup>) support to SSR. It also stressed the need for close cooperation among all relevant actors to ensure a consistency, coherence and complementarity of EU external action. This approach was mirrored by the “Concept for European Community Support for Security Sector Reform” (2006), which also identified areas of engagement, the guiding principles, and the need for coordinated and holistic approach to SSR, complementing ESDP's action.

The Council conclusions of 6 June 2006 established that these two concepts constituted the EU policy framework on SSR. EU action on SSR should be based on principles drawing on the Organization for Economic Cooperation and Development's Development Assistance Committee (OECD-DAC) definition of SSR. The EU policy framework also made clear that the EU can mobilise a broad range of civilian and military instruments able to support SSR activities and that a case-by-case analysis is needed to assess whether proposed activities should be done under EU cooperation instruments, CSDP, or a combination of both. These two documents have been since then guiding the EU activities in the field of SSR.

In December 2013, the Commission and the High Representative of the Union for Foreign Affairs and Security Policy (HR) issued a Joint Communication on the “Comprehensive Approach to External Conflicts and Crises” which emphasised the strategic and coherent use of the EU's tools and instruments spanning the diplomatic, security, defence, financial, trade, development cooperation and humanitarian aid fields.

This was followed in April 2015 by the Joint Communication on “Capacity Building in Support of Security and Development” (CBSD) which analysed how to better operationalize the Comprehensive Approach in the field of capacity building in the security sector and proposed options and steps to better combine existing EU policies and funding instruments. One of the options proposed was the establishment of an EU-wide Strategic Framework for Security Sector Reform. This was later endorsed in May 2015 by the Council and included in the Commission Work Programme 2016.

The recent Joint Communication "Elements for an EU-wide strategic framework to support security sector reform"<sup>17</sup> provides elements for a single EU-wide SSR support framework, as set out in the May 2015 Council conclusions<sup>18</sup>, including also for guiding the EU's work on capacity building in support of security and development<sup>19</sup> (CBSD). It reflects the ‘comprehensive approach’ to external

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16 Common Security and Defence Policy

17 JOIN(2016) 31 final, Elements for an EU-wide strategic framework to support security sector reform

18 Council conclusions on CSDP, Council of the European Union (document 8971/15, May 2015)

19 JOIN(2015) 17 final, Capacity building in support of security and development – Enabling partners to prevent and manage crises

conflict and crisis<sup>20</sup> in bringing together common security and defence policy (CSDP) and all other relevant common foreign and security policy (CFSP) tools, external action instruments and freedom, security and justice actors, thus merging and updating the two previously separate EU policy concepts for SSR support<sup>21</sup>. It will contribute to the effectiveness of the Global Strategy on foreign and security policy<sup>22</sup> and of the European Agenda on Security<sup>23</sup>. It also takes account of relevant OECD-DAC decisions<sup>24</sup> and, where applicable, OECD-DAC directives in the field of peace and security.

Internationally, the nexus between security and development continues to rise in prominence. The 2030 Agenda for Sustainable Development adopted in September 2015 by the United Nations General Assembly acknowledged that there can be no sustainable development without peace and vice versa. In particular, Goal 16 of this Agenda aims at promoting peaceful and inclusive societies for sustainable development, providing access to justice for all, building effective, accountable institutions at all levels. Furthermore, the OECD-DAC recognised in December 2014 that “peaceful and inclusive societies will be an increasingly important part of the development agenda” and agreed to “generate greater political momentum in support of peace building and state-building efforts.” The OECD DAC subsequently decided on 19 February 2016 to “update and modernise the ODA reporting directives on peace and security expenditures”. These developments have highlighted the importance of the security-development nexus and have deep implications for EU external action in SSR.

The European Neighbourhood Policy (ENP) was designed in 2003 (Communication ‘Wider Europe’) to develop closer relations between the EU and its neighbouring countries. Under the ENP, the Union offers to its neighbours a privileged relationship, building upon a mutual commitment to, and promotion of, the values of democracy and human rights, the rule of law, good governance and the principles of a market economy and sustainable and inclusive development. The level of ambition of the relationship depends on the extent to which these values are shared.

The ENP was reviewed in 2011, following the 'Arab Spring' uprisings. However, given the significant developments in the Neighbourhood since 2011, it became essential to undertake a further review of the ENP. In this regard, the Joint Communication on the ENP review (JOIN(2015) 50 final) adopted on 18 November 2015, which was welcomed by the 14 December 2015 Council conclusions, sets out strategic priorities for the EU's cooperation with Neighbourhood partners in the security area and proposes to address issues of common interest. The aim is to support partners, including through capacity building projects to ensure security for the population, to become more resilient to security threats and to be better prepared to prevent and respond to conflict and crises thereby stabilising EU's Neighbourhood, based on a tailor-made approach and the principle of differentiation. The ENP security dimension aims at fostering human security, which is inter-linked

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20 JOIN(2013) 30 final, The EU's comprehensive approach to external conflict and crises

21 A concept for European Community support for security sector reform, Communication from the Commission to the Council and the European Parliament (SEC(2006) 658); and EU concept ESDP support to SSR (Council 12566/4/05), which was produced on the basis of the European Security Strategy - A Secure Europe in a Better World, adopted by the European Council on December 2003

22 Shared Vision, Common Action: A Stronger Europe – A Global Strategy for the European Union's Foreign and Security Policy, High Representative of the Union for Foreign Affairs and Security Policy, June 2016

23 COM(2015) 185 final, The European Agenda on Security

24 For example the agreement to ‘update and modernise the ODA reporting directives on peace and security expenditures’; see high-level meeting final communiqué (OECD DAC, 19 February 2016)

to the development of effective institutions (including security institutions) within the framework of democratic governance, transparency and accountability principles.

The reform of the security sector in candidate or potential candidate countries is partly covered under the political Copenhagen criteria (guaranteeing democracy, the rule of law, human rights, respect and protection of minorities) for EU membership. The prospect of EU membership also carries with it a series of very specific obligations in the areas of border controls, migration, asylum and visa, police cooperation, or judicial co-operation in criminal or civil matters, which falls under the EU policy of freedom, security and justice. Fulfilling membership requirements in these areas is not only about transposing in national legislation the related EU acquis under Chapters 23-24 of accession negotiations. The countries must also demonstrate their capacity to successfully implement this acquis, and more generally align the rest of the related legislation and practice of their services in line with commonly accepted EU standards and best practices.

### **3.2 Current status and challenges**

In particular since the adoption of the two SSR concepts, the EU has invested significantly in supporting SSR in partner countries under its wide range of instruments and policies such as Enlargement, the European Neighbourhood Policy, Development Cooperation, and CSDP operations and missions.

Under European Neighbourhood Policy and Development Cooperation instruments, financed from the EU Budget and the European Development Fund (EDF), the Commission contracted over EUR 1 billion in interventions from 2001-2009 related to support for security and justice sector reform in partner countries, with six main core areas: law enforcement; border management; justice reform; Disarmament, Demobilisation and Reintegration (DDR); civilian management; and civilian oversight. Over 105 countries benefitted from security-related interventions, with 85% of the funding concentrated in 23 countries. The experience and results from these interventions were the subject of a Thematic Evaluation carried out by the Commission in 2011 which drew a number of conclusions and recommendations<sup>25</sup>.

Since then, the EU has been increasing its engagement on SSR under its cooperation instruments. In the current 2014-2020 Multiannual Financial Framework, the EU has programmed actions in the Governance sector in at least 69 countries around the world whilst there are rule of law programmes foreseen or ongoing in 38 countries and programmes with a clear security component in as many as 16 countries<sup>26</sup>. These programmes have taken into account the recommendations of the Thematic Evaluation of 2011.

Meanwhile, under CSDP, a total of 35 missions and operations have been launched since its inception<sup>27</sup> and the mandates of an increasing number of these civilian and military crisis management missions have been related to, if not directly targeted at, support for SSR in partner

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25 "Thematic Evaluation of European Commission Support to Justice and Security System Reform", European Commission, November 2011: [http://ec.europa.eu/europeaid/how/evaluation/evaluation\\_reports/reports/2011/1295\\_vol1\\_en.pdf](http://ec.europa.eu/europeaid/how/evaluation/evaluation_reports/reports/2011/1295_vol1_en.pdf)

26 Based on the analysis of the existing National Indicative Programmes (NIPs) and Regional Indicative Programmes (RIPs) for the period of 2014-2020, as of May 2016.

27 <http://www.eeas.europa.eu/csdp/missions-and-operations/>



countries and include a specific SSR component. These include missions aimed at police reform<sup>28</sup>, mentoring and advising<sup>29</sup>, promoting the rule-of-law<sup>30</sup> and capacity building for security sector actors<sup>31</sup>.

Since 2014, the EU's advisory mission for civilian security sector reform in Ukraine (EUAM Ukraine) provides strategic support, advice and mentoring. The EU's military advisory mission in the Central African Republic (EUMAM RCA) supports the country's authorities in preparing the coming security sector reform. Through such CSDP operational capacities, the EU has been training, monitoring and advising police, justice and military personnel in countries such as Afghanistan, Bosnia and Herzegovina, Democratic Republic of the Congo, Mali or Somalia. Through 3 military training missions in Mali, Somalia and the Central African Republic, (EUTM Mali, EUTM Somalia, EUTM RCA), the EU also supports these countries authorities and armed forces in building an accountable and professional security sector, including through training in international humanitarian law. Most recently a new emphasis has been put on ensuring the sustainability of CSDP actions through a more systemic approach to CSDP transition strategies that would enable pursuing a medium-term or a long-term approach to SSR and secure gains achieved by these missions on the ground<sup>32</sup>.

As outlined in the Joint Staff Working Document "Lessons drawn from past interventions and stakeholder's views"<sup>33</sup>, the findings from the evaluations, studies and consultations have made it clear that SSR has a strong relevance in achieving the objectives of the EU's external action. This relevance has intensified in recent years, as per the reviewed ENP and the CBDSD framework. However, the relevance of the policy framework was sometimes found to be mixed, especially due to its fragmented nature with two different concepts.

The findings also note that when it comes to the effectiveness and efficiency of EU support for SSR, the lack of institutional capacity, insufficient grounding in the wider governance and state-building framework, local contexts, insufficient ownership, and weaknesses in modalities and monitoring and evaluation have hampered EU engagement.

In terms of coherence, the policy framework and institutional differences have hindered effective coordination and consistency in EU actions. The lack of a long-term strategic and political approach and unclear division of labour amongst EU actors and with international partners need to be overcome.

When it comes to the EU's added-value, it is noted that the EU has a wide range of instruments and expertise. The EU also has made use of its global presence, strong experience working on SSR, as well as its perception by partner countries of being neutral and principle-based.

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28 For instance, EU Police Mission in Afghanistan (EUPOL Afghanistan) aimed at, inter alia, institutional reform of the Ministry of the Interior and assist the Government of Afghanistan in further professionalising the Afghan National Police. <http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A32014D0922>

29 For instance, EU CSDP Military Advisory Mission in the Central African Republic (EUMAM RCA) aimed at, inter alia, supporting the CAR authorities in the preparation of the upcoming Security Sector Reform. <http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32015D0078&from=EN>

30 For instance, EU Rule of Law Mission in Kosovo (EULEX Kosovo) aimed at, inter alia, monitoring, mentoring and advising Kosovo institutions on all areas related to the wider rule of law. [http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv:OJ.L\\_.2008.042.01.0092.01.ENG&toc=OJ:L:2008:042:TOC](http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv:OJ.L_.2008.042.01.0092.01.ENG&toc=OJ:L:2008:042:TOC)

31 For instance, EU CSDP mission in Mali (EUCAP Sahel Mali) aimed at, inter alia, assisting and advising the Malian Internal Security Forces in the implementation of the security reform set out by the new Government. <http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A32014D0219>

32 As in cases of EUCAP Sahel Mali and EULEX Kosovo. See: Political and Security Committee Decision (CFSP) 2015/610 of 15 April 2015 extending the mandate of the Head of Mission of the European Union CSDP mission in Mali (EUCAP Sahel Mali) (EUCAP Sahel Mali/2/2015)

33 SWD(2016)221final



### 3.3 Description of the initiative

The overarching objectives are to contribute: (i) to peace, stability and security and (ii) the respect of democratic, rule of law and human rights principles in third countries, as prerequisites for development. These objectives will be achieved by promoting the legitimacy, good governance, integrity, sustainability, effectiveness and ownership of the security sector in third countries.

The security system reform processes supported by the EU should be<sup>34</sup>:

- **nationally/regionally owned reform processes** designed to strengthen good governance, democratic norms, the rule of law and the respect for human rights, in line with internationally agreed norms;
- **addressing the core requirements of a well-functioning security system**, including the development of a nationally owned concept of security, well defined policies and good governance of security institutions, while ensuring that any development of professional security forces leads them to be both accountable to the civil authorities and capable of carrying out the operational tasks assigned to them, in full respect of HR and Rule of Law principles;
- **seen as a framework for addressing diverse security challenges facing states and their populations**, based on a gender-sensitive multi-sector approach, and targeting reform needs in different key sectors. This includes separating tasks between different services and institutions;
- **based on the same principles of good governance<sup>35</sup>: transparency, accountability and openness** that apply across the public sector, in particular improved governance through greater civilian and parliamentary oversight of security processes ensuring the participation of all stakeholders, an effective fight against corruption and to be inclusive and fiscally sustainable;
- **based on political dialogue with each partner country**, addressing human rights, development and security concerns, and be carried out in synergy with other instruments.

The EU support for SSR in IPA/ENI countries is provided through political and policy dialogue and financial assistance.

- EU policy dialogue

**At international level**, in close cooperation with UN, the Council of Europe and the OSCE.

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

- at regional level, in the framework of the South East Europe Cooperation process and Regional Cooperation Council (RCC)
- at bilateral level, 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.

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34 COM(2006) 253 final A concept for European Community support for security sector reform, Communication from the Commission to the Council and the European Parliament

35 As per European Governance: A White Paper (COM(2001) 428)

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>36</sup>;
  - as part of the programming process of ENPI/ENI assistance, setting specific objectives and priorities for support in Country Strategy Papers, Single Support Frameworks – SSF(Multi-annual Indicative Programmes), Annual Action programmes; and more specifically, in the case of budgetary support programmes;
- EU financial assistance

During 2007-2013, IPA assistance under the Component I (Transition Assistance and Institution Building) has provided opportunities for supporting actions aiming at strengthening of democratic institutions, as well as the rule of law, including its enforcement, at promoting and protecting human rights and fundamental freedoms and enhancing the respect for minority rights, at promoting gender equality and non-discrimination and reforming the public administration.

IPA II (2014-2020) targets reforms within the framework of pre-defined sectors. These sectors cover areas closely linked to the enlargement strategy, such as democracy and governance, rule of law or growth and competitiveness. This sector approach promotes structural reform that will help transform a given sector and bring it up to EU standards. It allows a move towards a more targeted assistance, ensuring efficiency, sustainability and focus on results. The bulk of the assistance is channeled through the Country Action Programmes for IPA II Beneficiaries, which are the main vehicles for addressing country-specific needs in priority sectors as identified in the indicative Strategy Papers. Multi-Country Action Programmes aim at enhancing regional cooperation (in particular in the Western Balkans) and at adding value to the Country Action Programmes through other multi-beneficiary actions.

The vast majority of ENPI/ENI funding is used for bilateral cooperation, tailor-made to each Neighbourhood partner country. A key element in this context have been in the past the bilateral ENP Action Plans (AP), similar documents (e.g. Association Agendas) and successor documents (Partnership priorities), which are mutually agreed between the EU and each partner country. In addition to bilateral cooperation, ENI funding also supports regional, Neighbourhood-wide and Cross Border Cooperation (CBC) programmes.

EU SSR support is also funded from other EU instruments under projects that can be country-specific, multi-country / regional, or with a global coverage. These instruments are: the Instrument Contributing to Peace and Stability, the European Instrument for Democracy and Human Rights, thematic programmes of the Development Co-operation Instrument, the Instrument for Nuclear Safety Cooperation and the Internal Security Fund (ISF).

CSDP missions are also providers of SSR support and their contributions will have to be taken into account in the context of the present evaluation.

EU SSR assistance has been implemented through a variety of modalities, i.a.:

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36 Platform 1 - "Democracy, good governance and stability"

- twinning, twinning light, TAIEX<sup>37</sup> and SIGMA<sup>38</sup>;
- technical assistance and capacity building
- provision of equipment and supplies,
- grant schemes;
- budget support.

## **SCOPE**

### **Legal scope**

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.

### **Temporal, geographical and thematic scope**

Based on the OECD-DAC definition<sup>39</sup>, the security system can be defined as all state institutions and other entities with a role in ensuring the security of the state and its people.

- **Core security actors including law enforcement institutions:** armed forces; police; gendarmeries; paramilitary forces; presidential guards; intelligence services; coast guards; border guards; customs authorities; reserve or local security units.
- **Security management and oversight bodies:** parliament/legislature; government/the executive, including ministries of defence, internal affairs, foreign affairs; national security advisory bodies; financial management bodies; and civil society, including the media, academia and NGOs.
- **Justice institutions:** justice ministries; prisons; criminal investigation and prosecution services; the judiciary (courts and tribunals), implementation justice services (bailiffs and ushers); human rights commissions and ombudsmen; etc.
- **Non-statutory security forces:** liberation armies; guerrilla armies; private bodyguard units; private security companies; etc.

Security system reform means transforming the security system, which includes all these actors, their roles, responsibilities and actions, working together to manage and operate the system in a manner that is consistent with democratic norms and sound principles of good governance, and thus contributing to a well functioning security framework. For the EC, the objective is **to contribute explicitly to strengthening good governance, democracy, the rule of law, the protection of human rights and the efficient use of public resources**. In this respect, civilian control and Parliamentary oversight are key aspects of SSR<sup>40</sup>.

The evaluation shall assess EU support to SSR in the following areas<sup>41</sup>:

- Democratic oversight and accountability
- Defense reform

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

38 Support for Improvement in Governance and Management, <http://www.sigmaweb.org/>

39 Security System Reform and Governance, Policy and Practice, DAC Guidelines and Reference Series (Paris: OECD 2004).

40 COM(2006) 253 final

41 Based on OECD DAC Handbook on Security System Reform (SSR), Supporting Security and Justice, 2007

- Intelligence and security service reform
- Integrated border management (with a focus on coast guards, border guards, customs authorities)
- Police reform
- Justice reform (in particular criminal justice reform)
- Prison reform
- Private security and military companies
- Civil society (including the media, academia and NGOs)

The evaluation will focus on assessing the performance of EU interventions to support SSR in ENI and IPA countries under implementation and/or decided in the period 2010-2016.

The evaluation should cover EU support to SSR provided to:

- **IPA II<sup>42</sup> beneficiary countries** –Albania, Bosnia and Herzegovina, Montenegro, Kosovo, the former Yugoslav Republic of Macedonia, Serbia and Turkey;
- **ENI partner countries** – Algeria, Armenia, Azerbaijan, Belarus, Egypt, Georgia, Israel, Jordan, Lebanon, Libya, Republic of Moldova, Morocco, Palestine, Syria, Tunisia and Ukraine.

## **INDICATIVE EVALUATION QUESTIONS AND CRITERIA**

In line with the Better Regulation guidelines on evaluations introduced by the Commission in 2015 and with DG NEAR Guidelines on linking planning/programming, monitoring and evaluation<sup>43</sup>, the main evaluation criteria are: relevance, efficiency, effectiveness, impact, sustainability, coherence and EU added value.

During the inception phase, a mapping of areas of EU interventions (policy dialogue and financial assistance) in the field of SSR in the period 2010-2016 in IPA and ENI countries will be prepared by the external evaluators as part of this assignment.

The EU support for SSR provided to all above-mentioned countries shall be subject of analysis by the external evaluators during the desk phase. However, a limited number of countries and interventions (case studies) will be subject to a more in-depth analysis during the field phase. Up to 12 countries will be subject to this in depth analysis.

The selection of the case study countries will be made by the ISG on the basis of a proposal to be made by the evaluators. This proposal will be based on a relevant and representative sample of interventions, to be established using criteria that the evaluators will have to define and present during the inception phase.

Indicative evaluation questions to be further developed at the inception phase are:

### **Relevance:**

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42 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.

43 [http://ec.europa.eu/enlargement/pdf/financial\\_assistance/phare/evaluation/2016/20160831-dg-near-guidelines-on-linking-planning-programming-vol-1-v0.4.pdf](http://ec.europa.eu/enlargement/pdf/financial_assistance/phare/evaluation/2016/20160831-dg-near-guidelines-on-linking-planning-programming-vol-1-v0.4.pdf)

**1. To what extent has the policy and programming dialogue carried out in bilateral and regional contexts been in line with the objectives set in the EU policy framework on SSR and wider goals of EU's external cooperation?**

- 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 SSR and the EU policy framework on SSR? To what extent have the EU interventions proved to be relevant to those needs?
- To what extent has the EU engagement been based on analysis of the security sector and needs assessment in the partner countries?
- To what extent has SSR been integrated in the Country (CSP) and Regional (RSP) strategy papers, Action plans and programming tools?

**Effectiveness:**

**2. 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 has the civil society been successfully involved in the policy dialogue for the programming, implementation/monitoring of EU interventions in the SSR field?
- To what extent has EU complemented efforts of other international organisations in the SSR field?

**Efficiency:**

**3. To what extent has the EU ensured adequate and timely SSR expertise and support through its programmes and missions in the partner countries? To what extent has the EU support to SSR in partner countries been flexible to adapt to emerging needs?**

- To what extent has the EU comprehensive approach<sup>44</sup> been applied in EU support to SSR in the partner countries?
- 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:**

**4. To what extent the EU support (policy dialogue and financial assistance) has contributed to the development by the partner countries of security systems that respect internationally accepted human rights, the rule of law and democratic principles; apply**

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**the good governance principles of transparency and openness, participation and inclusivity, and accountability; and fight corruption?**

- To what extent enlargement countries are converging towards EU objectives and targets, in particular in the framework of Chapters 23/24?
- To what extent are partner countries converging towards relevant international standards, notably in the fields of human rights, the rule of law, fundamental freedoms?
- 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 SSR 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:**

##### **5. To what extent the EU support to SSR is based on nationally owned processes?**

- To what extent are the partner countries demonstrating ownership of the reform process during and after the EU intervention?
- How much have the security sector reforms in Enlargement and Neighbourhood countries continued to be implemented after the end of the EU support? And how it could be attributed to the EU support (policy dialogue and financial assistance)?
- To what extent are the outcomes of the EU interventions likely to continue producing effects after the end of EU funding?

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

##### **6. To what extent is the EU engagement following a proper sequencing of political dialogue, cooperation activities/instruments and possible CSDP missions/operations?**

- To what extent does the EU link its engagement in short-term and long term support in SSR?
- To what extent is EU support for SSR complementary and coordinated with CSDP missions/operations and MS actions?
- To what extent are the interventions of EU and Member States coordinated with those of international/regional organisations and donors to maximise their joint effects in the partner countries?
- To what extent does the approach to SSR take into account inter-linkages between security development and governance, including democratic principles, rule of law, human rights and institutional capacity building?

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

##### **7. What is the additional value resulting from the EU support in SSR 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?**

#### **RESPONSIBILITY FOR THE MANAGEMENT OF THE EVALUATION**

DG NEAR A3 Unit is responsible for managing and supervising the evaluation.



The progress of the evaluation will be followed closely by an **Inter-service Steering Group (ISG)** consisting of representatives of DG NEAR, DG DEVCO, DG HOME, DG JUST, the Secretariat General and EEAS.

The ISG will have the following responsibilities:

- **Guiding the planning and implementation of the evaluation** to comply with quality standards during preparation of the evaluation roadmap, Terms of reference and the inception, desk, field, and synthesis phases.
- **Providing input and information** to the evaluation manager (NEAR A3) and evaluation team. Mobilise the institutional, thematic, and methodological knowledge available in the various DGs of the Commission that are interested in the evaluation.
- **Ensuring quality control** on the different draft deliverables. The evaluation manager (NEAR A3) consolidates the ISG comments to be sent to the evaluation team and endorses the deliverables.
- **Ensuring a proper follow-up** action plan after completion of the evaluation.

To avoid duplication and consolidate communications between meetings, the evaluation team shall communicate with the ISG members via the evaluation manager.

In particular, the ISG will perform a Quality Assessment of the final evaluation report in accordance with the grid presented in Annex 3 of these Terms of Reference (ToRs). The Quality Assessment by the ISG judges the external contractor's final report and its overall process. It is the final "sign off" by the ISG of the contractor's work and includes a judgement on whether key aspects of the work conducted meet the required standards and provides any related comments. Once this process is completed, DG NEAR Unit A3 will decide on the endorsement of the report for distribution to stakeholders and later presentation by the evaluator.

### **Quality control by the evaluator**

The evaluator should ensure an internal quality control during the different phases of the evaluation. The quality control should ensure that the draft reports comply with the ToRs requirements and meet adequate quality standards before sending them to stakeholders for comments. The quality control should ensure consistency and coherence between findings, conclusions and recommendations. It should also ensure that findings reported are duly substantiated and that conclusions are supported by the relevant judgement criteria.

## **EVALUATION PROCESS AND DELIVERABLES**

The methodology should be based on DG NEAR's guidelines<sup>45</sup>, the European Commission's Better Regulation guidelines<sup>46</sup>, the concept of the theory-based impact evaluations on EVALSED<sup>47</sup> and, if appropriate, on other methods to measure the impact and the effects of projects.

The basic approach to the assignment consists of four main phases, each one ending with the approval of a specific deliverable in the form of a report.

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<sup>45</sup>[http://ec.europa.eu/enlargement/pdf/financial\\_assistance/phare/evaluation/2016/20160812-dg-near-guidelines-on-linking-planning-programming-vol-1-v0.3.pdf](http://ec.europa.eu/enlargement/pdf/financial_assistance/phare/evaluation/2016/20160812-dg-near-guidelines-on-linking-planning-programming-vol-1-v0.3.pdf)

<sup>46</sup> [http://ec.europa.eu/smart-regulation/guidelines/toc\\_guide\\_en.htm](http://ec.europa.eu/smart-regulation/guidelines/toc_guide_en.htm)

<sup>47</sup> [http://ec.europa.eu/regional\\_policy/en/information/publications/evaluations-guidance-documents/2013/evalsed-the-resource-for-the-evaluation-of-socio-economic-development-evaluation-guide](http://ec.europa.eu/regional_policy/en/information/publications/evaluations-guidance-documents/2013/evalsed-the-resource-for-the-evaluation-of-socio-economic-development-evaluation-guide)



As mentioned above, the ISG will support the evaluation manager in assessing the quality of the draft deliverables in order to achieve their finalisation. The reports will be finalised in light of feedback received from the ISG and other stakeholders as relevant. Each phase will start further to the approval of the previous phase report.

The four phases can be synthesized as follows:

### **1. Inception phase**

Clarifying the scope of the evaluation is the first aim of this phase. Thus, the inception phase starts with a kick-off meeting, which has the purpose to reach a shared understanding between the evaluation manager, evaluation team and ISG members on the scope of the assignment.

Further to a first desk review of the policy and institutional framework of EU support to SSR in ENI and IPA countries, and identification of the main commitments and objectives to be achieved by both parties, the evaluation team will interact with the ISG members and other relevant stakeholders to refine the evaluation methodology (reconstruction of the intervention logic and based on the latter, define/finalise the evaluation questions and related judgement criteria and indicators, with identification of data collection tools and sources). The mapping and analysis of EU support to SSR, the definition of criteria for the establishment of the countries (up to 12) and project sample for in-depth analysis during field phase and the methodological proposal for the following phases (data collection tools and analysis), are part of this phase as well.

The limitations faced or to be faced during the evaluation exercise will need to be discussed and mitigation measures defined. Finally, the detailed work plan for the overall evaluation process will also be discussed and agreed during this phase. If necessary, the Inception Report will also include proposed changes to the composition of the evaluation team.

**The Inception Report shall not exceed 40 pages.** Additional material may be placed in annexes, as necessary

### **2. Desk phase**

During this phase, deskwork takes place in order to collect and analyse data, and elaborate preliminary answers to the evaluation questions and hypotheses that can guide the subsequent fieldwork. Information gaps for a sound answer to the evaluation questions will also be identified. A brief presentation of data collection and analyses done during this phase, challenges and limitations potentially faced will also be discussed. Changes to the evaluation questions (including judgment criteria and indicators) can also be proposed during this phase, if deemed necessary (but not later on). On the same line, discussing potential amendments to the selection of projects and/or case studies (if relevant) identified during the inception phase can be envisaged. The extent of these potential amendments must nevertheless be of a reasonable nature.

The methodology for the field phase, including the expected deliverables and the field phase organisation, will also be detailed in this phase. Finally, remaining work for the synthesis phase will also be mentioned, including a proposal for the final structure of the Final report and the Executive summary. If needed, an update of the work plan will be presented.

**The Desk Report shall not exceed 50 pages.** Additional material may be placed in annexes, as necessary.

### 3. Field phase

Field activities help in validating/rejecting preliminary answers to the evaluation questions and bring additional information and direct evidence. This phase will involve discussions with different stakeholders involved in policy dialogue and the programming and implementation of EU support to SSR in ENI and IPA countries.

Assessing whether there is a need for further research and interviews to prepare the synthesis report, and in particular the overall assessment, the conclusion and recommendation chapter, is part of this phase as well. Notes covering each country field visit will be prepared and shared with the evaluation manager and the ISG members. **A debriefing meeting will take place in Brussels to discuss the preliminary findings.**

### 4. Synthesis and reporting phase

This phase entails the analysis of the data collected during the desk and field phases to finalise the answers to the evaluation questions and prepare the synthesis report that includes the overall assessment, conclusions and recommendations of the evaluation. The final report should deliver the elements covered by these ToRs and must be written in such a way that readers who are not working in this area, can easily understand. The contracting authority will publish the Final Report, the Executive Summaries and the annexes on the DG NEAR website.

**The Final Report shall not exceed 80 pages.** Additional material may be placed in annexes, as necessary. The evaluation team must provide, whenever requested and in any case at the end of the evaluation, the list of all persons interviewed, documents reviewed, data collected and databases built. The results of the evaluation will be presented in the framework of a dissemination event organized in Brussels in the presence of national and international stakeholders.

The table below summarises these phases:

Phases	Activities	Deliverables (& meetings)
<b>INCEPTION: STRUCTURING</b>	<ul style="list-style-type: none"> <li>Data collection &amp; definition of analysis methods</li> <li>Background analysis</li> <li>Interviews with stakeholders</li> <li>Reconstruction of the intervention logic of EU support to SSR</li> <li>Inventory of the SSR interventions and analysis</li> <li>Report writing (&amp; quality control)</li> </ul>	<ul style="list-style-type: none"> <li>☑ Inception Report incl.: <ul style="list-style-type: none"> <li>✓ Final <i>intended/planned</i> Intervention Logic</li> <li>✓ Evaluation Questions (EQs), with judgment criteria &amp; indicators</li> <li>✓ Data analysis and collection methods</li> <li>✓ Proposed criteria for sampling of projects for field visits</li> <li>✓ Work plan</li> </ul> </li> <li>☑ Inventory of relevant interventions (database)</li> <li>☑ Power point presentation</li> <li>☑ Meeting(s) with ISG in Brussels</li> </ul>
<b>DESK: DATA COLLECTION &amp; ANALYSIS</b>	<ul style="list-style-type: none"> <li>Document in-depth analysis (focused on the EQs)</li> <li>Interviews with stakeholders</li> <li>Identification of information gaps and of hypotheses to be tested in the field phase</li> <li>Methodological design (specific</li> </ul>	<ul style="list-style-type: none"> <li>☑ Desk report, incl.: <ul style="list-style-type: none"> <li>✓ Background and key methodological elements</li> <li>✓ Preliminary answers to the evaluation questions</li> <li>✓ Field visit methodology</li> <li>✓ Remaining work for the synthesis</li> </ul> </li> </ul>

	to Field visit) ▪ Report writing (& quality control)	phase ✓ Update work plan, if needed ☑ Power point presentation ☑ Meeting(s) with ISG in Brussels
<b>FIELD</b>	▪ Data collection and analysis ▪ Country Notes writing on field phase findings	☑ Country Field Visit Notes and power point presentation ☑ Debriefing with ISG in Brussels
<b>SYNTHESIS</b>	▪ Expressing findings (focus on the EQs) ▪ Overall assessment, Conclusions and Recommendations ▪ Final report writing (& quality control)	☑ Final report, incl.: ✓ Synthesis of methodological steps undertaken during the evaluation exercise, including limitations, if any ✓ Background analysis ✓ Findings by evaluation question ✓ Overall assessment, conclusions and recommendations ✓ Matrix of EQs, judgement criteria, indicators & analysis ☑ Executive summary in both English and French ☑ Power point presentation ☑ Meeting(s) with ISG in Brussels
<b>DISSEMINATION AND FOLLOW UP (by the EC)</b>	▪ Action plan writing ▪ Others to be defined if relevant	☑ Dissemination event in Brussels ☑ Follow up Action plan

All reports will be written in English and submitted to DG NEAR evaluation manager according to the timetable in annex 2. The reports must be written in Times New Roman minimum 12 or Arial 11, single spacing. The Inception, Desk and draft Final reports will be delivered only electronically. The electronic versions of all documents need to be delivered in both editable (Word) and non-editable format (PDF).

The Final report will also be delivered in hard copies. The Executive Summary (up to 5 pages) in both English and French will be delivered both electronically and in hard. The Executive Summary will be available both integrated into the Final Report, and as a separate stand-alone document. The offer will be based on 20 hard copies in English of the Final Main Report (without annexes) and 10 copies of the annexes. A non-editable version on a USB stick shall be added to each printed Final Main Report.

### **THE EVALUATION TEAM**

The evaluation team may be composed by the following categories of experts: a) senior, b) medium, c) junior and d) project manager.

Qualifications and skills:

- Education at least Master Degree level (preferably in law, social sciences and research) or alternatively relevant professional experience of minimum 12 years for the senior experts

- Education at least Master Degree level (preferably in law, social sciences and research) or alternatively relevant professional experience of minimum 5 years for the junior/medium experts and project manager.

Professional experience:

- a) **Senior expert:** at least 10 years in evaluation and monitoring of programmes/policies, of which at least 5 years on evaluation of programmes/instruments/policies in sectors like security sector reform, rule of law, judiciary, border management, public administration reform and PFM ;
- b) **Medium expert:** at least 5 years in planning/implementation and/or evaluation and monitoring of programmes/policies in the following sectors: security sector reform, rule of law, judiciary, border management, public administration reform and PFM;
- c) **Junior:** at least 3 years in planning/implementation and/or evaluation and monitoring of programmes/policies in the following sectors: security sector reform, rule of law, judiciary, border management, public administration reform and PFM;
- d) **Project manager** shall have at least 3 years of expertise in similar positions.

The evaluation team will have to be able to satisfy the highest quality standards. The evaluation team as such is expected to possess expertise in:

- Working knowledge of evaluation methods and techniques and, preferably, of complex policy and strategy evaluations in the field of external relations.
- In particular the team needs to demonstrate experience in analytical methods, which can evaluate change and contribution. This includes Quantitative and qualitative data collection and analysis
- Knowledge and expertise in sectors like: security sector reform, rule of law, judiciary, border management, public administration reform and PFM (more specifically in relation to the areas described on page 11: democratic oversight and accountability, defence reform, Intelligence and security service reform, integrated border management (with a focus on coast guards, border guards, customs authorities), police reform, justice reform (in particular criminal justice reform), prison reform, private security and military companies, civil society (including the media, academia and NGOs));
- Working experience in relation to implementation, monitoring and evaluation of interventions financed in the framework of EU neighbourhood policy and pre-accession assistance in sectors like: rule of law, judiciary, border management, public administration reform and PFM;
- At least one of the experts should demonstrate knowledge and expertise in the law enforcement sector;
- Working knowledge of the EU Neighbourhood and Enlargement policies and their implementation modalities;
- Knowledge of the EU institutional framework;
- The team leader should have proven knowledge and expertise in security sector reform and excellent communication, team co-ordination, presentation and proven report writing and editing skills in English;

- The evaluation team should have excellent command of English and French – both spoken and written.
- Knowledge of Russian/Arabic language would be an advantage

It is expected that the Team leader will be an expert of category Senior. As a minimum 3 senior experts should be involved.

The offer should clearly state the category of each team member and which tasks the proposed team members are supposed to take responsibility for and how their qualifications relate to the tasks. The team coordination and members' complementarity should be clearly described. A breakdown of working days per expert must be provided.

The team members must be independent from the programmes/projects evaluated. Should a conflict of interest be identified in the course of the evaluation, it should be immediately reported to the Evaluation manager for further analysis and appropriate measures.

The team will have excellent writing and editing skills. The Contractor remains fully responsible for the quality of the deliverables. Any report, which does not meet the required quality standards, will be rejected.

During the evaluation of offers the Contracting Authority reserves the right to interview by phone one or several members of the evaluation teams proposed.

The Contractor must make available appropriate logistical support for the evaluation team, including travel and accommodation arrangements for each mission, secretarial support, appropriate software and communication means. The evaluation team will need to have the standard equipment such as individual laptops, computer, mobile phones, etc. No additional cost for these items may be included in the offer.

Performance will be assessed by the Contracting Authority throughout the evaluation exercise (and if needed adjustments will be requested, in agreement with the contractor) based on the following criteria:

- Quality of the analysis
- Relations with the Client
- Clear and precise writing
- Methodological skills
- Communication skills and interview capacity
- Flexibility and availability
- Respect of deadlines.

If experts do not deliver the level of quality required, the Contractor will provide, at no additional cost for the Contracting Authority, immediate replacement and/or additional support to meet the appropriate standards.

By signing the Statement of exclusivity and availability, the expert commits to present his/her CV for a given assignment only with one Contractor, to work exclusively for the given assignment

during the days charged to the related Specific contract, to remain available to start and perform the assignment.

### **TIMING**

The project implementation is due to start in January 2017. The expected duration is 12 months. As part of the technical offer, the framework contractor must adhere to the timetable in Annex 2, and provide their proposed, more detailed schedule within that timetable in terms of "week 1" etc. The contracting authority underlines that the contractor must ensure that the evaluation team is available to meet the demands of this schedule.

### **OFFER FOR THE ASSIGNMENT**

#### **1.1 Technical offer:**

The total length of the technical offer (excluding annexes) may not exceed 20 pages; a CV may not exceed 4 pages. References and data relevant to the assignment must be highlighted in bold (font minimum Times New Roman 12 or Arial 11).

The methodology submitted shall not contain wording such as, "if time/budget allows," "if the data are available" etc.

Should it appear during the process of the evaluation that an activity envisaged in the methodology is impossible or inappropriate to be carried out for any reasons in the interest of the assignment; the change to the methodology as well as its financial impact must be agreed by the Evaluation Manager.

The offer is expected to demonstrate:

- The team's understanding of the ToR in their own words (i.e. their understanding of what is to be evaluated, and their understanding of the subject areas as relevant for this ToR)<sup>48</sup>.
- The relevance of the team composition and skills for the work to be undertaken.
- How the team proposes to undertake the evaluation: the evaluation design and challenges, data collection tools and methods of analysis, how the tasks will be organized.
- The level of quality control (content/proof reading/copy editing), which will apply, at which points in the process and who will undertake them.

#### **1.2 Financial offer:**

It is important to note that the present assignment will be funded from two financial sources – IPA and ENI. Due to this, two separate Requests for services have to be launched, involving the same companies. Nevertheless, at the end of the tendering process, only one contract will be issued, covering both sources. Please note that this separation between IPA and ENI sources of funding should be respected in all financial and contractual reporting.

Thus, the contractor should submit one technical offer, covering both IPA and ENI. As for the financial offer, the contractor is requested to prepare a global financial offer, divided between IPA and ENI, clearly indicating what is funded by ENI and IPA sources.

Separate invoices should be issued for the costs incurred under ENI and IPA budget sources.

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<sup>48</sup> Should the offer contain quotations, these sections must be clearly identified and sources indicated

The financial offer will be itemised to allow the verification of the fees compliance with the Framework contract terms.

The per diems will be based on the EU per diem in force when the Requests for Services are launched. The EU per diem is the maximum not to be exceeded.

Offers shall be submitted within the deadline exclusively to this functional mailbox:

[NEAR-A3-CRIS-FWC-OFFERS@ec.europa.eu](mailto:NEAR-A3-CRIS-FWC-OFFERS@ec.europa.eu)

## **TECHNICAL OFFERS SELECTION CRITERIA**

The offers evaluation criteria and their respective weights are:

	Maximum
<b>TOTAL SCORE FOR ORGANISATION AND METHODOLOGY</b>	
Understanding of ToR	15
Organization of tasks (including timing, quality control mechanisms)	10
Evaluation approach, working method, analysis	15
<b>Sub Total</b>	<b>40</b>
<b>EXPERTS/ EXPERTISE</b>	
Team Leader	20
Other senior experts	25
Other (medium/junior) experts	10
Project manager	05
<b>Sub Total</b>	<b>60</b>
<b>Overall total score</b>	<b>100</b>

## **ANNEXES**

The contracting authority reserves the right to modify the annexes during the FWC implementation.

### **ANNEXES**

- ANNEX 1: INDICATIVE DOCUMENTATION TO BE CONSULTED FOR THE PURPOSE OF THE EVALUATION BY THE SELECTED CONTRACTOR

*Indicate a list of relevant documents, which can be consulted by the contractor.*



#### Thematic evaluations<sup>49</sup>:

- IPA II Monitoring, Reporting and Performance Framework, published in 2016
- Third interim evaluation of IPA assistance, published in 2015
- Thematic Evaluation on IPA Support to Roma Communities, published in 2015
- Thematic evaluation on IPA support to the fight against corruption, published in 2015
- Evaluation of TAIEX Instrument, published in 2015
- Synthesis of Budget Support Evaluations (2010-2014), published in 2014
- Mapping of Sector Strategies (IPA) published in 2014
- Thematic Evaluation of EU's Support to Refugees in Bosnia and Herzegovina, Kosovo, Montenegro and Serbia, published in 2014
- Thematic Evaluation of Rule of Law, Judicial Reform and Fight against Corruption and Organized Crime in the Western Balkans, published in 2013
- Evaluation of the European Union's Support to two European Neighbourhood Policy Regions (East and South) (2004-2010), published in 2013
- Thematic Evaluation of European Commission Support to Justice and Security System Reform, European Commission, November 2011<sup>50</sup>

#### Country evaluations<sup>51</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 cooperation with Ukraine (2002-2009), published in 2010

#### European Parliament Studies:

- Assessing the EU's Approach to Security Sector Reform (SSR), January 2013<sup>52</sup>

#### Audit reports of the European Court of Auditors<sup>53</sup>:

- Special report no 21/2016-EU pre-accession assistance for strengthening administrative capacity in the Western Balkans: A meta audit;
- Special report no.20/2016- Strengthening administrative capacity in Montenegro
- Special report no. 13/2016 - EU assistance for strengthening public administration in Moldova
- Special report no.11/2016 - Strengthening administrative capacity in the former Yugoslav Republic of Macedonia: limited progress in a difficult context
- Special report no 19/2014 – EU Pre-accession Assistance to Serbia
- Special report no 4/2013 – EU cooperation with Egypt in the Field of Governance
- Special reports 2009/12- The effectiveness of Commission's projects in the area of Justice and Home Affairs for Western Balkans;
- Special Reports 2009/16 The European Commission's management of pre-accession for Turkey
- Special Reports 2012/18 – European Union's assistance to Kosovo related to the rule of law
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#### Communications and Staff Working Documents

- Communication from the Commission to the Council and the European Parliament – A Concept for European Community Support for Security Sector Reform, COM(2006) 253 Final, 2006 <http://eur-lex.europa.eu/legal-content/EN/TXT/?qid=1453735511168&uri=CELEX:52006DC0253>

49 [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)

50 [http://ec.europa.eu/europeaid/how/evaluation/evaluation\\_reports/reports/2011/1295\\_vol1\\_en.pdf](http://ec.europa.eu/europeaid/how/evaluation/evaluation_reports/reports/2011/1295_vol1_en.pdf)

51 [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)

52 [http://www.europarl.europa.eu/RegData/etudes/etudes/join/2013/433837/EXPOSEDE\\_ET%282013%29433837\\_EN.pdf](http://www.europarl.europa.eu/RegData/etudes/etudes/join/2013/433837/EXPOSEDE_ET%282013%29433837_EN.pdf)

53 <http://www.eca.europa.eu/en/Pages/AuditReportsOpinions.aspx?ty=Special%20report&tab=tab4>

- Joint Communication to the European Parliament and the Council on the EU's Comprehensive Approach to External Conflicts and Crises", JOIN(2013) 30 Final, 2013:  
[http://www.eeas.europa.eu/statements/docs/2013/131211\\_03\\_en.pdf](http://www.eeas.europa.eu/statements/docs/2013/131211_03_en.pdf)
- Joint Communication to the European Parliament and the Council on Capacity Building in Support of Security and Development – Enabling Partners to Prevent and Manage Crises, JOIN(2015) 17 Final, 2015: <http://eur-lex.europa.eu/legal-content/en/TXT/?uri=CELEX:52015JC0017>
- Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions on Commission Work Programme 2016 – No Time for Business as Usual, COM(2015) 610 Final, 2015: [http://ec.europa.eu/atwork/pdf/cwp\\_2016\\_en.pdf](http://ec.europa.eu/atwork/pdf/cwp_2016_en.pdf)
- Joint Staff Working Document – Towards a new European Neighbourhood Policy, SWD(2015) 500 final, [http://eeas.europa.eu/enp/documents/2015/151118\\_staff-working-document\\_en.pdf](http://eeas.europa.eu/enp/documents/2015/151118_staff-working-document_en.pdf)
- Joint Communication to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions – Review of the European Neighbourhood Policy, JOIN(2015) 50 final, [http://eeas.europa.eu/enp/documents/2015/151118\\_joint-communication\\_review-of-the-enp\\_en.pdf](http://eeas.europa.eu/enp/documents/2015/151118_joint-communication_review-of-the-enp_en.pdf)
- Joint Staff Working Document - Lessons drawn from past interventions and stakeholder's views, SWD(2016)221 final  
☒ <http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:52016SC0221&from=en>
- Joint Communication to the European Parliament and the Council - Elements for an EU-wide strategic framework to support security sector reform, JOIN(2016)31 final  
☒ <http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:52016JC0031&from=en>

#### Council Conclusions

- Council conclusions on a Policy Framework for Security Sector Reform", Council of the European Union, Document 9967/06, 2006:  
<http://register.consilium.europa.eu/doc/srv?l=EN&f=ST%209967%202006%20INIT>
- Council conclusions on the EU's comprehensive approach, May 2014, Document 9644/14:  
<http://data.consilium.europa.eu/doc/document/ST-9644-2014-INIT/en/pdf>
- Council conclusions on CSDP, 18 May 2015, Meeting Document 8971/15,  
<http://data.consilium.europa.eu/doc/document/ST-8971-2015-INIT/en/pdf>
- Council conclusions on the Review of the European Neighbourhood Policy, 14 December 2015, Meeting Document 15169/15, <http://data.consilium.europa.eu/doc/document/ST-15169-2015-INIT/en/pdf>

#### CSDP Documents

- Annual 2013 CSDP Lessons Report, 20 March 2014, Document 8015/14,  
<http://data.consilium.europa.eu/doc/document/ST-8015-2014-INIT/en/pdf>
- Annual 2014 CSDP Lessons Report, 3 March 2015, Document 6777/15,  
<http://data.consilium.europa.eu/doc/document/ST-6777-2015-INIT/en/pdf>

## ANNEX 2: TIMING

Columns 1, 2 and 4 of the table below (Evaluation Phases and Stages; Notes and Reports; and Meetings/Communications), are to be filled in by the evaluation manager based on the content of chapter 7 of these Terms of Reference.

Column 3 (Dates) of the table below is to be filled by the contractors and submitted as part of their technical offer

Phases	Notes and Reports	Dates	Meetings/Communications
<b>INCEPTION: STRUCTURING</b>	<input checked="" type="checkbox"/> Inception Report <input checked="" type="checkbox"/> Inventory of interventions (database) <input checked="" type="checkbox"/> Power point presentation		<input checked="" type="checkbox"/> Meeting(s) with ISG in Brussels
<b>DESK: DATA COLLECTION &amp; ANALYSIS</b>	<input checked="" type="checkbox"/> Desk report <input checked="" type="checkbox"/> Power point presentation		<input checked="" type="checkbox"/> Meeting(s) with ISG in Brussels
<b>FIELD</b>	<input checked="" type="checkbox"/> Country Field Visit Notes <input checked="" type="checkbox"/> Power point presentation		<input checked="" type="checkbox"/> Debriefing with ISG in Brussels
<b>SYNTHESIS</b>	<input checked="" type="checkbox"/> Final report, incl.: <input checked="" type="checkbox"/> Executive summary in both English and French <input checked="" type="checkbox"/> Power point presentation		<input checked="" type="checkbox"/> Meeting(s) with ISG in Brussels
<b>DISSEMINATION</b>	<input checked="" type="checkbox"/> Power point presentation		<input checked="" type="checkbox"/> Dissemination event in Brussels

# ANNEX 3: CHECKLIST – Quality Assessment for (Draft) Final Evaluation Reports

## Quality Assessment for Evaluation **XXXXXXXX** [Draft] Final Report

DG/Unit

[DG/Unit]

Official(s) managing the evaluation:

[Name(s)]

Evaluator:

[Company/name]

Assessment carried out by<sup>(\*)</sup>:

Steering group

[ ]

Evaluation Function

[ ]

Other (please specify)

[ ]

(\*) Multiple crosses possible

Date of assessment

[DD/MM/YYYY]

Objective of the assessment	Aspects to be assessed	Fulfilled? Y, N, N/A	Comments
1. Scope of evaluation	Confirm with the Terms of Reference and the work plan that the contractor		
	a. Has addressed the evaluation issues and specific questions	[ ]	
	b. Has undertaken the tasks described in the work plan	[ ]	
	c. Has covered the requested scope for time period, geographical areas, target groups, aspects of the intervention, etc.	[ ]	
2. Overall contents of report	Check that the report includes:		
	a. Executive Summary according to an agreed format, in the three languages	[ ]	
	b. Main report with required components	[ ]	
	<ul style="list-style-type: none"> <li>▪ Title and Content Page</li> <li>▪ A description of the policy being evaluated, its context, the purpose of the evaluation, contextual limitations, methodology, etc.</li> <li>▪ Findings, conclusions, and judgments for all evaluation issues and specific questions</li> <li>▪ The required outputs and deliverables</li> <li>▪ Recommendations as appropriate</li> </ul>		
3. Data collection	c. All required annexes	[ ]	
	Check that data is accurate and complete		
	a. Data is accurate	[ ]	

Objective of the assessment	Aspects to be assessed	Fulfilled? Y, N, N/A	Comments
	<ul style="list-style-type: none"> <li>Data is free from factual and logical errors</li> <li>The report is consistent, i.e. no contradictions</li> <li>Calculations are correct</li> </ul>		
	b. Data is complete	<input type="checkbox"/>	
	<ul style="list-style-type: none"> <li>Relevant literature and previous studies have been sufficiently reviewed</li> <li>Existing monitoring data has been appropriately used</li> <li>Limitations to the data retrieved are pointed out and explained.</li> <li>Correcting measures have been taken to address any problems encountered in the process of data gathering</li> </ul>		
4. Analysis and judgments	Check that analysis is sound and relevant		
	a. Analytical framework is sound	<input type="checkbox"/>	
	<ul style="list-style-type: none"> <li>The methodology used for each area of analysis is clearly explained, and has been applied consistently and as planned</li> <li>Judgements are based on transparent criteria</li> <li>The analysis relies on two or more independent lines of evidence</li> <li>Inputs from different stakeholders are used in a balanced way</li> <li>Findings are reliable enough to be replicable</li> </ul>		
	b. Conclusions are sound	<input type="checkbox"/>	
	<ul style="list-style-type: none"> <li>Conclusions are properly addressing the evaluation questions and are coherently and logically substantiated</li> <li>There are no relevant conclusions missing according to the evidence presented</li> <li>Findings corroborate existing knowledge; differences or contradictions with existing knowledge are explained</li> <li>Critical issues are presented in a fair and balanced manner</li> <li>Limitations on validity of the conclusions are pointed out</li> </ul>		
5. Usefulness of recommendations	a. Recommendations are useful	<input type="checkbox"/>	
	<ul style="list-style-type: none"> <li>Recommendations flow logically from the conclusions, are practical, realistic, and addressed to the relevant Commission Service(s) or other stakeholders</li> </ul>		
	b. Recommendations are complete	<input type="checkbox"/>	
	<ul style="list-style-type: none"> <li>Recommendations cover all relevant main conclusions</li> </ul>		
6. Clarity of the report	a. Report is easy to read	<input type="checkbox"/>	
	<ul style="list-style-type: none"> <li>Written style and presentation is adapted for the various relevant target readers</li> <li>The quality of language is sufficient for publishing</li> <li>Specific terminology is clearly defined</li> <li>Tables, graphs, and similar presentation tools are used to facilitate understanding; they are well commented with narrative text</li> </ul>		
	b. Report is logical and focused	<input type="checkbox"/>	

Objective of the assessment	Aspects to be assessed	Fulfilled? Y, N, N/A	Comments
	<ul style="list-style-type: none"> <li>▪ The structure of the report is logical and consistent, information is not unjustifiably duplicated, and it is easy to get an overview of the report and its key results.</li> <li>▪ The report provides a proper focus on main issues and key messages are summarised and highlighted</li> <li>▪ The length of the report (excluded appendices) is proportionate (good balance of descriptive and analytical information)</li> <li>▪ Detailed information and technical analysis are left for the appendix; thus information overload is avoided in the main report</li> </ul>		

Overall conclusion		
The report could be approved in its current state, as it overall complies with the contractual conditions and relevant professional evaluation standards	[ ]	