Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Avrupa Birliği Bakanlığı
IPA II Teknik Destek Projesi

Ministry for EU Affairs
Technical Assistance for IPA II

"Practical Training on Action Document Preparation"

(19-21 April 2017) (24-26 April 2017)

Katarina Jurlina

"IPA II: Taking EU funding to the next level"

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Training objectives

To increase the quality of programming documents

Better understanding of the PCM application in Action Documents

Increasing skills of institutions to prepare/assess Action Documents of good quality and relevance

Training Scope

- IPA II Approach & Hierarchy of documents
- Structure of Action Document
- PCM / LFM in Action Document Preparation
- Sector Approach Assessment, Indicators
- Tips on Preparation and Assessment of Action Document, Budget, Cross-cutting issues

Programming in IPA II

- Planning the use of the pre-accession assistance taking into account priorities and objectives defined in the European Unions' and national planning and strategic framework
- Preparing the relevant multi-annual (Sector Operational Programmes (SOPs), Sector Planning Documents (SPDs)) and annual programming documents (Action Documents (ADs))
- Translating identified priorities and objectives into Actions and activities to be carried out on the ground including time frame and budget necessary for their implementation;
- Coordination and consultations and getting the EC approval on the proposed interventions

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IPA II (2014 - 2020)

Main support documents during programming

- IPA II Quick Guide to Programming (DG NEAR)

Focuses on essential elements one needs to understand during programming of financial assistance

- Guidelines on linking planning/programming, monitoring and evaluation (DG NEAR)

Focuses on ability to design interventions, as well as understanding of the links between planning/programming, implementation (and its monitoring) and evaluation

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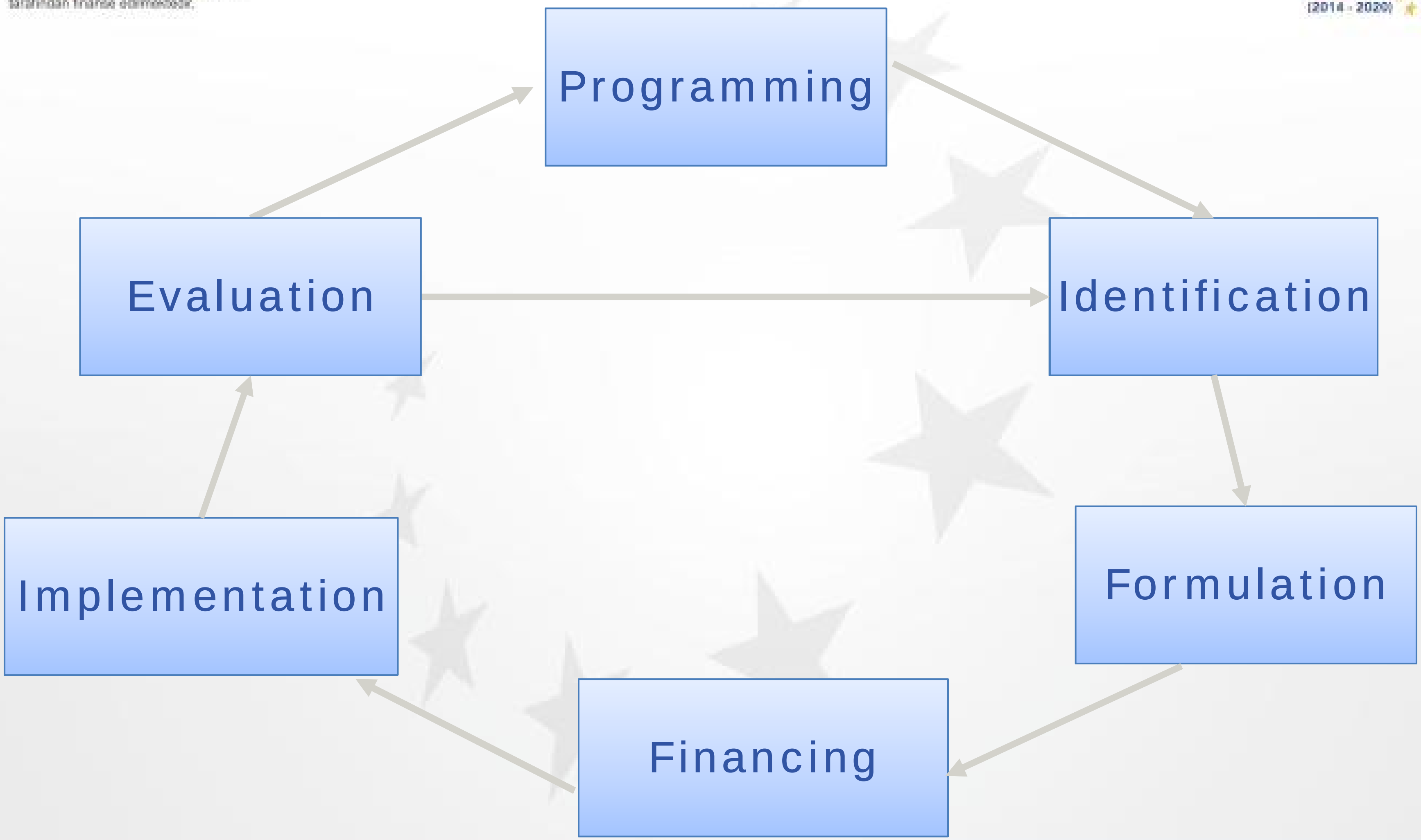
PCM- as always...

IPA II (2014 - 2020)



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IPA II Programming Logic

Financial assistance is aligned on the political enlargement agenda through a strategic and coherent approach

→

Strategic approach of financial assistance moves away from financing a series of projects to the co-financing of more comprehensive reform agenda

→

Strategic approach is based on Sector Approach that is result-oriented - more result-oriented financial assistance is based on more robust intervention logics

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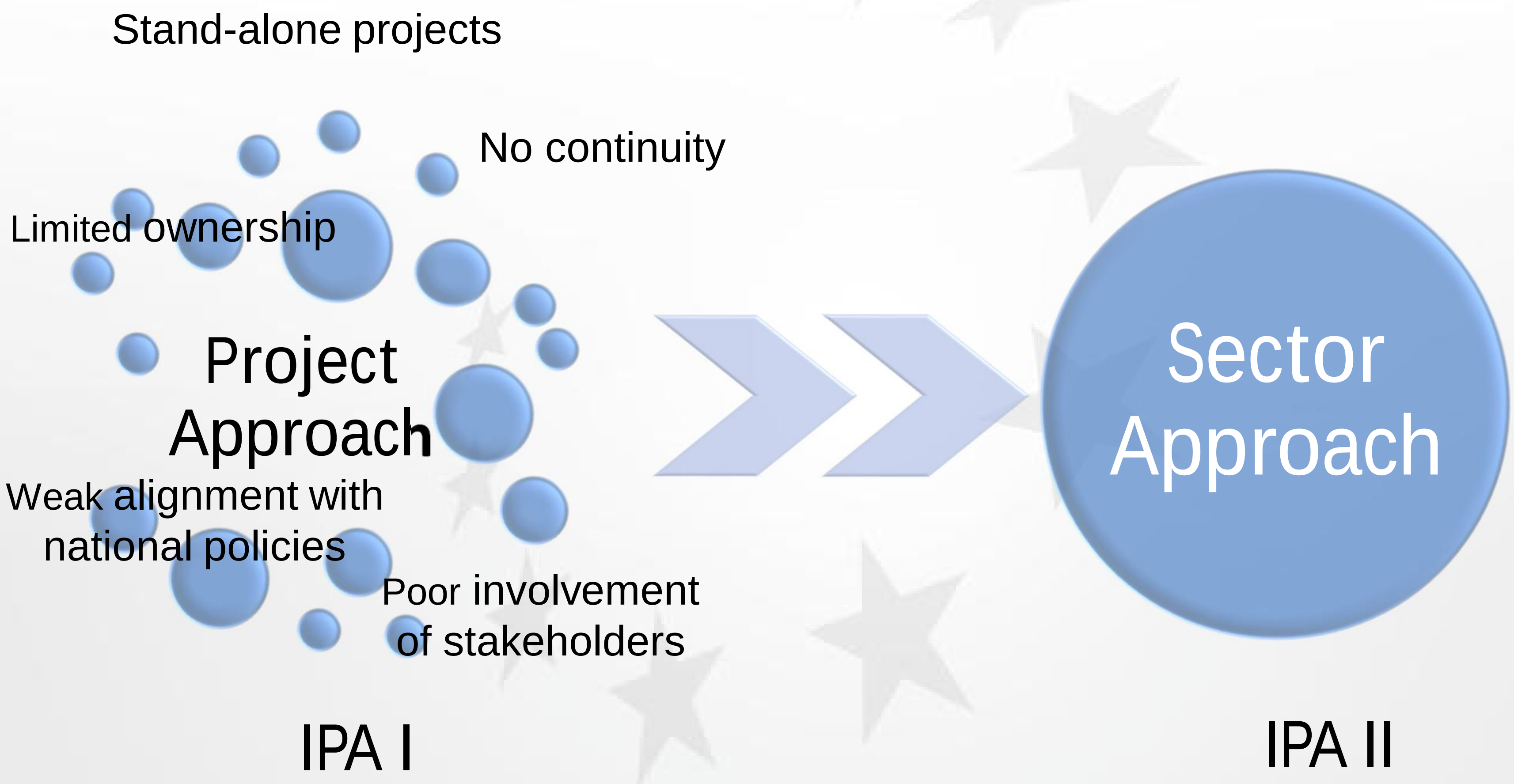
From Projects to Sector Approach



Sector Approach Purpose

<u>CiR – art. 4(8)</u>

... sector policy support programmes ... to support partner countries' sector programmes

<u>IPA II REG. – art. 4(2)</u>

... implementation of sector reforms ... based on comprehensive sector policies and strategies

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Legal Framework (EU)

FINANCIAL REGULATION (and its Rules of Application)	IPA REGULATION	COMMON IMPLEMENTING REGULATION for External Actions
IPA IMPLEMENTING REGULATION		
Framework Agreement		
Financing Agreement		

Hierarchy of Documents

Enlargement Package
(EU Enlargement Strategy, EC Progress Report /SAA/ European Partnership)

IPA II Regulation

Country /Multi-Country Strategy Paper

National Sector Programme or (IPA-specific) Sector Planning Document (SPD)

Action Documents (ADs)

(Draft) Action Programme (AP)

Financing Proposal

Annexed: ADs

Commission Implementing Decision

Annexed: AP

Financing Agreement

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Hierarchy of Documents

National Sector Strategies:
European Union Strategy/National Action Plan for EU Accession
10th National Development Plan (DP10)
Relevant sectoral strategies

Sectoral Operational Programmes :
Sectoral Operational Programmes for Environment and Climate Action
Sectoral Operational Programme for Transport
Sectoral Operational Programme for Competitiveness and Innovation
Sectoral Operational Programme for Education, Employment and Social Policies

Rural Development Programme
Cross-Border Cooperation Programme

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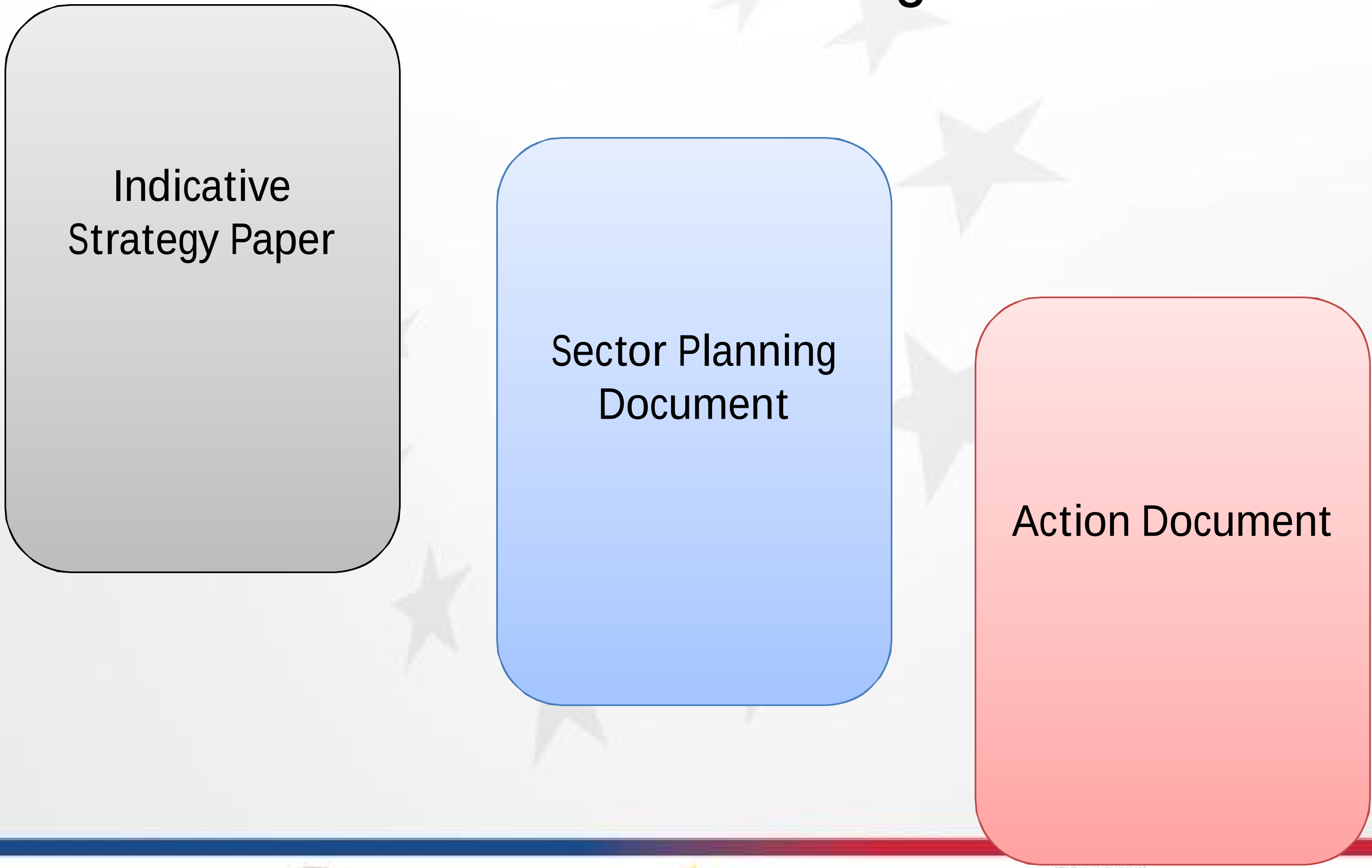
Hierarchy of Documents

IPA II (2014 - 2020)

Sector Planning Documents:
SPD for Civil Society
SPD for Judiciary
SPD Fundamental Rights
SPD for Home Affairs
SPD for Energy
SPD for Agriculture and Rural Development

Action Documents (AD):
AD for Civil Society
AD for Judiciary
AD for Fundamental Rights
AD for Home Affairs
AD for Energy
AD for Agriculture and Rural Development

Hierarchy of Documents/ Intervention Logic



Terms used in IPA II

- Country Strategy Paper/Multi – Country Strategy Paper : The overreaching strategic planning documents - describe in broad terms how Beneficiaries will use financial assistance to address the political priorities of the Enlargement Strategy and the reform efforts under different Sectors
- Action Programme: A group of actions defined by clearly identified objectives and expected results, as well as implementation arrangements and other related conditions for execution, adopted through a Commission implementing Decision.
- Action: A coherent set of coordinated activities carried out to meet a defined objective, which have an estimated total cost plus implementation schedule and performance parameters.
- Activity: A component of an Action which can be clearly identified by its costs and type of financing (procurement, grant etc.)

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Programming Options

	SECTOR SUPPORT ACTION		STAND-ALONE ACTION (Exceptional case)
TYPE	Fully-fledged sector support	Sector support oriented	
DESCRIPTION	An Action supporting a national Sector Programme (or part of it) owned by the Beneficiary and which fulfils the five key Sector Approach criteria	An Action supporting a Sector which is not fulfilling all the conditions for the Sector Approach and based on a multi-annual Sector Planning Document specifically prepared in the context of IPA	An Action for which the Sector Approach is not appropriate or necessary or a horizontal / ad hoc Action
REFERENCE SECTOR/SUB-SECTOR PLANNING DOCUMENT	Beneficiary-owned Sector Programme	IPA Specific Sector Planning Document	No underlying Sector Document
TURNED INTO	Action Document	Action Document	Action Document
	Action Programme	Action Programme	Action Programme

Action Document

Scope	Ø Underlying document – implementation oriented – similar to former Project Fiche, but… Ø Its quality has direct ramifications for procurement
Type	Ø Document of an operational nature on which activities to perform/how/by whom; to be shared mainly between Turkey, EU Delegation and the Commission Ø Based on PCM principles using LFA
Responsibilities	Ø Prepared by Turkey: Quality control by EU Delegation and EC services

Observations in AD preparation (example)

- At least a third of the projects examined gave the impression of being unwanted by the relevant End Recipient(s)
- The intervention logic for half of the files were found to be unsound
- Activities are vague, did not match up with the budget
- Assumptions which would need to be fulfilled in order for a project to be successful are not taken into account, such as

  1) the failure to anticipate and adequately plan for weak IPA Unit/End Recipient capacity

  2) programming 2 sequentially related projects in the same budgetary year

  3) projects involving completely unrelated End Recipients (causing difficulties in coordination)

  4) information included in procurement documentation analysed did not appear in programme documents

Question for discussion:

What is your experience in writing/ reviewing the Action Documents?

Structure of Action Document

1: Relevance/ Justification of intervention

a) Problem and stakeholder analysis

- o Main problems vs needs
- o Identified challenges where the Action will focus
- o Who are the target groups the most affected by problems
- o Are there specific institutional/organisational challeges

b) *Outline of IPA Assistance*

c) Action relevance to EU and national strategic documents

- o The action is contributing to the implementation of the relevant policies/strategies
- o The action is contributing to identified EU and enlargement priorities for Turkey

Structure of Action Document

1: Relevance/ Justification of intervention

d) <u>Sector Approach Assessment</u>

<u>e) Lessons learnt and connections with past/ongoing assistance</u>

- Description of problems/ open questions encountered during implementation of related activities;
- In case the action is a continuation of past/ongoing action, description of the problems faced/ recommendations on how to avoid them
- Description of good practice from relevant activities that can be of benefit for the action

o Recommendations of independent evaluators

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Structure of Action Document

2. Intervention logic

a) Logframe matrix

b) Additional description

- Description of the Action's Intervention Logic in a narrative style
- Main risks and/or preconditions that might occur/be needed before or during the Action implementation. In case of risks, to add mitigation measures

3. Implementation arrangements

a) Roles and responsibilities

b) Implementation methods and types of financing

Structure of Action Document

4. Performance measurement

a) *Methodology for monitoring and evaluation*

b) Indicator measurement

- Relevant key outcome indicators (at the level of the Specific Objective of the Action) and briefly describe them, including the baseline data and the final target

5. Cross cutting issues

a) Environment and climate change

b) Engagement with civil society

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Structure of Action Document

5. Cross cutting issues (cont.)

c) Equal opportunities and gender mainstreaming

d) Minorities and vulnerable groups

6. Sustainability

7. Communication and Visibility

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Steps of Action Document preparation

- Know the SPD & ISP of your sector
- Start with problem and stakeholder analysis (Section 1)
- Perform Objective and Strategy analysis(Section 1&2)
- Assemble Logframe matrix (Section 2)
- In the logframe, remember that the right level indicators have to be SMART (and detailed in Section 4) (Section 2&4)
- Define the implementation arrangements in Section 3
- Develop the budget (Annex)
- Finish Section 1 Outline of IPA Assistance, SA and Lessons learnt
- Finish Sections 5&6

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The Logical Framework Approach in Programming

IPA II (2014 - 2020)

ANALYSIS PHASE	PLANNING PHASE

ANALYSIS PHASE

- Stakeholder analysis - identifying & characterising potential major stakeholders; assessing their capacity
- Problem analysis - identifying key problems, constraints & opportunities; determining cause & effect relationships
- Objective analysis - developing solutions from the identified problems; identifying means to end relationships
- Strategy analysis - identifying different strategies to achieve solutions; selecting most appropriate strategy.

PLANNING PHASE

- Developing Logical Framework matrix - defining project structure, testing its internal logic & risks, formulating measurable indicators of success
- Activity scheduling - determining the sequence and dependency of activities; estimating their duration, and assigning responsibility
- Resource scheduling - from the activity schedule, developing input schedules and a budget

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Rationale
Problem Analysis - Stages

1. Define framework, subject of analysis
2. Collect relevant background information
3. Ensure lessons learned from previous similar projects are considered
4. Identify key stakeholders and ensure the ‘right’ people participate
5. Prepare a problem tree which provides a simplified but robust version of reality

Rationale
Problem Analysis

- Establishing the roots of causes in order to focus the intervention design on them and not solely to the symptoms of problems
- The problem tree helps to establish the cause effect relation between problems
- Once identified, the stakeholder group should meet and conduct a facilitated discussion to further identify and clearly state the problems that need to be resolved
- Only existing problems should be identified, not potential ones, future ones nor imagined ones
- Problem is not absence of solution, but existence of some negative state of affairs

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IPA II (2014 - 2020)
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Rationale
Problem Analysis

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IPA II (2014 - 2020)

Frequent traffic accidents

Bus Company is losing money

Insufficient maintenance of busses

Busses are in bad technical conditions

Bad quality of roads

Bus Company losing trust of the passengers

Passengers use alternative traffic means

Busses are very old

Passengers suffer injuries or die

Busses do not arrive and leave on time

Reckless driving of bus drivers

Increased traffic jams in the city

Passengers arrive late

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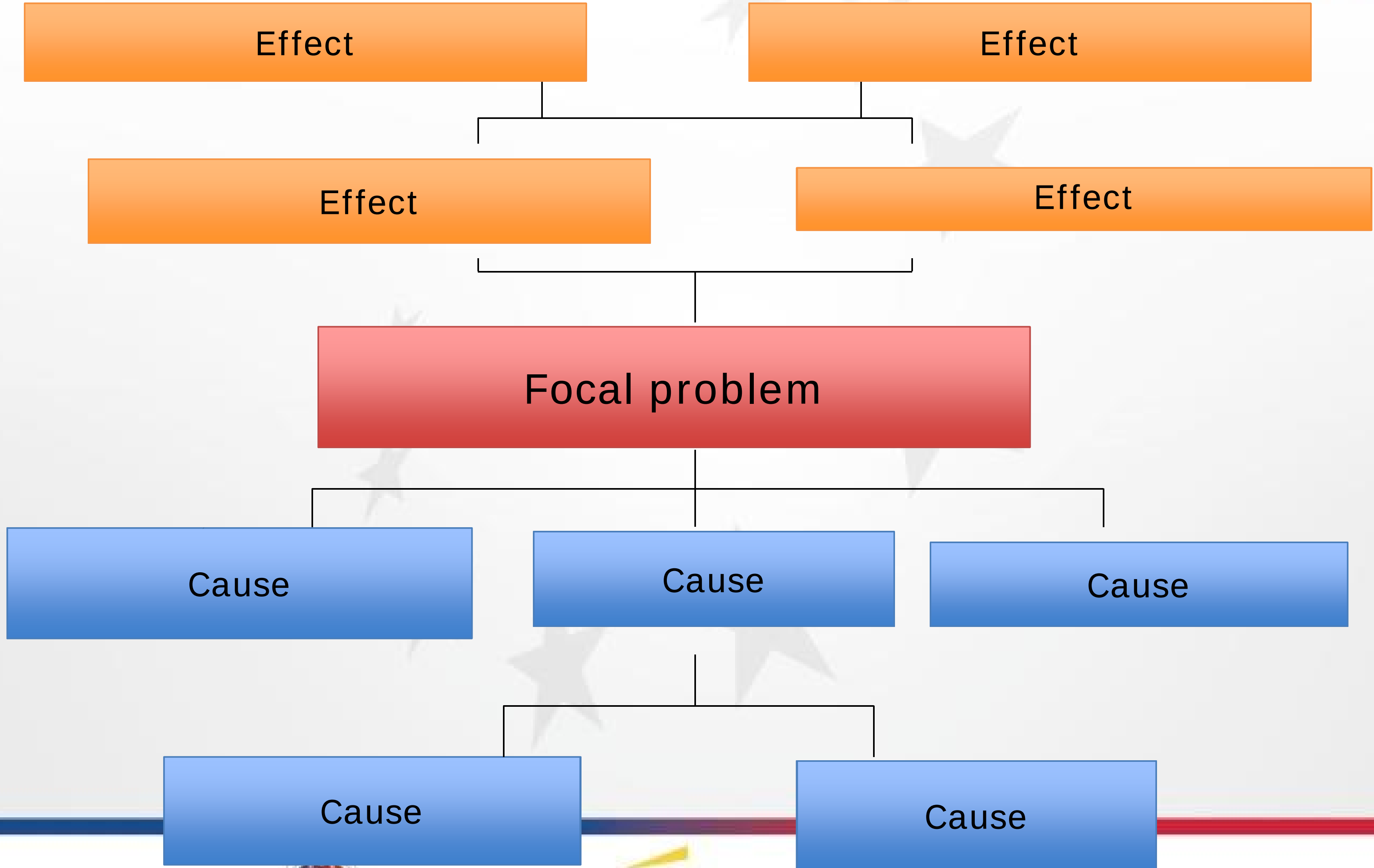
Rationale
Problem Analysis

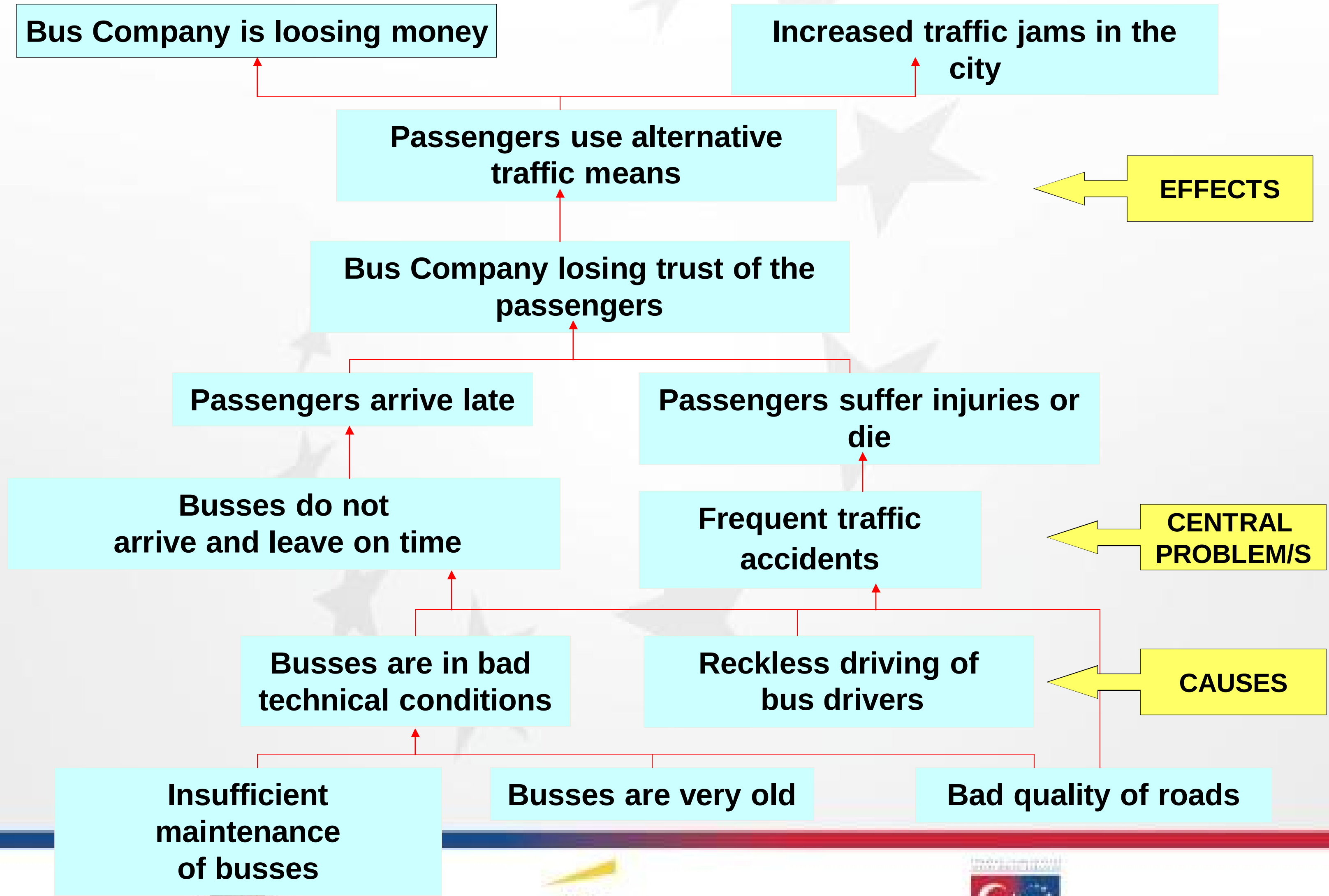


Rationale
Stakeholder Analysis

Different stakehoders perceive the same changes in different ways

- **Questions of authority**
- **Previous experience**
- **Interests**
- **Occupations and relations**
- **Pressure at work**
- **Personal characteristics**
- **Priorities**

Rationale
Problem Analysis



Rationale
Objective Analysis

- Process in which Problem tree is converted into Objective/solution tree and analysis of that product
- Reformulate each problem in a “problem tree” into a positive statement (objective)
- Verify hierarchy of objectives
- Visualization of relationships in a diagram

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Rationale
Objective Analysis

1) Starting from the top reformulate all elements of Problem tree into a positive, desirable conditions
2) Instead of cause-effect relations in Problem tree, established relations are means-solution or means-objective
3) Starting from the bottom check whether established means-objective relations are logic and valid
4) If needed:
   - revise objective statements
   - erase solutions/objective which are unrealistic or unnecessary
   - add new solutions/objectives where necessary
5) Connect with lines to show means-solutions or means-objective relationships

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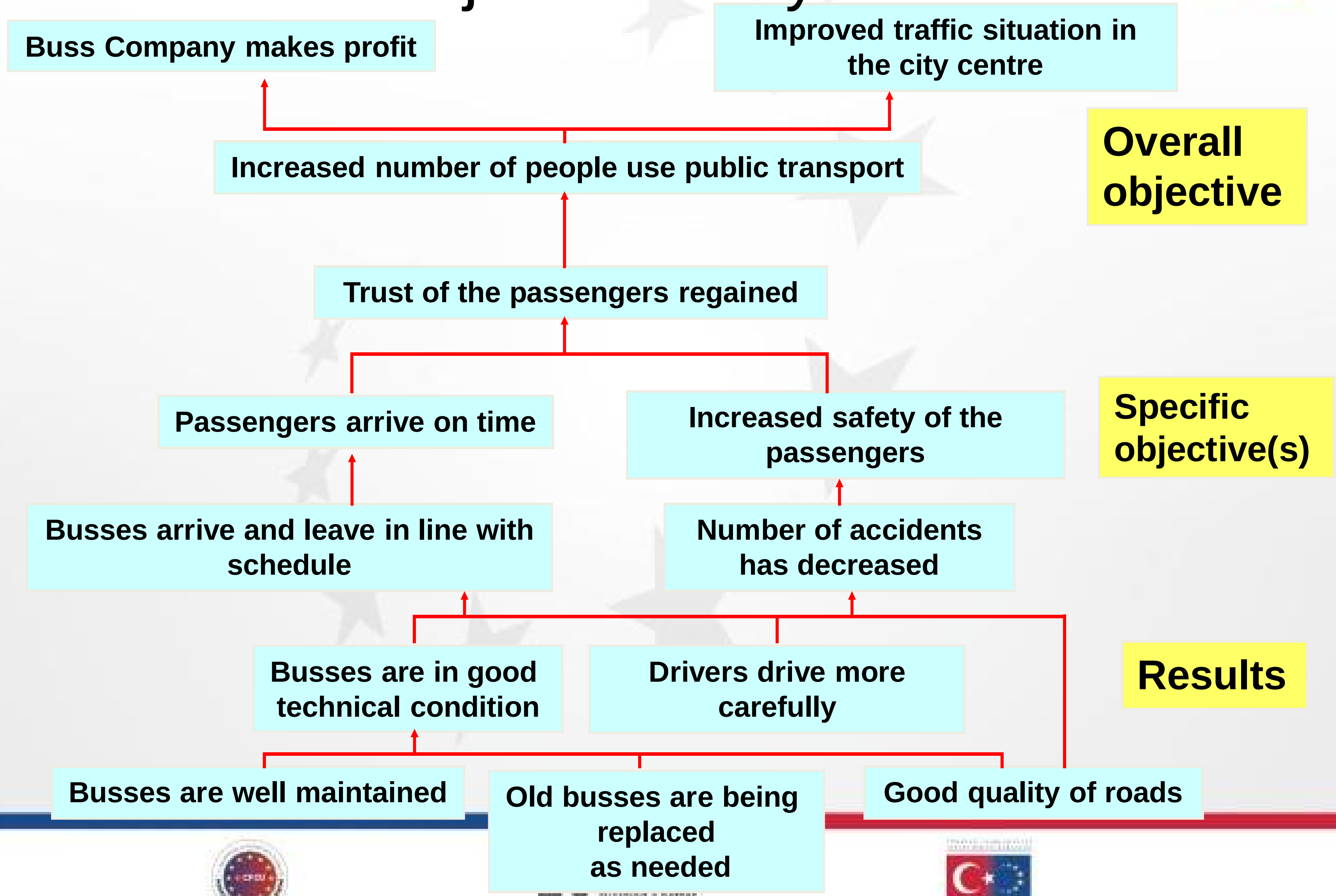
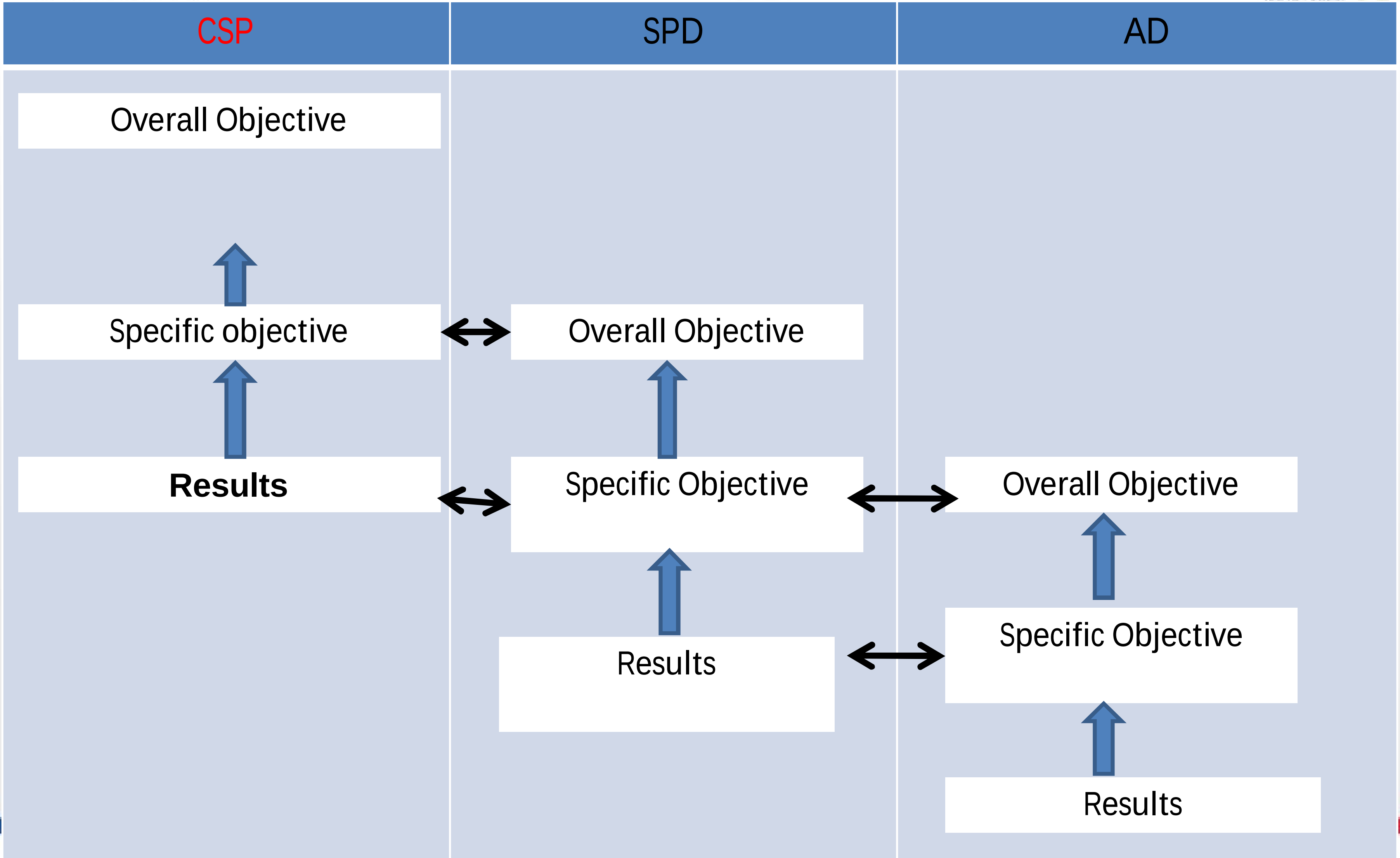
Rationale
Objective Analysis

Problem Tree		Objective Tree
Effects	→	Overall objectives
↑		↑
Focal problem	→	Project Purpose
↑		↑
Causes	→	Results

Rationale
Objective Analysis



Intervention Logic



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Strategy Analysis

It aims to:

– Analyse the identified (potential) objectives in relation to a set of 'feasibility' criteria

– Select an appropriate strategy for project implementation

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Strategy Analysis

IPA II (2014 - 2020)

- Selection of strategy which will be used for achieving desired objectives
- Process of decision making on which solutions (objectives) will be included in project and which will stay outside of project, as well as what is purpose/specific objectives and what is overall objective

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Strategy Analysis

SOME POSSIBLE CRITERIA

- Complementarities with projects financed by other donors
- Availability of financial resources, expertise, etc.
- Importance given by the target group
- Contribution to the reduction of inequalities (e.g. gender)
- Existing potentials and capacities (of target group)
- Urgency
- Relevance for the EC/partner country agreed strategy
- Social acceptability

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Strategy Analysis

- Which combination will most probably lead to desired results and sustainable benefits?
- Which is the best way to support the ownership over the project, including institutions/organizations capacity development?
- Which option is the most efficient one?
- Decision based on policy priorities, budget, human resources,urgency, social acceptability, etc
- The excluded statements should be considered in the analysis of assumptions/risks

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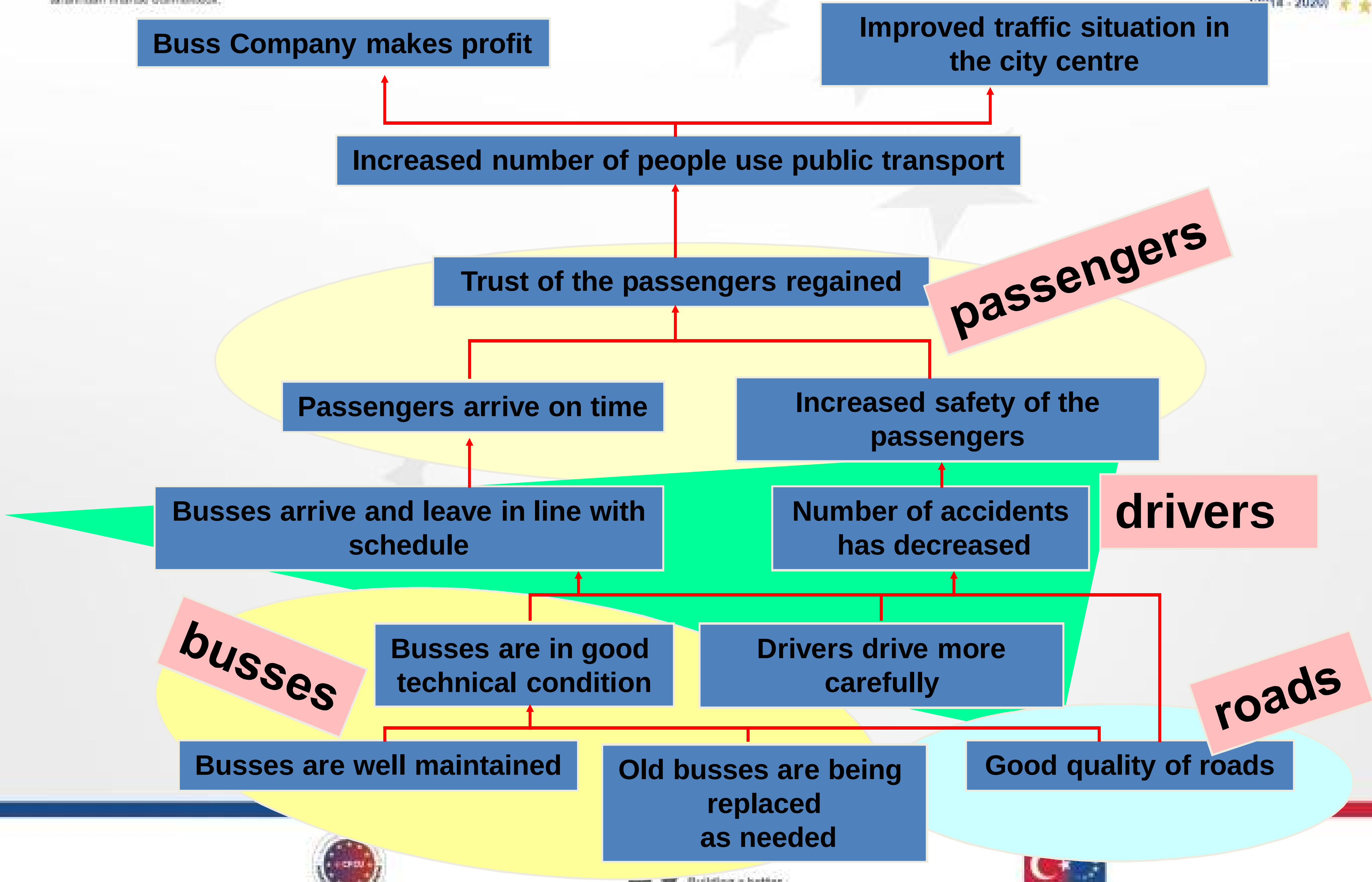
Strategy Analysis



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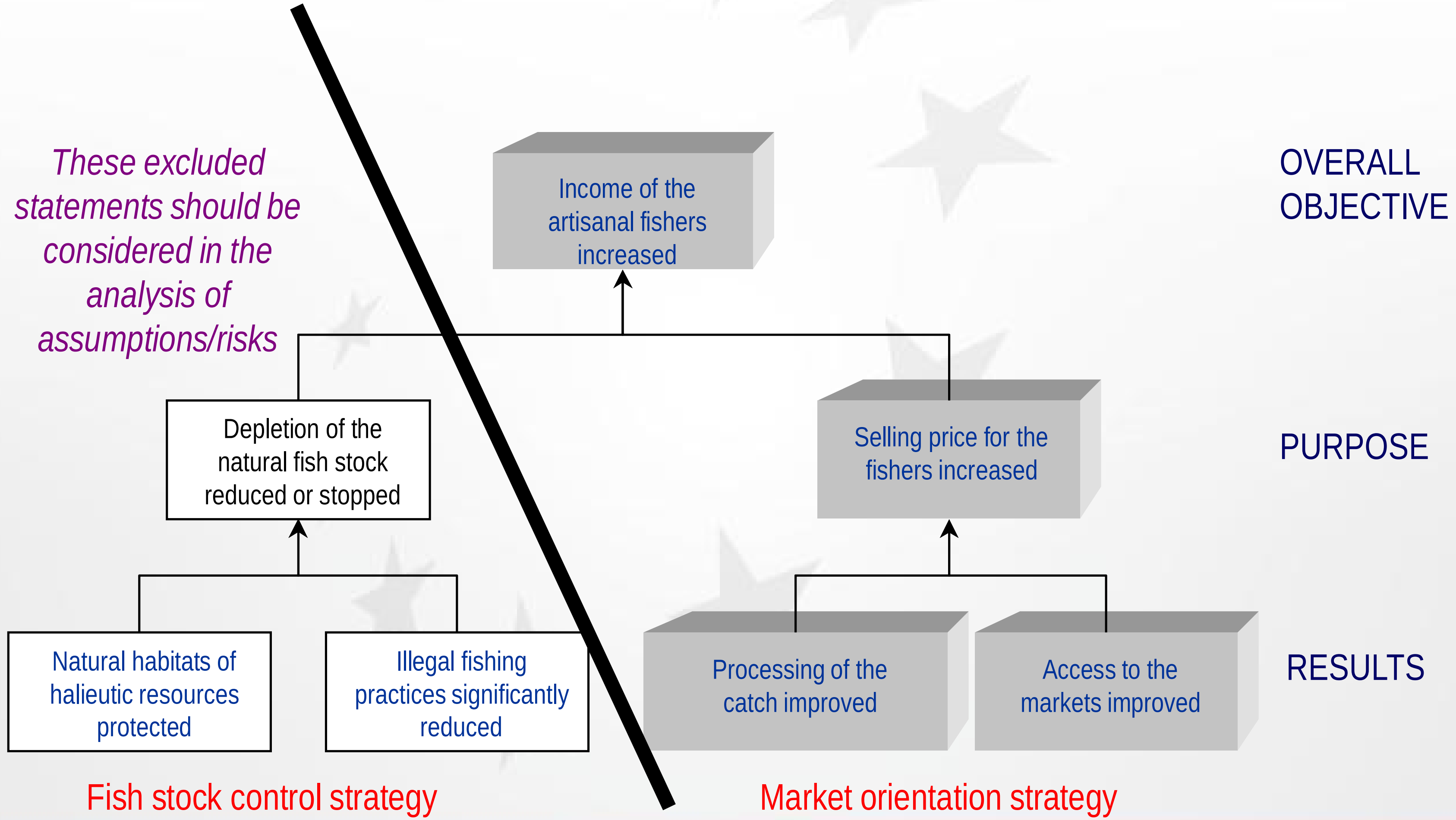
Strategy Analysis



Decision based on policy priorities, budget, human resources, urgency, social acceptability, etc

Rationale
Link with EU and National documents

- "Quote the CSP priority(ies) that the Action addresses and briefly describe how the Action helps meet the objective(s) and priorities described in the CSP"
- "Where relevant, briefly quote the priority(ies) of the Enlargement Strategy and the Annual Progress Report the Action will address, as well as state the link between the Action and the EU policies"
- Don't just quote the documents, explain how the results of the Action will contribute to their priorities/objectives

Rationale
Link with national strategic documents

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IPA II (2014 - 2020)

10th Development Plan

Draft Employment and Social Reform Programme

National Employment Strategy (2014–2023)

Fight against Informal Economy

Youth Employment Action Plan 2011 - 2015

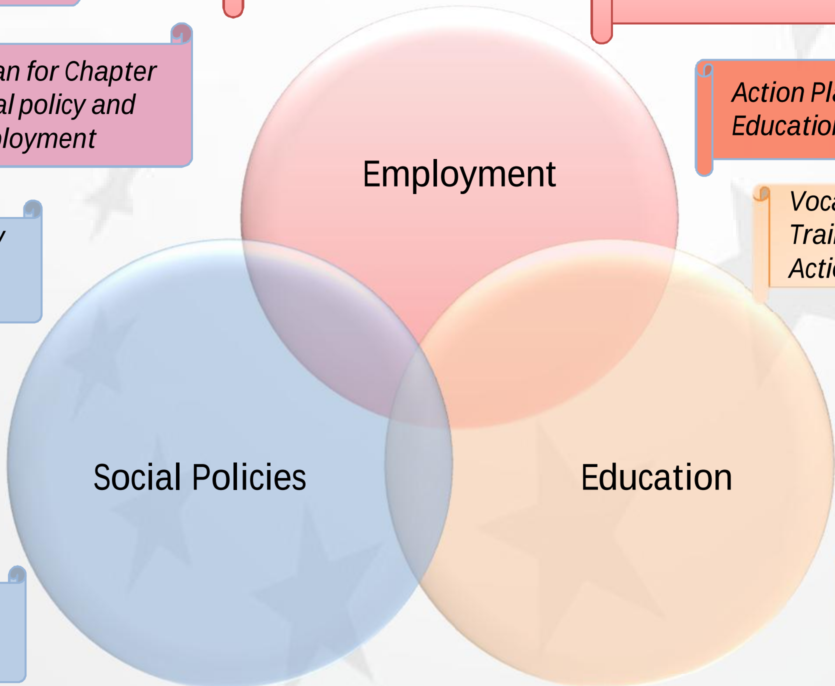
Action Plan for Chapter 19 Social policy and Employment

Action Plan to Strengthen the Link between Education and Employment

Child Rights Strategy and Action Plan (2013-2017)

Vocational Education and Training Strategy and Action Plan 2014 - 2018

Life Long Learning Strategy 2014 - 2018



Draft Roma Strategy

National Teacher Strategy Paper

MoFSP Strategic Plan (2013- 2017)

Life Long Learning Strategy 2014 - 2018

Turkish Qualifications Framework

Strategy and Implementation Plan for Special Talented Individuals

Rationale
Sector Approach Assessment

- Derive from Part I –Section 2.2 of the SPD
- General paragraph on the Sector Approach criteria
- Check consistency of information with SPD and SAR

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Rationale
Sector Approach Assessment

IPA II (2014 - 2020)

Sector policy& Strategy	Institutional setting & capacity	Sector coordination	Sector budget	Sector monitoring system
• Is the strategic framework on the sector level coherent, consistent and comprehensive • Is the sector strategy/ies relevant, clear, sound and of good quality • Is the strategic/operational plan to implement the sector strategy clear, realistic and of good quality?	• Is the institutional framework clearly defined? • Are the institutional capacities sufficient and adequately managed?	• Is the coordination mechanism on the sector level inclusive, efficient and effective? • Is the donor coordination mechanism efficient and effective?	• Is there a budget/ Medium term Expenditure Framework on the sector level? • Is external funding aligned with national priorities? • Is preparation of the national budget properly reflecting the sector strategy/ies and Action plans?	• What is the quality of the sector- level performance monitoring framework? • What are the capacities for carrying out the monitoring and evaluation tasks on the sector level? • Are the sector-level evaluations being carried out?

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Rationale
Lessons learnt

- Results of the evaluations?
- Are the activities a follow up of previous actions?
- Make sure to describe that there are no overlaps
- Emphasize the connection with other actions contributing to sector’s objectives

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Tips for Section 1 AD

IPA II (2014 - 2020)

- Know the developments in your sector/ relevant data, statistics, stakeholders, target groups, requirements of the enlargement process, benchmarks
- Interact with stakeholders through WGs even before the preparation of AD
- Top down approach is successful with lot of money, lot of time and lot of political power- mix bottom up and top down in programming
- Use the rationale from SPD, but focus on the problems/ stakeholders for particular action in more detail
- Have credible data and quote it/ don’t use “recent survey”, “some analysis”...

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Tips for Section 1 AD

- Interpret the statistics/ what do the numbers mean?
- The paragraphs in the text have to “flow” from one another
- Map the main sector strategies and match their strategic direction with ISP for Turkey
- Know the main EU strategic documents relevant for your sector
- Have a clear overview of ongoing and planned EU/ bilateral projects

For the entire document- keep data bases of information required in different sections!

Tips for Section 1 AD and beyond

- Standardize text as much as possible with some sections using the same text across sectors (prepare guidance on sections beyond the one given by DG NEAR, for example "here you have to write…, this information is required here…)
- Have a track record of the EU Delegation comments

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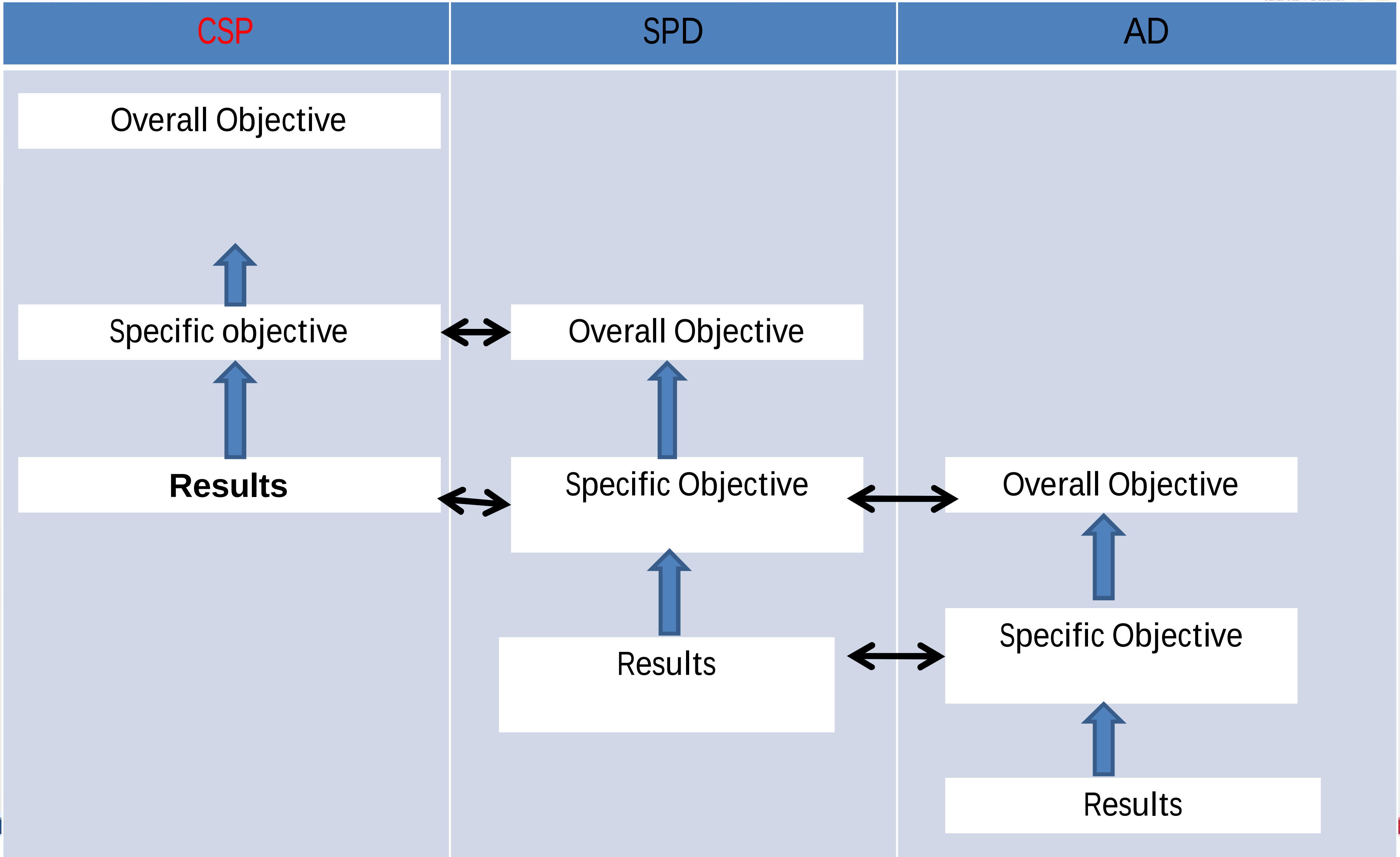
Intervention Logic



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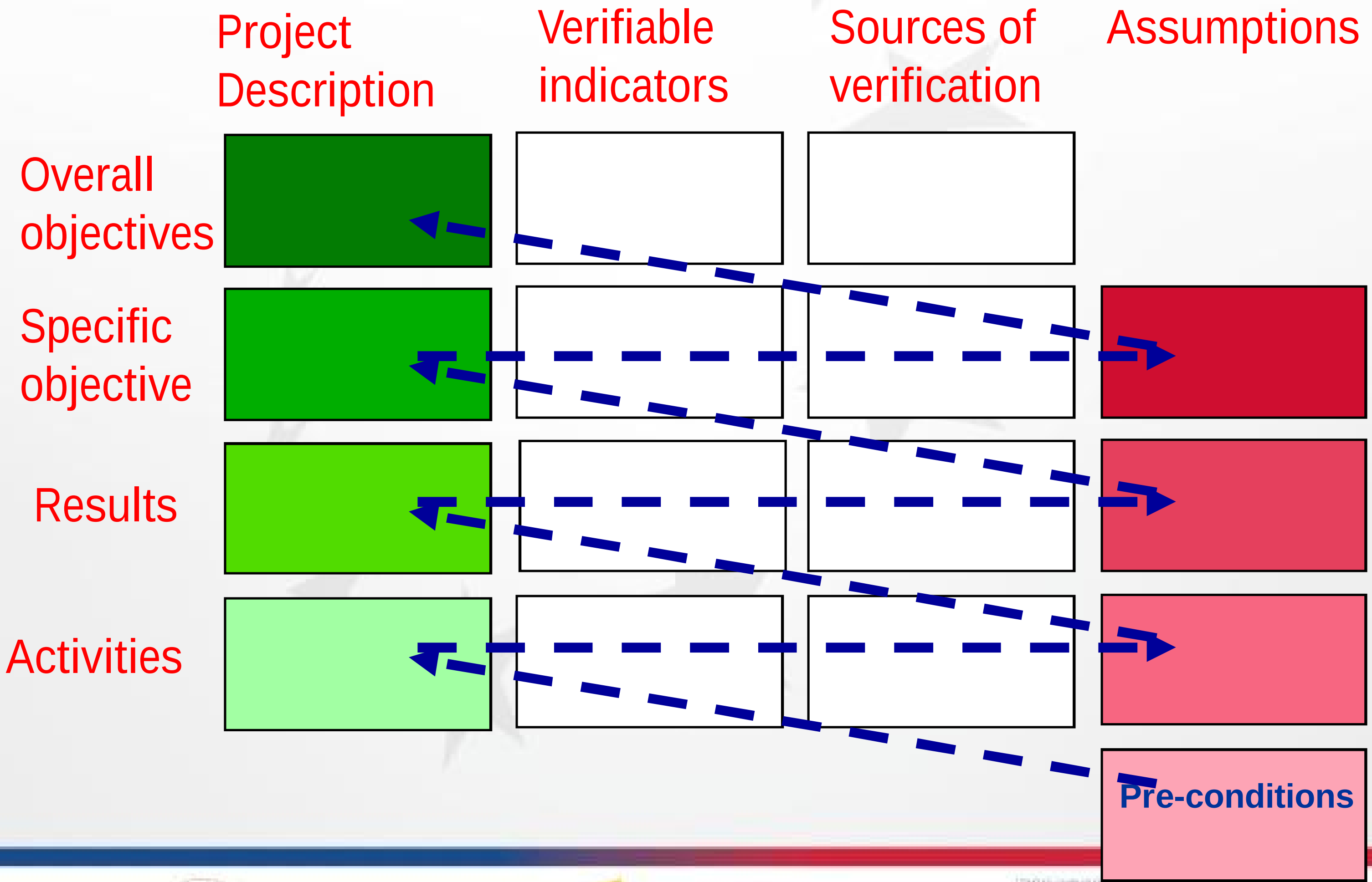
Intervention Logic
Logical Framework

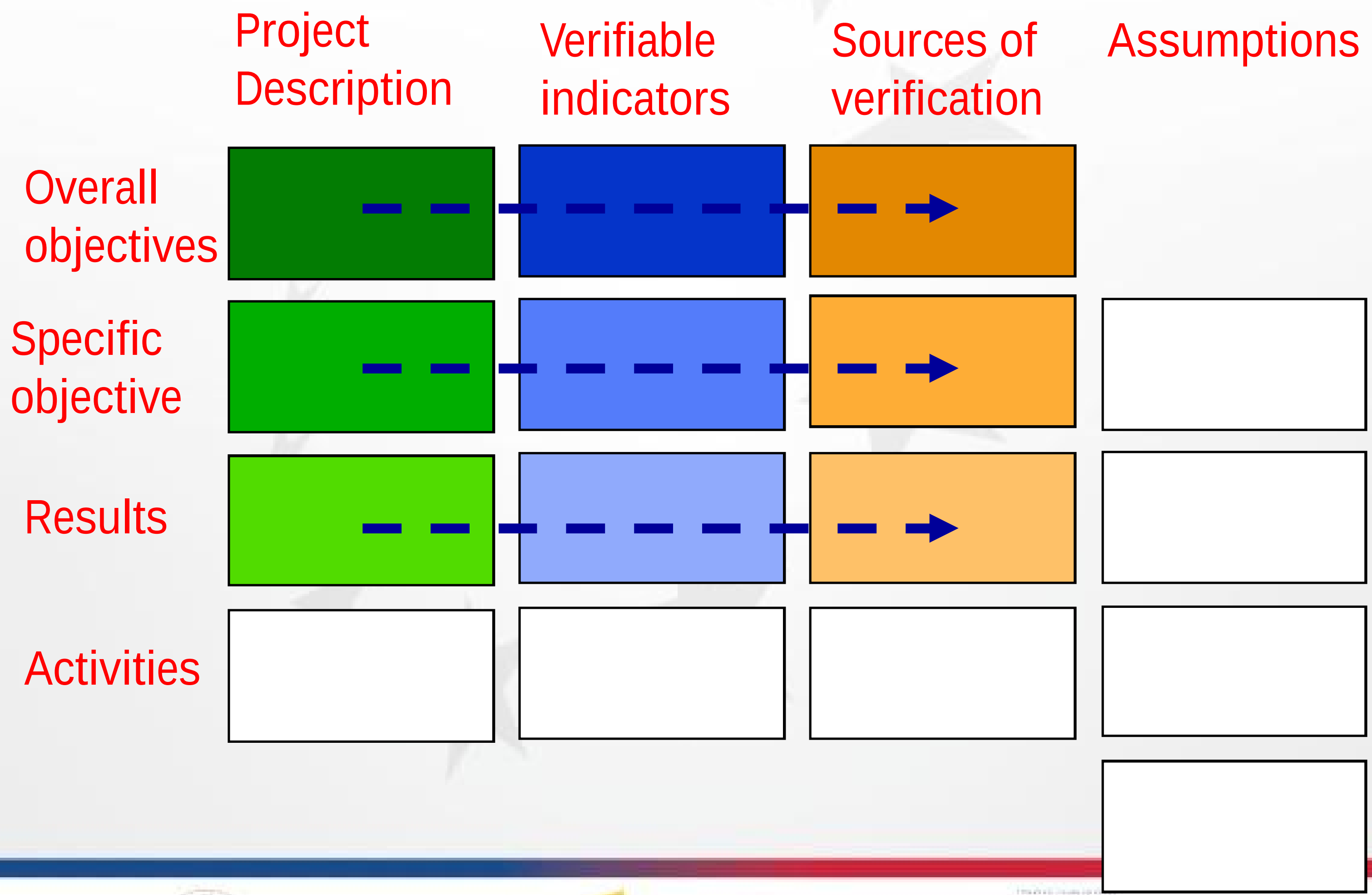
– One tool - the Logical Framework (LF) is used throughout PCM cycle
– It forms a common and consistent link between:

Objectives aimed at	↔	Problems to be solved
Results obtained	↔	Objectives aim
Activities implemented	↔	Results obtained
Necessary means	↔	Activities implemented
Means-related costs	↔	Necessary means

Intervention logic
Vertical logic



Intervention logic
Horizontal logic



Intervention logic
Levels of the project description

Overall objective

G Relate to the wider sectoral or national objective, to which the project will contribute

Specific objective

G Show changes in the areas targeted by the intervention

Results

G The goods and services delivered by the project

Activities

G What the project does to produce the results (work program/tasks)

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Hierarchy of objectives

Hierarchy of objectives	Chain of results	Example	Indicators level	Example
Overall objectives	Impact	Increased incomes in region X	Impact indicators	GDP per capita in region X
Specific objectives	Outcome *Short-tem outcome*	Increased private investments in region X Reduced transport cost of existing companies	Outcome indicators	Gross fixed capital formation in private sector (TRY) Operating cost per tonne/km
Results	Output	Reconstructed roads	Output indicators	Number of km of reconstructed roads
Activities Inputs	*process*	Road reconstruction works	Process indicators	Number of works contracts signed as a percentage of total planned for the period

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Logframe Matrix: sequence of completion

	Project Description	Verifiable indicators	Sources of verification	Assumptions
Overall objective	1	8	9	
Specific objective	2	10	11	
Results	3	12	13	7
Activities	4	means	costs	6
				Pre-conditions 5

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Assumptions and Risks

IPA II (2014 - 2020)

Assumptions

The necessary conditions for the actual achievements of the desired changes. They are out of its sphere of control

Risks

The factors that might hinder the achievement of results. They are also out of the intervention's sphere of control

DG NEAR

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Types of Assumptions

§ Internal to the intervention

Ø Are the outputs appropriate / sufficient in terms of quantity and quality; relevant/accepted; reach the right people (participants/target group); delivered on time; managed properly?

Ø Is the absorption capacity of the participants/target groups sufficient?

§ External to the intervention

Ø Are the complementary actions running on time? Do they have a (negative/positive) impact over the action?

Ø Will the commitment and involvement of key stakeholders likely continue after implementation?

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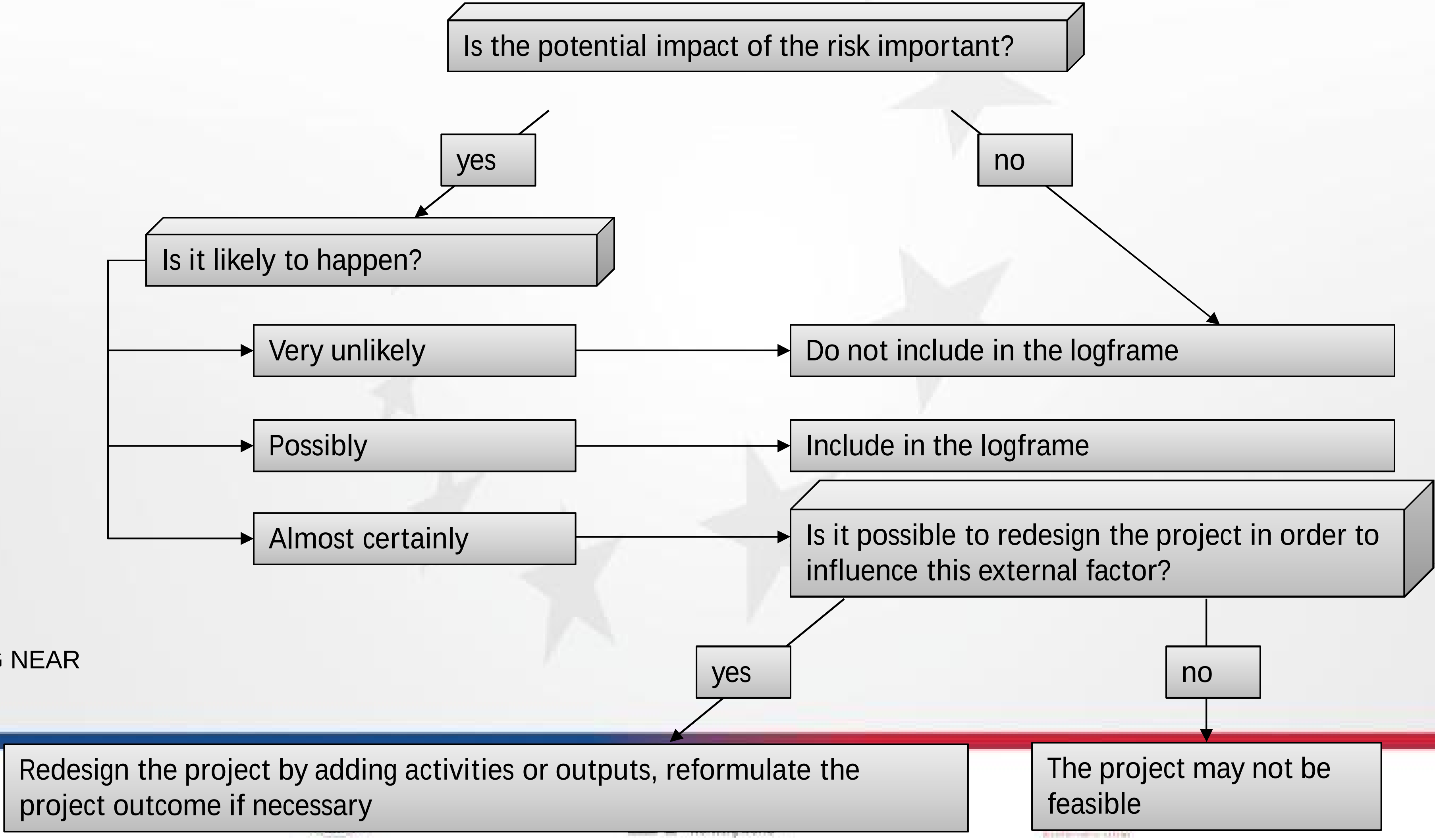
IPA II (2014 - 2020)

Risks



Intervention logic/Performance measurement Verifiable indicators

- Impact
- Outcome
- Output
- Activities
- Input

IPA II

Performance Framework

- Level 1 (strategy): impact over strategic long-term goals/ general policy objectives (sector/context indicators)
- Level 2 (operational): changes in outputs and immediate outcomes of action programmes
- Level 3 (intervention/ *internal organisation performance*): degree and quality of utilisation of inputs and implementation of processes and outputs

DG NEAR

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Who collects data

- Level 1 – DG NEAR
- Level 2 - LI/ OS/ NIPAC

Compulsory for indicators included in:

- Action documents – Section 5 Performance measurement

- Commission implementing decisions adopting multi-annual actions programmes

- Level 3 - NAO

Level 2 & Level 3 Indicators

Level 2:Operational indicators

- have to be linked to the sectoral performance framework, but their main function is to monitor the operational performance of IPA II assistance
- have to include indicators on key outputs, which are expected to be delivered by IPA implemented projects and their short-term outcomes

Level 3: Internal organisation performance indicators

- measure performance of institutions and structures involved in IPA assistance management and implementation (commitment rate, disbursement rate, rejection rate on tender dossier and calls for proposals submitted for ex-ante controls)
- can be defined as input and process indicators

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Identifying indicators

IPA II (2014 - 2020)

“Indicators are the quantitative or qualitative variables that provide a simple and reliable means to observe performance and to measure actual achievement of results”

- This is a measurement (not a result nor an objective)
- Less is better: limiting the number of indicators per result (more indicator means more work in collecting and processing of data)

- A mix between quantitative and qualitative information is key

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Identifying indicators

The definition of an indicator describes the unit of measure, what is observed and how the value of the indicator is calculated

- Neutral: they signal a change, not the direction of change
- Target not included
- No % for small numbers

X 'Decreased number of violence cases reported'
X ’At least 40 cases of violence reported'
X ’3% of increase in violence cases reported'

√ 'Number of violence cases reported’

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Different level indicators

Indicator	Description	Example
IMPACT/ CONTEXT	Signal to which extent the overall (mid and long term) objectives of a policy or action have been achieved	Long-term • (Un)employment rate • Public debt / GDP (%) • Foreign Direct investment per capita Intermediate term • Number of trade barriers removed • Degree of compliance with intellectual property legislation
OUTCOMES	Signal whether the short to mid-term desired changes are happening	• Time required to enforce a contract • Competition rate on the public procurement market • Level of satisfaction with justice services within the population
OUTPUTS	Show the degree to which products or services have been delivered (direct effect of an activity or set of activities)	• Number of people trained • Number of companies, NGOs, municipalities supported • Number of premises built or equipped or maintained • Number of IT systems delivered, installed and operational
PROCESSES	Measure what happens during implementation and they mainly focus on the activities execution	• Production process indicators: contracted and payment rates, procurement delays • Relational process indicators: number of sub-committees meetings held, number of public/private platform meetings
INPUTS	Measure the resources and means provided by donors and implementers	• Absolute amounts contracted/spent • Number of missions having taken place

Qualitative and quantitative indicators

Examples of quantitative indicators:

- Number of audit reports issued within the legally prescribed timeline
- Number of people with access to justice services,
- Number of pollutants in water bodies
- Percentage of people who have access to justice services,
- Percentage of women among public employees receiving training

Examples of qualitative indicators:

- Tax payer consumer satisfaction survey when respondents are asked to provide feedback on their experience filing taxes on a 1 to 5 scale measuring the level of ease or difficulty to file taxes (rating scale)
- Status of procurement policy reform (from the passage of a procurement law → Establishment of a procurement oversight agency → Measurement of actions to demonstrate the effectiveness of an agency) (milestones)
- The perception of safety in an urban area (perception/opinion)
- The extent to which new draft regulation is aligned to EU Acquis Chapter
- The degree of interoperability of information systems

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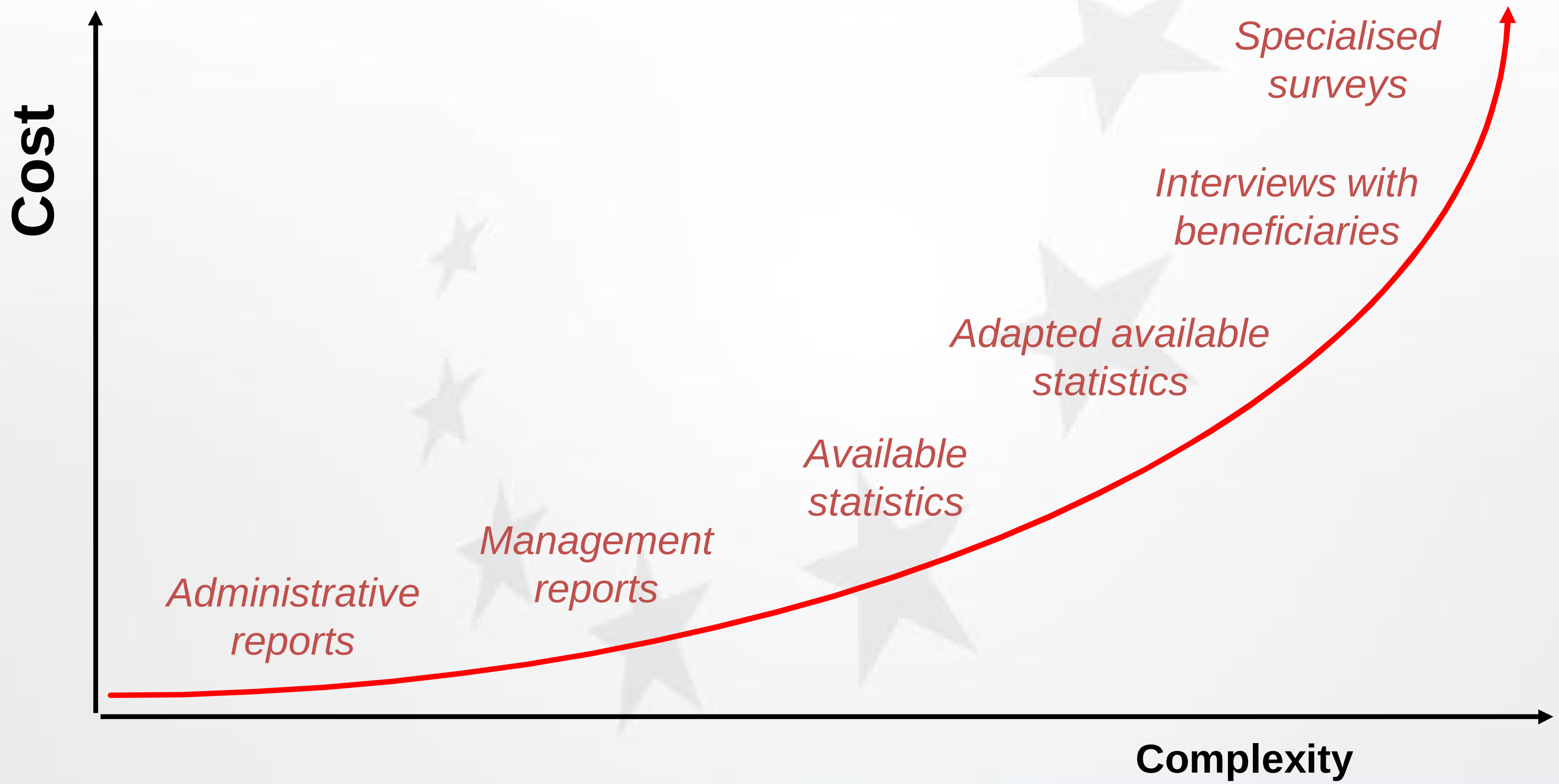
Performance measurement
Description of indicators

Indicator	Description	Baseline (year)	Target (year)
CSP indicator (if applicable)			
Action outcome indicator1			
Action outcome indicator2			
Etc.			

Sources of verification



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Section 3 AD

Implementation arrangements Roles and responsibilities

"Clarify in this section who the main institutional stakeholders involved in the management and implementation process of the Action are and their respective roles and responsibilities (e.g. Line Ministries, National Institutions/Agencies, Regional Authorities, etc.) as well as any coordination arrangements (working group, steering committee, etc.)."

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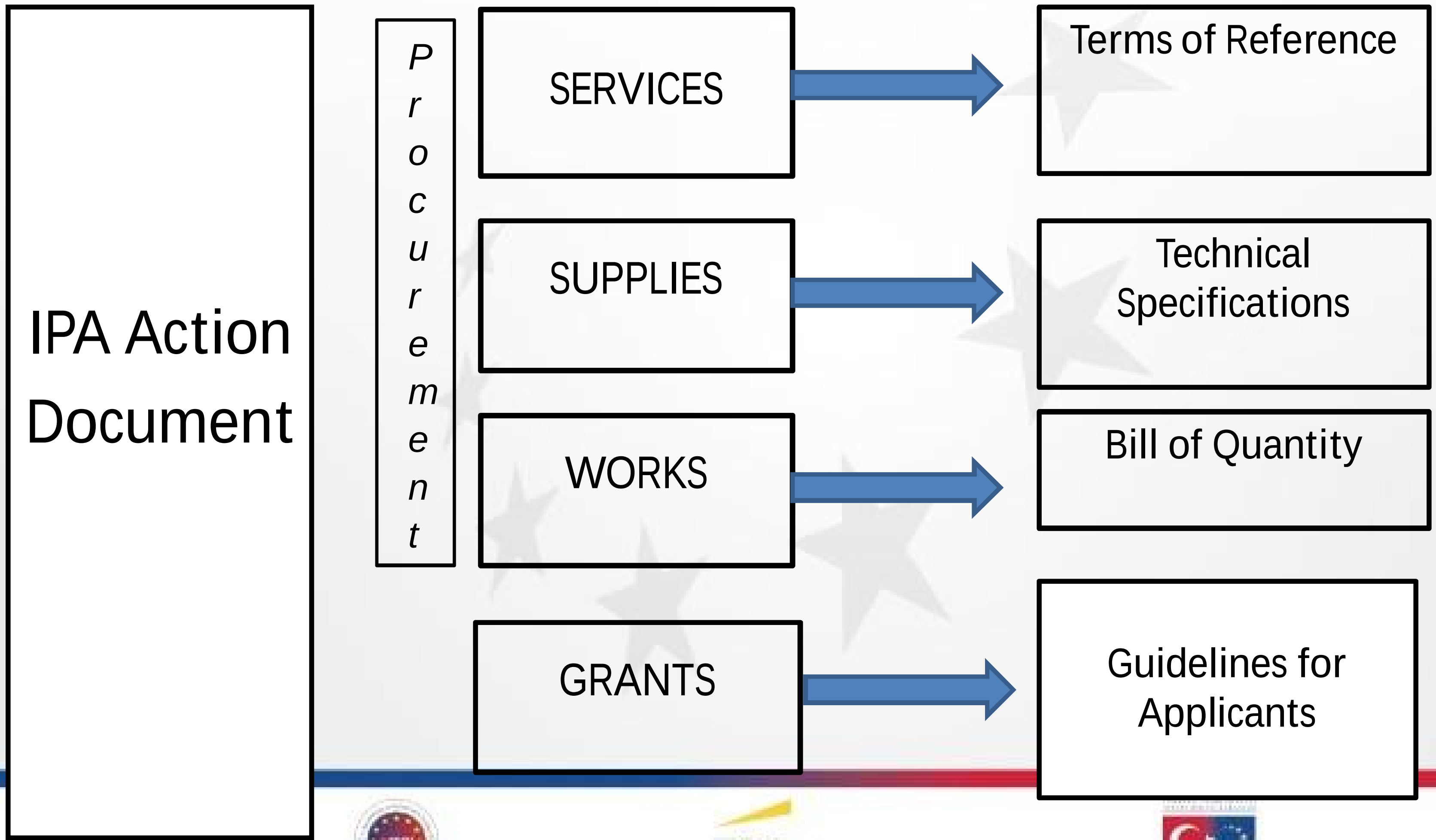
Section 3 AD

Implementation arrangements
Implementation methods and types of financing

"With reference to the activities indicated in the previous section, provide information on the management mode (i.e. information on any delegated partner) and the financing methods to deliver them (i.e. indicative number and types of tender(s)/call for proposal(s)/grants, etc.). Any co- financing arrangement should also be highlighted in this section."
NB: there should be only one management mode per Action.

Types of contracts



Applicable Procedures

SERVICES	>€300,000 International restricted procedure	< €300,000 but > €20,000 1.Framework contracts 2.Competitive negotiated procedure		< €20,000 Single tender <=€2,500 Direct purchase
SUPPLIES	> €300,000 International open procedure	<€300,000 but > €100,000 Local open procedure	<€100,000 but > €20,000 Competitive negotiated procedure	< €20,000 Single tender
WORKS	>€5,000,000 1.International open procedure 2.International restricted procedure	<€ 5,000,000 but > €300,000 Local open procedure	<€100,000 but > €20,000 Competitive negotiated procedure	< €20,000 Single tender
GRANTS	Restricted/open	Restricted/Open call for proposals		For any amount in cases of urgency Direct grant

Indicative Contracting Time

Contract Type	Procurement Procedure	Average Time Taken
SERVICE	International Restricted Tender	(9)-12 months
	Framework	(3)-5 months
SUPPLIES	International Open Tender	9 months
	Local Open Tender	6 months
WORKS	International Open Tender	12+ months
	Local Open Tender	9-12 months
GRANTS	Restricted Call for Proposals	
	Open Call for Proposals	

Preparation of the budget

Implies answering to following questions:

- *What are the project objectives?*
- *Which activities will lead to reach these objectives?*
- *What resources will be needed?*
- *How much wil the resources cost?*
- *How feasible is the result?*

Tips for budget preparation

- Allow time for the preparation of budget – it cannot be built in one day or over a night
- Collect all the relevant, available and realistic information (through market/desk research, past contracts…)
- Involve persons that will work on the project and collaborate with all departments of the organisation
- Plan resources and expenditures as realistic as possible
- Use the computer, either a specialised programme, either a simple Excel sheet

Keep in mind:

- PRAG rules/types of contracts
- Co-financing requirements
- N+ rules

Tips for budget preparation

- Coordinate with CFCU & EUD
- Know in advance that you have to elaborate the budget in detail to have an overall amount written in the AD Annex
- Activities/ outputs and budget have to match
- Have a data base of costs from previous contracts for similar activities
- Have a standardised list of steps to achieve an output to understand the overall cost
- In terms of timeline, ask EUD to send you the timetable for their ex ante
- For the value of grant scheme, research on the absorption and co-financing capacity

ANNEX

Indicative Action budget breakdown and planning for contracting procedures (for EC internal use only)

	Budget (€)		Timeline[2]	
Implementation modalities	Total	EU contribution	Launch of procedure	Contract signature[3]
Procurement				
…… (*break this section down into specific procedures/contracts, i.e. service including FWC, supplies, works*)				
Grants				
…… (*break this section down into specific procedures/contracts, i.e. calls for proposals / direct grant – and indicate a rough number of expected contracts*)				
Twinning				
……				
Other				
……				
TOTAL				

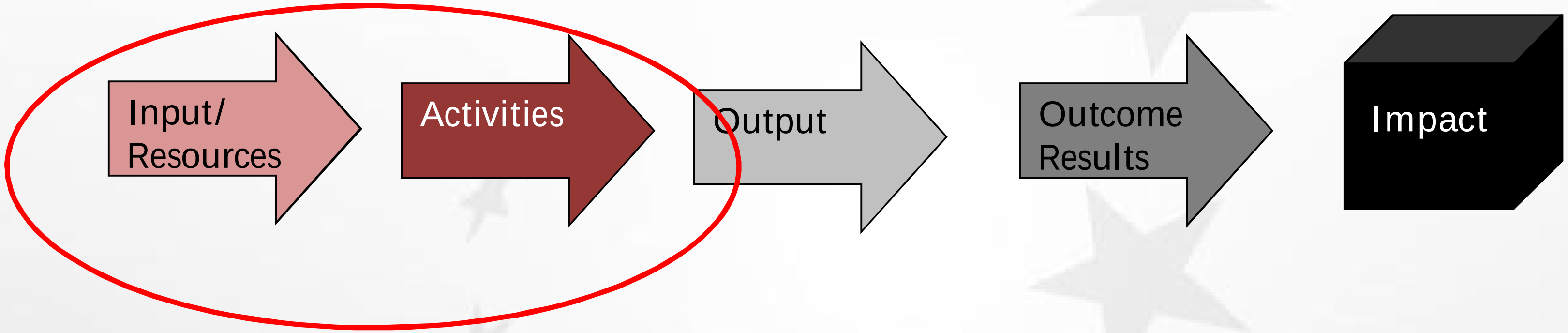
Logic of the budget preparation – Services

Service contract is used for:

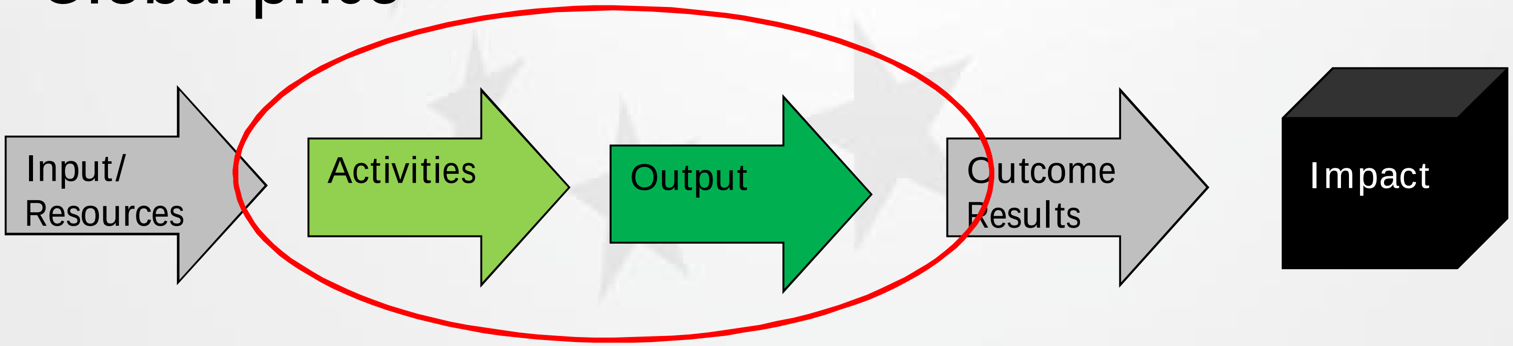
- Engagement of experts for delivery of defined tasks (fee based)
- Delivery of outputs (global price)

Focus areas

- Fee based



- Global price



Division of Costs Fee-based Contracts

1. Fees = cost for hiring the expert plus administrative expenditures for executing the contract and profit
2. Incidental expenditures – other direct cost for the contract (reimbursable)
3. Provision for expenditure verification

- This division is done to ease the financial management of the Service contract (not to check tickets, telephone bills etc.)
- Administrative costs are real costs for the consultants and they will charge you for it

What is covered by Fees?

Fees cover:

Cost for experts:

- Cost for hiring the staff (salary, fees, insurance, leave)
- Travel from the place of residence of the expert to the base of operation
- Per diems / accommodation in the base of operation
  - If the base of operation is Ankara - any travel of key expert and non-key experts to Ankara is included within the fee rates
  - Per diems for Ankara are also included within the fee rates (for all experts)
  - If the experts travel from base of operation (Ankara) to other cities within Turkey or in Europe for specific missions, the travel and per diem expenses for these missions are included within incidental expenditures
- Annual leave
  - Office rental

Office-related costs such as:

- Purchase or rental of office equipment
- Communications - fax, telecommunications, mail, courier etc.,
- Consumables – not related to direct actions of Contract
- Secretarial services – for experts work – office managers, secretaries, interpreters, etc.

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Fees Rules

- The Consultant is paid for days actually worked
  - 7 hours working day for short-term experts (report input in hours)
  - 22 days a month for long-term experts (report in days)
- Time spent for travelling exclusively and necessarily for the purpose of the Contract may be included in the numbers of days or hours, as appropriate, recorded in these timesheets
- The Consultant's personnel is not be entitled for of either sickness or casual leave provided (Project Manager may permit the Consultant to take unpaid leave during the period of execution of the contract when agreed with Beneficiary)
- Reference Prices

Incidental Expenditure

- Cover non-fee direct cost related to the contract:
  - Travel / per diems within the target region outside base of operation
  - Publications
  - Direct costs related to training – premises, equipment, accommodation, interpretation, training materials, food or per diems for participants
  - Study tours, etc.
  - Translations of documents, etc.
  - Organisation of information campaigns
  - Setting up of database
  - Development of MIS, etc.
  - Market prices

Expenditure Verification

- Relates to the fees of the auditor who has been charged with the expenditure verification of the contract
- Report very detailed – sufficient budget should be allocated (1-1.5% of contract value)

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Estimation of Costs

- Necessary to estimate the value of the contract
- Includes following stages:

a) Estimation of human resource input

b) Estimation of other inputs

c) Verification

Human Resources

1. Estimate type of expertise needed for the execution of tasks (senior/junior, and by function – procurement expert, monitoring expert, etc.)
2. Estimate number of days for each task
   – Divide input on senior/junior
3. Estimate total number of days (senior/ junior)
4. Add inputs for project management – Team leader (if full time – input equals project implementation period)
5. Estimate the budget for fees – you may use FwC costs for valuation

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Estimate the travel and per diems to be paid from incidentals

- Include only travel costs and subsistence allowances for missions to be undertaken out from the base of operations in the beneficiary country:
  - Travel – economy class
  - Per diem – EU maximum rates
- Rough estimate is needed
- Note that some contracts may require intensive travelling – monitoring of projects, surveys, etc.

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Estimate Other Inputs

IPA II (2014 - 2020)

- Publications – translation, interpretation etc.
- Direct costs for studies
- Training – total number of training days (mandays of training = number of participants x days of training)
- Study tour = total number of man/days of study tours
- Awareness Events

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Incidental Expenditures

- Estimate total value of incidental expenditures:
  - Add your calculations for publications, training, etc.
  - Add an error margin nor less than 10%
- The Provision for incidental expenditure should be stated in ToR as a lump sum!. Do not give breakdown of costs! (otherwise the amounts identified become legally binding)
- Provision for incidental expenditure in ToR is an upper limit on the incidental costs. Only actual costs will be paid to the consultant.

Requirements for support staff

- Support staff is paid by the Consultant:
  - Project managers
  - Secretaries
  - Interpreters

- Put requirements on backstopping staff only if really needed for the implementation (in exceptional cases)

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Value of Contract

	Days	Fee rate	Value	
Fees Team leader	200	900	180 000	
Senior experts	200	800	160 000	
Junior experts	150	400	60 000	
Incidentals			50 000	
Expenditure verification 1%			10 000	
Total			460 000	

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Logic of the budget preparation – Supplies

- Supply contract is used for purchase of equipment
- Contract covers equipment, including installation, manuals,training, spare parts etc.
- Experts estimation is necessary
- It is necessary to take into account timeframe (1,5 year to implementation)
- Value of the contract depends on the type and quantity of equipment
- Costs are totally depended on the type of equipment (e.g. computer is around € 1,000)

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Logic of the budget preparation – Works

- Works contract is used for construction and reconstruction (infrastructure)
- Contract covers all costs related to (re) construction, including materials, workers, engines etc.
- Expert’s estimation is necessary
- Precondition for implementation is prepared technical documentation, existence of relevant licenses etc.
- Value of the contract depends on type and shape of (re) construction
- Contingency reserve (6-15%) and supervision of works

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Logic of the budget preparation – Grants

- “A Grant or Call for proposals is a public invitation by the Contracting Authority, addressed to clearly identified categories of applicants, to propose operations within the framework of a specific EU programme”
- Budget composition: total value of the grant scheme

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Logic of the budget preparation – Twinning

- Represents transfer of knowledge and experience from MS to CC
- Budget composition: detailed breakdown in line with twinning manual
- Budget from practice:
  - Twinning: 1-2 million euros
  - Twinning light: 200.000 euro

Logic of the budget preparation – Direct Agreement

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IPA II (2014 - 2020)

- Direct Agreement between the EC and institutions which have specific and unique knowledge necessary for project implementation (UNHCR, UNICEF, IFIs, IOM, UNDP etc.)
- Budget composition: there is no prescribe form, but it should be presented in detail (expert fees, sub-contracting, supplies etc.)

Horizontal/ Cross cutting issues

- ENVIRONMENT AND CLIMATE CHANGE (AND IF RELEVANT DISASTER RESILIENCE)

Q: How environmental considerations have been integrated in the Action design" as well as how the 'Rio marking' of the Action for climate change 'adaptation' and 'mitigation' will be applied (if relevant)?

Q:Describe the measures related to disaster resilience and risk prevention (if relevant)

- ENGAGEMENT WITH CIVIL SOCIETY (AND IF RELEVANT, OTHER NON-STATE STAKEHOLDERS)

Q: What measures have been taken to associate civil society and/or social partners etc. in the design and implementation of the Action?

Horizontal/ Cross cutting issues

- EQUAL OPPORTUNITIES AND GENDER MAINSTREAMING

Q: How does the Action take account of gender aspects during design and implementation phases?

- MINORITIES AND VULNERABLE GROUPS

Q: How does the Action take account of people belonging to minorities/vulnerable groups?

Q: How their involvement is facilitated?

Sustainability

- the Action should be sustainable beyond its implementation period (financial, institutional, environmental, social sustainability)

Q: Define your commitment or describe required resources (human and financial)provided for the operation and maintenance of results once the Action is completed

Communication and Visibility

- *Details on any specific communication and visibility activity/plan for the Action, including information on target audiences (if relevant)*
- Useful tool (if required)-guidelines provided in the *Communication and Visibility Manual for EU External Actions*

Applying rules on visibility in programming

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

10 Golden Rules:

1. Be aware that EU visibility is a political priority and a contractual obligation
2. A budget for communication activities is necessary
3. Assign human resources to deal with project visibility
4. Prepare a thorough communication and visibility plan
5. Consider pooling of resources and grouping of projects

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Applying rules on visibility in programming

IPA II (2014 - 2020)

6. Coordinate communication and visibility activities closely with the EU
7. Rules and guidelines need to be followed
8. Branding of EU actions must be ensured
9. Respect reporting requirements
10. Take visibility seriously – non-compliance can have financial or administrative consequences

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