



Bu proje Avrupa Birliđi ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.



Avrupa Birliđi Bakanlıđı
IPA II Teknik Destek Projesi

Ministry for EU Affairs
Technical Assistance for IPA II

**“Advanced training on IPA II environment and
implementation”**

(28 - 30 November 2016)

“IPA II: Taking EU funding to the next level”





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Training Purpose



Improving technical capacities of institutions engaged at different levels of IPA funds management to design programmes and interventions, select and use indicators, assess and select projects

Better understanding of changes in the IPA's legal, strategic, institutional framework





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Training Scope



General objective of the instrument & Key terms

Legal & Strategic Framework

Priorities and themes

Institutional Framework & Coordination

Principles of sector approach & its introduction





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Training Scope



Logic of intervention v. Logframe

Designing the Appropriate Logic of Intervention

Monitoring under IPA

IPA II Performance Framework





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General Objective



IPA II mirrors the general objective of IPA I

“To support the beneficiaries in adopting and implementing the political, institutional, legal, administrative, social and economic reforms required in order to comply with the Union's values and to progressively align to the Union's rules, standards, policies and practices, with a view to Union membership”





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Key Terms



IPA II introduces change in the key terms used compared to IPA I

Action	A coherent set of coordinated activities undertaken to meet a defined objective of a geographic and/or sectorial scope, which have an estimated total cost to which the EU approves a maximum contribution, as well as an implementation schedule and performance parameters. It can be used to refer indifferently to the concept of project or programme.
Activity	A component of an Action which can be clearly identified by its costs and EU contribution, as well as type of financing (e.g. procurement, grant, etc.).
Action Document	The document providing details on the Action to be funded by ENI and IPA II. Under IPA II Action Documents are used for reference and for information purposes.
Action Programme	The level at which Financing Decisions are set according to the Common Implementing Rules for External Actions (CiR). The Action Programme is the annex to the Financing Decision. It is a synthesis of the specific Action Document.
Sector Approach	A sector approach (SA) is a process which aims to broaden government and national ownership over public sector policy and decisions on resource allocation within the sector, thereby increasing the coherence between sector policy, government spending and the achievement of results. SAs have the following features: Leadership by the governmental authorities, A single comprehensive budget framework, Functional donor coordination with harmonised reporting and monitoring procedures.
Entrustment with Budget Implementation tasks	Setting-up and operation of an effective and efficient internal control framework under IPA II
Performance Indicator	A variable that allows the verification of changes in the intervention or shows results relative to what was planned (OECD).
RACER Indicators	Relevant, Accepted, Credible, Easy, Robust
Context indicators	Indicators used to set the context of the strategic document; usually without targets set since the likelihood to influence them is very modest
Impact indicators	Signals to which extent the overall (mid and long-term) objectives of an intervention (the strategic objectives or goals) have been achieved.
Outcome indicators	These signal whether the short to mid-term desired changes are happening
Output indicators	They show the degree of achievement of the direct products of an activity or set of activities. They are by nature activity-specific.



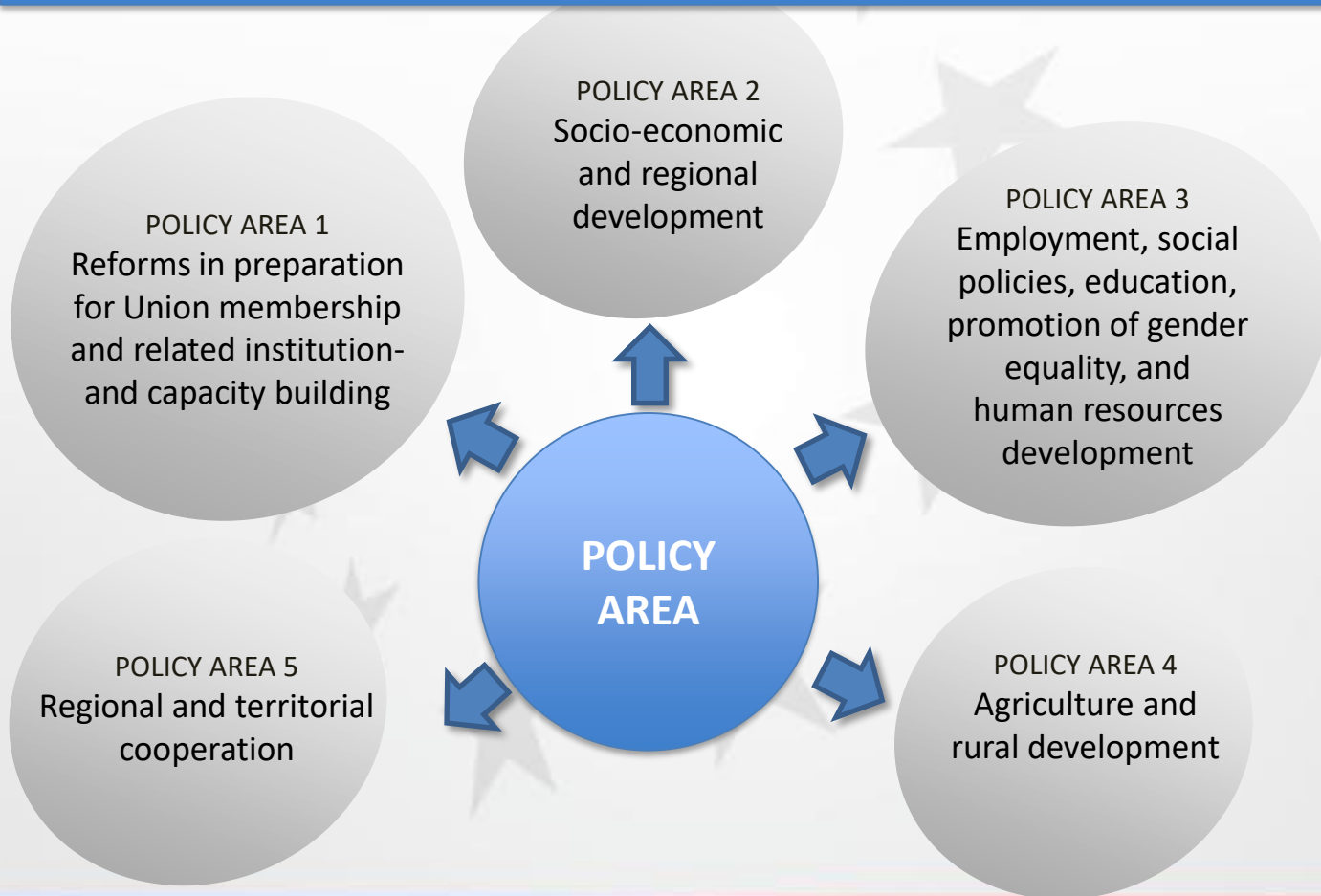


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Policy Areas



IPA II introduces policy agenda similar to IPA I





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Thematic Priorities



IPA II introduces similar priorities to IPA I (no more components);
their pursue is country tailor made

complying with the principle of good public administration and economic governance

promoting proper functioning of the institutions necessary for securing the rule of law

strengthening the capacities of civil society organisations and social partners' organisations

investing in education, skills and lifelong learning

fostering of employment and supporting labour mobility

promoting social inclusion and combating poverty

promoting sustainable transport and removing bottlenecks in key network infrastructures

improving private sector environment and competitiveness of enterprises

strengthening research, technological development and innovation

contributing to security and safety of food supply

increasing ability of the agri-food sector to cope with competitive pressure and market forces

protecting and improving the quality of the environment

promoting reconciliation, peace-building and confidence-building measures





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Thematic Priorities (territorial cooperation)

IPA II introduces similar priorities to IPA I ; their pursue is country tailor made

promoting employment, labour mobility and social and cultural inclusion across the border

protecting the environment, promoting climate change adaptation and mitigation, risk prevention and management

promoting sustainable transport

encouraging tourism and cultural and natural heritage

investing in youth, education and skills

promoting local and regional governance

enhancing competitiveness, business environment

strengthening research, technological development, innovation and ICT





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Sectors



IPA II introduces “sector approach” with roots established in IPA I Components 3 & 4

The 9 sectors defined for Strategy Papers:

1. DEMOCRACY AND GOVERNANCE
2. RULE OF LAW AND FUNDAMENTAL RIGHTS
3. ENVIRONMENT
4. TRANSPORT
5. ENERGY
6. COMPETITIVENESS AND INNOVATION
7. EDUCATION, EMPLOYMENT AND SOCIAL POLICIES
8. AGRICULTURE AND RURAL DEVELOPMENT
9. CROSS-BORDER COOPERATION (CBC) AND REGIONAL COOPERATION

IPA II REG.
ANNEX III





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Policy Areas and Sectors(Turkey)



POLICY AREA	SECTOR/SUB-SECTOR
1-Reforms in Preparation for Union Membership	1-Democracy and Governance
	1.1-Civil Society
	2-Rule of Law and Fundamental Rights
2-Socio-economic and Regional Development	2.1- Judiciary and Fundamental Rights
	2.2- Home Affairs
	3-Environment and Climate Action
	4-Transport
	5-Energy
	6-Competitiveness and Innovation
3-Employment, Social Policies, Education, Promotion of Gender Equality, and Human Resources Development	7-Education, Employment and Social Policies
4-Agriculture and Rural Development	8-Agriculture and Rural Development
	8.1- Rural Development Programme
	8.2- Institution and Capacity Building
5-Regional and Cross-Border Cooperation	9-Regional and Cross-Border Cooperation





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Legal Framework (EU)



IPA II legal framework with one additional regulation compared to IPA I

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





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IPA II Regulation



A framework for pre-accession assistance
under the 2014-2020 multi-annual financial framework

- Building on IPA I in terms of general policy objective, specific objectives and policy areas
- More strategic approach:
 - ✓ focus on accession
 - ✓ no distinction between candidate and potential candidates
 - ✓ applying the Sector Approach to the enlargement context
 - ✓ crucial importance of country strategies
 - ✓ focus on reforms in sectors
 - ✓ performance-oriented





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Financial Regulation



Main point of reference for the principles and procedures on the establishment, implementation and control of the EU budget

IPA II REG

- Sets out the principles of unity, budgetary accuracy, equilibrium, unit of account, universality, specification, sound financial management with effective and efficient internal control, and transparency
- Rules for the establishment and the implementation of the EU budget and the presentation and auditing of the accounts
- ✓ VERY OFTEN SIDELINED WHEN LEGAL FRAMEWORK IS PRESENTED IN THE ACCESSION COUNTRIES- MAKING THE UNDERSTANDING OF IPA REGULATIONS MORE DIFFICULT!





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Financial Regulation



Changes introduced in 2016:

- Simplification for recipients of EU funds
- From multiple layers of controls to cross reliance on audit, assessment or authorisation and harmonisation of reporting requirements
- Allowing the application of only one set of rules to hybrid actions or in the case of combination of measures or instruments
- More effective use of financial instruments
- More flexible budget management
- Focus on results and streamlining of reporting
- Simpler and leaner EU administration
- Providing possibility for citizen engagement





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Common Implementing Regulation

Implementing rules and procedures horizontally applicable to all external action instruments

- Defines common arrangements for different instruments in terms of:
 - ✓ forms and types of programmes
 - ✓ common rules
 - ✓ financing methods
 - ✓ protection of the EU's financial interests
 - ✓ Types of evaluation, committees, methods of reporting





IPA II Implementing Regulation



Introduces specific rules for implementing the IPA II Regulation

- Focused on rules of implementation
 - ✓ indirect management by IPA II beneficiaries, with requirements for financial management, control, monitoring, evaluation, communication
- Detailing specific types of programmes
 - ✓ cross-border cooperation programmes
 - ✓ rural development programmes





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Legal Framework for IPA in Turkey

Framework Agreement with the EU on the arrangements for implementation of Union financial assistance to the Republic of Turkey under IPA II

Law No 6647 approving the Framework Agreement with EU

Council of Ministers Approval of the Framework Agreement No 29393

The Prime Ministry Circular No 2015/15 Financing Agreements





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Strategic Framework/ Framework for Programming



IPA II introduces wide range of strategic documents to be prepared compared to IPA I

Enlargement Package
(EU Enlargement Strategy, EC Progress Reports)

Country /Multi-Country Strategy Paper

National Sector Strategy
Sector Planning Documents
Sector Operational Programmes

Country Action Programme(s) (Annual
or Multi-annual)





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National 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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National Documents



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

SPD for Energy

AD for Agriculture and Rural Development





Institutional Framework

IPA II institutional framework similar to IPA I, but tailor made to Programmes



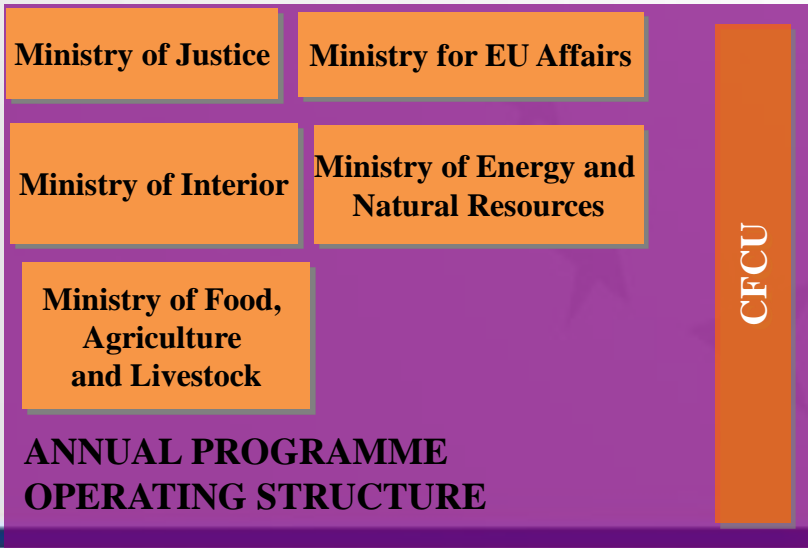
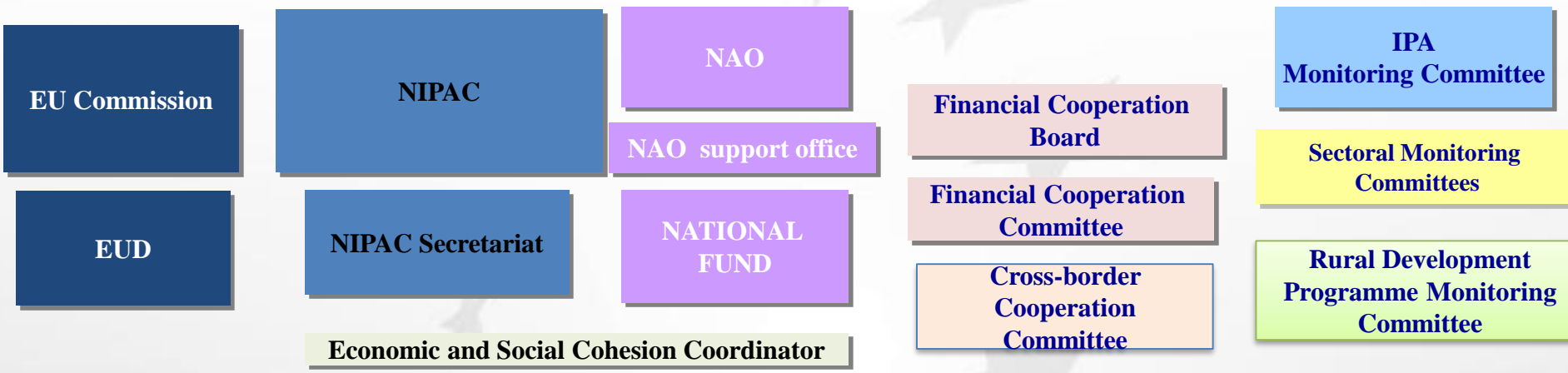
	Roles and responsibilities
National IPA Coordinator (NIPAC)	<ul style="list-style-type: none"> The main counterpart of the Commission for the overall process of: strategic planning, coordination of programming, monitoring of implementation, evaluation and reporting of IPA II assistance. Ensures coordination within the IPA II beneficiary's administration and with other donors and a close link between the use of IPA II assistance and the general accession process; Coordinates the participation of IPA II beneficiaries in the relevant territorial cooperation programmes; Ensures that the objectives set out in the actions or programmes are coherent with the objectives in the Country Strategy Papers; Ensures that the IPA II beneficiary's administration takes all necessary steps to facilitate the implementation of the related programmes
National Authorising Officer (NAO)	<ul style="list-style-type: none"> Bears the overall responsibility for the financial management of IPA II assistance and for ensuring the legality and regularity of expenditure. Responsible for the management of IPA II accounts and financial operations; Responsible for the effective functioning of the internal control systems for the implementation of IPA II assistance; Responsible for putting into place effective and proportionate anti-fraud measures taking into account the risks identified; Follows up the reports of the audit authority Provides an annual management declaration to the Commission
Audit Authority (AA)	<ul style="list-style-type: none"> Carry out audits on the management and control system(s), on actions, transactions and on the annual accounts in line with internationally accepted auditing standards and in accordance with an audit strategy prepared on a tri-annual basis Prepare an annual audit activity report and an annual audit opinion drawn up in accordance with internationally accepted auditing standards. Prepare a final audit activity report and provide an audit opinion on the final statement of expenditure
Operating Structure (OS)	<ul style="list-style-type: none"> Responsible for the implementation, information and visibility, monitoring and reporting of programmes, and the evaluation and for ensuring the legality and regularity of the expenditure incurred in the implementation of the programmes under its responsibility





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Institutional Structure (Turkey)





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Institutional Framework (Turkey)



IPA Monitoring Committee

Sectoral Monitoring Committees

Rural Development Programme Monitoring Committee

Financial Cooperation Coordination Board

Financial Cooperation Committee

Cross-Border Cooperation Committee





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Institutional Framework (Turkey)



INTER-INSTITUTIONAL AGREEMENTS			
1	Agreement NAO-OS for Annual Programmes	The Agreement between NAO and OS for Annual Action Programmes under IPA II (2014-2020)	OS composed by Directorate for Political Affairs (DPA), MEUA as implementing agency
2	Protocol NIPAC NAO for Monitoring	The Protocol between NIPAC and NAO for monitoring activities for IPA II (2014-2020) Implementation	
3	Cooperation Agreement CFCU for OS	Cooperation Agreement for financing agreement 2014 between CFCU and the UN on the functions and the responsibilities of the OS	CFCU MEUA for Sector: Rule of Law, Sub-sector: Judiciary
4	MoJ CFCU	The Agreement between NAO and OS for Annual Action Programmes under IPA II (2014-2020)	OS composed of Min. of Justice as implementing agency and CFCU
5	Min Energy CFCU	The Agreement between NAO and OS for Annual Action Programmes under IPA II (2014-2020)	OS composed of Min of Energy and Natural Resources as implementing agency and CFCU
6	Min of Interior CFCU	The Agreement between NAO and OS for Annual Action Programmes under IPA II (2014-2020)	OS composed of Min of Interior and CFCU
7	Cooperation Agreement CFCU for OS	Cooperation Agreement for financing agreement 2014 between CFCU and the UN on the functions and the responsibilities of the OS	CFCU Min of Energy
8	Cooperation Agreement CFCU for OS	Cooperation Agreement for financing agreement 2014 between CFCU and the UN on the functions and the responsibilities of the OS	CFCU Min of Justice
9	Cooperation Agreement CFCU for OS	Cooperation Agreement for financing agreement 2014 between CFCU and the UN on the functions and the responsibilities of the OS	CFCU Min of Interior
10	DIP/MEUA CFCU	The Agreement between NAO and OS for Annual Action Programmes under IPA II (2014-2020)	OS composed of Directorate of Project Implementation from MEUA as implementing agency and CFCU as implementing agency
11	Min of Agriculture CFCU	The Agreement between NAO and OS for Annual Action Programmes under IPA II (2014-2020)	OS composed of Min of Agriculture
12	Cooperation Agreement CFCU MEUA	Cooperation Agreement for financing agreement 2014 between CFCU and the UN on the functions and the responsibilities of the OS	CFCU MEUA for Sector: Democracy and Governance, Sub-sector: Civil Society
13	Cooperation Agreement CFCU Min of Agriculture	Cooperation Agreement for financing agreement 2014 between CFCU and the UN on the functions and the responsibilities of the OS	CFCU Min of Agriculture





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NIPAC-NAO Monitoring Protocol



- Identifies tasks and responsibilities of NAO-NIPAC in performing the monitoring activities to ensure segregation of functions
 - *From Approval of Annual Actions Programme to the Signature of Contract*
 - *From the Signature of Contract to the End of the Contract*
 - *From the End of the Contract to the Programme Closure*





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NAO- OS Agreement



- Agreement between NAO, Lead Institution and CFCU
- Identifies tasks and responsibilities of NAO and OS defined in the FwA, Financing Agreement and Prime Minister Circular for implementation and management of Annual Action Programmes for Turkey under IPA II





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LI-CFCU Agreement



- Responsibilities and framework of cooperation between the bodies within OS
- Referred to article 4.3 in FA in terms of tasks to be performed by CFCU, LI, Beneficiary Institution
- In terms of monitoring of implementation, sharing and information, selection of actions, evaluation duties, ensuring procurement procedures, payments, accounting systems, irregularities management, providing information to NAO and NIPAC, management verifications



Sector Approach in IPA II

- A way of working together between Government, donors and other key stakeholders
- A process aimed at broadening government and national ownership over public sector policy and resource allocation decisions within the sector, increasing the coherence between policy, spending and results, and reducing transaction costs (EC, 2007)

At the core of the SPD/SOP/AD preparation, with sector approach assessment embedded in the documents



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From Projects to Sector Approach



Stand-alone projects



IPA I



IPA II





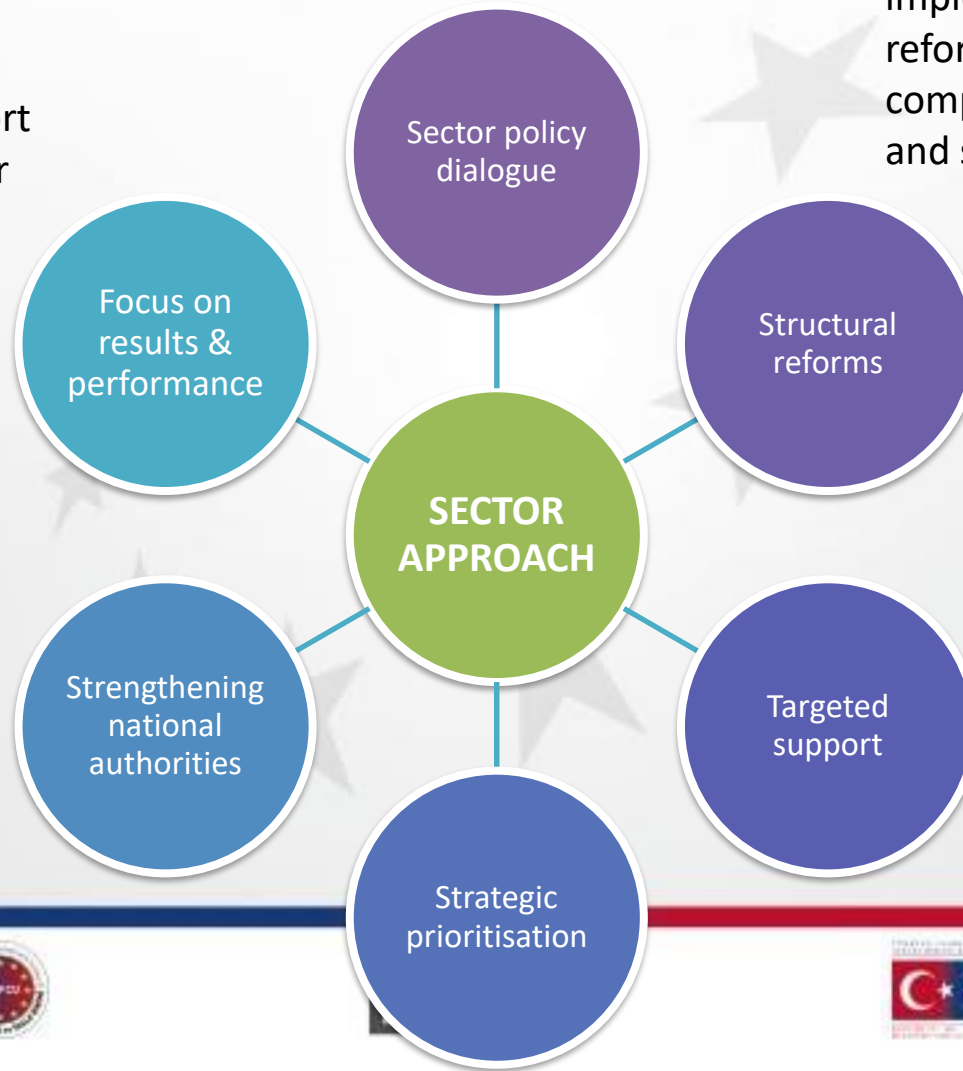
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Sector Approach Purpose



COMMON
IMPLEMENTING
REGULATION – Art. 4(8)
sector policy support
programmes ... to support
partner countries' sector
programmes

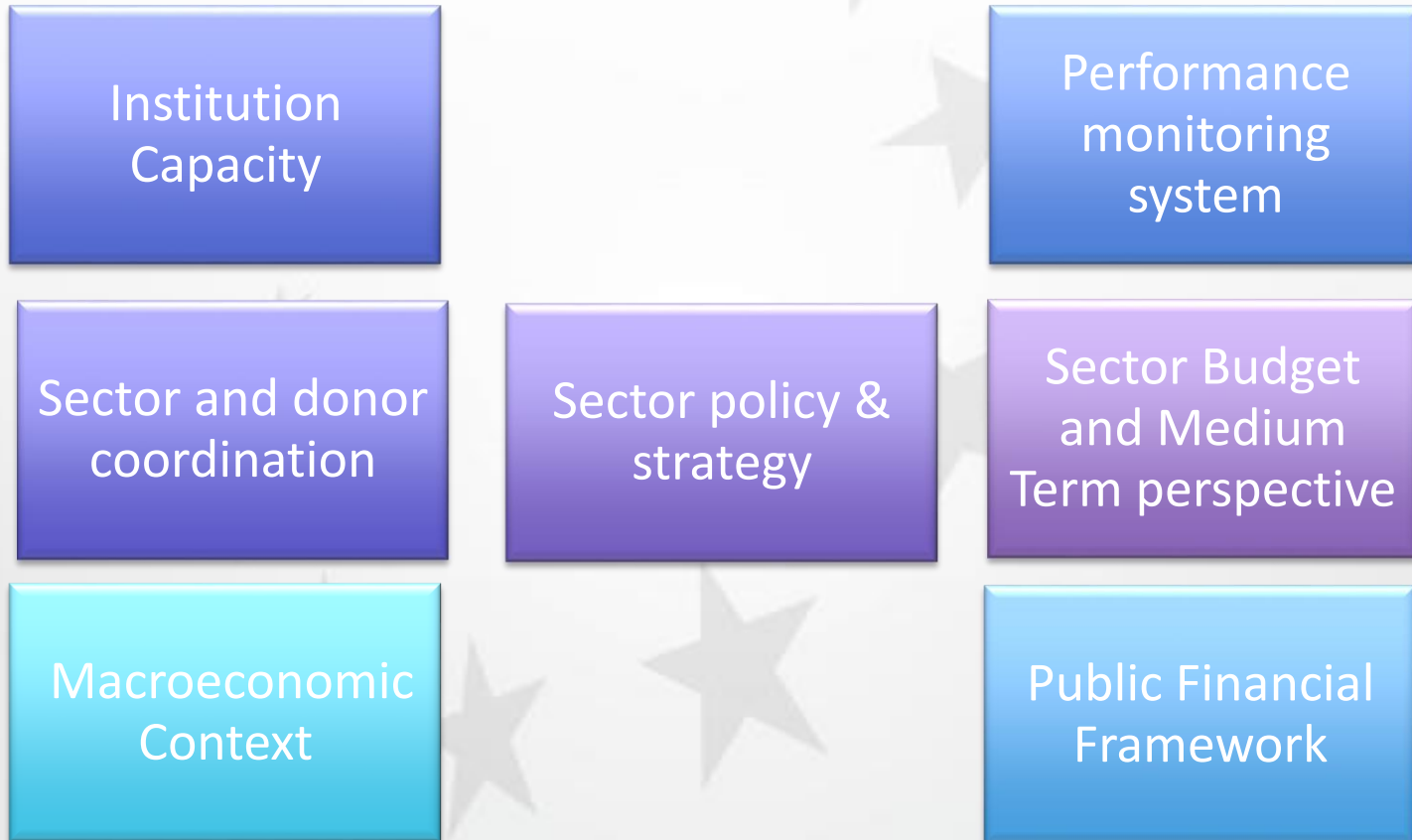
IPA II REGULATION – Art. 4(2)
implementation of sector
reforms ... based on
comprehensive sector policies
and strategies





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Sector Approach Main Principles





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Key Questions



Sector policy & Strategy	Institutional setting & capacity	Sector coordination	Sector budget	Sector monitoring system
<ul style="list-style-type: none"> 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? 	<ul style="list-style-type: none"> Is the institutional framework clearly defined? Are the institutional capacities sufficient and adequately managed? 	<ul style="list-style-type: none"> Is the coordination mechanism on the sector level inclusive, efficient and effective? Is the donor coordination mechanism efficient and effective? 	<ul style="list-style-type: none"> 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? 	<ul style="list-style-type: none"> 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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Key Questions (additional criteria)



Public finance management

- Is there a PFM reform programme in place?
- What are the PFM mechanisms in place for the sector?
- How do the remaining weaknesses affect the sector policy & what recommendations can be made to improve the situation?

Macroeconomic Framework

- What measures can be supported to improve the beneficiary's macroeconomic policy?
- How do these measures influence the beneficiaries' sector policy?





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Public Policy Assessment



Tenth Development
Plan
(2014-2018)

Innovation,
Stable and High
Growth

Skilled Labor,
Fair
Administration,
Strong Society

Available Places,
Sustainable
Environment

International
Cooperation for
Development

Privileged Transformation Programs

Implementation, Monitoring, Evaluations



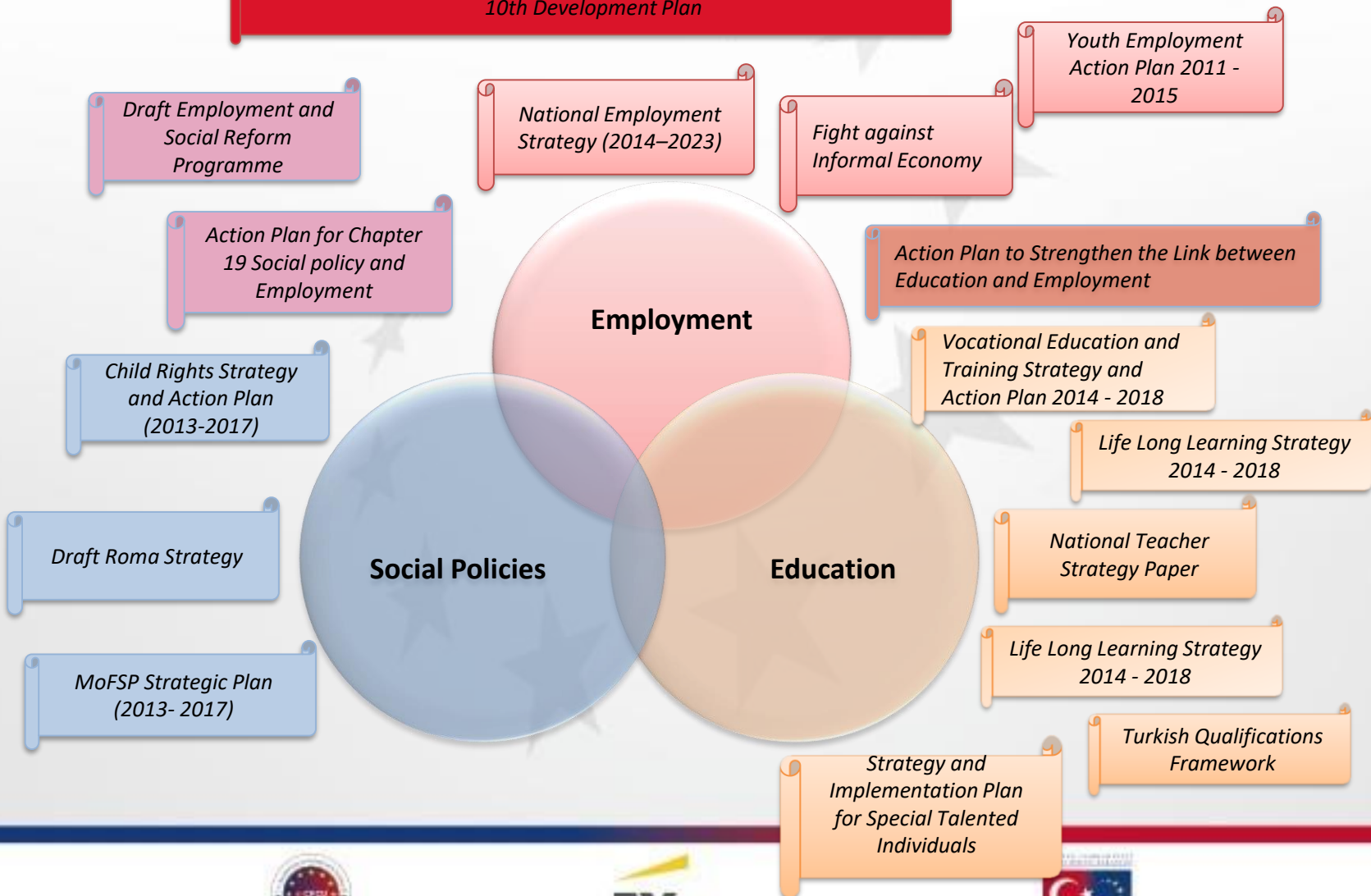


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Public Policy Assessment



10th Development Plan





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Institutional Setting



- Lead institution/ Lead Ministry:
 - ✓ Responsible for coordinating the SPDs/SOPs preparation
 - ✓ Leading role in coordinating the sector & works closely with NIPAC
 - ✓ Coordinates with other relevant stakeholders
 - ✓ Coordinates the collection and analysis of monitoring data (indicators)





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Institutional Mapping



?	Strategic Planning?	IPA Programming?	Resource Planning?	Policy Implementation?	IPA Implementation?	Policy Monitoring and Reporting?	IPA Monitoring and Reporting?	Policy Evaluation?	IPA Evaluation?	Coordination?	?
Institution 1?	✓?	?	✓?	?	?	✓?	✓?	✓?	✓?	?	Department XY?
	?	?	?	✓?	✓?	?	?	?	?	✓?	?
Institution 2?	?	✓?	?	?	?	✓?	✓?	?	?	✓?	?
	✓?	?	?	?	?	✓?	✓?	?	?	✓?	?





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Sector Coordination



2 components:

- (1) Coordination of government institutions & key non-government stakeholder
 - (2) Coordination of donors/ IFIs
- ➔ Lead Institution responsible for establishing & coordinating government institutions involved in sector policy /strategy
 - ➔ Government-led Sector Working Groups
 - ➔ Government manages external assistance per sector





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Practice in Sector Coordination (Serbia)



- SWGs formally established by the Minister without portfolio in charge of EU Integration
- SWGs: Justice, Home Affairs, PAR, Human Resources and Social Development, Transport, Energy, Environment and Climate Change, Competitiveness, Agriculture and Rural Development, Civil Society, Media and Culture

Role of SWGs:

- To provide transparency and wide participation of relevant partners and stakeholders through all stages of IPA II programming process
- Effective and efficient aid coordination





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Coordination with Non Governmental Organisations (Serbia)



- Established a **mechanism for consultations** with CSOs called **SECO mechanism** which allows their participation in programming the use of funds of the EU and other international development assistance
- Aiming to contribute to the programming process and increasing the efficiency of use of development funds, especially the EU funds, as well as to creating and promoting a constructive dialogue between the state and the civil society



Principles of effective donor coordination:

- National leadership and ownership in aid coordination
- Alignment with national planning, programming, monitoring and reporting processes, strategic documents and priorities,
- Flexibility to establish and abolish donor coordination groups per need
- Using national planning, programming and monitoring structures and procedures
- Best use of limited resources



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Monitoring Performance



- Stand-alone project-based assistance (IPA I) emphasised the monitoring of inputs & outputs
- Little focus on achieving objectives
- Sector approach (IPA II) introduces stronger results orientation to monitoring assistance
- Focuses national monitoring systems on measuring the achievement of policy objectives





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Sector Budget



- IPA II Programmes should be co-financed by predictable, multi-annual national funding
- Need for a clear link between sector policy & budgeting
- Crucial to verify if the sector budget can be identified in the state budget





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Macro-Economic Framework

- To assess the stability of the macroeconomic situation & potential for future public funding
- Sets the context in programming
- A judgement if the macroeconomic policies are stability-oriented and their influence on the sector programmes





Sector Approach Roadmap



- A tool for sequencing the actions to be implemented in answering the key assessment questions

Sector Approach Roadmap Development

1. Elaboration of the current situation per Sector Approach Assessment Criteria
2. Set the base facts (baselines) on the situation in the assessed areas
3. Set the targets in the assessed areas (short-term & medium-term) as per Government national reform plans
4. Identify the steps to be performed to reach targets





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Programming



New approach in IPA II:

- Defining the intervention logic(IL)/ result chain as a starting point

Intervention logic (IL)/ results chain:

- “the articulated result’s chain clarifying the interventions’ objectives and translating them into a hierarchy of effects intended to be achieved (up until the level of outputs), directly influenced (outcomes) and indirectly influenced (impacts) by a policy or action” (DG NEAR)
- Basis for the identification of indicators

Reference documents:

IPA GUIDE TO PROGRAMMING (DG NEAR)

Guidelines on linking planning/programming, monitoring and evaluation (DG NEAR, July 2016)





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Programming Options



TYPE	SECTOR SUPPORT ACTION		STAND-ALONE ACTION (Exceptional case)
	Fully-fledged sector support	Sector support oriented	
DESCRIPTION	An Action supporting national Sector Programme (or part of it) owned by the Beneficiary and which fulfils the five key Sector Approach criteria	An Action supporting 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

?



Traditional Intervention Logic in Programming of Actions

- Steps in programming of intervention





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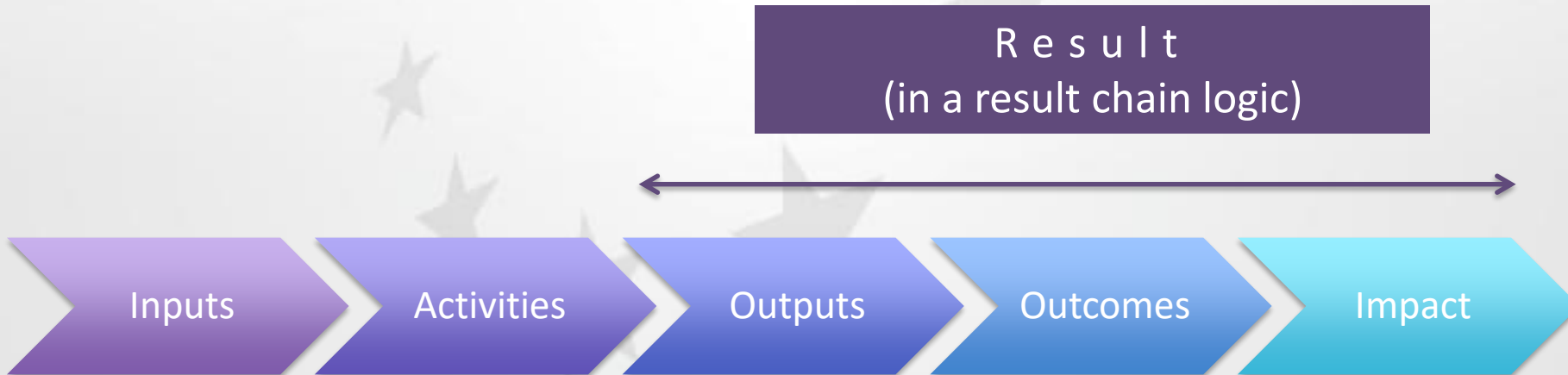
Intervention Logic as part of Results Chain logic



Intervention Logic/ Results Chain:

What we want to achieve- what is the actual change?
(results: outputs, outcomes and impact)

How we need to get there, having in mind the needs and the context





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Hierarchy of objectives v Results Chain



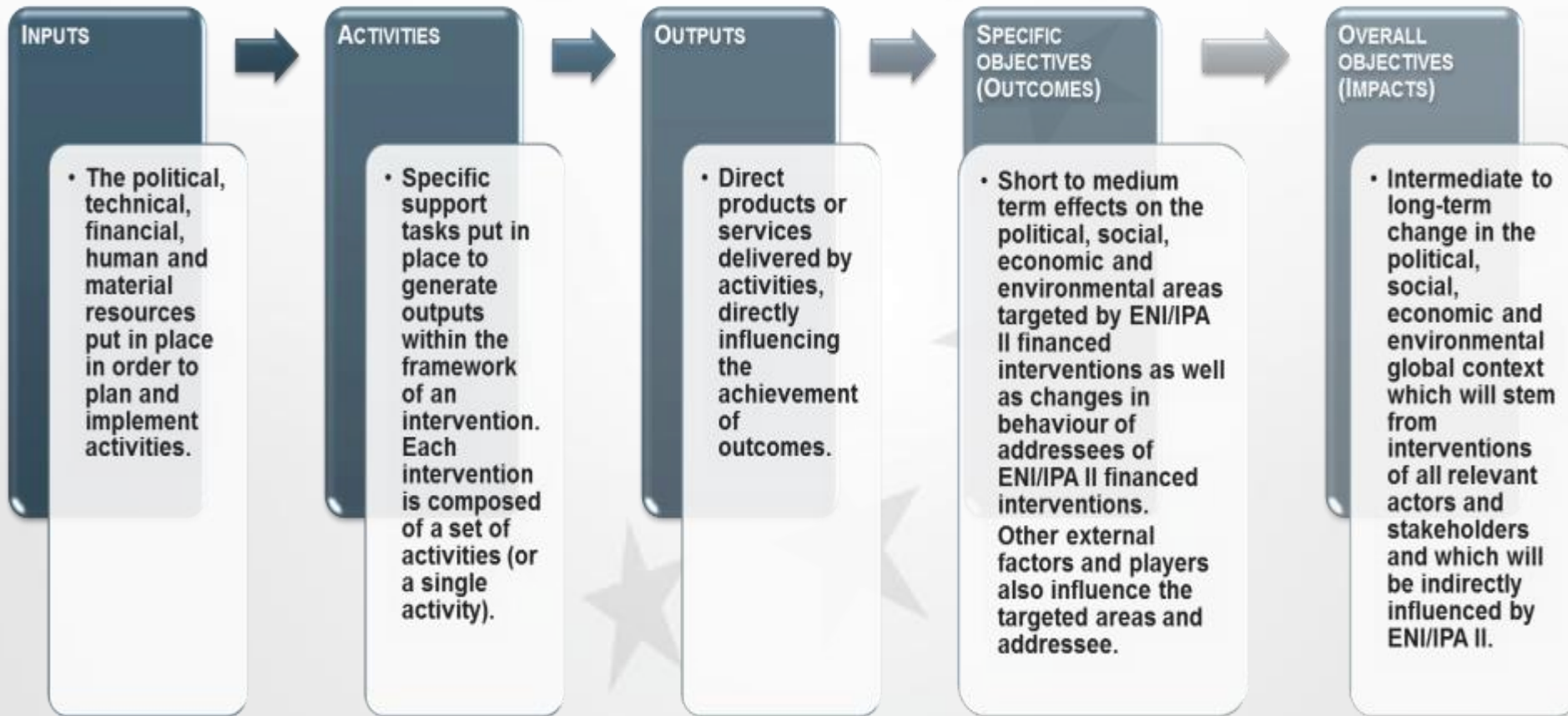
Hierarchy of objectives	Chain of results	Indicators level
Overall objectives	Impact	Impact indicators
Specific objectives	Outcome <i>Short-term outcome</i>	Outcome indicators
Results	Output	Output indicators
Activities	Process	Process indicators
Inputs		





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Intervention Logic as Part of Results Chain Logic



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Intervention Logic as part of Results Chain logic



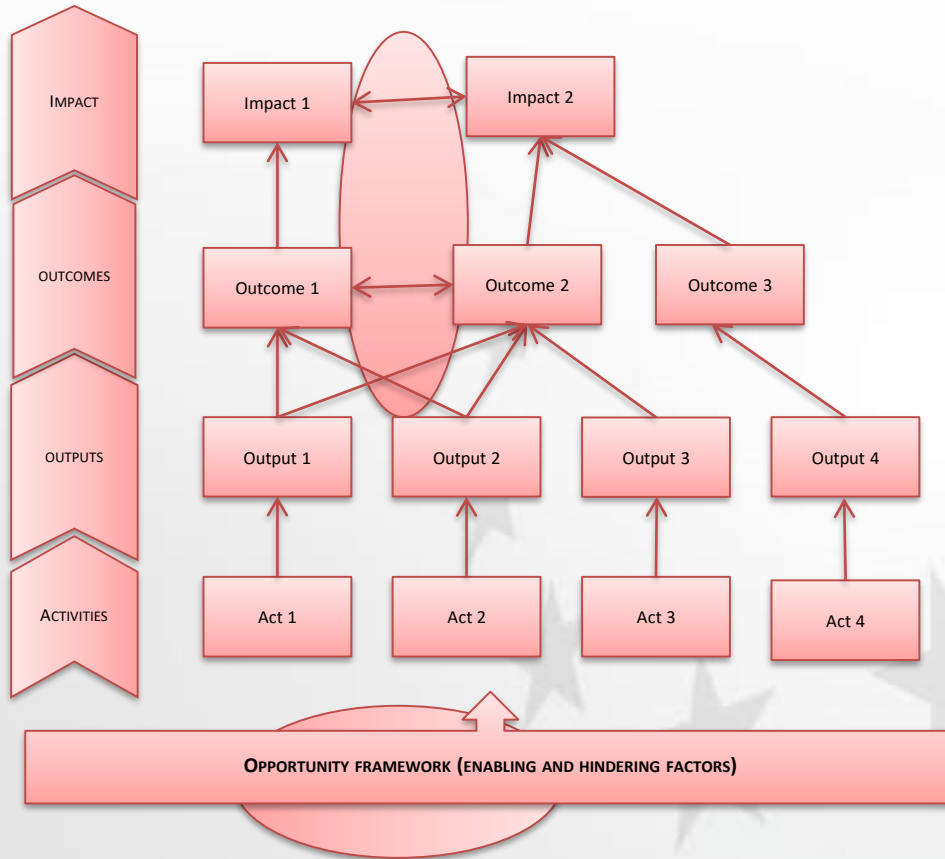
Overall objective of intervention coherent with strategic documents





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Intervention Logic/ Results Chain Logic



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Log frame for Project/programme	
Impact	Impact 1 Impact 2
Outcome	Outcome 1 Outcome 2 Outcome 3
Output	Output 1.1 Output 2.1 Output 2.2 Output 3.1
Activities	Activity 1.1.1 Activity 2.1.1 Activity 2.2.1 Activity 3.1.1

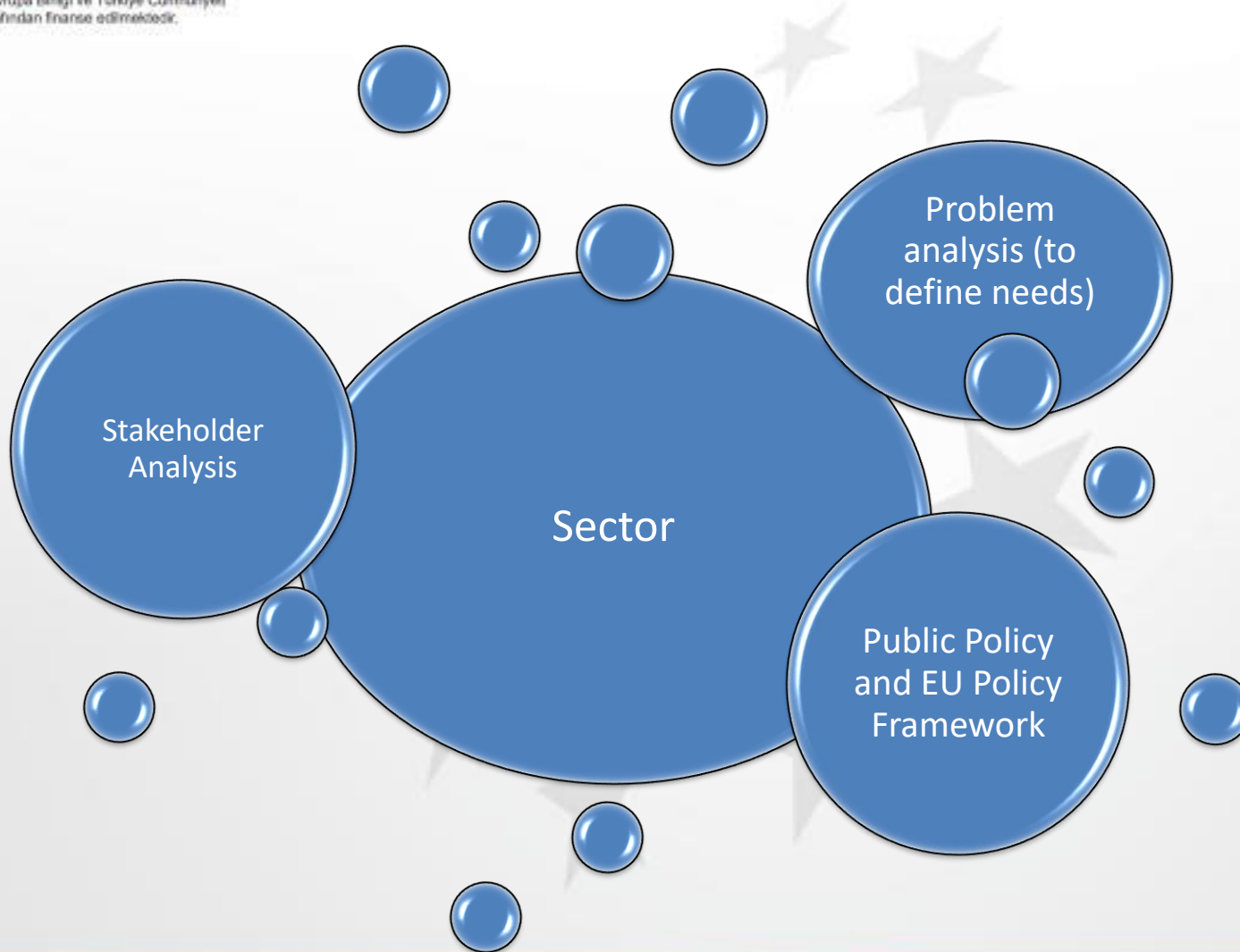




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Context Analysis

IPA II
(2014 - 2020)





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Context Analysis: Stakeholders



STAKEHOLDERS	CONTRIBUTIONS	EXPECTATIONS
Name and description of the partner organisation/ institution	What it usually does and what it specifically can offer during programming	What it needs and what it expects from the process
Name and description of the partner organisation/ institution	What it usually does and what it specifically can offer during programming	What it needs and what it expects from the process
Name and description of the partner organisation/ institution	What it usually does and what it specifically can offer during programming	What it needs and what it expects from the process





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Context Analysis



Quality control:

- ✓ Is problem analysis substantiated with credible statistics?
- ✓ Has the link between national/sectoral policies and IPA clearly established?
- ✓ Are needs logically derived from the problem analysis and statistical data?





Intervention Logic/ Results Chain Logic



Defined needs are translated into **overall objectives**

- **Examples of overall objectives (intended impacts):**
 - ✓ Sustainable economic, social and environmental development
 - ✓ Increased resilience to climate change
 - ✓ Increased citizens' participation in public life
 - ✓ Strengthened social cohesion
 - ✓ Growth based on green economy

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Intervention Logic/ Results Chain Logic



Definition of Specific Objective(s) shows change achieved by the intervention

- **Examples of specific objectives (outcomes needed):**
 - ✓ Opportunities for low carbon and environmental friendly investment, technology and green goods/services (green trade) improved
 - ✓ Improved business environment in the country
 - ✓ Demand-driven decentralized cooperation schemes adopted and implemented
 - ✓ Appropriate territorial development strategies and policies for better service delivery at the local level adopted

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Intervention Logic/ Results Chain Logic



- **Examples of outputs** (called results in IPA programming templates):
 - ✓ Strengthened individual/institutional knowledge and capacities
 - ✓ Strengthened, better informed and more effective relations
 - ✓ Better advocacy and improved awareness

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Intervention Logic/ Results Chain Logic



Examples of activities (needed to produce the outputs):

- Training, knowledge creation and other formal events
- Knowledge products
- Expertise, exchange and partnership
- Promotion, outreach and engagement

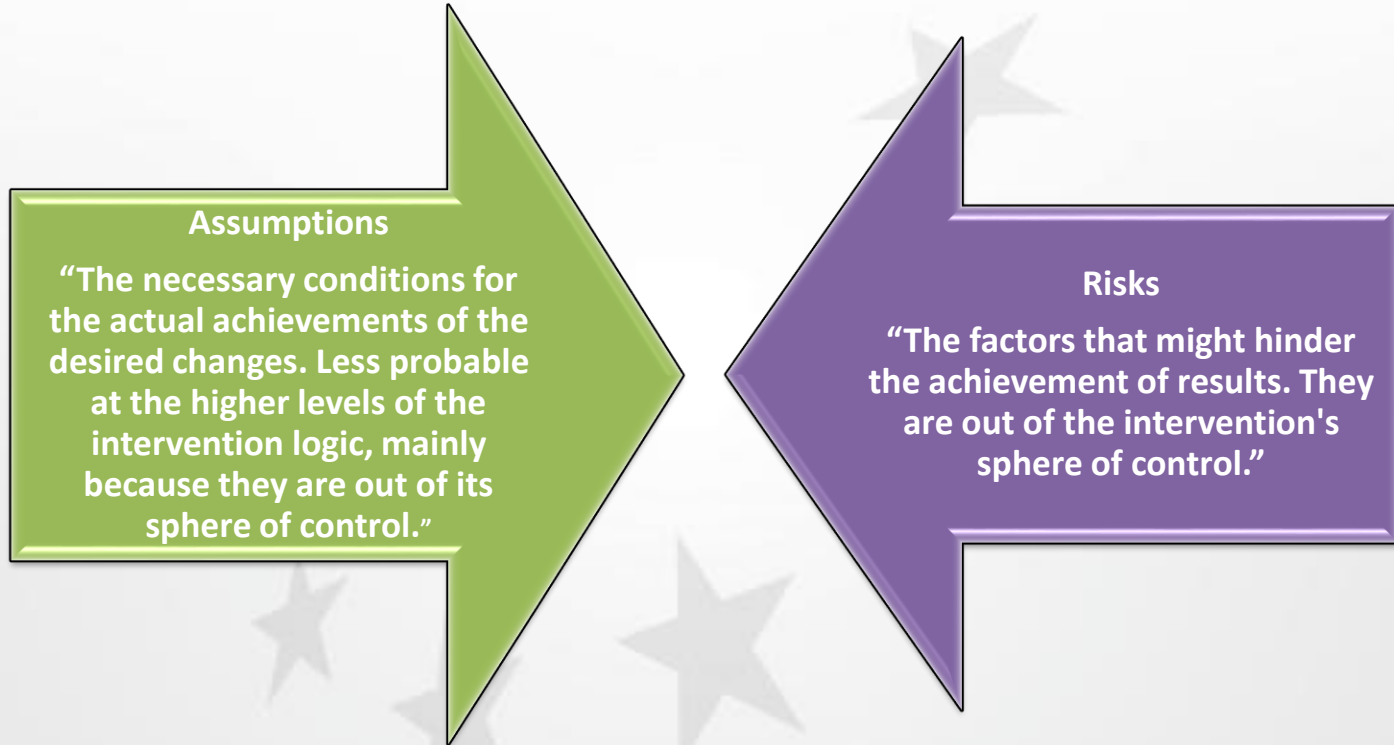
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Assumptions and Risks





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Assumptions



- **Internal to intervention**
 - ✓ Inputs and outputs contribute to changes
 - ✓ Outputs reach the target group
 - ✓ Delivered on time and managed properly
 - ✓ Sufficient absorption capacity of the target groups
- **External to intervention**
 - ✓ Complementary actions implemented on time
 - ✓ Their influence on the programme
 - ✓ Commitment and involvement of stakeholders after implementation





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Risks



Is the potential impact of the risk important?

yes

no

Is it likely to happen?

Very unlikely

Possibly

Almost certainly

Do not include in the logframe

Include in the logframe

Is it possible to redesign the project in order to influence this external factor?

yes

no

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Redesign the project by adding activities or outputs, reformulate the project outcome if necessary

The project may not be feasible





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Monitoring in IPA II



- Implemented following comprehensive monitoring rules
- Oriented towards a performance review of the progress achieved at the strategic, sector and action level
- Shifts monitoring culture from focusing on financial execution performance under IPA I to results- based performance
- Performance encompasses the synergy of the on-going policy dialogue and the financial cooperation





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Monitoring in the Programming Process



Traditional Approach

Focused mainly on inputs and activities

Result Based Approach

Focus on the results obtained rather than just on the inputs used or the activities conducted

Emphasis is put on the links between outputs and direct effects of interventions (outcomes) to ensure adjustments in time

RBM M&E Handbook





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Monitoring in IPA II



2 levels of monitoring:

- **Strategic level** (IPA MC, IPA SMC, FCCB, FCC)
- **Operational level** (Progress Reports, on the spot checks, SC, Implementation Progress reports, ROM reviews, Contract provisions checks)



IPA II Performance Framework

Impact

Outcome

Output

Activities

Input

IPA II

Performance Framework

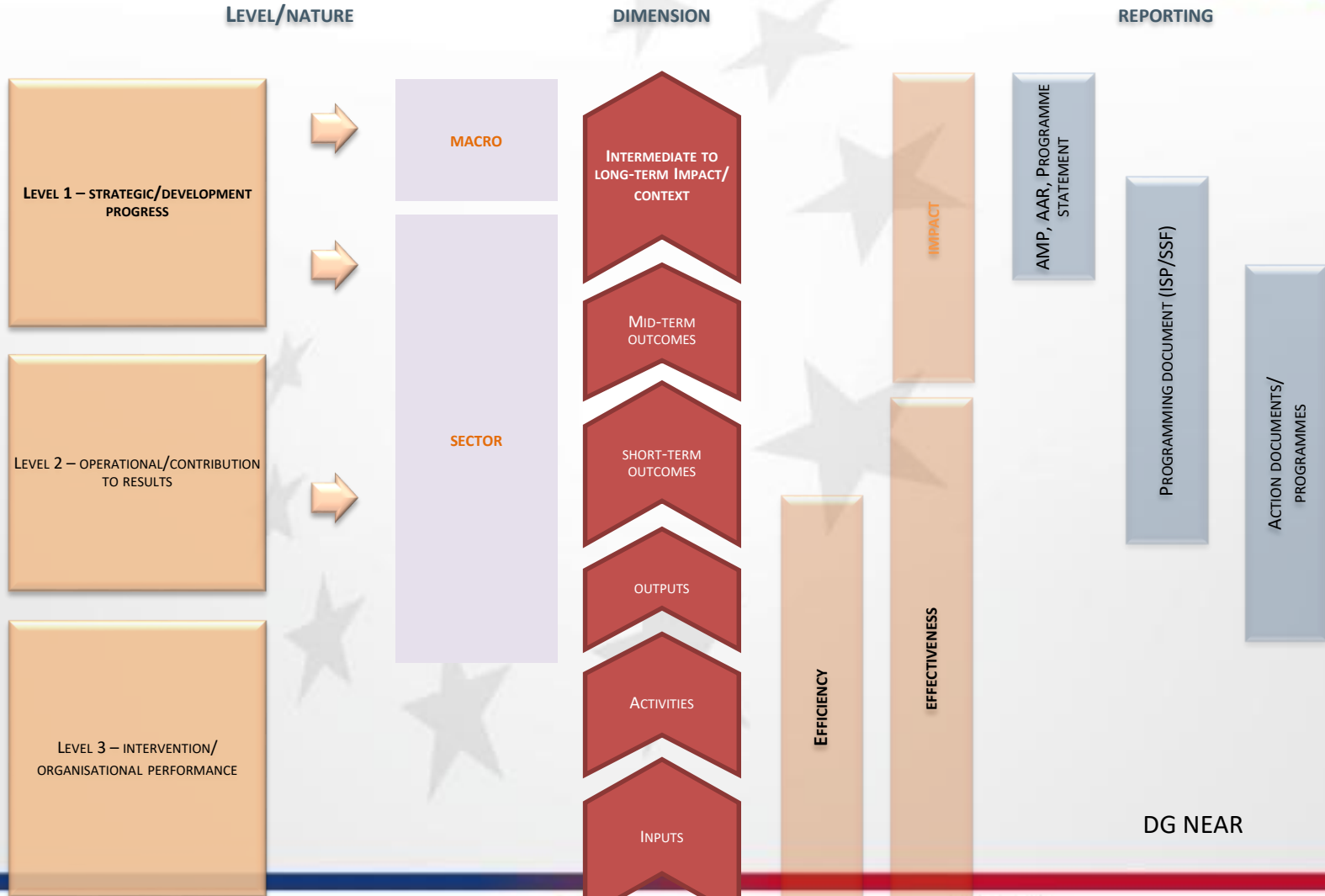
- Level 1 (strategy): impact over strategic long-term goals/ general policy objectives (strategic indicators)
- Level 2 (operational): changes in outputs and outcomes of programmes
- Level 3 (intervention/internal organisation performance): utilisation of inputs and implementation of processes

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Types of IPA II Indicators



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Level 1 Indicators



Strategic indicators measure overall progress to *the long-term goals/general policy objectives* (MACRO or SECTOR)

MACRO indicators:

- IMPACT indicators measure progress towards enlargement policy objectives
- CONTEXT indicators: are a set of macroeconomic indicators, which aim to present the overall socio-economic developments

SECTOR indicators encompass the sector outcomes or impacts in implementing a broader reform agenda that has been identified as a priority in the Country Strategy Paper



Level 2 & Level 3 Indicators

Level 2: Operational indicators

- monitor the operational performance of IPA II assistance
- include indicators on key outputs, 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
- can be defined as **input and process indicators**



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Steps in Defining Indicators



**Elaboration
of
intervention
logic**

**Identificat
ion of
indicators**

**Identify
resources**

**Identify
baseline
values**

**Establish
targets**

**Validate
indicators**

**Design
data
collection
system**





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Identifying Indicators



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

- *It is a measurement*
- *Limit the number of indicators per result (more indicators means more work in collecting and processing data)*
- *Balance between quantitative and qualitative information*





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Identifying Indicators



- **Neutral:** they signal a change, not direction of change

- 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	<ul style="list-style-type: none"> Long-term • (Un)employment rate • Foreign Direct investment per capita Intermediate term • Number of trade barriers removed • Degree of compliance with intellectual property legislation • Public debt / GDP (%)
OUTCOMES	Signal whether the short to mid-term desired changes are happening	<ul style="list-style-type: none"> • 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)	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • Absolute amounts contracted/spent • Number of missions having taken place





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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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Indicators



SMART (Specific, Measurable, Achievable, Relevant, Time-bound) **and:**

RACER (Relevant, Accepted, Credible, Easy and Robust)

- **Relevant** = closely linked to the objectives to be reached
- **Accepted** = by staff, stakeholders, and other users
- **Credible** = accessible to non-experts, unambiguous and easy to interpret
- **Easy** = feasible to monitor and collect data at reasonable cost
- **Robust** = not easily manipulated



Sources of Verification

- **Sources** - indicator needs to have a corresponding source that could be statistical or administrative
- **Calculation methods:**
 - Cost in terms of time, money and human resources
 - Timeline between collection, processing, availability and frequency
 - Credibility and reliability in order to build time series



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Required Data About Indicator



Title	Definition	Baseline		Milestone		Target		Sources of information	Data collection responsibilities & frequency
		Value	Year	Value	Year	Value	Year		
% of women in senior positions of trade unions	This indicator is the percentage of women in senior management positions (public sector). Senior position defined by schedules and at least head of unit post.	15%	2010	20%	2015	25%	2020	Department of Statistics of the given country	Implementing partner, yearly

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Baseline Values and Targets

- **Baseline:**
 - baseline value must refer to the period nearest to the start of the operation
 - use indicators with existing and reliable sources of information
 - frequency: how often data is available
- **Targets:**
 - for the end of the intervention
 - Should be informed by baseline value, past trends and other sources



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Validating and Designing Data Collection System



- **Validating:**
 - Source is credible and available
 - Quality principles are fully respected (SMART,RACER indicators)
 - Data is relevant
- **Data collection system:**
 - Ensure full reliability of the system
 - Data made available
 - Sound data collection system clear on who is responsible for data collection and verification and including top management involvement





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Horizontal (cross-cutting) Issues



- Cross-cutting issues (also known as horizontal issues) are universal values that impact more than one area
- Cross-cutting issues require action in multiple fields and should be integrated into all areas and stages of donor programmes and be addressed in political dialogue on development
- the EU cannot support action that may result in a beneficiary country infringing its obligations in international conventions, declarations and treaties on development
- Implementation is two-fold :
 - ✓ the strategy of mainstreaming (addressing cross cutting issues at each stage of the programme design)
 - ✓ through specific measures





Climate Change Action



- The IPA Regulation indicates that IPA countries should be better prepared to withstand global challenges, such as sustainable development and climate change, and align with the Union's efforts to address these issues
- Efforts are needed to ensure that climate change considerations are part of country and multi-country policy dialogues and are fully integrated in Action design
- Details on how these principles will be applied need to be specified in programming documents





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Climate Change Action



- Take into account the OECD 'Rio marking' of Programmes and Actions for climate change 'adaptation' and 'mitigation', biodiversity and desertification

Four Rio markers covering:

- Biodiversity (*introduced in 1998*)
- Climate Change Adaptation (*introduced in 2010*)
- Climate Change Mitigation (*introduced in 1998*)
- Desertification (*introduced in 1998*)





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Gender Equality



EU Thematic priority areas 2016-2019

- Increasing female labour-market participation and the equal economic independence of women and men
- Reducing the gender pay, earnings and pension gaps and thus fighting poverty among women
- Promoting equality between women and men in decision-making
- Combating gender-based violence and protecting and supporting victims
- Promoting gender equality and women's rights across the world





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Gender Equality



“The process of integrating gender equality concerns across all these areas is known as gender mainstreaming. This means assessing the impact of EU action on both women and men and taking responsibility for any readjustment necessary, so that women and men benefit equally and inequality is not perpetuated.”

- During programming, take into account how your objectives/results will impact gender issues
- Make sure you can gender related indicator at every level and be able to collect the data





Engaging Civil Society



- A reform priority in the EU agenda of enlargement for many years through:
 - ✓ Direct financial support
 - ✓ Involvement in the consultation process for any programming exercise, i.e. by at least circulating draft action proposals to relevant organisations, or inviting them to consultation meetings





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“IPA II: Taking EU funding to the next level”

www.ipa2teknikdestek.com

