Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Advanced Training on IPA II Monitoring, Reporting and Evaluation Framework

Training overview

Avrupa Birliği Bakanlığı
IPA II Teknik Destek Projesi

Ministry for EU Affairs
Technical Assistance for IPA II

16-20.12.2016

Galina Karamotcheva
Tatjana Arsova

Building a better working world
College of Europe
Collège d'Europe
Brugge
Natolin

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Training Objective 1 – Day 1

IPA II (2014 - 2020)

- Improved knowledge of IPA II assistance monitoring and evaluation legal and institutional framework
- Enhanced understanding of the logic and benefits of results-based management, including monitoring and evaluation
- Enhanced understanding of the role of good performance frameworks for monitoring and evaluation

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Training Objective 2 – Day 2

- Improve knowledge on IPA II performance indicators
  - Understanding that data on IPA II performance indicators has to be collected and indicators improved
  - Plan and establish system for data collection and reporting

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Training Objective 3 – Day 3

IPA II (2014 - 2020)

- Improved skills in monitoring and reporting of RESULTS on action level
  - Analysis of project risks for RESULTS
  - Planning and execution of monitoring visits
  - Reporting of results

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Training Objective 4 - Day 4 & 5

IPA II (2014 - 2020)

Increased skills in planning evaluations that bring benefits

- Understand importance - purpose, principles and standards of evaluations and evaluation systems
- Understand role and need for multi-annual planning of evaluation activities

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Training Objective 5 - Day 4 & 5

IPA II (2014 - 2020)

- Enhanced skills in management of evaluation
  - Setting relevant objectives and evaluation questions
  - Elaboration of evaluation road map
  - Drafting ToR for evaluations
  - Quality assurance
  - Dissemination of evaluation results
  - Follow-up actions

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

PLUS

IPA II (2014 - 2020)

- Understand principles, as opposed to rules of monitoring and evaluation
- Appreciate benefits of monitoring and evaluation of /for RESULTS,
  - but also understand constraints and need for long terms planning of development monitoring and evaluation system and culture
- Full understanding of M&E vocabulary

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Training materials

IPA II (2014 - 2020)

- Presentations
- Case studies and glossary
- Exercises for learning and fun

- Key reference document - Guidelines on linking planning/programming, monitoring and evaluation

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

IPA II (2014 - 2020)

MONITORING AND EVALUATION DEFINITIONS AND PURPOSE

CFCU

EY Building a better working world

College of Europe
Collège d'Europe
Brugge
Natolin

REPUBLIC OF TURKEY MINISTRY FOR EU AFFAIRS

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

What is monitoring

IPA II (2014 - 2020)

- Monitoring is a management function:
  - systematic collection of data on specified indicators to provide management and the main stakeholders of an on-going intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds

DG NEAR

(A classical definition of monitoring)

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Monitoring questions

IPA II (2014 - 2020)

Implementation progress

- What is the implementation progress (budget, work plan, etc.)?
- Are activities carried out as planned?
- Is activity quality adequate?

Results achieved

- What are the results achieved in comparison to target/plan?

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

What is this? (1)

IPA II (2014 - 2020)

An activity aiming to:

- verify the delivery of the contracted products and services,
- the reality of expenditure claimed / costs actually incurred
- compliance with the terms of the relevant Commission Decision approving the programme and applicable EU law

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Management verification (compliance) questions

IPA II (2014 - 2020)

Examples

- Is all equipment delivered/installed? And is the place of installation in-line with the contract?
- Are brands, models and quantities in-line with the contract? Is the equipment new (as opposed to 2nd hand)?
- During your visit did you notice any material which does not meet the rule of origin rule?

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

What is evaluation

IPA II (2014 - 2020)

- Evaluation - systematic and objective assessment of an on-going or completed action, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfillment of objectives, efficiency, effectiveness, impact and sustainability.
- Review - in-depth assessment of the performance of an intervention, periodically or on an ad hoc basis. Reviews are close in objectives to evaluations but less comprehensive than evaluations and tend to be focused on operational aspects

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

What is this? (2)

IPA II (2014 - 2020)

- An independent, objective and reliable examination of whether systems, operations, programmes, activities or organisations are operating in accordance with the principles of economy, efficiency and effectiveness, and whether there is room for improvement.

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Summary – What is common? And What is different? And why is important to make a difference?

- Monitoring
- ROM
- Evaluation
- Management verification
- Financial audit
- Performance audit

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

IPA II (2014 - 2020)

IPA II LEGAL FRAMEWORK - MONiTORiNG AND EVALUATION

CFCU

EY Building a better working world

College of Europe
Collège d'Europe
Brugge
Natolin

REPUBLIC OF TURKEY MINISTRY FOR EU AFFAIRS

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

LEGAL BASE

IPA II (2014 - 2020)

- Financial Regulation (Article 30) and Rules of Application of the Financial Regulation (Article 18)
- Framework Agreement (transfers all provisions of Common Implementing Regulation, IPA II Regulation and IPA II Implementing Regulation)
- Financing Agreements

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Financial Regulation
Sound financial management

IPA II (2014 - 2020)

- principle of ECONOMY requires that the resources used by the institution in the pursuit of its activities is be made available in due time, in appropriate quantity and quality and at the best price;
- the principle of EFFICIENCY - best relationship between resources employed and results achieved; (*new best relationship between resources employed and achievement of objectives*);
- the principle of EFFECTIVENESS - attainment of the specific objectives set and the achievement of the intended results (new the extent to which the intended objectives are achieved)

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Financial regulation (Article 30)

IPA II (2014 - 2020)

- Specific, measurable, achievable, relevant and timed objectives shall be set for all sectors of activity covered by the budget.
- The achievement of objectives shall be monitored by performance indicators for each activity .. and reported

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Draft new Article 31 of FR Performance and principles of economy, efficiency and effectiveness

IPA II (2014 - 2020)

Links performance, objective-setting, indicators, results and the principles of economy, efficiency and effectiveness

'In line with the principle of sound financial management, the use of appropriations shall focus on performance and for this purpose:

- (a) objectives for programmes and activities shall be established ex ante;
- (b) progress in the achievement of objectives shall be monitored with performance indicators;
- (c) achievements shall be reported'

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Framework Agreement

IPA II (2014 - 2020)

Monitoring

- Article 52- IPA monitoring committee
- Article 53 Sectoral monitoring committee
- Article 58-61 Annual & Final IPA Reports, Reports of the sectors

Evaluation

- Article 55 General principles, objectives, type of evaluations of IPA II Assistance
- Article 56-57
- Management of evaluations

Financing Agreement

- NIPAC will collect information on the performance of the actions and programmes (process, output and outcome indicators) and coordinate the collection and production of indicators coming from national sources.
- The overall progress will be monitored through the following means:

a) Result Orientated Monitoring (ROM) system;

b) IPA II Beneficiaries' own monitoring;

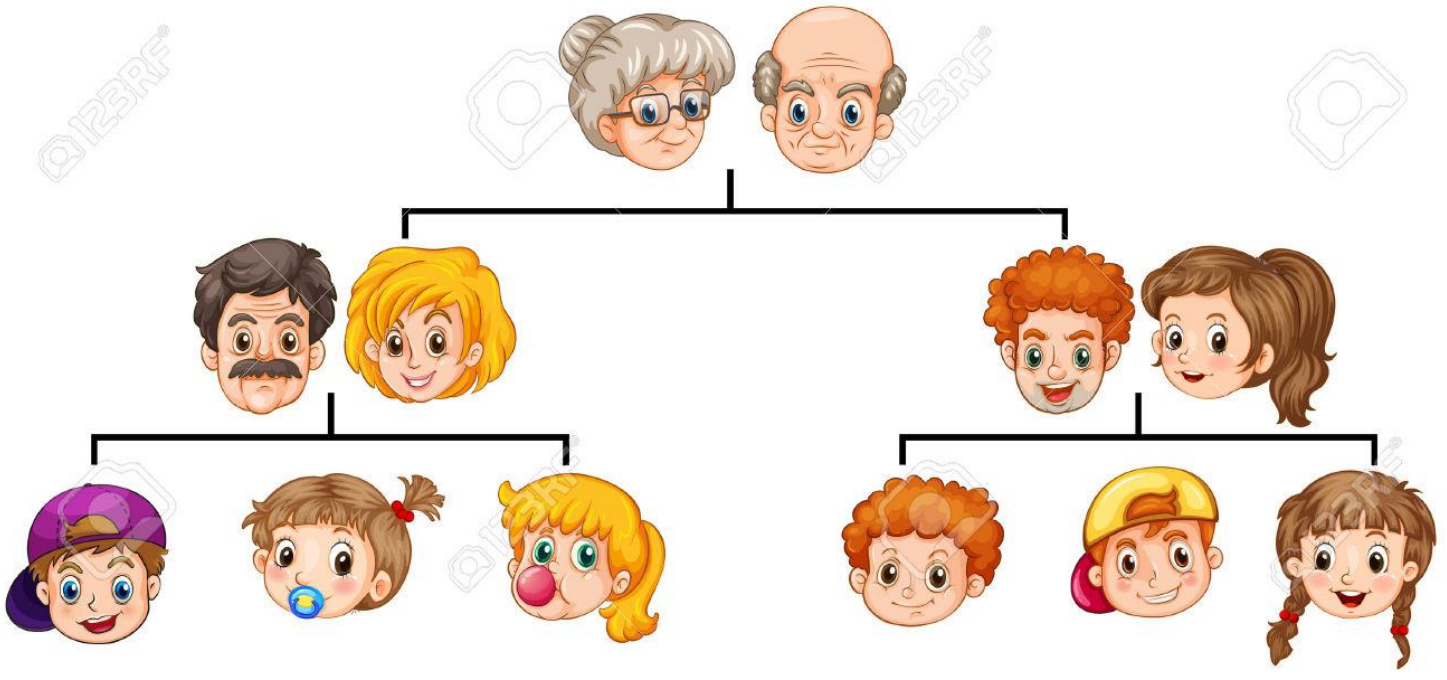
c) Self-monitoring performed by the EU Delegations;

d) joint monitoring by DG Enlargement and the IPA II Beneficiaries, - IPA II Monitoring committee, supported by Sectoral Monitoring committees.

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

NIPAC, NAO, OS, SPDs/SOP

IPA II (2014 - 2020)



Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Role NIPAC (1)

IPA II (2014 - 2020)

- NIPAC has to take measures to ensure effective overall coordination of monitoring, evaluation and reporting of IPA assistance
- Ensure that the objectives set out in actions or programmes are appropriately addressed during the implementation of IPA II.
- Collect data on the performance of actions and programmes (output and outcome indicators) and co-ordinate the collection and production of indicators coming from national sources.
- Co-ordinate planning of monitoring activities of LIs/OSs and NIPAC M&E Unit, follow up monitoring activities implemented by LIs/OSs, participate in and co-ordinate activities of monitoring platforms and undertake necessary actions to ensure effective and regular monitoring at operation and strategic level; establish and co-ordinate the ROM system.

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Role NIPAC (2)

IPA II (2014 - 2020)

- Support activities of the IPA Monitoring committee, co-ordinate secretariats of the Sectoral monitoring committees;
- Ensure actual up-take and follow-up of monitoring and evaluation results on national, sectoral and action level.
- Co-ordinate planning of evaluation activities on country, sectoral/sub-sectoral level, prepare evaluation plan, plan and conduct evaluations, support evaluations conducted by the Commission services or other authorised bodies;

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Role of NAO

IPA II (2014 - 2020)

- Monitoring effective and efficient functioning of the management and control systems established within the framework of the IPA II;
- Collect and report data on process indicators.

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Lead Institutions/ OS (1)

IPA II (2014 - 2020)

- Monitor the implementation of the actions or programmes, propose amendments, when needed
- Collect, verify, analyse and report data on performance indicators on sectoral/sub-sectoral and action level
- Plan and conduct regular monitoring of actions, activities and contracts under action programmes, including review of progress reports, planning and execution of monitoring visits, participation in monitoring platforms, ex-post reviews
- Provide information, to Sectoral monitoring committees (SMCs) and NIPAC on progress of the programme in achieving its objectives, set milestones and targets; prepare annual implementation reports, if required
- Provide services of a secretariat of the Sectoral monitoring committees

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Lead Institutions/ OS (2)

IPA II (2014 - 2020)

- Develop evaluation plan, plan and conduct evaluations on (sub) sectoral or action level, support evaluations carried out by NIPAC, Commission and ROM reviews, including by provision of monitoring data on performance indicators
- Provide follow-up on the corrective actions identified and agreed in monitoring and evaluation activities
- Report to NIPAC on monitoring and evaluation activities and results of the actions

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

End beneficiary institutions and recepients

IPA II (2014 - 2020)

- End beneficiary - institutions - iimplement and/or manage activities, including, planning, co-ordinating, monitoring, control;
- Report to LIs on implementation, performance indicators and monitoring activities.
- Recipients - implement and monitor timely and efficient implementation of activities defined in contracts/agreements; Report to OS and Steering Committees (where applicable).

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Monitoring Platforms

IPA II (2014 - 2020)

IPA Monitoring Committee (IPA MC) reviews the overall effectiveness, efficiency, quality, coherence, coordination and compliance of the implementation of all actions towards meeting the objectives set out in the Financing Agreements and the Indicative Country Strategy Paper. The IPA MC meets at least once a year.

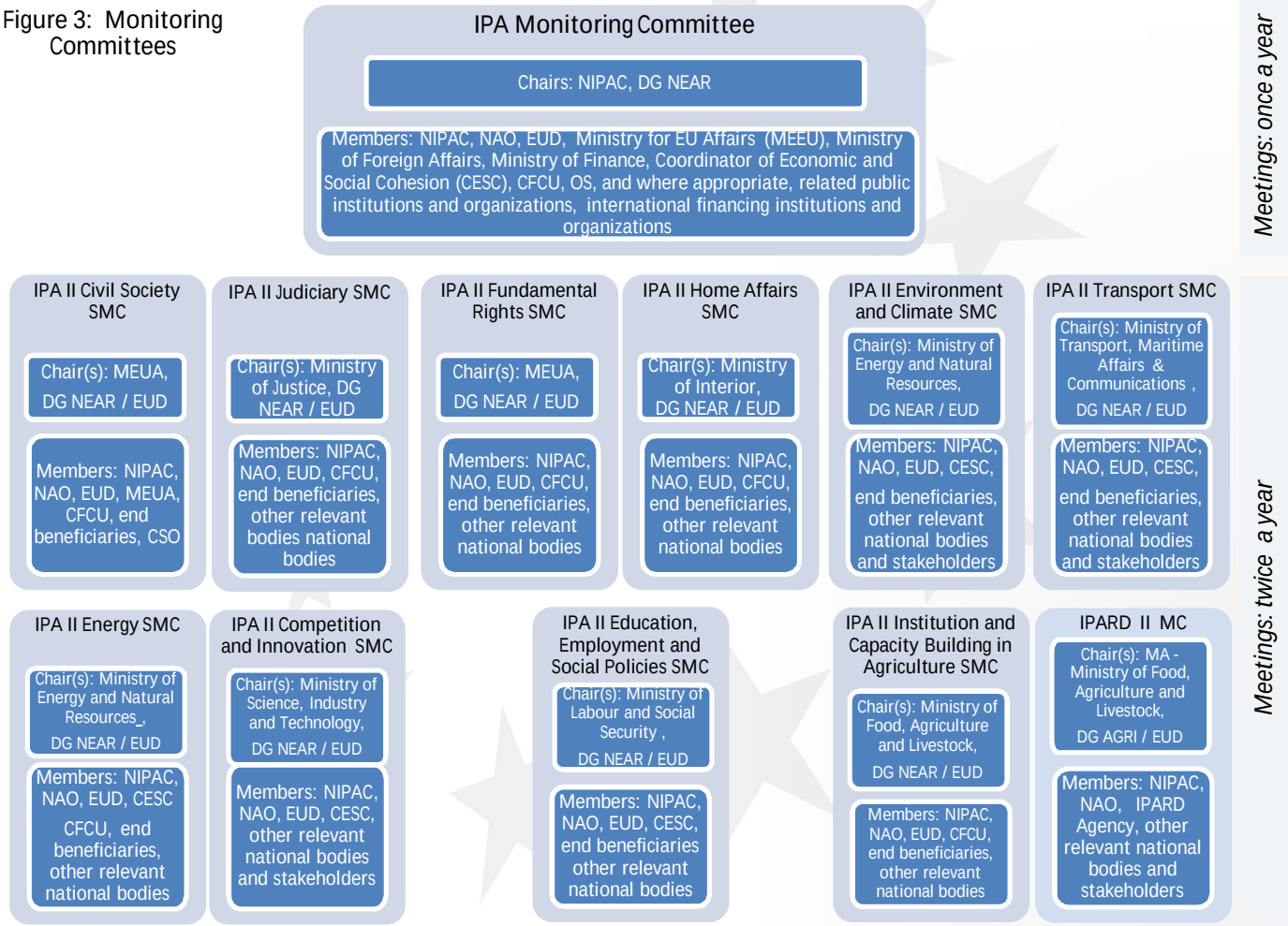
Sector Monitoring Committees (SMCs) - established on a (sub)sectoral level in order to review the effectiveness, efficiency, quality, coherence, coordination and compliance of the implementation of the actions in the sector area or programme and their consistency with the relevant national sector strategies. The SMCs report to the IPA MC. The SMCs meet at least twice a year.

Steering committees on action or activity level (SCs) monitor progress to objectives and indicators stated in the action document, and where necessary recommend and provide follow-up on corrective or other actions.

- .

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Figure 3: Monitoring Committees



Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

IPA II (2014 - 2020)

RESULTS BASED MANAGEMENT

CFCU

EY Building a better working world

College of Europe
Collège d'Europe
Brugge
Natolin

Türkiye Cumhuriyeti Avrupa Birliği Bakanlığı
Republic of Turkey Ministry for EU Affairs

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

IPA II twin objectives

IPA II (2014 - 2020)

Objective	Tool
Better national sector governance	Sector strategies and programmes Sector performance assessment framework
IPA II focus on Results	IPA II performance framework Performance reserve

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Reason for IPA II Focus on Results

- Neglected legal obligation (Finnacial regulation)
- External drivers:
  - The Court of Auditors
  - The EP and the Council
  - Independent evaluations
- EU responses:
  - 2014 - EU budget focused on results – intiative
  - 2015 - Better Regulation

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Globally importance of Results-Based management

IPA II (2014 - 2020)

- Growing pressures to improve performance of public sectors
- Tracks results of government actions over time

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Key elements of results-based management

IPA II (2014 - 2020)

Results-based planning

1. Identifying clear and measurable objectives (results)
2. Selecting indicators that will be used to measure progress towards each objective.
3. Setting explicit targets for each indicator, used to judge performance

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Key elements of results based management

IPA II (2014 - 2020)

Performance measurement

4. Developing performance monitoring systems to regularly collect data on actual results
5. Reviewing, analysing and reporting actual results related to targets
6. Integrating evaluations to provide complementary performance information not readily available from performance monitoring systems
7. Using performance information for internal management accountability, learning and decision making processes, and also for external performance reporting to stakeholders and partners

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

IPA II (2014 - 2020)

Other needed elements

- Accountability -- instituting new mechanisms for holding agency managers and units accountable for achieving results at appropriate levels
- Delegating authority to the management level accountable for results, and empowering them with flexibility to shift resources to better performing activities

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

IPA II (2014 - 2020)

Other needed elements (2)

- Client focus - consulting with beneficiary groups concerning their preferences and satisfaction with goods and services provided, and being responsive to their needs
- Participation and partnership - involving partners and stakeholders in all aspects of performance measurement and management processes, and seeking greater harmonization of efforts

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

IPA II (2014 - 2020)

Other needed elements (3)

- Reformed operational policies and procedures -- instituting new policy and procedural directives aimed at changing the way the agency conducts its business
- Supportive mechanisms - assisting managers to effectively implement performance measurement and management in various ways, such as providing training, technical assistance, performance information databases, guidebooks, tips and best practices series
- Cultural change

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

IPA II (2014 - 2020)

RESULTS CHAiN AND RESULTS / PERFORMANCE FRAMEWORK

CFCU

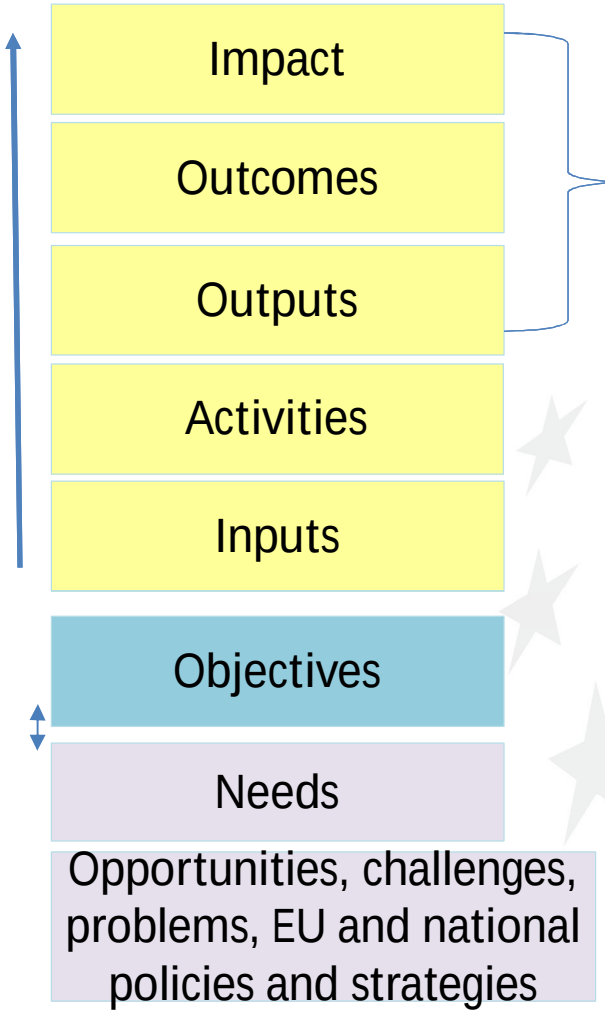
EY Building a better working world

College of Europe
Collège d'Europe
Brugge
Natolin

TÜRKİYE CUMHURİYETİ AVRUPA BİRLİĞİ BAKANLIĞI
REPUBLIC OF TURKEY MINISTRY FOR EU AFFAIRS

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Action results chain

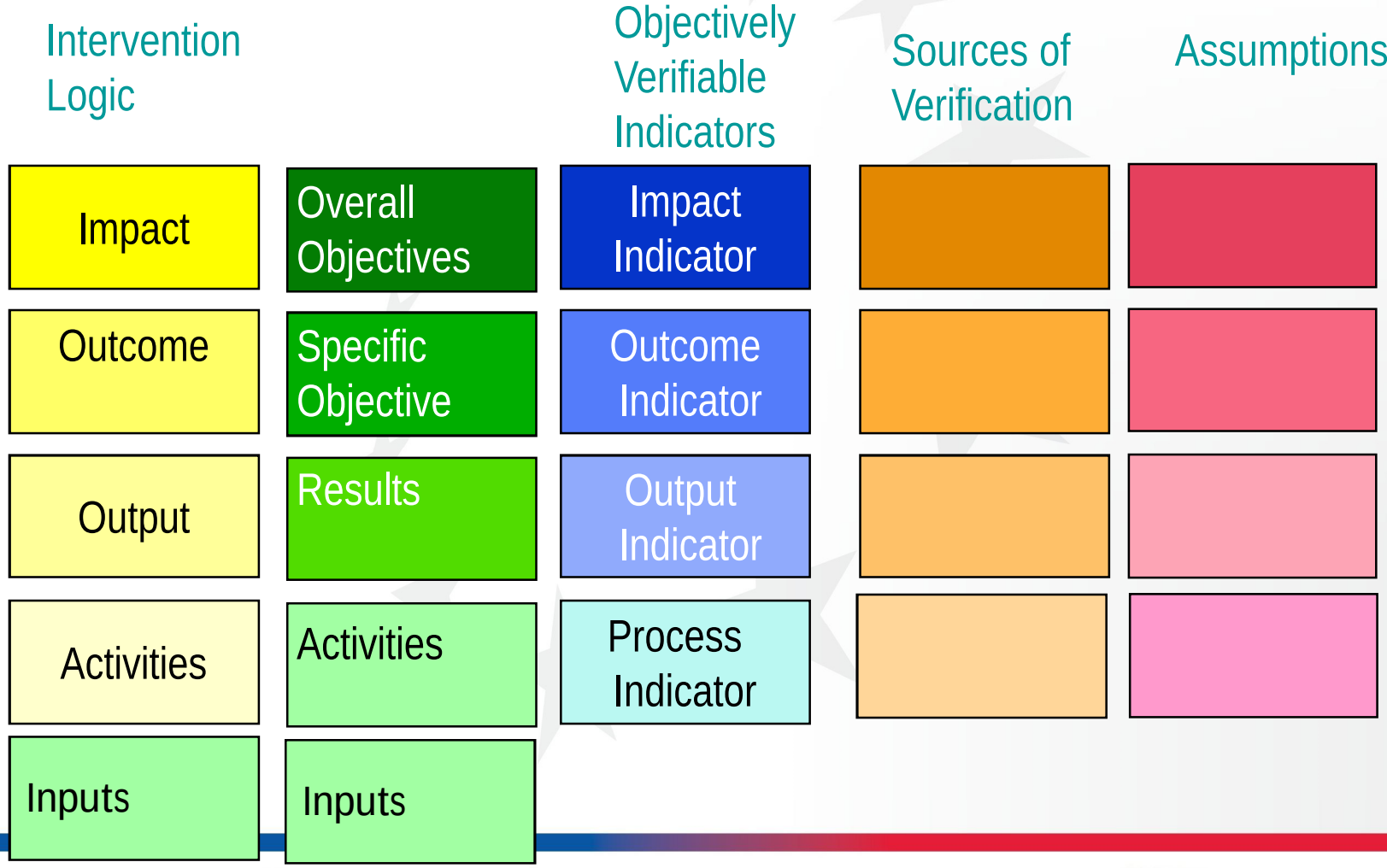


Results

Levels of results:
Impact - intermediate to long-term effects – change - positive and negative, direct and indirect, intended or unintended
Outcomes - *short to medium term effects – change* in behaviour, capacity or performance of direct beneficiaries direct beneficiaries
Outputs direct products or services delivered by activities

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

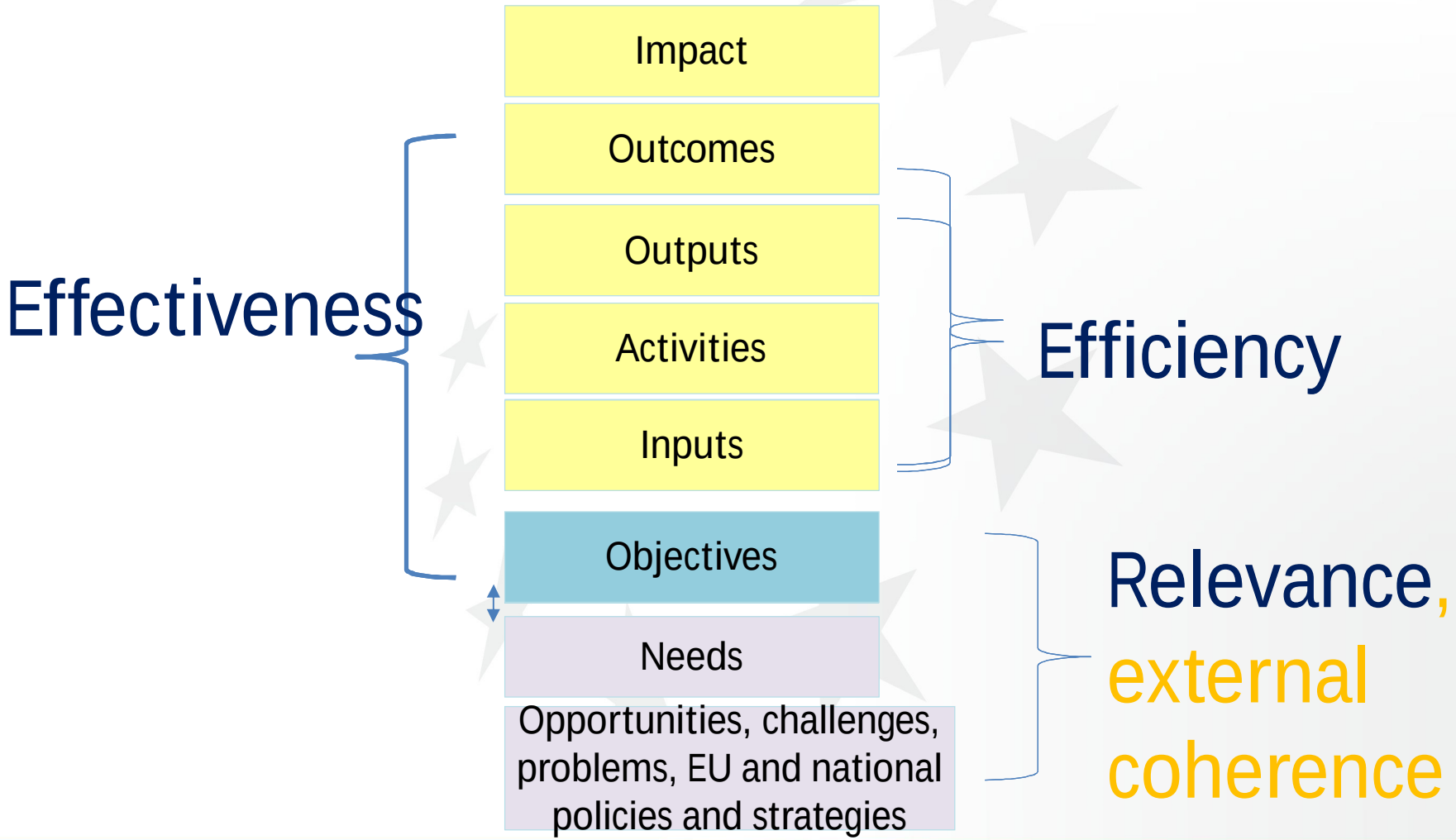
Results Chain and Logframe



IPA II (2014 - 2020)
CFCU
EY Building a better working world
College of Europe
Collège d'Europe
Brugge
Natolin
Türkiye Cumhuriyeti Avrupa Birliği Bakanlığı
Republic of Turkey Ministry for EU Affairs

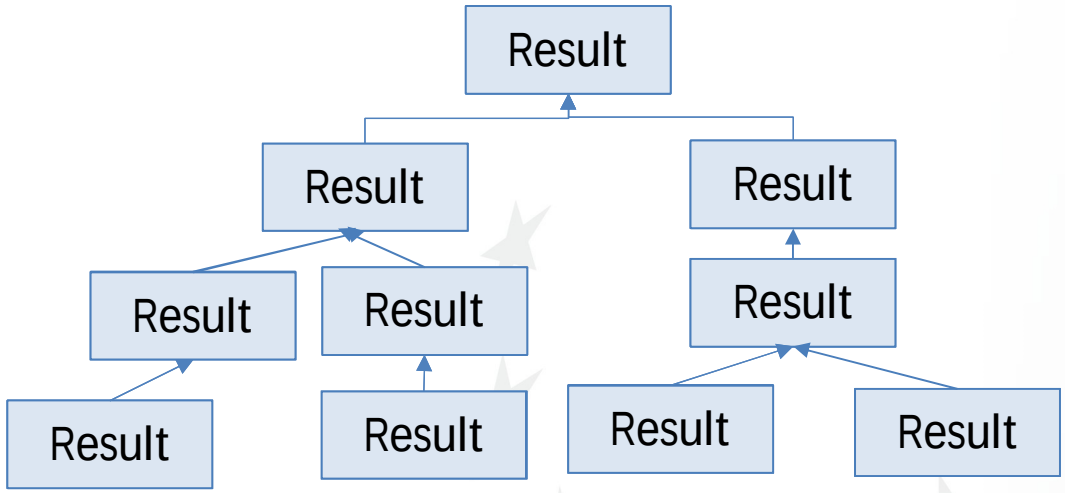
Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

IPA II (2014 - 2020)



Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

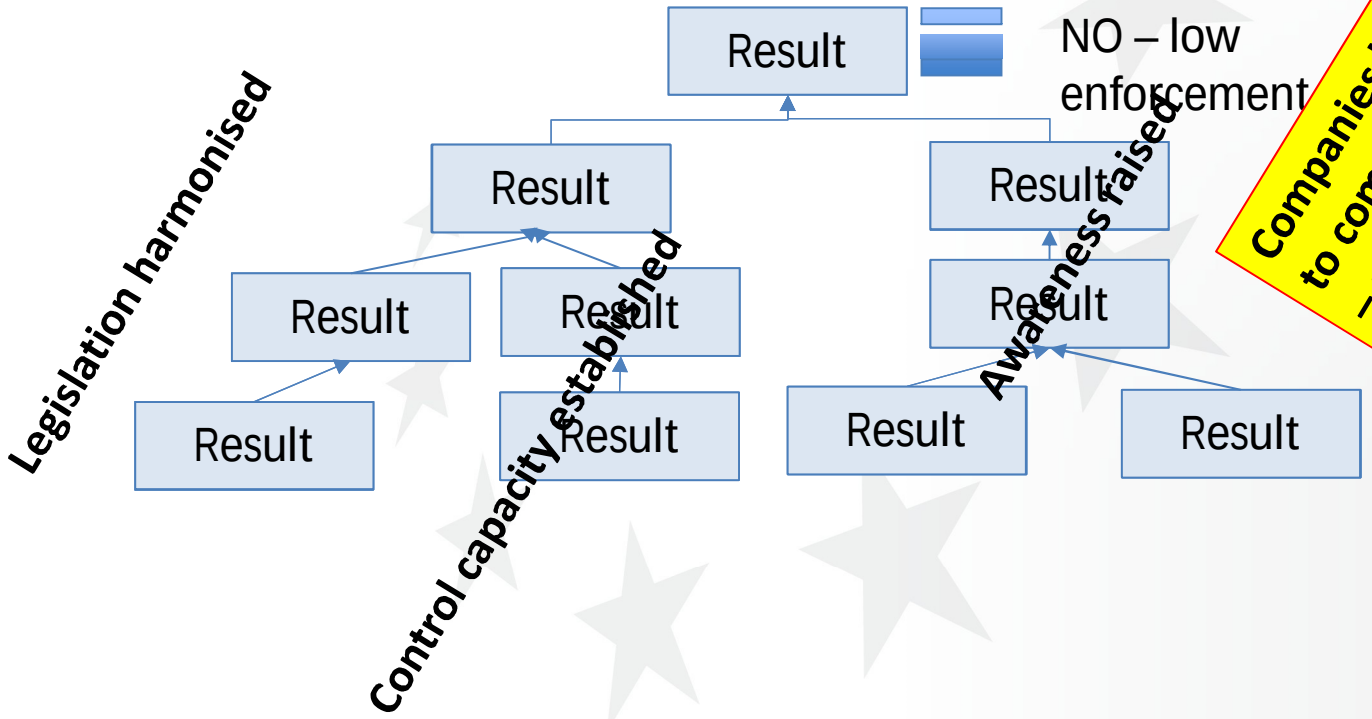
Result / performance framework



Link of results with strategic objectives to ensure that the sum of interventions is sufficient to achieve targeted result

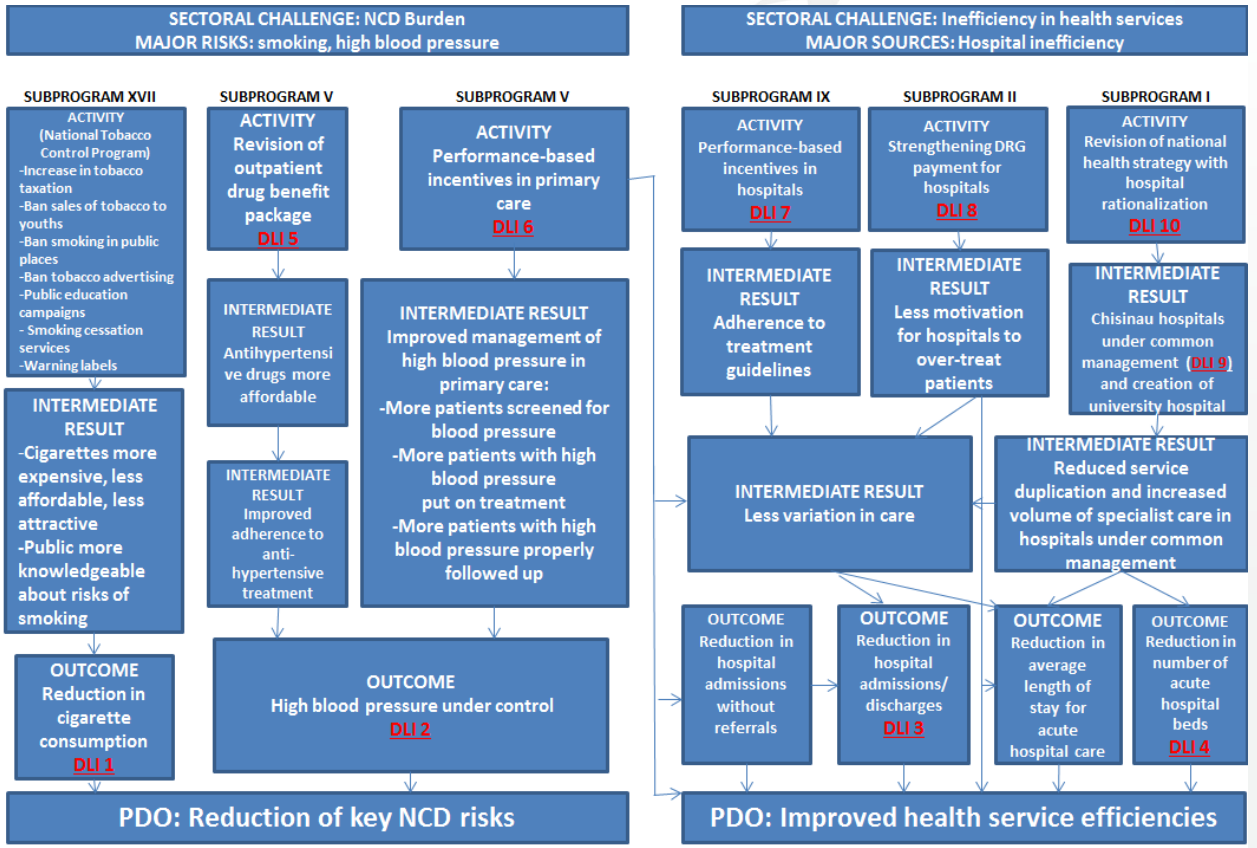
Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Result / performance framework food safety



Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Moldova health reform programme

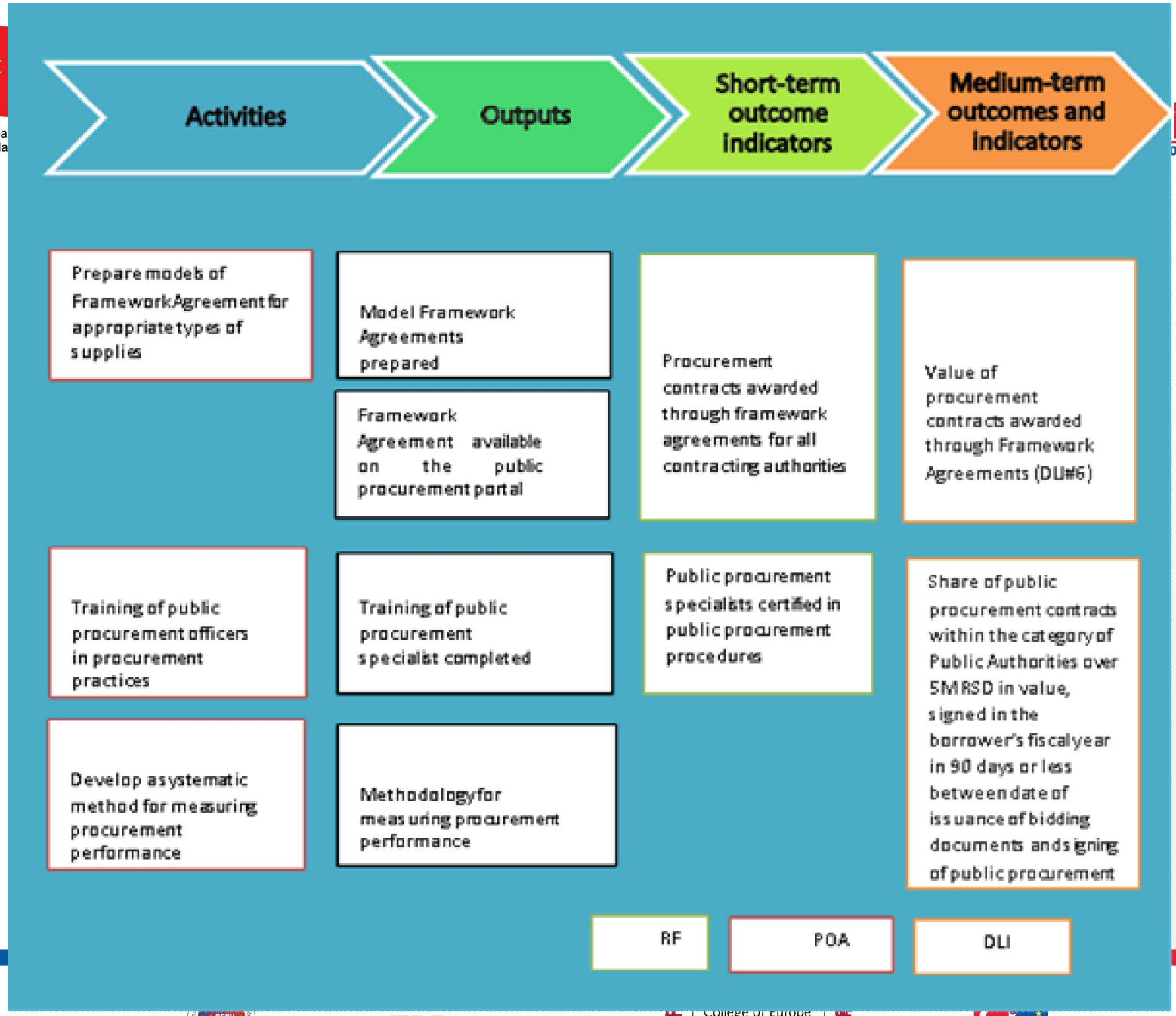


Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Moldova health reform

	Baseline	Target (end of programme)
Indicator 1: Smoking prevalence among adults (disaggregated by gender and quintile)	28%	26%
Acute care hospital beds – number	17,586	15,000

US$0.2 million for every 0.1 percent point reduction of prevalence, for a maximum of 4 million in total disbursement


Activities
Outputs
Short-term outcome indicators
Medium-term outcomes and indicators
Prepare models of Framework Agreement for appropriate types of supplies
Model Framework Agreements prepared
Framework Agreement available on the public procurement portal
Procurement contracts awarded through framework agreements for all contracting authorities
Value of procurement contracts awarded through Framework Agreements (DLI#6)
Training of public procurement officers in procurement practices
Training of public procurement specialist completed
Public procurement specialists certified in public procurement procedures
Share of public procurement contracts within the category of Public Authorities over 5MRSD in value, signed in the borrower's fiscal year in 90 days or less between date of issuance of bidding documents and signing of public procurement
Develop a systematic method for measuring procurement performance
Methodology for measuring procurement performance
RF
POA
DLI

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Key decisions

IPA II (2014 - 2020)

Reaching agreement on strategic objectives

Clearly setting outcomes

Translating outcomes into indicators

Setting targets

Managing to targets

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

IPA II (2014 - 2020)

RESULTS BASED MONİTORİNG AND EVALUATİON

CFCU
EY Building a better working world
College of Europe
Collège d'Europe
Brugge
Natolin
REPUBLIC OF TURKEY MINISTRY FOR EU AFFAIRS

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Reasons to monitor and evaluate of results

IPA II (2014 - 2020)

- Provides crucial information about performance
- Provides a view over time on the status of an action, programme, or policy
- Promotes credibility and public confidence by reporting on the results of programmes
- Helps formulate and justify budget requests
- Identifies potentially promising programmes or practices by studying pilots

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Reasons (2)

IPA II (2014 - 2020)

- Focuses attention on achieving outcomes important to the organization and its stakeholders
- Provides timely, frequent information to staff
- Helps establish key objectives and outcomes
- Permits managers to identify and take action to correct weaknesses

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

IPA II (2014 - 2020)

Difference with traditional M&E approach

- No difference in definitions
- Different strategic orientation and focus
- Tools

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Traditional vs Results-Based

IPA II (2014 - 2020)

Traditional monitoring

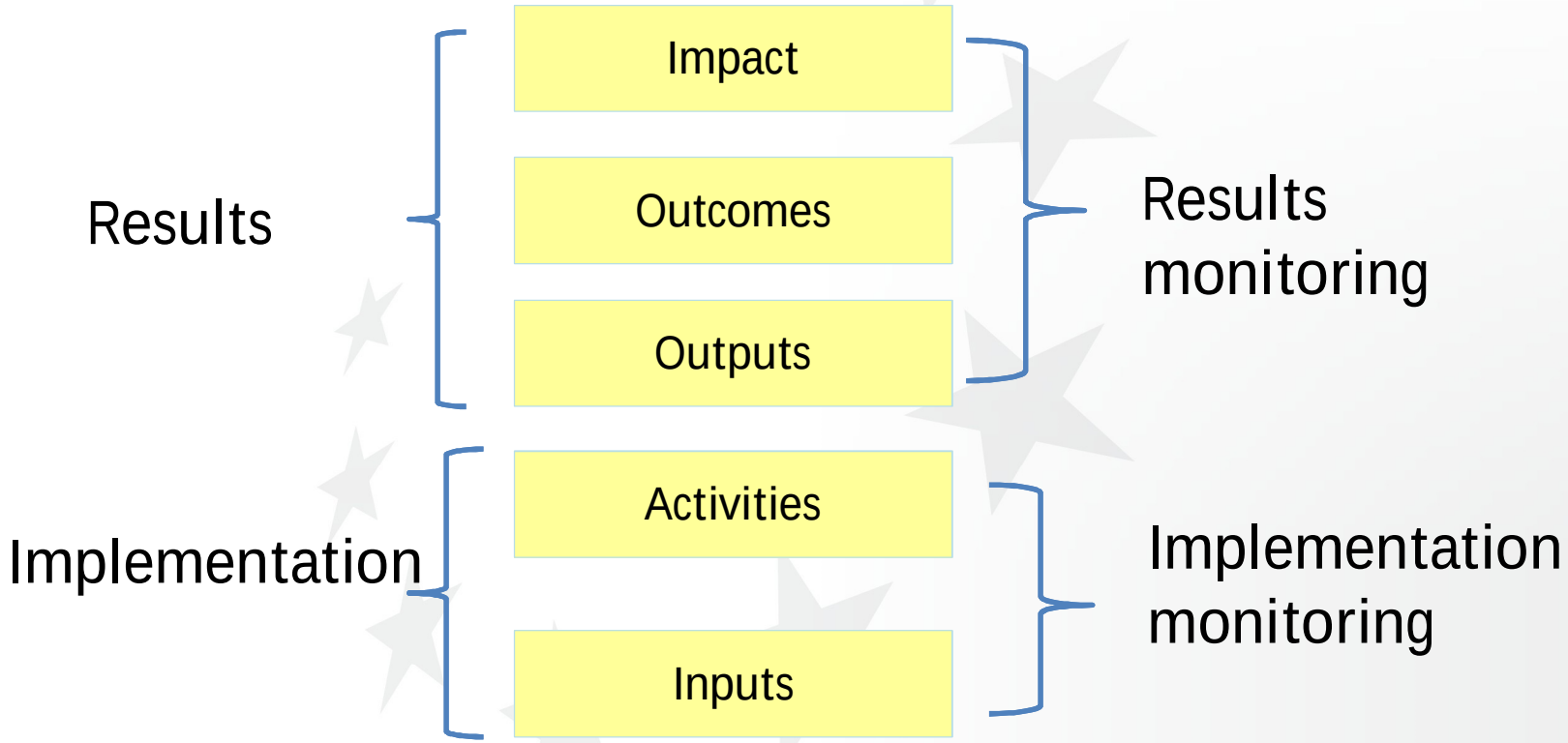
- inputs
- activities
- outputs

Results-Based monitoring

- combines traditional with assessment of outcomes and impacts
- allows adjustments to theory of change implementation processes

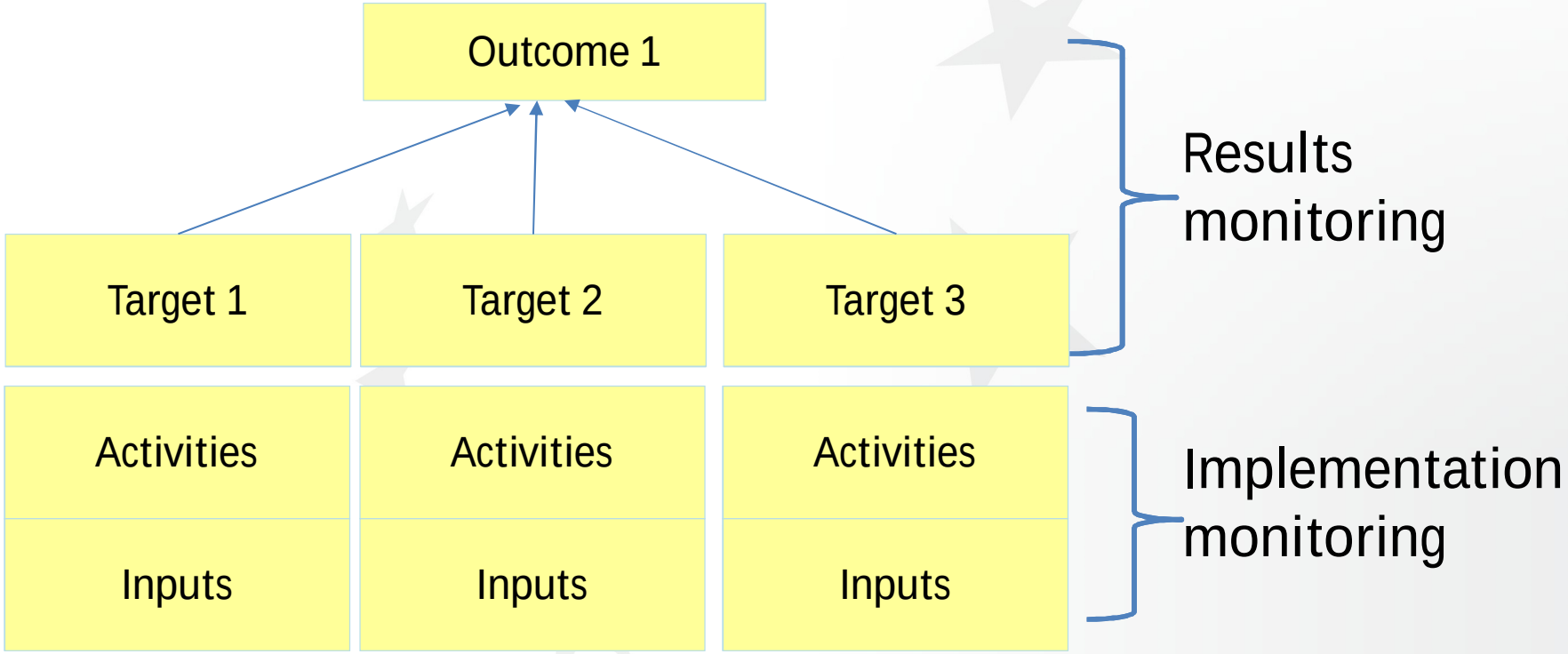
Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Monitoring types



Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Performance framework



Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Development of results-based M&E on Sector Level

IPA II (2014 - 2020)

What is needed to introduce results-based monitoring and evaluation on sector level?

1. Political willingness to introduce results-based management - high level leadership and clear incentives
2. Capacity to implement and monitor
   - Technical skills
   - Managerial skills
   - Existing data systems and their quality
   - Technology
   - Fiscal resources available
   - Institutional experience

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Constraints for results-based management of IPA II assistance

IPA II (2014 - 2020)

- Legal base
- Multiple sectors – diversity of sectors
- Actions divided into relatively small contracts implemented by different agencies
- Actions with diverse unrelated objectives
- Relatively short duration of actions
- Rule based management of actions – after programming projects are difficult to modify
- Rigid procedures of contracting authorities
- Actions focused on capacity building and policy reform – effects harder to measure than direct service delivery activities
- Lack standard indicators on results that can be easily aggregated across projects

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

IPA II (2014 - 2020)

DG NEAR Guidelines linking planning/programming, monitoring and evaluation p. 56 – 64, Annex 9

IPA II PERFORMANCE FRAMEWORK

CFCU

EY Building a better working world

College of Europe
Collège d'Europe
Brugge
Natolin

Türkiye Cumhuriyeti Avrupa Birliği Bakanlığı
Republic of Turkey Ministry for EU Affairs

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Structure

IPA II (2014 - 2020)

1. IPA II performance framework
2. Operational performance indicators of IPA II in Turkey
3. Review of technical quality of indicators
4. Planning and management of data collection on operational performance indicators
5. Data analysis and data needs

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

EU Results Framework

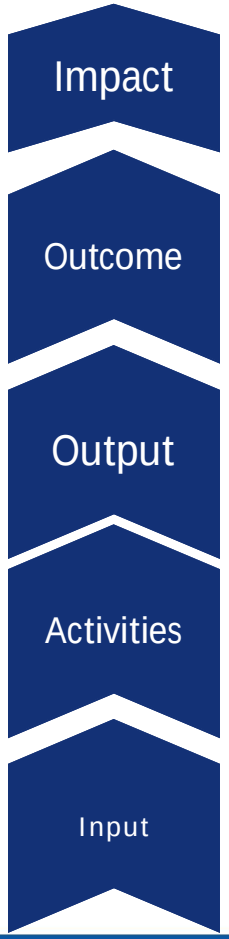
IPA II (2014 - 2020)

- Measure results of EU assistance against strategic objectives set by EU
- EU development and cooperation Results Framework dual purpose:
  - Accountability - Communicate to stakeholders results achieved at country, sector and corporate level.
  - Management - Provide reliable information on EuropeAid performance to support decision making.

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

IPA II performance framework

IPA II (2014 - 2020)



Level 1: Strategic: impact over strategic long-term goals/general policy objectives and sector impact/outcome indicators

Level 2: Operational: changes in outputs and immediate outcomes of action programmes

Level 3: Intervention: degree and quality of utilisation of inputs and implementation of, processes and outputs

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Level 1
Strategic indicators

- Level 1 - Strategic indicators measure overall progress to *the general and specific policy objectives*, defined in Articles 1-3 of IPA II Regulation and the Indicative Country Strategy Paper as well as progress to the overall objectives in the sectors
- Measure the combined impact of national government efforts and programmes, IPA II country and multi-country programmes, other donors' and other development actors' interventions

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

IPA II (2014 - 2020)

Level I - Strategic Indicators

- Level 1 - 11 indicators: general composite indicators – e.g. composite indicator on corruption, logistics indicators, etc. (new list)
- Indicators selected by EU and IPA countries required to set targets, which is (will be) approved in the Indicative Country Strategy Papers

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Level 2 - Operational Indicators

IPA II (2014 - 2020)

- Intended to measure performance of IPA supported actions
- Outcomes, Output and Process indicators

IPA Performance Framework - Level 2 has only an indicative list of common output and outcome indicators

- It is not compulsory to be used
- If indicator is selected a target has to be put

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Level 3 - Indicators

IPA II (2014 - 2020)

- Level 3 – Internal organisational performance indicators measure organisational efficiency with which inputs are utilised and transformed into outputs
- They primarily measure performance of *institutions and structures involved in IPA assistance management and implementation*
  - e.g. commitment rate, disbursement rate, rejection rate on tender dossiers and calls for proposals submitted for ex-ante controls.

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Who collects data

IPA II (2014 - 2020)

- 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

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

IPA II performance framework and performance reward

IPA II (2014 - 2020)

- Relates to performance reward (positive or negative) under IPA II Regulation asking (Article 14) :
  - particular progress made towards meeting the membership criteria; and/or
  - efficient implementation of pre-accession assistance whereby particularly good results are achieved with respect to the specific targets set in the relevant strategy paper.

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

How to select – Level 2 operational performance indicators

IPA II (2014 - 2020)

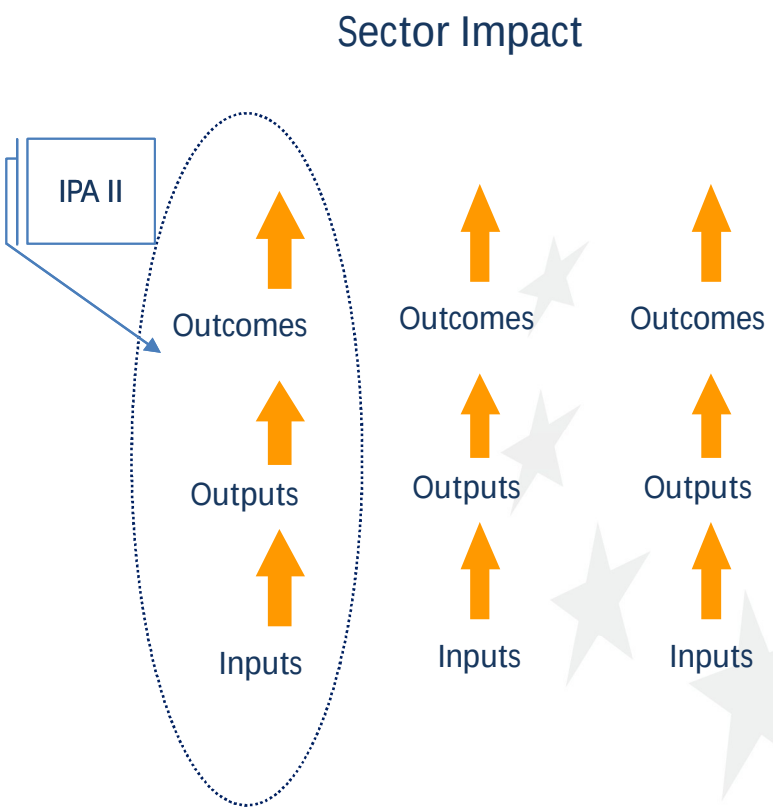
- The operational indicators have to be linked to the sectoral performance framework, but their main function is to *monitor the performance of IPA II assistance*
- Operational indicators have to include output indicators on key outputs, which are expected to be delivered by IPA II implemented projects
- The outcome indicators have to measure changes for the direct beneficiaries of assistance or target groups directly influenced by the IPA II actions (e.g. 'jobs created in the *assisted* SMEs')
- Where a good sectoral performance framework exists - use indicators of the sectoral performance framework

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

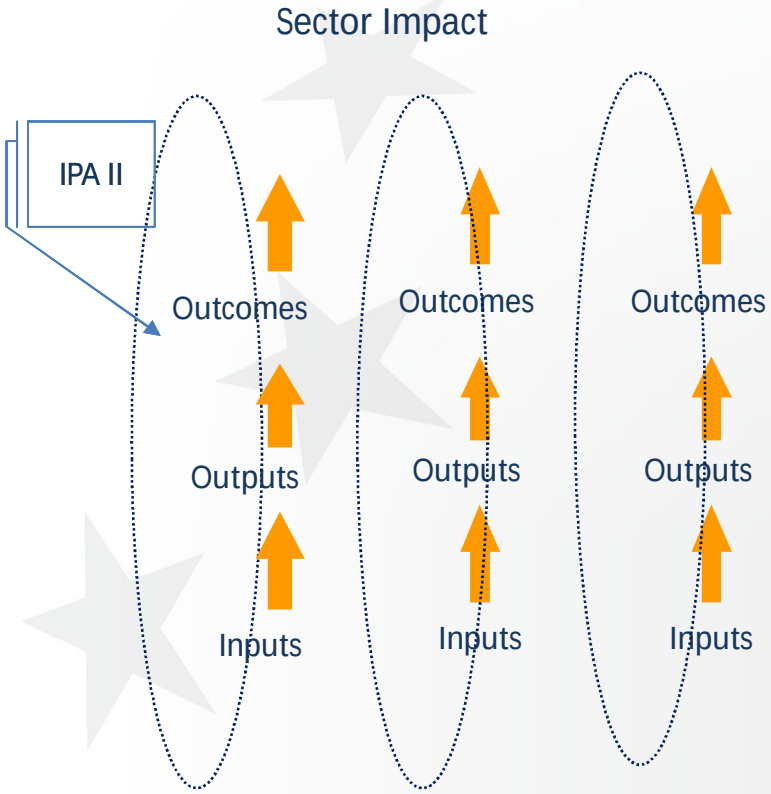
Relation of Sector Indicators and IPA II operational indicators

IPA II (2014 - 2020)

1



2



Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Using EU list of common Level 2 - Indicators

IPA II (2014 - 2020)

General advice

- Common outcome indicators has to be used, only:
  - if relevant to the planned action
  - if action is going to influence the value of the indicator
- If common output indicators are used –
  - indicator definition may need to be modified and indicate that output relate to IPA assisted actions

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Example
Level 2 - Civil Society

IPA II (2014 - 2020)

Common indicator:

Share of CSOs which have developed strategic plans

- Is this an important outcome of the planned IPA programme? (Is the programme target improved governance of CSO?)
- How many CSOs the programme is expected to support? What is the total number of CSOs?

Consider modifying it to: 'Number of CSOs, which have developed strategic plans with IPA assistance'

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Example
Level 2 - Civil Society (2)

IPA II (2014 - 2020)

Common list has 7 outcome indicators and NO output indicators

- Use no more than 2-3 outcome indicators
- Add output indicators:
  - E.g. number of supported CSO with IPA assistance

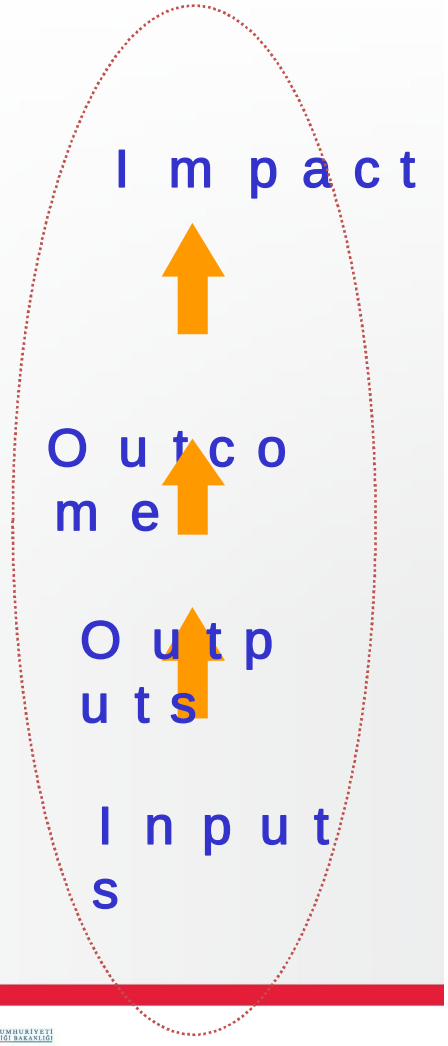
Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Design a Framework of IPA II Operational Performance Indicators per Sector

IPA II (2014 - 2020)

1. Tracking inputs and outputs of expected IPA II projects

2. Defining a core set of priority indicators for IPA II projects in the sector



Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Main principles (1)

IPA II (2014 - 2020)

- Comprehensive - the monitoring system put in place must cover the objectives of the action.
- Proportionate - the system put in place needs to reflect the importance placed on different aspects of the intervention.
- Minimise overlap - avoid duplication and the creation of unnecessary data collection burdens by concentrating only on the gaps that need to be filled

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Main principles (2)

IPA II (2014 - 2020)

Accessibility: In principle, all evidence gathered should be made available to the general public, unless data includes confidential elements.

Timeliness

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

IPA II (2014 - 2020)

QUALITY OF LOGFRAME AND PERFORMANCE INDICATORS

CFCU

EY Building a better working world

College of Europe
Collège d'Europe
Brugge
Natolin

TÜRKİYE CUMHURİYETİ AVRUPA BİRLİĞİ BAKANLIĞI
REPUBLIC OF TURKEY MINISTRY FOR EU AFFAIRS

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Basic Rules

IPA II (2014 - 2020)

- Action documents (AD) include Logframe indicators and performance indicators
  - Logframe indicators are used for assessment of the performance of the action/activity and have to be reported in Action Progress and Monitoring Reports
  - Performance indicators are used to assess progress of the IPA II sectors - aggregated and reported in Sector Annual Progress Reports
- End-beneficiaries/ LI/OS have to establish system for collection and reporting of data on performance indicators – mandatory; on all logframe level indicators recommended

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Basic Rules

IPA II (2014 - 2020)

- Action document indicators may be changed only with the approval of NIPAC/EU
- The performance indicators may be revised if,
  - Indicator is bad quality
  - there are no data sources for calculating one or more indicators
  - there is a low cost benefit for collecting data;
  - one or more indicators are not relevant for the monitoring purposes;
  - targets are unrealistic;
  - new indicators are needed.

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Purpose of technical check

IPA II (2014 - 2020)

- Identify indicators that need to be:
  - Refined
  - Added
  - Removed
- Ensure that system for collection of information may be put in place
  - Sources of information identified
  - Responsibilities set

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

IPA II (2014 - 2020)

SMART Objectives or SMART Indicators? – Both

Meaning you put in the letters is different

Specific/Sensititive

Measurable

Achievable/Agreed/Attainable/Available

Relevant/Realistic/Responsible/Reliable

Time-bound/Timely/Trackable

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

IPA II (2014 - 2020)

SMART Indicators

SENSITIVE to the changes induced as a result of actions taken

MEASURABLE progress can be shown and is not easily manipulated

APPLICABLE to the policy action taken

RELEVANT to the areas in question

TIME BOUND and TRACKABLE by showing changes over time

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

IPA II (2014 - 2020)

RACER – almost the same

RELEVANT closely linked to the result they measure.

ACCEPTED by management, stakeholders

CREDIBLE for non-experts, unambiguous and easy to interpret

EASY to collect

ROBUST against manipulation

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

IPA II (2014 - 2020)

Check of basic quality

- Is it an indicator?
- Is it possible to measure?
- Is it possible to give a clear definition?

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Definition of indicators

IPA II (2014 - 2020)

Short title	New road constructed / rehabilitated with IPA II support
Measurement unit	km
Definition (if needed)	Give a definition of rehabilitated road

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Definition of indicators

IPA II (2014 - 2020)

Short title	Renewable energy production supported by the EU (MWh per year)
Definition	Additional quantity of electricity expressed in MWh per year produced from renewable sources (hydro, solar, wind, geothermal) thanks to EU funded interventions

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Check the overall quality

Good Indicator	Number of solar water-heating systems and biomass-burning plants installed
Possible to improve	Number of staff, disaggregated by level, trained on gender equality and reporting changes in the way that they work.
Very bad indicator – difficult to improve	Increased employment opportunities through delivery of wide ranging assistance encompassing training, advice, exchange visits, elaboration of good practice examples to at least 20 Danube municipalities.

Linked to defined result

- Is the indicator measure progress towards an objective?
- Does the indicator capture the essence of the desired result?
- Link between levels of indicators?

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Useful /needed

IPA II (2014 - 2020)

- Have to serve at least following purpose:
  - Monitoring progress to results, or lack of it
  - Early warning on emerging problems
  - Transparency and accountability
  - Evaluations

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Relevant to the information needs of managers and stakeholders

- Who is going to use this information?

  Indicators should be relevant to the management information needs of users:

  – EU/ NIPAC/LI/ end beneficiaries/ other stakeholders

  – they may need different information (or breakdown of information) that is not included in the action documents/ programmes

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Sources of data

IPA II (2014 - 2020)

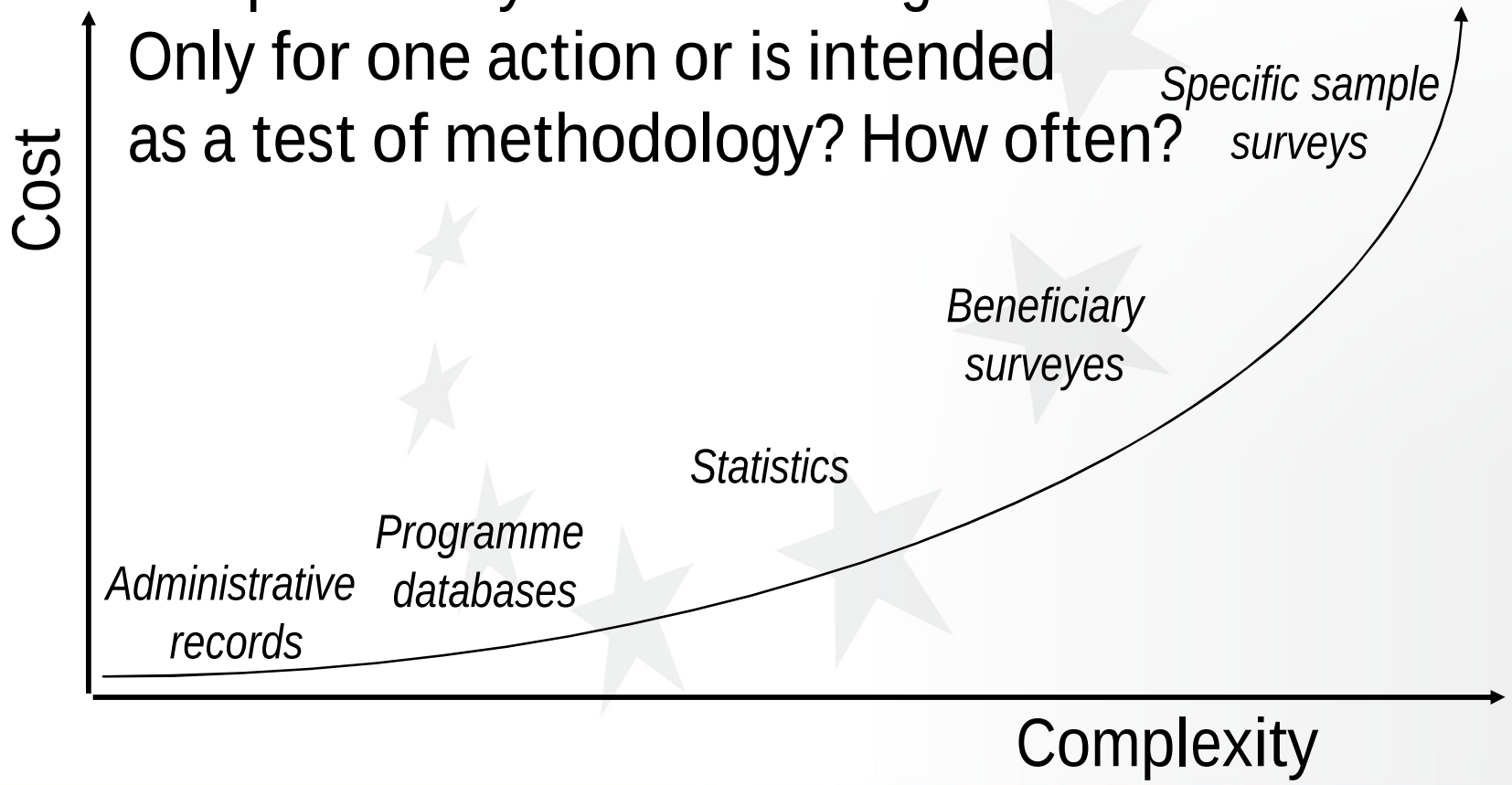
	Inputs	Outputs	Outcomes	Impacts
Statistics - International organizations indicators				
Surveys Rapid assessments				
Administrative registers				
Programme databases / management reports				
Financial data				

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir

Complexity and cost to collect information VS benefits

IPA II (2014 - 2020)

Sample survey? – New or regular?
Only for one action or is intended
as a test of methodology? How often?



Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Cost for recipients

IPA II (2014 - 2020)

- Often primary data is collected by recipients of EU support – grant beneficiaries/ contractors;
- Cost for collection and reporting of data may be very high (e.g. beneficiaries satisfaction surveys)

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

National statistical data

IPA II (2014 - 2020)

No data

- Does Turkstat have plans to introduce indicator?
- Is it needed only for the IPA II project or it going is going to be used for measuring the performance of the sector?
- What is the benefit of the indicator for the measuring of the performance of the sector?

Existing non published data:

- Prepare standard requests for retrieving existing information, if it is not publicly available
- Enquire about possibilities for access to existing data by users

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Will information be available, when needed

IPA II (2014 - 2020)

- An indicator needs to be collected and reported at the right time to influence management decisions.
- Indicators that are available after the project end may be used only for evaluation or lessons learned

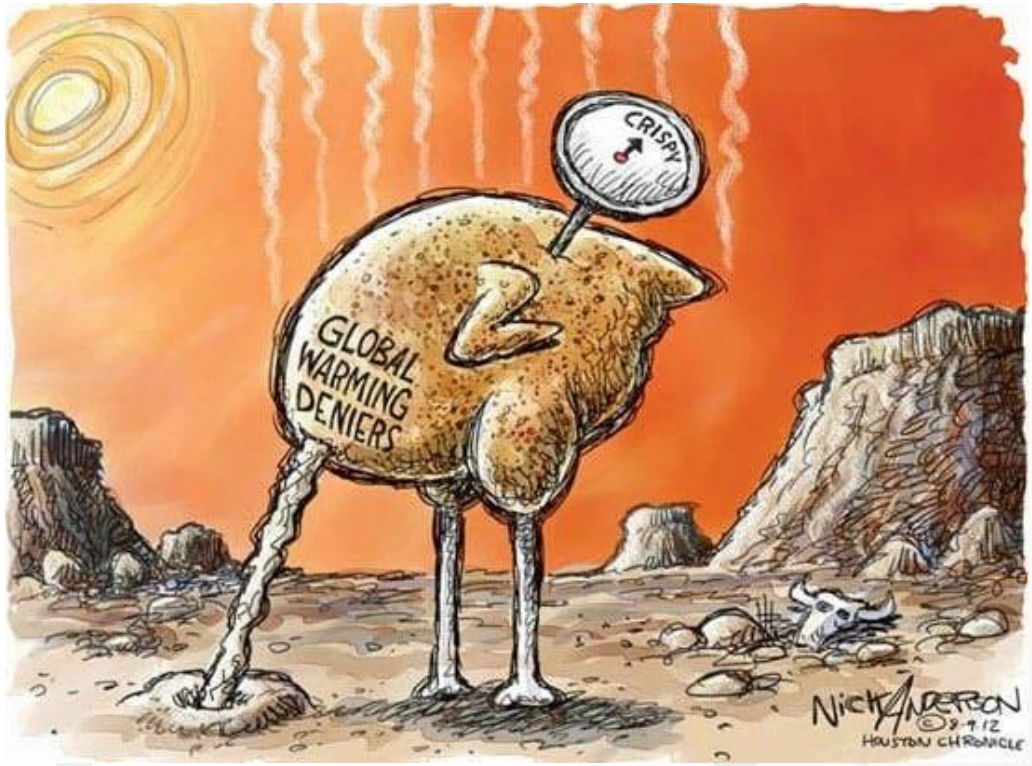
Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Summary - sources of information

IPA II (2014 - 2020)

- Questions to be clarified:
  - Are stated in the AD external sources exist/and relevant?
  - Are they reliable and accessible?
  - Are the costs for obtaining information reasonable?
  - Should other sources be used?

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.



BASELINES, TARGETS MILESTONES

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Basic Rules

IPA II (2014 - 2020)

- Baselines, milestones and targets are required for performance indicators
- However, they may be useful for some core logframe indicators as well

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Baselines

IPA II (2014 - 2020)

- Baselines reflect the situation at the beginning of the action or programme
- Reference point to measure progress
- If information on baseline is not available, it should be collected at the start of implementation

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Targets

IPA II (2014 - 2020)

- Targets are objectives to be achieved in the medium-term
- Between the baseline and the target there may be one or several milestones
- The progress of policies, programmes and actions is assessed by comparison of actual achievement with the target, taking into account the baselines

Indicator	Baseline (2014)	Milestone 2017	Target
Agricultural finance lending for agriculture sector (production and agroprocessing) (% of total lending)	3.6	4.8	7.0

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Setting targets

IPA II (2014 - 2020)

- Setting targets is an important part of good planning, but the quality and usefulness of such targets depends very much on when and by whom they are set
- Ideally targets have to be put:
  - in the start of the programing phase
  - often they are put in the last stage

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Important

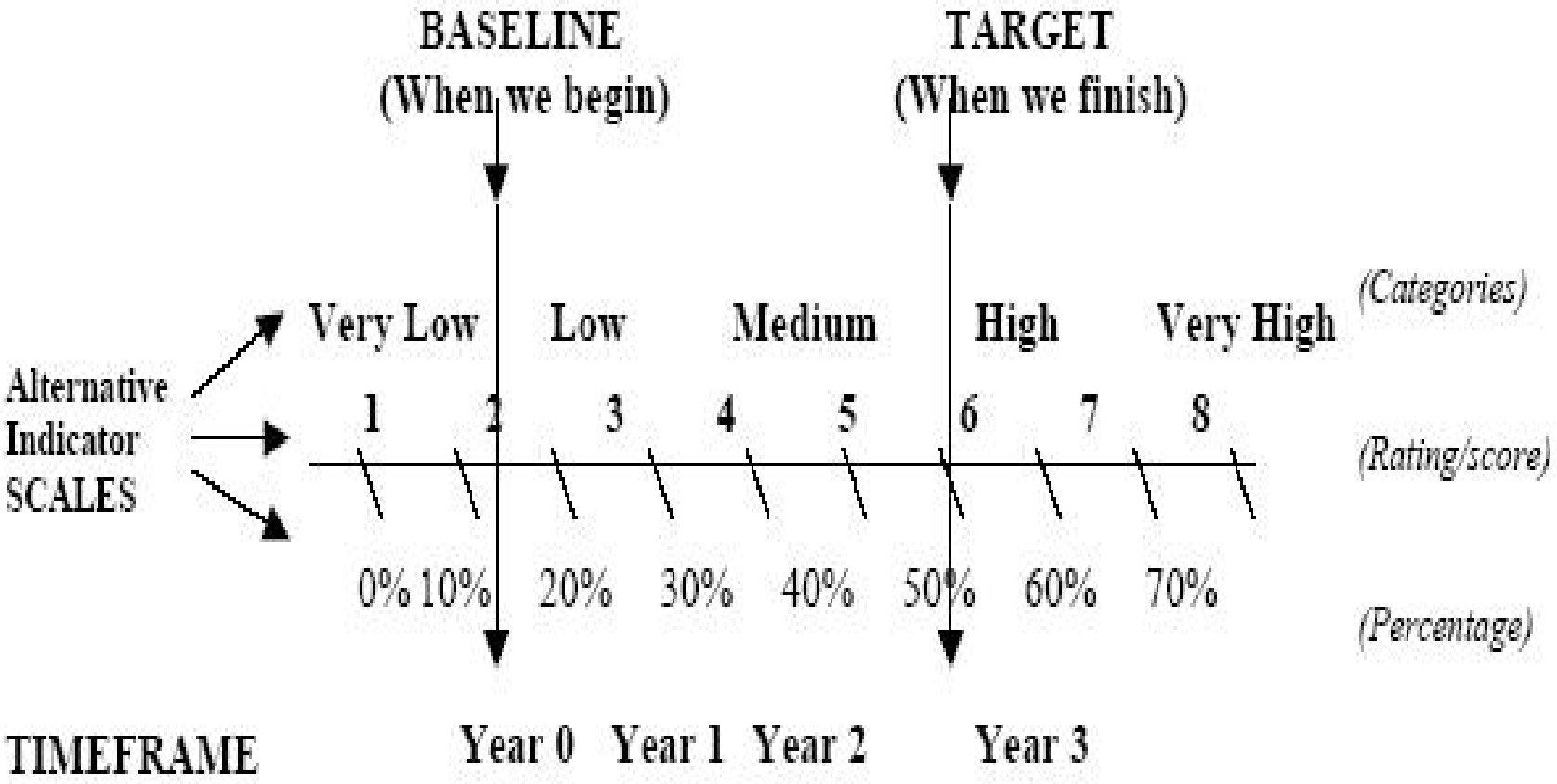
IPA II (2014 - 2020)

Make difference between the role of baseline and target:

- sector programme –
- policy programme
- IPA II operational performance framework

Sector Programme

School enrolment



Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

IPA II operational indicators

Indicator	Baseline	Target
Number of IPA II supported enterprises (output)	0	10 000
Jobs created in IPA supported enterprises	N/A	100

- Measure achievements of IPA II actions
- Baseline on the majority of indicators may be 0 or non/relevant:
  - Number of IPA II supported farmers (output)
  - Jobs created in IPA supported enterprises (outcome)

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Policy and expenditure programmes

IPA II (2014 - 2020)

- In assessing progress to target - the type of the programme has to be taking into account:
- In *policy development programmes* (e.g. programme for the alignment with the *acquis)*, which are not related to expenditures, it is possible to exceed the target, which usually indicates a good performance, for example higher than planned efforts and better coordination of institutions and stakeholders.
- In *expenditure related programmes* (e.g. Transport SOP), output targets are closely related to the allocated budget (e.g. every km. of reconstructed roads costs a certain amount of money).
- The overachievement of output targets in expenditure programmes is not expected and the incentive systems should not reward it.

Are the targets realistic

Setting correct target usually requires specialised expertise

- past experience (evaluation and studies)
- identify benchmarks (i.e., compare what results have been achieved by similar projects with a reputation for high performance)
- expert judgment

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Targets on Level 2 operational indicators

IPA II (2014 - 2020)

- Targets on operational indicators have to be linked to IPA II actions, otherwise they may not be used for monitoring of the performance of IPA II assistance.
- Do not put targets determined for the sector, unless IPA assistance is expected to have a tangible effect

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Targets on Level 2 operational indicators

If sector targets are used for outcomes and IPA II targets for outputs, the information will be very difficult to interpret

Example:

- Number of new business centres established with IPA assistance – 10

- Companies benefiting from services of newly created business centres (100,000) – combines IPA and non-IPA new centres

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

IPA II (2014 - 2020)

COLLECTION AND REPORTING OF DATA ON PERFORMANCE INDICATORS

CFCU

EY Building a better working world

College of Europe
Collège d'Europe
Brugge
Natolin

Türkiye Cumhuriyeti Avrupa Birliği Bakanlığı
Republic of Turkey Ministry for EU Affairs

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

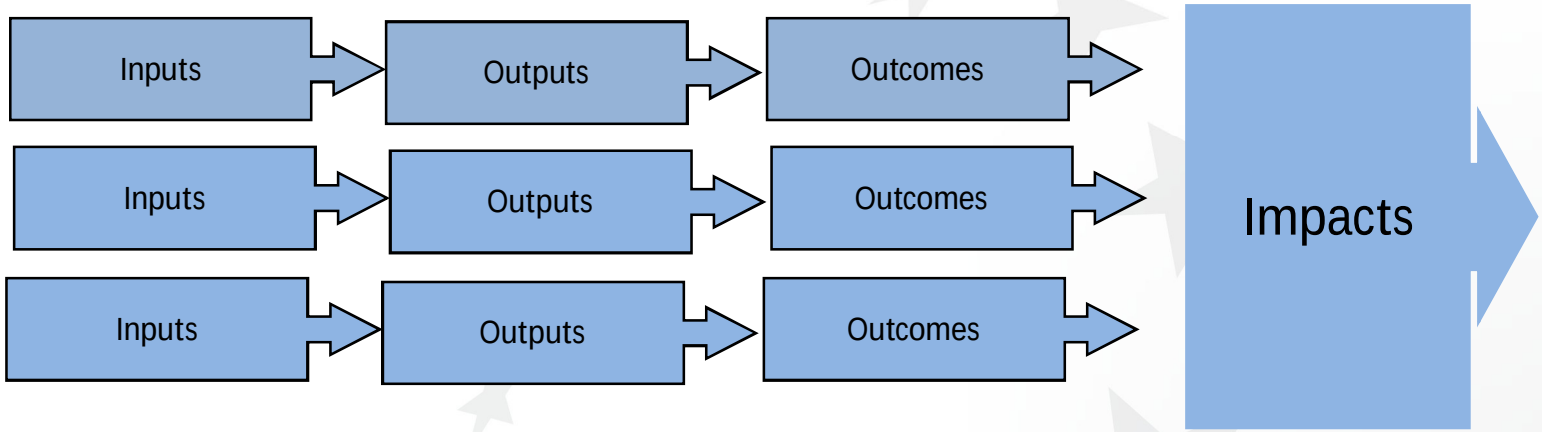
Important issues

IPA II (2014 - 2020)

- Who is responsible for registration, data entry and validation, aggregation?
- How the information will be registered?
- Who will be responsible for registration?
- What will be the form of registration?
- When/how regularily the information will be aggregated and reported?

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

IPA II (2014 - 2020)



- In the majority of cases it is required to collect information on outputs and outcomes of all contracts
- In order to aggregate information from individual contracts you need to establish system for registration, data entry and quality control

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Data on performance indicators without MIS

IPA II (2014 - 2020)

	Option 1	Option 2
NIPAC	Control	Control
Lead institution/OS	Controls and aggregates	Controls and aggregates
End Beneficiary institution	Data entry/ controls and aggregates	Controls and aggregates
Recipient	Register	Register/ data entry

IPA II operational indicators

- The list of indicator has to be communicated to the end-beneficiaries and recipients (grant beneficiaries, contractors)
- The recipient has to collect information on all relevant indicators

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

EU guidelines

IPA II (2014 - 2020)

- Monitoring system should be set up as soon as possible after the intervention is agreed,
  - this does not mean that all evidence needs to be collected from that point onwards.
  - Not all evidence needs to be collected at the same time – sometimes it is better to collect evidence as it happens, other times it can be done later.

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

How often to register/collect information

IPA II (2014 - 2020)

Outputs - training, advisory services, employment, enterprise support actions

Registration and data entry has to be continuous

Reporting to OS/NIPAC – semi-annually or annually – (more often high cost/little benefit)

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Sources of data and possible reporting frequency

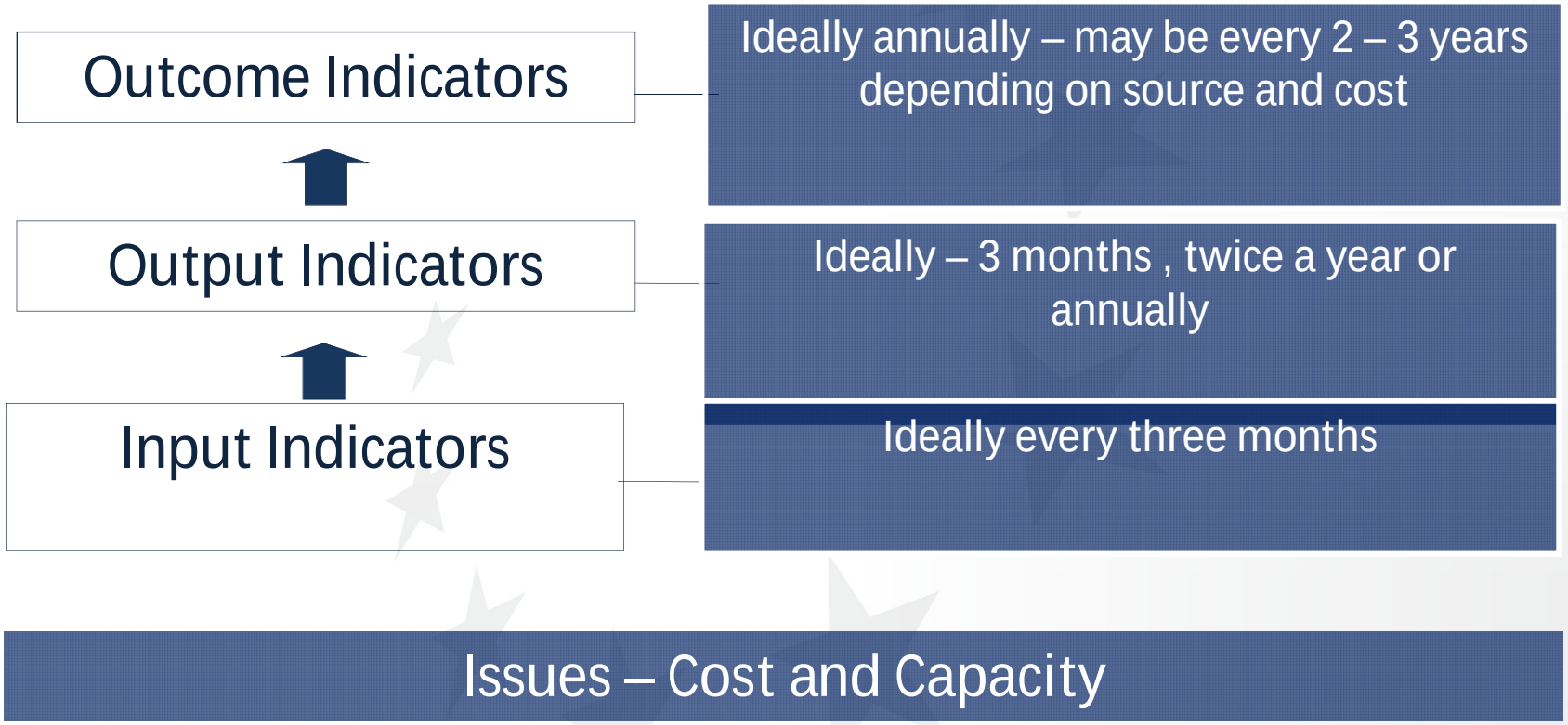
IPA II (2014 - 2020)

	Quarterly	Semi-annually	Annually	Bi-annually
Outcomes - statistics international organizations indicators				
Outcomes - surveys Rapid assessments				
Outcomes - administrative information systems				
Outputs – programme databases				
Financial data				

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

How often needed

IPA II (2014 - 2020)



Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Legal requirements

IPA II (2014 - 2020)

- Data on all operational performance indicators - reported annually with the IPA II Annual Implementation report
- Semi-annual reporting useful but not legally building and may focus on input and output indicators
- Quarterly only financial data and limited number of output indicators

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Performance indicators fiches

IPA II (2014 - 2020)

Need:

- Methodological guidance on indicators ensure consistency of measurement across actions/ contracts
- Permit meaningful aggregation of results

Required by NIPAC for all performance indicators – guidelines will be issued

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

IPA II (2014 - 2020)

DATA ANALYSIS AND DATA NEEDS

CFCU

EY Building a better working world

College of Europe
Collège d'Europe
Brugge
Natolin

REPUBLIC OF TURKEY
MINISTRY FOR EU AFFAIRS

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Use of analysis

IPA II (2014 - 2020)

- Gives information on the status of projects, programs, and policies
- Identify problems
- Creates opportunities to consider improvements in (projects, programmes, or policy) implementation strategies
- Provides important information over time on trends and directions
- Helps confirm or challenge the intervention logic

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Analysis of results

IPA II (2014 - 2020)

- In monitoring reports a minimum requirement is to conduct simple effectiveness analysis - comparing actual outputs/outcomes with planned targets.
- Comparisons over time
  - Input (type of support)
  - Output (by type of support)
  - Outcome
  - Output-outcome
- Standard division by output

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Analysis of results

IPA II (2014 - 2020)

- Monitoring data may be used for other regular analysis:
  - Economy - costs and physical inputs
  - Efficiency - costs and outputs or outcomes
- Quality outputs if such indicator is envisaged
- Envisage also information needs of evaluations – impact analysis

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Gender analysis

IPA II (2014 - 2020)

Gender analysis is needed in all sectors – horizontal issue

Therefore, it is compulsory to collect and report data by gender, where possible

Targets by gender are not compulsory, needed only if:

- actions directly address gender issues
- gender is a specific value added of the action

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Beneficiary/target group analysis

IPA II (2014 - 2020)

- Uptake of schemes by target group:
  - Size of company – micro, medium large
  - Employment status – employed, unemployed, etc.
  - Vulnerability – people with disabilities, migrants, etc.
  - Other important characteristics – education, experience family status, may be relevant
- Equity - extent to which disadvantaged groups have equitable access to results
- Requires collection of monitoring data by target group / beneficiary group

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Regional analysis

IPA II (2014 - 2020)

Analysis of outputs and outcomes by:

- Geographical region or type of area;
- Rural/urban

Requires collection of data by type of region (regional field in the registration form)

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Data analysis and data storage

IPA II (2014 - 2020)

To conduct analysis data sets have to be organized and stored in databases by contract and where relevant by case/beneficiary.

If data sets are available in electronic format:

- information may be sorted, screened, aggregated and summarised in different ways to meet different needs;
- Draw samples

Excel data base may be sufficient

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

IPA II (2014 - 2020)

MONITORING AT ACTIVITY LEVEL - PROGRAMME/ SECTOR LEVEL

CFCU

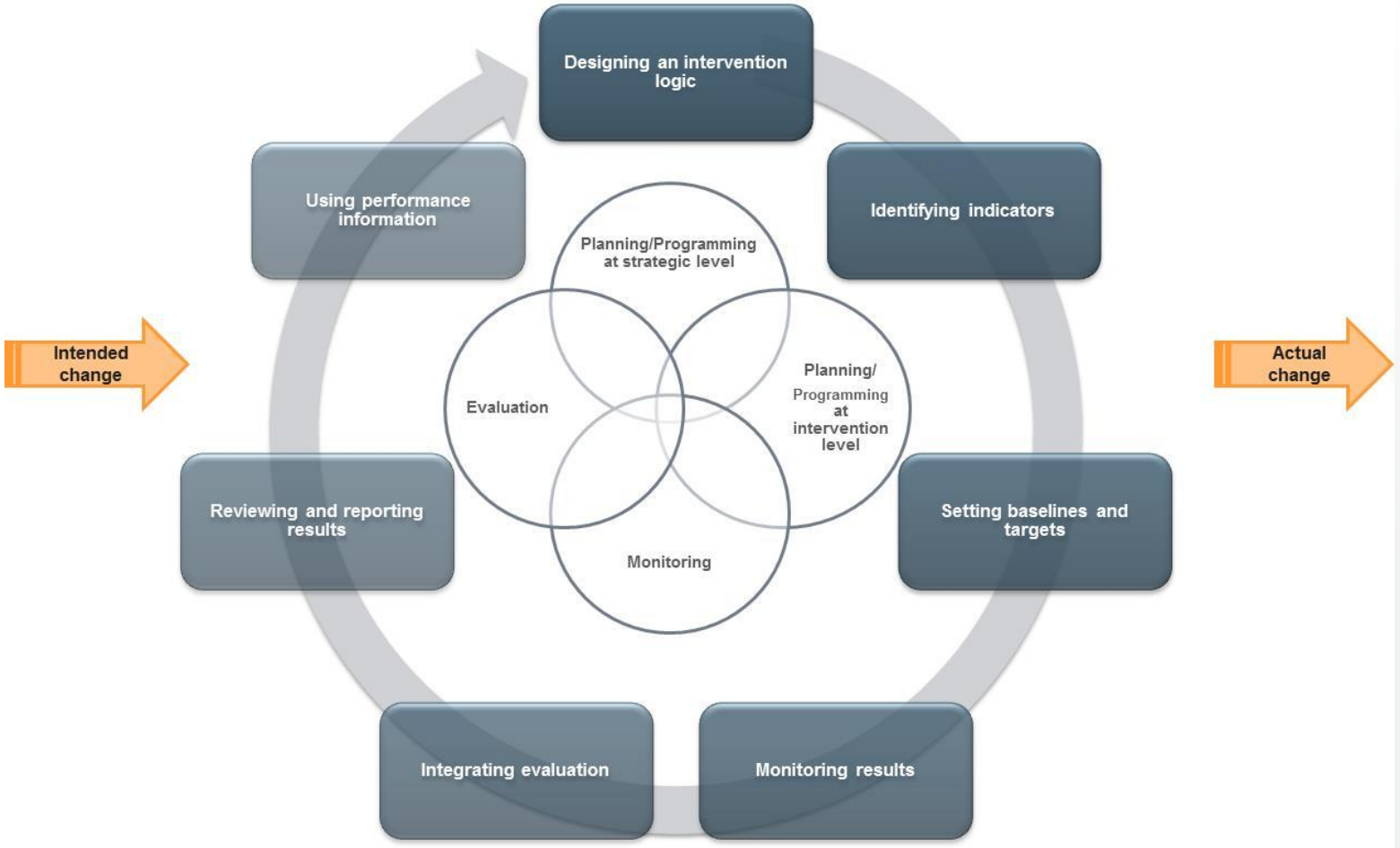
EY Building a better working world

College of Europe
Collège d'Europe
Brugge
Natolin

REPUBLIC OF TURKEY
MINISTRY FOR EU AFFAIRS

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Sector / Action
Cycle of programming, monitoring and evaluation



Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Internal-External Monitoring

IPA II (2014 - 2020)

- Internal monitoring - monitoring undertaken by the programme implementing partners, using their own system and procedures, to meet there own ongoing management information needs
  - Different levels – different aspects of the programme – action
- External monitoring – refers to monitoring executed by external bodies
  - Result-Oriented Monitoring?

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Different Levels different partners/ different focus

IPA II (2014 - 2020)

Implementation partners

- NIPAC – Commission all level
- Operating structure – programme
- Action/Activity/Contract

Consultative bodies

- IPA Monitoring Committee
- Sectoral Monitoring Committee
- Steering Committees

ROM

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Result-Oriented Monitoring

IPA II (2014 - 2020)

- System for *independent review* – (should) serve similar purposes as evaluation, focused on
  - Independent analysis of design and performance, to identify risks and study existing problems and
  - Provide recommendations for risk mitigation or corrective measures

- NEW: ROM will be used only if it can bring benefits of improved performance. Thus, it will not be scheduled for actions, which are close to completion or where problems and risks are low or well known

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

NEW ROM - COVER

IPA II (2014 - 2020)

- Actions under annual action programmes
- Capacity building and institution strengthening actions under multi-annual action programmes (example technical assistance or twinning for strengthening of the employment services)

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

ROM Review

IPA II (2014 - 2020)

Focus on *high-risk* actions

- Actions with already *registered implementation problems*: slow absorption of funds, serious delays in implementation or other problems threatening achievement of objectives
- *Innovative actions*, whose design incorporates or relies on untested in the local conditions methods or unfamiliar, new technologies and processes, such as development or transfer of instruments, methods, or approaches for delivery of public services or for the management of public administration which are new to Turkey. The innovativeness of the actions will be judged based on review of their methodology
- *Sensitive actions*, for which there was a controversy among the stakeholders during the programming stage or whose objectives are not well understood by the public, or there are stakeholders who may actively campaign against them, or other similar reasons
- Actions implemented by bodies with *weak institutional capacity* or lack of experience in management of IPA projects.

Start of Implementation

- Review Action Documents
  - Risk
  - Planned results and activities
  - Monitoring indicators
- Ensure that all results are still relevant
- Identify risks and way to address them

Start of Implementation (2)

- Revise indicators, where necessary
- Establish responsibilities for collection of data on monitoring indicators
- Collect and analyse information on monitoring indicators

Start of Implementation (3)

- Develop detailed work plan(s) with milestones, where relevant
- Set clear responsibilities for monitoring at all levels
- Ensure that beneficiary(es) - established an adequate system for internal monitoring
- Create reliable and effective structures for co-ordination between components /institutions/beneficiaries

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Procurement

IPA II (2014 - 2020)

- Ensure timely procurement
- Change the current system of management and monitoring of the procurement – currents system is ineffective (plans, reports, delays, meetings, action plans, more meetings ….)

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Implementation period

IPA II (2014 - 2020)

- Effectively participate in the co-ordination meetings / SC/ SMC
- Monitor risks and problems and propose relevant and timely corrective actions
- Provide effective follow-up on recommendations / corrective actions
- Prepare good quality monitoring reports

End of Implementation

- Make sure that achievements are properly documented
- Ensure that results are sustained/ multiplied
- Identify and document Lessons Learned

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

IPA II (2014 - 2020)

ACTiON LEVEL RISK MANAGEMENT AND RISK MITIGATION MEASURES

CFCU

EY Building a better working world

College of Europe
Collège d'Europe
Brugge
Natolin

Türkiye Cumhuriyeti Avrupa Birliği Bakanlığı
Republic of Turkey Ministry for EU Affairs

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

What is operational risk

IPA II (2014 - 2020)

- 2 types of risks at operational level
  - the potential for an action to fail to achieve its objectives in line with the principles of economy, efficiency and effectiveness
  - the potential for the action to cause harm, including harm to reputation of EU or IPA II bodies

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Risk management – after action approval

IPA II (2014 - 2020)

Risks must be identified in programming, but they usually are poorly identified

1. Identify key risks

Record the risks and changes in risk (risk registers or at least monitoring reports)

2. Identify what to do about each risk
3. Decide who is responsible for actions
4. Monitor and learn

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Risk identification

IPA II (2014 - 2020)

1. What can go wrong?
2. What factors are / can be constraining performance
3. What could be the cause?
4. What could be the consequences or the impact?
5. How could this risk be managed?

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Assessment of operational risk

IPA II (2014 - 2020)

Where to start from?

- Understanding objectives, success factors
- Assessment of the capacity of beneficiaries to manage action – resources, experience, commitment

Awareness about potential risks - use

- Knowledge of people
- Documents – evaluation reports, implementation reports, studies
- Methodologies - increasing number for every area in which objectives and processes are know in advance – e.g. procurement

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Risks - Economy

IPA II (2014 - 2020)

Inputs

Efficiency

Outputs

- ‘Gold plating’ – costly features that are not necessary
- Unnecessary inputs
- Overpaying

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Risks – Efficiency

IPA II (2014 - 2020)

Inputs

Efficiency

Outputs

- Risk for delivery of outputs -
  - e.g. Management failures – poor planning - slow implementation of the intervention
- Risk for quality of outputs
- Non optimal input/output ratios

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Risks – Effectiveness

IPA II (2014 - 2020)

Objectives

Effectiveness

Outcomes

- Nature of action: complex, innovative design
- Quality of design: inadequate assessment of needs, unclear or incoherent objectives, etc.
- Management – wrong selection of target groups
- Innovative design
- Beneficiaries not committed to action objectives

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Risk to reputation

IPA II (2014 - 2020)

- Cross-cutting risks - gender, environment, social issues, climate change
- Corruption and fraud
- Objectives of the policy are not publicly accepted

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Risk formulation

IPA II (2014 - 2020)

cause + problem + impact

Cause: what are the main reasons for the problem?

Problem: what is the problem?

Impact: what are the most important potential consequences?

Due to lack of public acceptance of the policy objective media may start negative publicity campaign which will cause significant damage of the EU reputation

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

5 major risks

IPA II (2014 - 2020)

- Poor design (Project AD)
- Delays in contracting and implementation
- Poor performance of beneficiaries/contractors/ experts
- Lack of commitment of end-beneficiaries
- Lack of inter-institutional co-operation

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Risks related to design

IPA II (2014 - 2020)

- Action no longer needed
- Poor design – original or modified
  - Overambitious objectives
  - Excessive number of activities
  - Complex co-ordination
  - Wrong sequencing
  - Vague results/objectives
  - Wrong beneficiary

What can be done?

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Problems related to efficiency - delays

IPA II (2014 - 2020)

- Complex procurement
- Poor initial planning of activities
- Poor /no project management
- Poor project design
- Poor performance of contractor
- Problems between beneficiary /contractors
- Contracting authority delays

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Poor quality

- Poor quality of deliverables – strategies, manuals, SOFTWARE, etc.

Reason:

- Lack of experience or commitment of consultant or beneficiary
- Wrong project strategy
- Lack of motivation

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Lack of co-operation

IPA II (2014 - 2020)

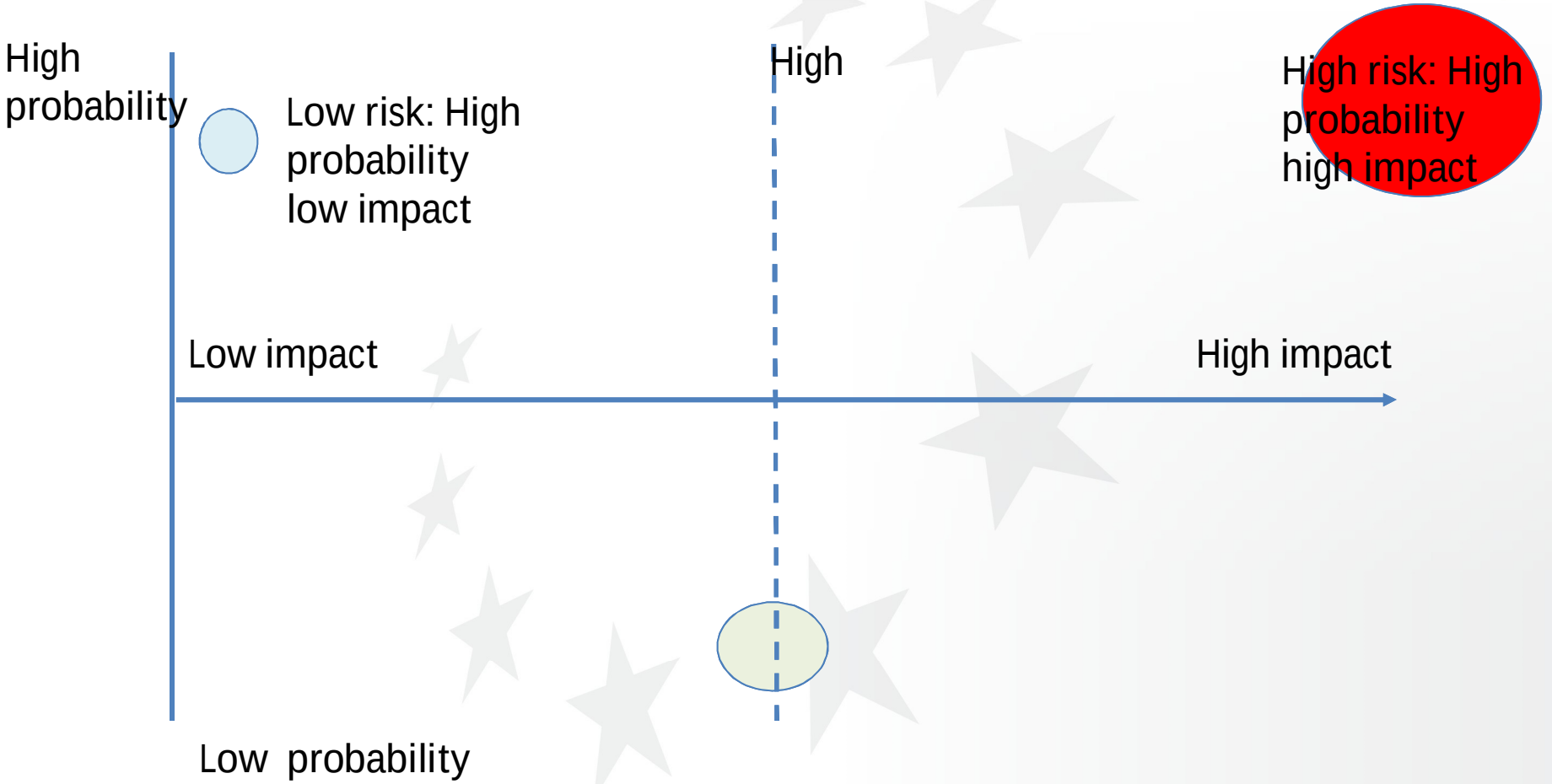
Typical problems:

- One beneficiary implements the project without consulting with others
- Some beneficiaries do not implement assigned tasks
- Argue about division of resources

Problems related to co-operation should not be underestimated - may lead to project failure / termination/ reputational risks

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Assess risk level



Analyze - likehood /probability and potential impact of the risks and determine the risk level

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Risk mitigation actions

IPA II (2014 - 2020)

Relevant to risk level and address cause of the risk

- Amendment of activities
- Changes in the team
- Improvement of management
- Contract termination
- Additional resources

Effective follow-up

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

IPA II (2014 - 2020)

MONiTORiNG ViSiTS ON ACTiViTY LEVEL / CONTRACT LEVEL

DG NEAR Guidelines (89-95)

CFCU

EY Building a better working world

College of Europe
Collège d'Europe
Brugge
Natolin

REPUBLIC OF TURKEY
MINISTRY FOR EU AFFAIRS

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Preparation (1)

IPA II (2014 - 2020)

- Study of project documents
- Identify key issues that need to be addressed during the visit - look at the risk assessment, work plan, issues raised in progress reports, previous meetings
- Set the purpose of the visit: What will be the visit focus?

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Preparation (2)

IPA II (2014 - 2020)

- Distinguish between control activities and monitoring activities. In all visits, in addition to others, plan:
  - Assessment of the progress in implementation
  - Assessment of the quality of outputs and outcomes
- Develop a preliminary list of key questions that would be useful to ask

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Preparation (3)

IPA II (2014 - 2020)

- Prepare list of persons to meet
- Consider strengths and weaknesses of group or individual interviews
- Plan collection of information from more than one source (triangulation) and compare information from:
  - Reports and interviews with the management team (check for consistency)
  - Interviews with beneficiaries vs interviews with the management team
  - Opinion of stakeholders
- Determine what will be physically inspected and how

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Preparation (4)

IPA II (2014 - 2020)

Tips

- Do not allow beneficiary to plan your visit, e.g. to select persons to be interviewed
- In case of several project sites do not plan to visit only the one close to the project office
- Plan the visit to coincide with project events – conferences, trainings (easy to meet beneficiaries)

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Conducting visit (1)

IPA II (2014 - 2020)

1. Conduct interviews with:
    - Team members
    - Partners, if any
    - Stakeholders
    - Sample of final beneficiaries (if any)
2. Observe – behaviors, attitude to project, training premises, etc.
3. Review documentation
4. Carry out physical inspection, if planned

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Conducting visit (1)

IPA II (2014 - 2020)

In interviews

- Do not follow the sequence of questions in checklist/ template or the report
- Some of the questions may not be asked directly since they are intended to record your overall impression
- Start with non-sensitive questions, gradually introduce non-sensitive questions
- Do not ask questions that have “no” or “yes” answer
- Encourage interviewed to detail the basis for their conclusions
- Be curious about details!

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Ending the visit

IPA II (2014 - 2020)

- Verify that you have received answers to all your questions
- Repeat the main point, to make sure that you have correctly understood the situation
- You may share overall impressions,

  …. but abstain from making conclusions and recommendations during the visit (unless you are absolutely sure)
- Communicate / discuss during the visit all unpleasant facts – ineligible costs, etc.

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

After the visit (1)

IPA II (2014 - 2020)

- Review and analyse collected information
- Collect additional information, request further clarifications, if necessary
- Draw conclusions on the important points that were in your visit plan
- Provide clear recommendations - with responsibilities and deadlines
- Follow-up implementation of recommendations

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

IPA II (2014 - 2020)

Reports to the Monitoring Commetee / Annual Implementation Reports

CFCU

EY Building a better working world

College of Europe
Collège d'Europe
Brugge
Natolin

Türkiye Cumhuriyeti Avrupa Birliği Bakanlığı
Republic of Turkey Ministry for EU Affairs

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Timeline of reports

IPA II (2014 - 2020)

- Reports on the performance of sectors are required for the SMC meetings (twice a year) and for the IPA MC (annual) plus
- Input to the Annual IPA II implementation report due 15 February (template from NIPAC)
- Reports to MC have to be ready at least 15 days before the MC meeting date, therefore preparation of the reports must start at least 40 days before the MC meeting

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Key rules for reports

IPA II (2014 - 2020)

- Reports have to (be) analytical, balanced, and supported by facts
- Descriptive parts have to be kept to the necessary minimum
- If data is given, then it needs to be described and analysed in the text
- There must be a correspondence between narrative part and tables or annexes/ between main part, conclusions and recommendations
- Reports must provide core information on the status, problems and objectives
- Writing style – consistent, clear, concise

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Table and graphs

IPA II (2014 - 2020)

- Tables and graphs may used to reinforce important messages
- Tables in the main body of the report have to be analytical
- If relationship between two or more variables is explained use graphs.
- Graphs must be clearly labelled and not overloaded with data and variables.
- Graphs within the same report must have the same style

Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

Key rules (continued)

IPA II (2014 - 2020)

- OSs are responsible for submitting high-quality reports to the NIPAC.
- QS must ensure quality control of the reports – 4 eyes
- Sufficient time has to be allocated for drafting reports