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***Avrupa Birliđi Bakanlıđı***  
***IPA II Teknik Destek Projesi***

***Ministry for EU Affairs***  
***Technical Assistance for IPA II***

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

**30-31.1.2018 –Training on Monitoring**

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# Training on Monitoring

**Day 1**  
**30.1.2018**



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# Training Agenda – Day 1



Sessions	Topic
9:30-10:00	Welcome Introduction to the training Training programme overview
10:00-10:45	Entry test Module overview Legal provisions concerning monitoring in IPA II Definition and purpose of result-oriented monitoring (performance monitoring framework and indicators)
10:45-11:00	Break
11:00-12:30	Roles and responsibilities in monitoring: - NIPAC - NAO - OSs - End Beneficiaries / BIs - IPA / Sectoral Monitoring Committees Monitoring and reporting flows
12:30-13:30	Lunch break
13:30-14:45	Activity level monitoring Link between input – output / outcome / result Types (levels) of indicators and reference documents Practical steps to identify, quantify and validate indicators  Overview of main principles: focus on continuous relevance, efficiency, effectiveness and sustainability
14:45-15:00	Coffee Break
15:00-16:15	Link between the objectives and actual achievement (output / outcome indicators)  Collection and verification of data on monitoring indicators – activity level
16:15-16:30	Questions&Answers for Day 1





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# Training Agenda – Day 2



Sessions	Topic
9:30-10:45	<p>Welcome</p> <p>Review of Day 1</p> <p>Planning and implementation of monitoring activities <b>during the procurement phase</b></p> <ul style="list-style-type: none"> <li>- Preparation of timetable for submission of technical documents</li> <li>- Submission of technical documents</li> <li>- Evaluation process</li> </ul> <p>Planning and implementation of monitoring activities <b>during the activity implementation</b></p> <ul style="list-style-type: none"> <li>- Verification of the daily activity progress: technical monitoring (outputs) and financial monitoring (expenditure)</li> <li>- Risk management and monitoring of preventive and mitigation measures</li> <li>- Management of contracts: contract amendments, revision of indicators, contractor's reports</li> </ul>
10:45-11:00	Coffee Break
11:00-12:30	<ul style="list-style-type: none"> <li>- Desk and on-the-field activity monitoring</li> <li>- reviewing beneficiary's / contractor's reports</li> <li>- performing monitoring visits during the implementation of activities (desk preparation, visit implementation, use of checklists)</li> <li>- Monitoring specificities for different types of contracts (service, supply, works)</li> </ul>
12:30-13:30	Lunch
13:30-14:45	<p>Planning and implementation of monitoring activities <b>after the end of activity implementation</b></p> <ul style="list-style-type: none"> <li>- Delivery of outputs</li> <li>- Verification of sustainability and financial viability</li> <li>- Performing monitoring visits (desk preparation, visit implementation, use of checklists)</li> <li>- Monitoring specificities for different types of contracts (service, supply, works)</li> </ul>
14:45-15:00	Coffee Break
15:00-16:00	<p>Preparation of Monitoring Reports: focus on state of play, summarising the conclusions on the performance and preparation of the action plan / corrective measures</p> <p>Follow-up actions</p>
16:00-16:15	Questions & Answers for Day 2
16:15-16:30	<p>Exit test</p> <p>Evaluation of the training by participants</p> <p>Closure of the training</p>



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# Definition of Monitoring



- **Monitoring** - the continuous process of examining the context of the activity / programme, the use of funds and the delivery of activity / programme inputs, outputs and results, which is carried out during the implementation of an activity / programme with the intention of immediately correcting any deviation from the objectives
- programme management tool for on-going collection, analysis and use of information, both quantitative and qualitative, about action / programme progress and the results being achieved





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# Definition of Evaluation



- **Evaluation** - the main objective of evaluations is to find the impacts of the programme on the given situation, filtering out the effects of other policies or programmes, and other trends and processes
- systematic and objective assessment of an on-going or completed intervention, its design, implementation and results





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# Monitoring vs Evaluation



MONITORING	EVALUATION
Explain the objectives of the activity / programme	Analyses why the planned results are (not) achieved
Connects the activities and outputs with the objectives	Evaluates specific contribution of the activities to the results
Translates the objectives into indicators and defines objectives	Analyses implementation processes
Continuously collects the data and compares the achieved results with objectives	Analyses unintentional results
Reports on progress to persons responsible for management and warns them to the problems	Concludes on lessons learnt, main achievements and programme potentials and propose improvements





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# Monitoring vs Evaluation



	Monitoring	Evaluation
<b>Objectives</b>	To assess the progress towards objectives – outputs	<ul style="list-style-type: none"> <li>- To conduct an overall assessment of an on-going or completed intervention, its design, implementation and results</li> <li>- To provide recommendations for the improvement of on-going interventions; to draw lessons learned for future interventions;</li> </ul>
<b>Focus</b>	Key question: What is the intervention doing and how much the implementation is progressing?	Key question: To what extent and why is the intervention producing (or failing to produce) the specific outcomes and impacts?
<b>Timing</b>	Continuous, all along the action and programme duration	At specific moments of the implementation cycle
<b>Methods</b>	<ul style="list-style-type: none"> <li>- Greater emphasis on quantitative indicators</li> <li>- Output and process indicators</li> <li>- Quick exercise gathering the data from structured internal systems</li> </ul>	<ul style="list-style-type: none"> <li>- Greater emphasis on qualitative indicators</li> <li>- Outcome and impact indicators</li> <li>- Rigorous and sophisticated exercise, gathering data emerging from external sources, such as research</li> </ul>
<b>Reports</b>	<ul style="list-style-type: none"> <li>- Standard and comparable formats</li> <li>- Reports on progress</li> </ul>	<ul style="list-style-type: none"> <li>- Less standardised presentation</li> <li>- In-depth analysis on selected issues linked to the achievement of intended objectives</li> <li>- Provide lessons and recommendations</li> </ul>
<b>Responsibilities</b>	End-beneficiary institutions, LIs/OSs, NIPAC	Independent evaluators (internal or external)





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# Legal provisions



- Regulation (EU) 236/2014, *Article 12*:  
„The Commission shall regularly monitor its actions and review progress made towards delivering expected results, covering outputs and outcomes. The Commission shall also evaluate the impact and effectiveness of its sectoral policies and actions and the effectiveness of programming. ... The Commission shall send its evaluation reports to the European Parliament, to the Council and to the Member States ...”





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# Legal provisions



- Regulation (EU) 236/2014, *Article 5 (4)*:  
„The framework agreement and, where relevant, sectoral agreements shall lay down, in particular, detailed provisions concerning:  
(a) the structures and authorities needed for the management, control, supervision, monitoring, evaluation, reporting and audit of IPA II assistance, as well as their functions and responsibilities.”





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# Regulation (EU) 236/2014



## *Article 7:*

„ The IPA II beneficiary shall establish the following structures and authorities needed for the management, control, supervision, monitoring, evaluation, reporting and internal audit of IPA II assistance:

- (a) the National IPA Coordinator (NIPAC);
- (b) the National Authorising Officer (NAO);
- (c) the Operating Structures.”





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# Regulation (EU) 236/2014



## *Article 18(2):*

„The IPA monitoring committee shall review the overall effectiveness, efficiency, quality, coherence, coordination and compliance of the implementation of all actions towards meeting their objectives.”

## *Article 19(2):*

„Each sectoral monitoring committee shall review the effectiveness, efficiency, quality, coherence, coordination and compliance of the implementation of the actions in the policy area or programme and their consistency with the relevant sector strategies.”





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# Performance monitoring - focus on results



- Regulation (EU) 231/2014, *Article 2*:  
„1. Assistance under this Regulation shall pursue the achievement of the following specific objectives according to the needs of each of the beneficiaries...  
2. Progress towards achievement of the specific objectives ... shall be monitored and assessed on the basis of pre-defined, clear, transparent and, where appropriate, country-specific and measurable indicators...”





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# Regulation (EU) 231/2014



## *Article 6:*

„1. Assistance under this Regulation shall be provided on the basis of country or multi-country indicative strategy papers...

2. The strategy papers shall define the priorities for action towards meeting the objectives...

3. The strategy papers shall include the indicative allocation of Union funds ... The strategy papers shall include the indicators for assessing progress...



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# Regulation (EU) 231/2014



4. The Commission shall make an annual assessment of the implementation of the strategy papers... The Commission shall inform the committee ... of the results of that assessment and may propose revisions of the strategy papers...”

## *Article 14:*

„1. The strategy papers ... shall provide for an appropriate amount of assistance to remain available to reward an individual beneficiary ... for:





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# Regulation (EU) 231/2014



- (a) particular progress made towards meeting the membership criteria; and/or
  - (b) efficient implementation of pre-accession assistance whereby particularly good results are achieved with respect to the specific targets set in the relevant strategy paper.
2. Where the progress made and/or the results achieved by a beneficiary ... remain significantly below the agreed levels ..., the Commission shall adjust the allocations proportionately...





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# Regulation (EU) 231/2014



3. An appropriate amount shall be set aside for the rewards ... and shall be allocated on the basis of an assessment of performance and progress over a period of several years but not later than in 2017 and 2020 respectively. The performance indicators ... as specified in the strategy papers, shall be taken into account.
4. The indicative allocation of Union funds ... shall take into account the possibility of allocating the additional funds concerned on the basis of performance and/or progress.”





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# Effectiveness is the overall principle



Main points for result orientation:

1. Result orientation of assistance
2. Monitoring through indicators
3. Performance assesment (Evaluation and Reporting)
4. Rewards for particularly good results /  
Adjustment (reducement) of the allocations for  
results achieved significantly below the agreed  
levels





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# Lessons learned from previous programming periods



- Previous programmes were often designed mainly to spend
- Objectives were vague
- Sometimes it was hard to recognize success or failure
- Difference between monitoring and evaluation was not clear
- Consequently, it was difficult to demonstrate value of the implemented policy





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# „Old approach”



Needs

Objectives

Input



Output



Result



Impact

direct, short term

indirect, long term, wider



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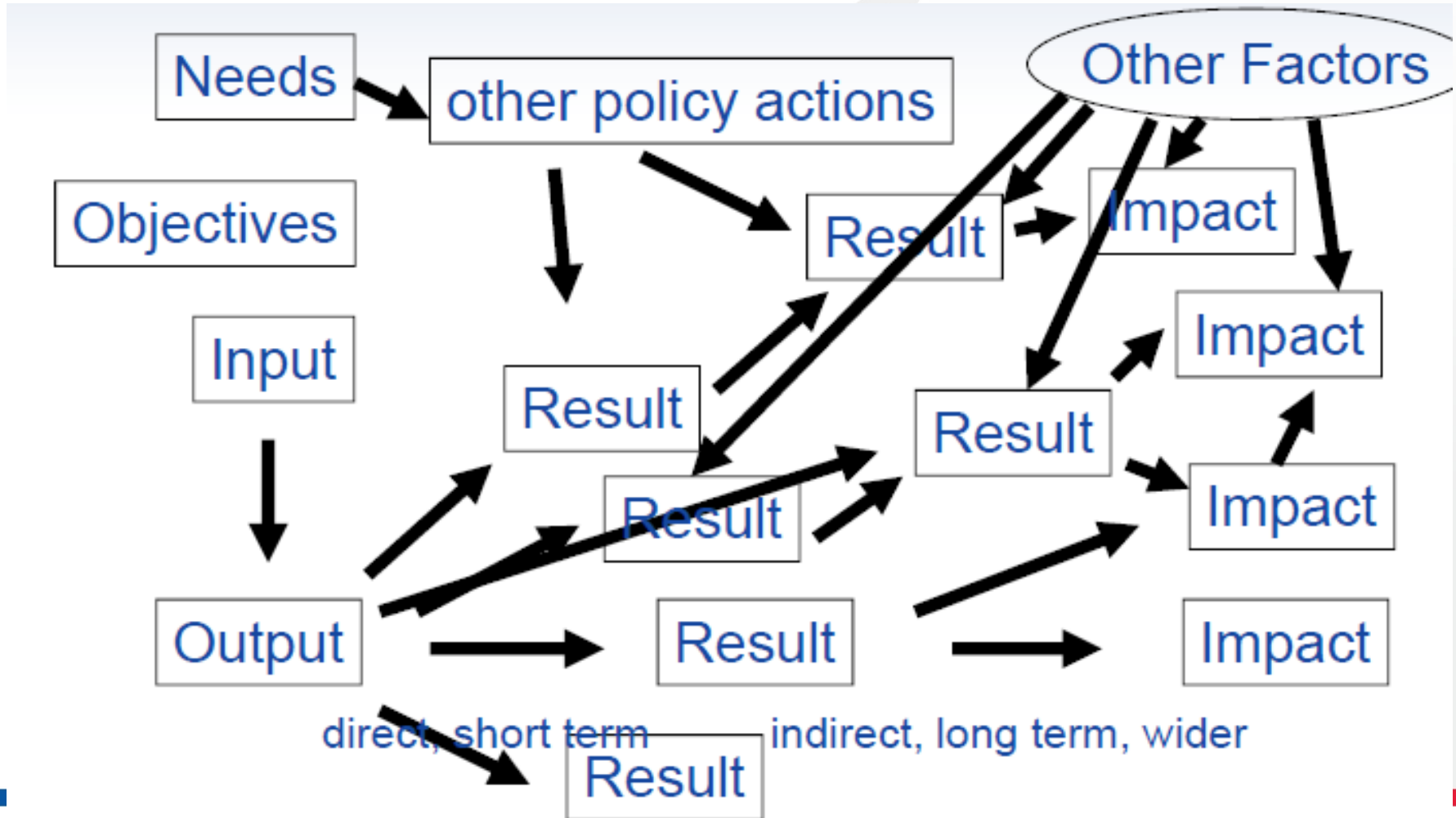






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# „Old approach” and reality







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# What was proposed to change the approach



- Focus on results (not only spending)
- Programmes with clear articulation of what they aim to change and how
- Better gathering of basic data on outputs
- Reward for the good performance
- The annual assessment of the implementation made by the EC





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# Main challenges



- Missing common definitions - what is 'disadvantaged person' or 'SME'?
- Too many indicators – to strive towards smaller number of indicators of better quality
- Problems with the aggregation - indicators defined as percentages
- Problems with the unit of measurement
- Good programming as a pre-condition for indicators





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# The role of NIPAC



- The NIPAC shall be 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.





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# The role of NIPAC



- The NIPAC shall:
  - (a) take measures to ensure that the objectives set out in the actions or programmes for which budget implementation tasks have been entrusted are appropriately addressed during the implementation of IPA II assistance
  - (b) coordinate the drawing up of an evaluation plan in consultation with the EC presenting the evaluation activities to be carried out in the different phases of the implementation





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# The role of NIPAC



- Ensure effective monitoring, evaluation and reporting of IPA II assistance;
- Ensure that the objectives set out in actions or programmes are appropriately addressed during the implementation of IPA II.
- 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.



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# The role of NIPAC



- 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 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;
- 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







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# The role of NAO



- The NAO bears overall responsibility for the financial management of the funds under IPA II and for ensuring the legality and regularity of the procedures
- The NAO is, in particular, responsible for;
  - a) management of IPA II accounts and financial operations via the National Fund,
  - b) the effective functioning of the internal control systems for the implementation of IPA II assistance





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# The role of NAO



- After the Commission has entrusted budget implementation tasks, the NAO shall be responsible for monitoring the continuous fulfilment by the management structure and the operating structures of the applicable requirements by:
  - Monitoring effective and efficient functioning of the management and control systems
  - Collecting and reporting data on process indicators





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# The role of operating structure

- The operating structure shall be responsible for the implementation, information and visibility, monitoring and reporting of programmes, and the evaluation thereof whenever relevant, in accordance with the principle of sound financial management, and for ensuring the legality and regularity of the expenditure incurred in the implementation of the programmes under its responsibility.





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# The role of Lead Institutions and operating structure



- 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;





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# The role of Lead Institutions and operating structure



- 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;
- Provide follow-up on the corrective actions identified and agreed in monitoring and evaluation activities;





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# The role of Lead Institutions and operating structure



- 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;
- Report to NIPAC on monitoring and evaluation activities and results of the actions.





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# The role of End Beneficiaries / beneficiary institutions



- The End Beneficiary Institutions are responsible for:
  - the management,
  - technical implementation,
  - coordination,
  - supervision and
  - assessment of actions and sustainability of their results





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# The role of End Beneficiaries / beneficiary institutions



- Monitors the implementation process closely in order to ensure whether the activity (activities under relevant Action) is in progress in line with objectives / Monitors the activities completed in order to ensure that the objectives set out in the relevant Action document are achieved
- Annual Action programmes:
  - End Beneficiary and Lead Institution
- Multi-annual Action programmes:
  - End Recipient of Assistance





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# The role of End Beneficiaries / beneficiary institutions



- Implement and/or manage activities, including planning, co-ordinating, monitoring, control
- Report to LIs on implementation, performance indicators and monitoring activities.
- **The role of Recipients** (contractors, grant recipients, etc.) is to:
  - Implement and monitor timely and efficient implementation of activities defined in contracts/agreements;
  - Report to OS and Steering Committees (if applicable)





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# Reporting requirements to the EC by NIPAC



- By 15 February of the following financial year, the NIPAC shall provide the EC with an annual report on the implementation
- The report shall include in particular:
  - a) involvement of the IPA II beneficiary in programming, monitoring and evaluation, communication and visibility efforts;
  - (b) problems encountered in meeting the required conditionalities and in ensuring sustainability, related measures taken /





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# Reporting requirements to the EC by NIPAC



planned, main horizontal problems encountered and mitigating measures taken, problems encountered during implementation of activities;  
(c) information on the indicators set up in the strategy papers and in the programming documents

- In addition the NIPAC shall provide the EC with an annual report on the implementation of the entrusted budget implementation tasks by 15 February of the following financial year





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# Reporting requirements to the EC by NIPAC



- The report shall be based on information provided by the OSs and shall include in particular:
  - (a) a summary of main achievements;
  - (b) a summary of any significant problems encountered in implementing the budget implementation tasks entrusted and any subsequent measures taken;
  - (c) quantitative and qualitative information on the progress made in implementing the





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# Reporting requirements to the EC by NIPAC



objectives, results, indicators set up in the strategy papers and programming documents;

(d) recommendations for corrective/further actions.

- The NAO shall receive all mentioned reports.





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# Reporting requirements to the EC by NAO



- By 15 February of the following financial year, the NAO shall provide the EC with:
  - (a) annual financial reports or statements on accrual basis as specified in the Financing Agreement, which clearly distinguishes costs accepted and payments made
  - (b) an annual management declaration per programme covering:





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# Reporting requirements to the EC by NAO



- (i) the overall responsibility for the financial management of EU funds and for the legality and regularity of the underlying transactions;
- (ii) the responsibility for the effective functioning of the management and internal control systems under IPA II;





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# Reporting requirements to the EC by NAO



(c) a summary of the reports on the internal audits and of controls carried out by the MS, providing a sound basis for the management declaration.

Such summary shall include an analysis of the nature and extent of errors and weaknesses identified in systems, corrective action taken or planned as well as follow-up given to the reports issued by the audit authority.





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# Monitoring Committees



- Under the Instrument for Pre-Accession Assistance, IPA Monitoring Committee has been established to ensure monitoring at the level of IPA II and Sectoral Monitoring Committees have been established to execute the duties described in the IPA II Framework Agreement, Sectoral Agreements and the Financing Agreements at the sectoral or the sub-sectoral levels in first three policy areas



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# IPA Monitoring Committee



- at the highest level
- review 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 strategy papers
- IPA Monitoring Committee meetings are co-chaired by representative of the EC and the NIPAC
- the IPA Monitoring Committee shall meet at least once a year





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# Sectoral Monitoring Committees



- set up by policy area or by programme
- review the effectiveness, efficiency, quality, coherence, coordination and compliance of the implementation of the actions in the policy area or programme and their consistency with the relevant national and, whenever relevant, regional sector strategies
- chaired by the NIPAC or a senior representative of the country and, depending on the policy area or programme, the EC may co-chair the Sectoral Monitoring Committee meetings



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# Sectoral Monitoring Committees



- each Sectoral Monitoring Committee is coordinated by the institution in charge of the related sector or sub-sector
- The Sectoral Monitoring Committees shall meet at least twice a year
- measure progress in relation to achieving the objectives of the actions and their expected outputs, results and impact by means of indicators related to a baseline situation, as well as progress with regard to financial execution





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# Sectoral Monitoring Committees



- Brief Reports on the use of funds, together with the data and information that may constitute basis for the evaluation of the achievement of the sectoral indicators in particular regarding the on-going activities, are submitted by the institution in charge of each sector or sub-sector to the NIPAC, within a reasonable time before the Sectoral Monitoring Committee meetings





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# Sectoral Monitoring Committees



- review annual implementation reports,
- review the progress towards meeting the objectives, achieving the planned outputs and results,
- examine relevant findings and conclusions as well as proposals for remedial follow-up actions stemming from the on-the-spot checks, monitoring and evaluations if available,
- discuss any relevant aspects of the functioning of the management and control systems,





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# Sectoral Monitoring Committees



- review information, publicity, transparency, visibility and communication measures taken,
- discuss any problematic issues and actions,
- if necessary, consider or make proposals to amend programmes and any other corrective action to ensure the achievement of the objectives of the actions and enhance the efficiency, effectiveness, impact and sustainability of IPA II assistance





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# Different levels of monitoring



- The roles and responsibilities of the IPA II entities which take place in the monitoring activities are defined
- In this context, Monitoring Framework Documents (MFDs) has been prepared for Annual Action Programme (AAP) and Multi-Annual Action Programmes (MAAP)





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# Monitoring Framework Documents (MFDs)



- In these documents, the roles and responsibilities of all IPA II entities within the context of monitoring have been clearly defined for the following phases of IPA II implementation:
  - Phase 1 - covers period from Approval of Actions Programmes to the signature of contract,
  - Phase 2 - covers period from the signature of contract to the end of the contract,
  - Phase 3 - covers period from the end of the contract to the Programme closure





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# Reporting system and monitoring



- There shall be synergy and links between the various levels of monitoring and the reporting systems
- When information relevant for the monitoring purpose is available at any level of the system, it must be passed to the relevant interlocutor to support the compilation of implementation reports and monitoring reports
- There is no point in duplicating efforts





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# Overview of the roles – Annual Action Programme



	From Approval of Action 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			
<i>Monitoring Level / IPA II Bodies</i>	Contract	Action	Programme	System	Contract	Action	Programme	System	Contract	Action	Programme	System
End Beneficiary	Xi				X	X						
Lead Institution	X	X				X				X		
Implementing Agency	Xi				X							
NIPAC	X	X					X				X	
NAO				X				X				X
Xi: Internal monitoring												





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# Overview of the roles – Multi-annual Action Programme

	From Approval of Multi-Annual Action 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			
<i>Monitoring Level / IPA II Bodies</i>	Contract	Project /Action	Programme	System	Contract	Project /Action	Programme	System	Contract	Project /Action	Programme	System
End Recipient of Assistance (ERA)	Xi				X	X						
Operating Structure (OS)	X	X			X	X				X		
NIPAC	X	X				X	X				X	
NAO				X				X				X

Xi: Internal monitoring





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# Phase 1 - from Approval of Action Programmes to the signature of contract



- Monitoring focus mostly at the contract level:
  - Internal monitoring of procurement procedure at the end beneficiary (EB) and implementing agency (IA)
  - Monitoring of preparation of tender documents properly and in due time by lead institution (LI)
  - Monitoring of timely completion of preparation process of tendering documents (NIPAC)





Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

# Phase 1 - from Approval of Action Programmes to the signature of contract



- Tools available:
  - Timelines (prepared by EB and LI)
  - Procurement Plans (prepared by IA)
  - Action Level Steering Committees (ALSC)
- Monitoring flows:

EB → LI → IA → NIPAC (activity / Action level)

    ↳ NAO (system level)





Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

## Phase 2 - from the signature of the contract to the end of the contract



- Monitoring more clearly spread to different levels:
  - Contract level monitoring - to ensure whether the contract is executed properly in terms of technical aspects (EB) and in line with the timetable and terms of the contract (LI and IA)
- Tools available:
  - Contract Timetable of the contractor
  - Monitoring Plans and visits
  - Contract Level Steering Committees (CLSC)
  - Progress and Monitoring Reports (PMR)





Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

## Phase 2 - from the signature of the contract to the end of the contract



- Activity / Action level monitoring - to ensure whether the activity is in progress, in line with the objectives (EB) → the activities under the relevant Action are in progress, in line with objectives (LI) → with a view to achievement of the objectives set out in the Actions under the Annual Action Programme (NIPAC)
- Tools available:
  - Activity Monitoring Table of EB
  - Action Level Steering Committees (ALSC)
  - Progress and Monitoring Reports (PMR)





Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

## Phase 2 - from the signature of the contract to the end of the contract



### Activity / Action level monitoring

- Tools available at NIPAC:
  - Information received from the LI / IA for Annual Report on Implementation
  - Sector/Sub-sector Monitoring Committees
  - Result Oriented Monitoring (ROM) Activities





Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

## Phase 2 - from the signature of the contract to the end of the contract



- Programme level monitoring - to ensure whether the objectives set out in the Annual Action Programme of Turkey are coherent with the objectives in the Country Strategy Paper for Turkey (NIPAC)
- Tools available:
  - Information received from the LI / IA for Annual Report on Implementation
  - IPA Monitoring Committee meetings





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## Phase 2 - from the signature of the contract to the end of the contract



- System level monitoring - to give assurance to the NAO for legality and regularity of expenditure and the effective functioning of the internal control systems
- Tools available:
  - Monthly Financial Reports of IA, Progress and Monitoring Reports, Irregularity notifications
  - Desk reviews and on-the-spot checks performed
  - Follow up of changes in the MCS
  - Follow up of audit findings in the Audit Reports





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## Phase 3 - from the end of the contract to the programme closure



- Monitoring focus mostly at higher level:
  - Activity / Action level - to ensure that the objectives set out in the relevant Action are achieved (LI) → Programme level - to ensure that necessary measures envisaged/recommended are taken by the relevant institutions with a view to achievement of the activity/action/programme objectives set out and sustainable use of the activity achievements as envisaged (NIPAC)
- Available tools: On site visits





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## Phase 3 - from the end of the contract to the programme closure



- System level monitoring - to give assurance to the NAO for legality and regularity of expenditure
- Tools available:
  - Irregularity notifications
  - Follow up of audit findings in the Audit Reports





Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

# Monitoring tools



- Monitoring as a desk activity
- Reports:
  - EB: receiving and approving the progress technical and financial reports from the contractors
  - LI: receiving the progress and monitoring reports from EB
  - IA: receiving and verifying the reports from the contractors
  - NIPAC: oversees the corrective actions indicated in the reports





Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

# Monitoring tools



- Monitoring as a desk activity
- Collection and analysis of data on operational indicators:
  - EB: collect and verify
  - LI / OS: quality control, aggregate on sector level, analyse and report in progress reports
  - NIPAC: quality control of the system, analyses and reports in annual reports





Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

# Monitoring tools



- Monitoring as an on-the-field activity
- Planning of annual operational monitoring activities:
  - EB: execute
  - LI / OS: control, prepare their plan
  - NIPAC: plans NIPAC monitoring activities
- Monitoring visits:
  - EB: execute
  - LI / OS: control EB's activities, execute own activities
  - NIPAC: ad hoc monitoring activities





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# Monitoring tools



- Monitoring through meetings / reviews:
- Steering Committee meetings on Actions, contract, activity or operation level, organised by EB
- Implementation Review Meetings at sector level – focused on high risk actions, organised by LI / OS
- ROM reviews – mostly focused on high risk actions, coordinated and executed by NIPAC





Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

# Monitoring tools - summary



## Review of progress report of contractors and grant recipients

End-beneficiary institutions	LIs/OSs	NIPAC - M&E Unit
Review, comment, approve	Control Inform NIPAC and NAO on risks/problems / follow up of corrective actions	Oversees corrective actions / provide high-level support

## Progress and Monitoring Reports

End-beneficiary institutions	LIs/OSs	NIPAC - M&E Unit
Prepare Implements corrective actions	Prepare on sector / programme level Control, in case of risks define and follow up corrective measures Inform NIPAC	Reviews Oversees corrective measures, intervenes where necessary Provides high-level support





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# Monitoring tools - summary



## Collection and analysis of data on operational indicators

End-beneficiary institutions	LIs/OSs	NIPAC - M&E Unit
Collect and verify	Quality control Aggregate on sector level, analyse and report in progress reports	Quality control of the system Analyses and reports in annual reports, informs IPA MC

## ROM reviews – focused on high risk actions

End-beneficiary institutions	LIs/OSs	NIPAC - M&E Unit
Provide information, discuss performance and corrective measures; implement or follow up corrective actions	Provide information, discuss performance	Plans, co-ordinate s Follows up corrective measures





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# Monitoring tools - summary



## Planning of annual operational monitoring activities

End-beneficiary institutions	LIs/OSs	NIPAC - M&E Unit
Execute	Control Prepare LI/OS plan	For high-risk actions reviews and checks adequacy to identified risks Plans NIPAC monitoring activities

## Monitoring / site visits and regular meetings with project teams and other stakeholders

End-beneficiary institutions	LIs/OSs	NIPAC - M&E Unit
Execute	Control Execute own monitoring visits Inform NIPAC and NAO on risks/problems / follow up of corrective actions	As above Ad hoc monitoring visits, if needed for the definition of corrective actions





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# Monitoring tools - summary



## Steering Committee meetings on contract, activity or operation level

End-beneficiary institutions	LI/OSs	NIPAC - M&E Unit
Organise Participate Report to SC Implement corrective measures	Participate, if needed In case of risks for results, define and follow up corrective actions and inform NIPAC	Oversees corrective measures, intervene where necessary / provide high-level support Participates, in case of problems

## Implementation Review Meetings at sector level – focused on high risk actions

End-beneficiary institutions	LI/OSs	NIPAC - M&E Unit
Report Implements corrective actions	Organise Participate Follow-up corrective measures	Participates Oversees corrective measures, intervenes where necessary Provide high-level support





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# End Beneficiary

## Monitoring - summary

- End-beneficiary institutions are responsible for:
  - ensuring effective management of the available resources,
  - closely monitoring the performance of the contractors and grant beneficiaries
  - ensuring the quality of implementation of actions, implementation of activities, delivery of outputs and monitoring of outcomes





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# End Beneficiary

## Monitoring - summary

1. *Planning of monitoring activities* - in annual action programmes, the plans are prepared by end-beneficiary institutions and controlled by LIs
2. *Review of progress reports* of contractors and grant beneficiaries (analysis and commenting on submitted reports) - the approval of the reports is subject to OS control/approval; in case of problems or new risks, end-beneficiary institutions and LIs plan and implement corrective measures





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# End Beneficiary

## Monitoring - summary

3. *Monitoring visits on-the-site or regular meetings* with contactors, project teams, beneficiaries, and other stakeholders - executed by end-beneficiary institutions and LIs/OSs based on the annual monitoring visits plan
4. *Steering Committees (SC)* on activity or action level (platforms to discuss progress and problems in implementation of the activities) - organised by end-beneficiary institutions and attended by LIs, where necessary, and other relevant stakeholders





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# End Beneficiary

## Monitoring - summary

5. *Progress and Monitoring Reports* - prepared by the end-beneficiary institutions and controlled by LIs; the established system envisages short monthly reports on physical progress
6. *Collection, analysis and reporting of data on operational key performance indicators (output and outcomes)* - done on contract/activity level, aggregated on action and sector level and quality controlled by LIs





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# End Beneficiary Monitoring - summary

*7. Implementation Review Meetings* are conducted at least quarterly with the participation of the NIPAC Secretariat, EUD, LIs, end-beneficiary institutions to review progress in activities and the needed/implemented follow-up actions of high-risk actions





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# Performance monitoring - focus on results



- Regulation (EU) 231/2014, *Article 2*:  
„1. Assistance under this Regulation shall pursue the achievement of the following specific objectives according to the needs of each of the beneficiaries...  
2. Progress towards achievement of the specific objectives ... shall be monitored and assessed on the basis of pre-defined, clear, transparent and, where appropriate, country-specific and measurable indicators...”





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# Performance framework



- essential part of a broader process of performance-based management, the objective of which is to improve efficiency, effectiveness, and accountability
- this process involves the use of performance indicators to assess the degree to which intended results are being achieved
- the progress towards achievement of the objectives is measured, monitored and assessed by means of measurable *performance indicators and targets* established during the strategic and operational programming





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# Strategic planning



- Main questions related to strategic planning and management:
  - Where are we now (the country, the sector, the organisation ...)?
  - Where are we compared to the others (countries, sectors, organisations ...)?
  - Where do we want to be in the future?
  - How can we achieve what we want?
  - How do we know if we are achieving our targets?





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# Strategic indicators



- measure overall progress to the general and specific policy objectives, defined in Articles 1-3 of IPA II Regulation and the Indicative Strategy Paper for Turkey
- measure the combined impact of national government efforts and programmes, IPA II programmes, other donors' and other development actors' interventions
- the contribution of IPA II actions to the strategic objectives / indicators can be established only by evaluations





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# Operational indicators



- have to be linked to the sectoral performance framework
- monitor the performance of IPA II assistance
- have to include output indicators on key outputs, which are expected to be delivered by IPA II implemented actions
- 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').





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# Operational indicators



- 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
- operational indicators capture changes in outputs and outcomes
- the connection between the action and operational indicators is closer than for strategic indicators
- operational indicators are basically output indicators with some process and outcome indicators, and should be formulated in the action document





Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

# Logframe matrix



- the tool for planning of the action where is defined the main logic of the action:
  - What shall be realised with the action? – which RESULTS?
  - How can we reach the results? – which ACTIVITIES we have to implement?
  - How shall we know if we have reached the results? – how to MEASURE the RESULTS?
  - What will prove that we have reached the results? – how to PROVE it?
  - What kind of problems we can expect? – are we aware of ASSUMPTIONS and RISKS?





Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

# Logframe matrix



<b>Overall Objective</b>	<b>Objectively Verifiable Indicators: OVI</b>	<b>Sources of Verification</b>	<b>Assumptions</b>
<b>Project Purpose</b>	<b>Objectively Verifiable Indicators: OVI</b>	<b>Sources of Verification</b>	<b>Assumptions</b>
<i>Results</i>	<i>Objectively Verifiable Indicators: OVI</i>	<i>Sources of Verification</i>	<i>Assumptions</i>
<i>Activities</i>	<i>Means</i>	<i>Cost</i>	<i>Assumptions</i>





Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

# Logframe matrix



- IF the assumptions are fulfilled, THEN we can start the activities
- IF adequate inputs and means are ensured, THEN we can start the activities
- IF the activities are implemented, THEN the results can be achieved
- IF the results are achieved, THEN the project purpose shall be achieved
- IF the project purpose is achieved, THEN it can contribute to the overall objective





Bu proje Avrupa Birliği ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.

# Monitoring of the action



- Monitoring and reporting is important for the action success as well as its planning:
  - We know where we are and where we are going;
  - We observe (in)compliance of current state and direction of development taking into account our strategy
- Otherwise we would „drive with eyes closed”
- Without adequate planning and clearly defined results which we want to achieve, it wouldn't be clear what and how to monitor (necessary data wouldn't be collected)





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# Monitoring of the action



- Main elements for continuous monitoring:
  - *Relevance* - the relationship between the needs and the objectives of an action
  - *Efficiency* - the relationship between the resources used by an action and the changes it generates (inputs to short-term outcomes)
  - *Effectiveness* - the extent to which the intervention's specific objectives were achieved, or are expected to be achieved (objectives – outcomes)
  - *Sustainability* - the continuation of benefits from an intervention after the IPA support has been completed





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# Outputs vs outcomes



- **Outputs** are *'direct products or services delivered by activities, directly influencing the achievement of outcomes'*, the transformation of inputs into activities and outputs is within the direct management control of the action
- **Outcomes** are *'short to medium term effects on the political, social, economic and environmental areas targeted by IPA II financed interventions and changes in behaviour of addressees of IPA II financed interventions'*
- For example, the *outputs* are the number of unemployed persons who completed training and *short-term outcomes* are the number of unemployed persons who are actively searching for a job or who find a job after training





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# Outputs vs outcomes



- the outcomes are not only a result of the outputs of an intervention, they are influenced also by other factors outside the action
- the monitoring system captures combined effects of the implemented intervention and external factors
- the actual short-term outcomes have to be monitored and compared with the planned ones and factors that influence outcomes have to be analysed (internal: related to the design and delivery of the action or external: related to characteristics of the target group or context)





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# Indicators



- quantitative or qualitative factors or variables that provide a practical, comparable and reliable means to measure achievements, to reflect the changes connected to an action, or to help assess the performance of an actor
- quantitative: measures of quantity
- qualitative: judgements and perception derived from subjective analysis
- the outputs, outcomes, impacts are measured respectively by output, outcome and impact indicators





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# Output indicators



- Linked to activities of the project
- Capture what the resources are spent on
- Common output indicators relate to most frequently implemented actions
- Output indicators provide aggregate information for analysis & communication purposes
- Common and sector specific indicators





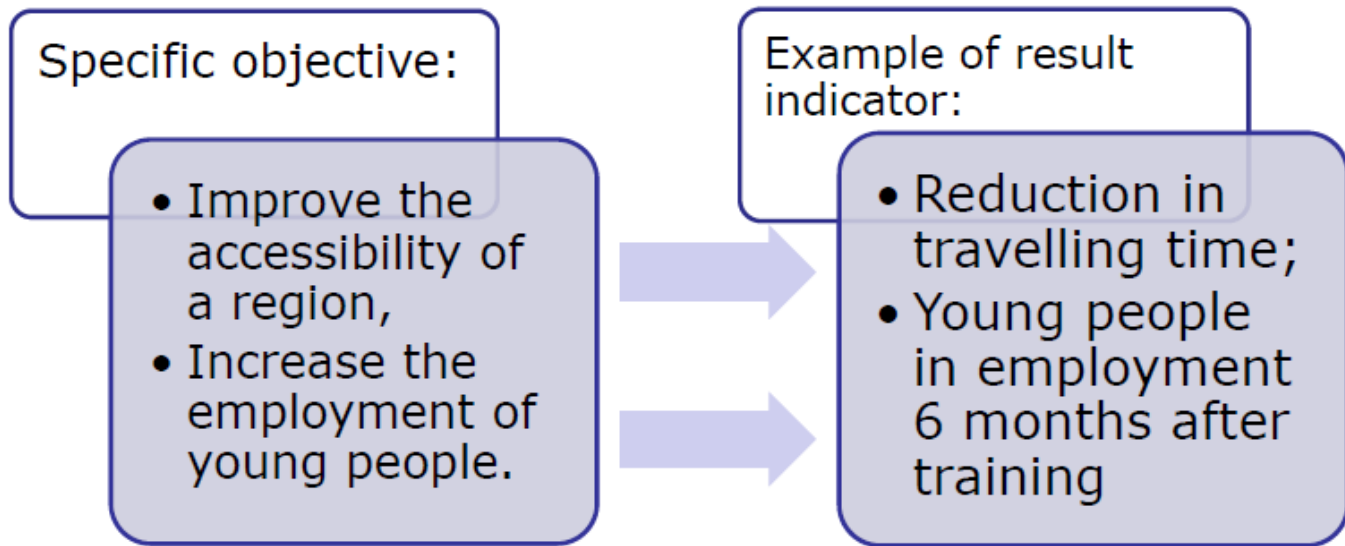
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# Result indicators



- Relates to specific objective
- Captures the expected change

## Examples of result indicators







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# Indicators

- **Input indicators** measure the resources and means provided by implementers
- **Process indicators** measure what happens during implementation and focus on the activities execution
- **Output indicators** show the degree of achievement of the direct products of an activity or set of activities
- **Outcome indicators** signal whether the short to mid-term desired changes are happening
- **Impact/Context indicators** signal to which extent the overall (mid and longterm) objectives have been achieved





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# Examples of 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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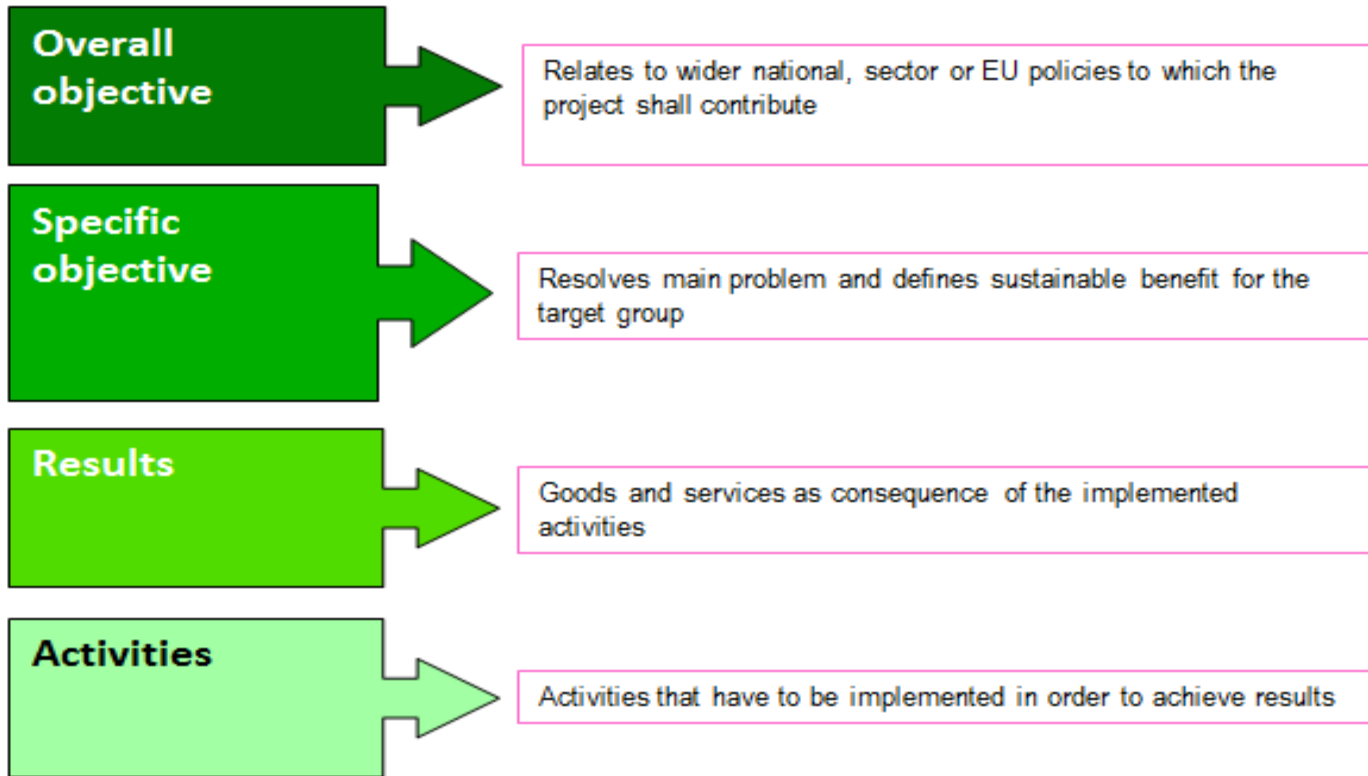






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# Overview of the action







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# Collection of data



- the OSs are responsible for the establishment of procedures for registration and verification of data on performance indicators, data entry and validation, processing and reporting
- for the majority of output indicators, the data has to be collected on contract level, therefore, the requirement for data collection has to be included in the ToR for the service contracts, Guidelines for Applicants for grant schemes and twinning fiches





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# Collection of data



- in cases where outcome indicators relate to collection of data on the status of the beneficiary after the implementation of the contract and action, the end-beneficiaries/LIs have to develop a methodology for registration of outcomes
- where data is collected by recipients, it has to be verified at least for correct use of the definition of the indicators and for correspondence to executed activities





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# Collection of data vs verification



- the LIs have to ensure that there is a system for data entry and data clearance, which will vary by programme depending on the size of the programme, from simple excel databases to MIS
- it has to be proved that the reported monitoring data is checked for the quality of the data and that the data collection systems are reliable





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# Data collection and verification



Responsibility	Tasks
Recipients (contractors, grant beneficiaries, etc.) or other bodies	Register data, aggregate and submit data/database extracts
End-beneficiaries	Verify submitted data and where necessary aggregate for the activity /action
OS – multi-annual programmes LI – annual programme	Establish a system for collection of data on monitoring indicators from actions/ activities and contracts; Include provision in contracts for collection of data and reporting on key performance indicators; Monitor performance of the data collection system; Verifies and aggregates data received from end-beneficiaries; Analyse data and report on indicators; Submits to NIPAC/enters in the MIS
M&E Unit – NIPAC Secretariat	Provides guidelines on preparation and check quality of indicator fiches; Monitors established data collection and reporting system; Controls quality of the received data; Reports on indicators





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# Data collection and verification



- Reliability of the collected data is ensured by:
  - clear and precise definitions
  - explanation of specific terminology
  - clear explanation of the calculation method for measurement of the value of the indicators
  - using of reliable sources and methods for data collection and tools for processing
  - ensuring in advance the data source and time period for data verification





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# Data collection and verification



- it is important to establish adequate system for data collection and verification methods
- If the data is collected from the sources which don't represent official statistics, it is needed to describe the process of data collection in internal documents
- If the data for one indicators is collected from more institutions, it is necessary to establish uniform approach and procedure





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# Data collection and verification



- When assessing the adequacy of the system for data collection and verification methods, the following should be taken into account:
  - Data source
  - Collection methods
  - Frequency of collecting the data
  - Cost of data collection
  - Challenges in data collection
  - Who collects the data / Who analyses the data





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# Verification of data



- The following aspects should be taken into account:
  - Whenever contract activities are implemented according to the schedule set in the Contract;
  - Whenever contract result and output indicators show acceptable progress or implementation and obligations set in the Contract
- In order to monitor the progress, the clarifications and documentary evidences shall be obtained from the beneficiary





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# Verification of data



- The reporting on progress in achieving the objectives and indicators shall consist of:
  - ID, name and unit of *the indicator* which shall be indicated strictly following the information provided in the Contract
  - Baseline and target values of the indicator shall be specified according to the Contract
  - Actual value of the indicator shall be indicated in accumulated manner (growing), from the start of the implementation till the end of the reporting period





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# Verification of data



- Additional information shall be provided on the achievement of the indicator. If the actual value is less or higher than planned, explanations are necessary
- References shall be made to the documents justifying the level of indicated achievement, e.g. invoice, agreement, acceptance certificate, license, report, study, etc.





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# Standardisation and aggregation of the indicators

- Standardisation is important in order to be able to:
  - compare the performance of the projects, measures and priorities;
  - aggregate the indicators at higher levels
- Standardised indicators give the base for performance management





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# Standardisation and aggregation of the indicators

- use the same indicators for similar types of actions
- IT system should be able to aggregate the same indicators from the lower levels
- it is not recommendable to use % types of indicators as base data
- close coordination and regular checks ensure reliability of data
- use thresholds to avoid extreme values (e.g. from the different unit of measurement: km vs. m)





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# Example



Output /Result indicator as presented in OP	Unit (as presented in OP)	Targets in the OP			Target (2016)	Progress	
		Baseline value (2007)	Mid term (2012)	Target (2014)		Rate of Physical progress by end 2011	Rate of Physical progress by 31.03.2013
1	2	3	4	5	6	7	8
<b>Priority 1.</b>							
<b>Improving the development potential of lagging regions</b>							
Jobs created within targeted regions	Number	0	20	70	200	7	63.5
SMEs established within targeted regions	Number	0	9	30	75	0	13
<b>Priority 2.</b>							
<b>Enhancing the competitiveness of Croatian economy</b>							
Turnover of SMEs increased	%	0	0	0	2	0	0





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# Interpretation of data



- After the data is collected, verified and aggregated, it has to be analysed:
  - vs target values
  - vs previous period achievement
  - all discrepancies have to be identified, explanations obtained and evaluated against their relevance on the achieved values
  - Quantitative progress have to be supported with qualitative analysis





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