



Bu proje Avrupa Birliđi ve Türkiye Cumhuriyeti tarafından finanse edilmektedir.



Avrupa Birliđi Bakanlıđı
IPA II Teknik Destek Projesi

Ministry for EU Affairs
Technical Assistance for IPA II

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

12.5.2017 – Advanced training on
Performance Monitoring

Ivana Varga



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Advanced training on Performance Monitoring

Day 2
12.5.2017





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Training Agenda – Day 2



Sessions	Topic
9:30-10:45	Welcome Review of Day 1 Project / programme operational monitoring Overall sector Strategic Monitoring Key features of Result-Oriented Monitoring Link between the objectives and actual achievement (output / result indicators)
10:45-11:00	Coffee Break
11:00-12:30	Planning and implementation of monitoring activities during project / programme implementation: physical and financial progress - risk based approach, preparation of Monitoring Plans, performing monitoring visits
12:30-13:30	Lunch
13:30-14:45	Planning and implementation of monitoring activities after the end of project / programme implementation: sustainability and financial viability, efficiency and effectiveness - risk based approach, preparation of Monitoring Plans, performing monitoring visits
14:45-15:00	Coffee Break
15:00-16:00	Monitoring Reports: drafting findings, conclusions and recommendations / corrective measures
16:00-16:15	Questions & Answers for Day 2
16:15-16:30	Exit test Evaluation of the training by participants Closure of the training



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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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Indicative Strategy Paper for Turkey



- To ensure that the priorities for EU financial assistance for Turkey over the coming seven years are delivered, the Strategy Paper sets meaningful and realistic objectives, identifies the key actions and actors, describes the expected results, indicates how progress will be measured and monitored, and sets out indicative financial allocations ... The priorities defined for financial assistance will serve as a basis for the (multi-) annual programming of IPA II funds between 2014 and 2020



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Indicative Startegy Paper for Turkey



- Turkey needs ... to strengthen its capacity to absorb funds, achieve results and implement EU financial assistance in a timely manner
- The focus on more targeted multi-annual sector programmes will require greater ownership by the lead institution for each sector and stronger cooperation among stakeholders in order to improve efficiency and effectiveness



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Indicative Startegy Paper for Turkey



- Turkey's investment needs, in order to carry out reforms are far greater than the IPA II resources available
- Prioritising areas of assistance is ... essential.
- Support will primarily be given ... to carry out national reforms that match the EU's priorities



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Indicative Startegy Paper for Turkey



- For 2014-20, pre-accession assistance will fall under two pillars:
 - democracy and the rule of law
 - competitiveness and growth
- *Democracy and Rule of Law:*
 - judiciary
 - fundamental rights
 - home affairs
 - civil society
 - anti-corruption
 - public administration



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Indicative Startegy Paper for Turkey



- *Competitiveness and Growth:*
 - education, employment and social policies
 - environment and climate action
 - energy
 - transport
 - competitiveness and innovation



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National Programme for Turkey - IPA I for the year 2013



- Examples of expected results (Judiciary and Fundamental Rights):
 - Increased efficiency of the judiciary through Justice Sector Performance system
 - Assurance of the rights and freedoms set forth in the Constitution and the Convention is fully secured at national level
 - Better access to justice through completed review of legal aid enhanced



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National Programme for Turkey - IPA I for the year 2013



- Examples of expected results (*Migration and Border Management*):
 - A comprehensive migration management system aligned with national and international obligations ... has been established as well as a well-functioning asylum system has been established
 - Enhanced customs surveillance functions especially as regards the yacht, marina and fishing port controls with improved technical capacity to patrol, search and intervene in crimes, ..., improvement of coordination and cooperation mechanism so as to achieve an operational and result oriented system on customs surveillance functions



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National Programme for Turkey - IPA I for the year 2013



- Examples of expected results (*Energy*):
 - Increase the absorption capacity of the private sector (SMEs) in energy efficiency and in renewable energy regarding financing provided by IFIs and the energy efficiency financing mechanism
 - Regulatory organizational structure, framework and capacity for nuclear safety improved



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National Programme for Turkey - IPA I for the year 2013



- Examples of expected results (*Environment and Climate Change*):
 - Increased public understanding and enhanced stakeholder capacity on the required joint efforts on climate action
- What can we conclude? Do the examples of the expected results comply with result oriented approach?



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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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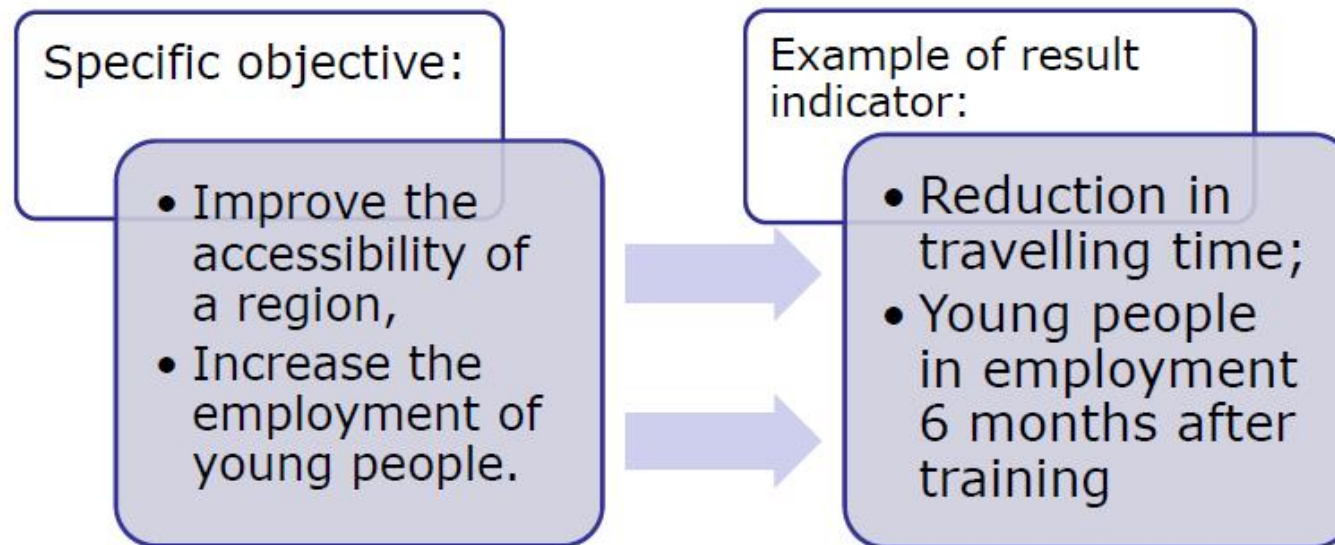
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Result indicators



- Relates to specific objective
- Captures the expected change

Examples of result indicators



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Link between objectives and actual achievement



- Examples (*Croatian experience*):

Overall objective and indicators of achievement	State of achievement
<p>Overall objective: To foster structured dialogue and formalized consultation between Croatian civil society organizations (CSOs) and Croatian state administration/EU institutions within the process of shaping, monitoring and evaluation of public policies at the national and EU level.</p>	Achieved
<p>Indicator of achievement: 100% increase in the cumulative number of Croatian CSOs directly participating in the Croatian pre-accession policy process over the two years of project implementation, in comparison to the two-year period prior to project implementation (baseline data for 2007-08).</p>	Achieved



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Link between objectives and actual achievement



- Examples (*Croatian experience*):

Overall objective and indicators of achievement	State of achievement
Overall objective: To improve the animal health situation in Croatia as regards Rabies	Achieved
Indicator of achievement: Decrease in number of new rabies cases at least 10 percent yearly	Achieved



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Link between objectives and actual achievement



- Examples (*Croatian experience*):

Overall objective and indicators of achievement	State of achievement	Comments
Overall objective: To further contribute to the development of an efficient and strengthened Croatian integrated border management system, which will establish greater security at international borders and diminish cross border crime and illegal migration.	achieved	
Indicator of achievement: 20% reduction of illegal migration as well as greater detection and prevention of cross border crime.	achieved	Reduction of 20 % related to the illegal migration could not be achieved due to high migration crisis in whole Europe and therefore the numerical indicator is not realistic due to the fact that it is impossible to achieve such results. However, greater security was achieved related to the control of cross border crime due to procured equipment.



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Monitoring activities during project / programme implementation



- PHASE 1- From Approval of Annual Actions Programme to the Signature of Contract
- Activities in implementation:
 - Preparation of time table for technical documents
 - Preparation and modification of the technical documents
 - Preparation and modification of the procurement plans
 - Rejections on tendering documents
 - Publication of Tender Documents
 - Composition of the evaluation committees
 - Award decision
 - Signature of the contract



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Monitoring activities during project / programme implementation – Phase 1



- Contract level monitoring:
 - Internal Monitoring for procurement and for timely preparation of the TDs (End Beneficiary)
 - Internal Monitoring for procurement (Implementing Agency)
 - Monitors preparation of tender documents (by the EBs) properly and in due time / within 1 year after the date of entry into force of relevant FA (Lead Institution)
 - Monitors timely completion of preparation process of tendering documents (NIPAC)



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Monitoring activities during project / programme implementation – Phase 1



- Activity /Action level monitoring:
 - Monitoring whether the tendering process is in progress in line with calendar both in contract and activity/action level (LI)
 - May execute activity level monitoring if deemed necessary and based on a risk identified (NIPAC)



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Monitoring activities during project / programme implementation – Phase 1



- System level monitoring:
 - NAO SD monitors whether the targeted rejection rates are realized in order to have reduction/removal of ex-ante controls
 - NF monitors whether the EU funds are allocated in line with the request of funds



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Monitoring activities during project / programme implementation



- PHASE 2- From the Signature of Contract to the End of the Contract
- Activities in implementation:
 - Execution of the Contract
 - Payment process
 - Contract amendments
 - Action Document modifications
 - Irregularities
 - Acceptance committees
 - Completion of the contract



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Monitoring activities during project / programme implementation – Phase 2



- Contract level monitoring:
 - Monitors implementation process closely in order to ensure whether the contract is executed properly in terms of technical aspects and the activities are completed in time (EB)
 - Monitors the implementation process in order to ensure that the contract is executed in line with the timetable and terms of the contract (IA)
 - Monitors the implementation process in order to ensure that the contract is executed in line with the timetable and terms of the contract (LI)



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Monitoring activities during project / programme implementation – Phase 2



- Activity /Action Level:
 - Monitors implementation process closely in order to ensure whether the activity is in progress in line with objectives (EB)
 - Monitors the overall contracting and implementation process in order to ensure that the activities under the relevant Action are in progress in line with objectives (LI)
 - Carries out the overall coordination of the monitoring activities to be undertaken by the LIs with a view to achievement of the objectives set out in the Actions under the Annual Action Programme; also executes monitoring the activities when deemed necessary



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Monitoring activities during project / programme implementation – Phase 2



- Programme level monitoring:
 - Monitors that the objectives set out in the Annual Action Programme of Turkey are coherent with the objectives in the Country Strategy Paper for Turkey (NIPAC)
- System Level monitoring:
 - Monitors the implementation of contracts in order to give assurance to the NAO for legality and regularity of expenditures and the effective functioning of the internal control systems (MS)



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Project monitoring



- Monitoring is mostly a 'bottom-up' process, building up a picture of the overall performance of the programme from data provided by individual projects, in terms of expenditure, outputs and results.
- The final beneficiary is required to submit reports with performance information on outputs and results together with their request for payment, to ensure that the link between the funding and the outcome is monitored and maintained.



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Project monitoring



- In many cases, particularly during the early stages of the project, the response will either be a 'nil return' or disproportionately low compared to the amount of expenditure.
- For the majority of the project's life, typically it will be expected that 'X'% of the total project value will be incurred and claimed, but only 'Y'% of outputs will be achieved, where $X > Y$
- Monitoring should be carried out from the commencement of all projects, and beneficiaries should allocate sufficient resources for data collection from the outset



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Project monitoring



- Project monitoring is necessary to ensure that the project is performing according to its own plan, and if not, to ensure corrective action is taken
- It is also the basis for programme monitoring, based on the project data being aggregated



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Monitoring visits



- Plan for monitoring visits is prepared on the basis of assessed risk profiles:
 - there are inconsistencies in project implementation reports;
 - irregularities detected;
 - any other problems or risks identified
- Monitoring visits are performed to get timely assurance that project objectives and results will be achieved as planned



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Monitoring visits



- Project information:
 - Overall and Specific objective
 - Expected results
 - Activities
- Project progress and results:
 - Activities *<to provide brief chronological description of activities/works carried out>*,
 - Results and Outputs
 - Indicators
 - Disbursement
 - Reports (including procurement status and visibility requirements)



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Monitoring visits



- Project management and filing
- Management issues <*responsibilities, problems and corrective actions implemented, cooperation with partners, knowledge of procedures, general filing, procurement filing, payments filing, etc.*>
- Sustainability
- Problems (including irregularities) <*problems identified, proposed corrective actions, responsibilities, current status*>
- Assessment and recommendations to beneficiary (including deadlines)



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Monitoring visits



- Conclusion / Overall summary of project implementation
- Was the risk ranking of the project confirmed?
- Will it need to be visited again?
- Did the major issues arising from the monthly/quarterly report prove to be serious ones?



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Monitoring activities after the end of project / programme implementation



- PHASE 3- From the End of the Contract to the Programme Closure
- Activity /Action level monitoring:
 - Monitors the activities completed in order to ensure that the objectives set out in the relevant Action are achieved (LI)



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Monitoring activities after the end of project / programme implementation



- Programme level monitoring:
 - Monitors the activities completed in order to ensure that the objectives set out in the relevant Actions are achieved, the activity outcomes are in place and in use in line with the purpose of activity/action. In case the relevant authorities (EC, AA, NAO etc.) detect any findings with regard to disuse of the activity outcome or a situation where the outcomes are used for different purposes rather than that of activity/action purpose, the LI takes necessary measures in order to obviate de-commitment



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Monitoring activities after the end of project / programme implementation



- Carries out the overall coordination of the ex-post monitoring activities undertaken by the LIs and endeavours 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)
- The NIPAC, along with the coordination of the monitoring activities, also executes activity level monitoring activities when deemed necessary



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Monitoring activities after the end of project / programme implementation



- Monitors the activities completed in order to give assurance to the NAO for legality and regularity of expenditures (MS)



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Planning and executing project durability checks



- The sustainability and financial viability checks are carried out after the completion of operations
- This especially concerns the project with the condition to maintain the investment for a certain number of years (generally from 3 to 5)
- In this case at least one ex-post field visit shall be performed, before the period established for maintenance of the investment is due to expire, in order to check that the investment is still in place



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Planning and executing project durability checks



- In case the investment is found to have been sold out or otherwise unduly dismantled, the funds shall be recovered and irregularity procedure applied



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Monitoring Reports



1. EXECUTIVE SUMMARY (0.5 page)

1.1. Project Title and Code

<to be inserted>

1.2 Project Stakeholders

<Project Stakeholders to be quoted. List only main players e.g. only those institutions and individuals who are directly involved in Project implementation>

1.3 Period Monitored by Task Manager

<This Monitoring Report has been prepared by during the period from ... to.... and represent the Project's situation at the cut-off date for the Report.>

1.4 Contract data

1.4.1. Contract duration

Legal Start..... Legal end.....

1.4.2. Addenda to contract

<Brief description of addendum/addenda subject and what was actually changed>.



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Monitoring Reports



2. PROJECT INFORMATION (0.5-1 page)

2.1 Overall Objective and Project Purpose (specify Operation Purpose if different)

< to be inserted >

2.2 Expected Results (according to ToR)

< to be inserted >

2.3 Key Assumptions

< to be inserted >

2.4 Provide brief chronological description of activities/works carried out [progress made so far before the reporting period]

< to be inserted >



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3. PROJECT ACTIVITIES DURING MONITORING PERIOD (1 page)

3.1. Highlights

<Insert four or five headlines (bullet points) that effectively summarise most significant events or main conclusions reached during monitored period. Summarise any follow-up action requested under previous monitoring report and/or discussed during previous PSC meeting, and specify whether and how it was actually followed-up>.

Issues/questions raised at previous PSC meetings -date(s)	Follow-up action initiated	Responsibility	Status
Issue 1:			
Issue 2:			
Issue n:			

Report on monitoring activities undertaken during the monitoring period under reference.

Type of monitoring activity and date	Main findings, conclusions and recommendations
<Please insert type of activity. E.g.:QR report, interview with TL, site visit>	<Briefly state findings, conclusions and recommendations>



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Monitoring Reports



4. MANAGEMENT ISSUES AND CORRECTIVE ACTIONS DURING MONITORING PERIOD (0.5 page)

Problem / Issue Identified	Proposed Corrective Actions	Responsibility	Status
<i><Summarise problem/issue in short sentence></i>	<i><Briefly explain what action was taken or will be taken to correct the problem></i>	<i><Explain who will take responsibility for the action></i>	<i><Explain what is current status. Has any action already been started? If not provide explanation></i>
2.....			



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5. ASSESSMENT AND RECOMMENDATIONS (1 page)

5.1 Assessment of results and overall contract performance

<Summarise assessment on project Relevance, Efficiency, Effectiveness, Impact, Sustainability, Horizontal and Cross-Cutting issues.

Assessment has to encompass physical progress against indicators (outputs), financial progress and results (quality of outputs and overall performance >.

5.2 Recommendations

<Insert two or three recommendations or plans for actions that will correct critical elements mentioned in previous section of the monitoring report>.



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THANK YOU FOR YOUR ATTENTION



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