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Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

ACTION DOCUMENT PREPARATION

30 SEPTEMBER – 01 OCTOBER 2021, COZONE/ANKARA

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AGENDA

Day 1, 30 Sep 2021, Thursday

Session 1: 10.00-13.30

- Introduction to the training
- Action Document (AD) for IPA 2022
- Linking analysis and change process
- Identification of priority areas of support
- Group work

Session 2: 14:30–17:00

- Designing a sequential intervention logic
- Group work
- Recap of the first training day

Day 2, 01 Oct 2021, Friday

Session 3: 10.00-13.30

- Identifying risks and assumptions
- Group work
- Intervention logic and indicators
- Group work

Session 4: 14:30–17:00

- Group work – continuation
- Implementation arrangements
- Group work
- Monitoring, evaluation and sustainability of actions
- Concluding session and training evaluation



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OBJECTIVES

- ➔ To acquire the key methodological principles for programming and managing EU funded actions (Logical Framework Approach/LFA, Logical Framework Matrix/LFM, Intervention Logic/IL, Theory of Change/ToC, Action implementation arrangements)
- ➔ To be able to link the training content with work on the ADs in particular as well as on the Action Fiches with regard to how these documents interlink and combine and generate the necessary information **to address the IPA 2022 AD template requirements and the European Commission's (EC) comments**

Through knowledge & experience exchange, expert discussions, review of critical methodological principles, the new AD template & comments of EC revisiting drafting skills and the 'European Added Value' brought by our Actions



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IPA 2021 & 2022 PROGRAMMING

CURRENT STATE OF PLAY

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IPA 2021 & 2022 PROGRAMMING: **CURRENT STATE OF PLAY - 1/3**

- Action Fiches (AF) approved for **2021: 36** and **2022: 7** (*Relevance Assessment*)





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IPA 2021 & 2022 PROGRAMMING: **CURRENT STATE OF PLAY - 2/3**

- **21 Jul 2021:** Deadline for submission of draft ADs for 2022 was set as **16 Nov 2021** (EC)
- **29 Jul 2021:** Maturity assessments & quality reviews of 2021 actions were completed (EC)
- **21 Sep 2021:** Actions/Projects for programming 2022 were prioritised. Submission of **7 ADs** addressing **4 thematic windows (TP)** and **comprising 25 Actions for 2022** was planned (NIPAC)
- Total budget for the 25 actions programmed for 2022 equals to **~197 mio EUR**



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IPA 2021 : CURRENT STATE OF PLAY, COMMENTS OF EC - 3/3

- When comments after the maturity assessment of EC on the ADs reviewed (AD 2, AD 3, AD 5, AD 6, AD 7, AD 8, AD 9) are analysed, it is observed that:

SECTIONS OF AD	NO of COMMENTS	DISTRIBUTION of COMMENTS
1. SYNOPSIS	79	14%
2. RATIONALE	190	33%
3. DESCRIPTION OF THE ACTION	214	37%
4. IMPLEMENTATION ARRANGEMENTS	66	11%
5. PERFORMANCE/RESULTS MONITORING AND REPORTING	11	2%
6. AUDIT	6	1%
7. COMMUNICATION AND VISIBILITY	4	1%
8. SUSTAINABILITY	8	1%
TOTAL	578	100%

Majority of the comments addressed Sections 2 and 3



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IPA 2022 PROGRAMMING: DISTRIBUTION OF ACTIONS

Rule of law, fundamental rights and democracy

2

WINDOW 1

AD: Improving the Turkish Notary System

AD: Jean Monnet Scholarship Programme

Good governance, acquis align., good neighbourly relations & strategic communication

1

WINDOW 2

AD: Supporting Excellence for Local Authorities

Green agenda and sustainable connectivity

12

WINDOW 3

AD: Environment and Climate change

- 1) Identification of Marine Habitats & Poten. Marine NATURA 2000 Areas
- 2) Assessment of Climate Change Impacts on Lakes, Wetlands and Coastal Areas in Turkey
- 3) Increasing Efforts in the Field of Climate Change
- 4) Increasing Capacity on Marine Litter Management in Turkey
- 5) Strengthening the Capacity of Climate Finance
- 6) Developing a Country Specific Roadmap for Global Stocktake
- 7) Restoring Marine Ecosystem Connectivity in South Western Turkey with Network of Marine Protected Areas Boosting Climate Change Resilience
- 8) TA Assistance towards Developing a Strategy of Construction & Demolition Waste Management According to EU Circular Economy Package & Its Implementation
- 9) Local Zero Waste Initiatives Programme

AD: Transport, Energy

- 1) Capacity Building for Directorate General of Energy Affairs (DGEA) in Development of Renewable Energy Zones
- 2) Support to the development of sustainable and smart mobility in Turkish metropolitan municipalities by İbank (2021-2025)
- 3) Driver and Traffic Training

Competitiveness and inclusive growth

10

WINDOW 4

AD: Education, Employment

- 1) Sustainable Employment For Vulnerable Groups
- 2) Elimination of Child Labour Through the Development of Joint Cooperation
- 3) Asbestos detection and management in housings and schools
- 4) Supporting an Inclusive Labour Market for the Disabled People
- 5) Organized cooperation for promotion of occupational health and safety in SMEs
- 6) Enhancement of Quality Assurance System Capacity in Higher Education
- 7) Strengthening Work Based Learning System in Turkey
- 8) Enhancing Foreign Language Education Quality in Turkey

AD: Competitiveness

- 1) SMEs in Supply Chains – Rebuilding Resilient and Sustainable Supply Chains in the post-COVID Era (the “Programme”)
- 2) Support for the Digital Transformation of the Manufacturing Industry



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IPA 2022 PROGRAMMING: **FOCUSED** (TRAINING GROUP 2)

Green agenda and sustainable connectivity

12

WINDOW 3

AD: Environment and Climate Change

- 1) Identification of Marine Habitats & Potential Marine NATURA 2000 Areas
- 2) Assessment of Climate Change Impacts on Lakes, Wetlands and Coastal Areas in Turkey
- 3) Increasing Efforts in the Field of Climate Change
- 4) Increasing Capacity on Marine Litter Management in Turkey
- 5) Strengthening the Capacity of Climate Finance
- 6) Developing a Country Specific Roadmap for Global Stocktake
- 7) Restoring Marine Ecosystem Connectivity in South Western Turkey with Network of Marine Protected Areas Boosting Climate Change Resilience
- 8) TA Assistance towards Developing a Strategy of Construction & Demolition Waste Management According to EU Circular Economy Package & Its Implementation
- 9) Local Zero Waste Initiatives Programme

AD: Transport, Energy

- 1) Capacity Building for Directorate General of Energy Affairs (DGEA) in Development of Renewable Energy Zones
- 2) Support to the development of sustainable and smart mobility in Turkish metropolitan municipalities by İlbank (2021-2025)
- 3) Driver and Traffic Training

WEGlobal

Competitiveness and inclusive growth

2

WINDOW 4

AD: Competitiveness

- 1) SMEs in Supply Chains – Rebuilding Resilient and Sustainable Supply Chains in the post-COVID Era
- 2) Support for the Digital Transformation of the Manufacturing Industry

WGEs will also focus on merging the REDs with BLUEs to assist with drafting of the ADs for 2022



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ACTION DOCUMENT FOR IPA 2022

FROM AF TO AD: BASICS, LINKAGES, EVOLUTION, RBA

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FROM AF TO AD: **BASICS & LINKAGES IN BETWEEN**

ANNEX I – IPA III ACTION FICHE TEMPLATE

Page 1:

	Indicative title of the Action	
	Key thematic priority	[Indicate one from list in Annex II]
CRITERIA FOR RELEVANCE ASSESSMENT	Links with specific policy instruments of the enlargement process	<p>[Indicate how the action is linked with specific policy instruments of the enlargement process, such as:</p> <ul style="list-style-type: none"> the Western Balkans Strategy (where applicable); the recommendations of the Enlargement Package; the negotiating framework (where applicable); The Economic Reform Programmes (ERPs) and the policy guidance agreed annually in the joint conclusions; the conclusions of the meetings organised in the context of the Stabilisation and Association Agreement; the National Plan for the Adoption of the Acquis (where applicable). <p>[In case of investment projects, the link to the relevant sectorial reforms should also be highlighted]</p>
	Links with national, regional and global strategies	
	Coherence with the Sector Approach	[Specify how the action contributes to implementation of sector approach or addresses the remaining challenges]
	Regional dimension	[Indicate if this Action has a regional dimension and can be tackled through the multi-country programme]
	Indicative budget	
	Implementation Modality	Indicate envisaged implementation modality. Indicate if Budget Support is to be used. If so, use the specific logframe matrix in annex.
	Budget Support Readiness (only if the action is implemented through Budget Support)	<p>Include a brief outline of the beneficiary's eligibility for Budget Support focusing on the following criteria following the instructions on page 92 of the Budget Support Guidelines:</p> <ul style="list-style-type: none"> macroeconomic stability: is the macroeconomic framework stability oriented? public financial management: does the country have a relevant and credible PFM reform programme? budget transparency and oversight: Is the entry criterion for budget transparency and oversight met? Does the country have a roadmap for improving the situation? Sector policy: Is a relevant and credible sector strategy in place for sector of intervention? <ul style="list-style-type: none"> Relevance: the strategy responds to the enlargement objectives and addresses the key weaknesses in the sector, identified under analytical studies. Credibility: <ul style="list-style-type: none"> Is the strategy costed and linked to the budgeting process? What is the track record in implementing the strategy? <p>The strategies for PFM and Public Policy to be supported should be attached.</p>

Page 2:

OVERALL OBJECTIVE(S) / (IMPACT(S))	OBJECTIVELY VERIFIABLE INDICATORS Quantitative and/or qualitative variables providing a simple and reliable mean to measure the achievement of the corresponding expected result (i.e. outputs, outcomes, impacts). Indicators should have a clear measurement unit and be formulated in a neutral way.	BASELINES (INCL. VALUE & REFERENCE YEAR ¹)	MILESTONES [OPTIONAL] (INCL. VALUE & REFERENCE YEAR ¹)	TARGETS (INCL. VALUE & REFERENCE YEAR ¹)	SOURCES & MEANS OF VERIFICATION	
The overall objective is the expected impact in the political, social, economic and environmental context. The overall objective of the action should correspond to the specific objective of the key thematic priority selected from IPA III Programming Framework. To xxx	How the overall objective is to be measured. These should be impact indicators. The indicator(s) should be the relevant indicators from IPA III Programming Framework. Text ...	The starting point or current value of the indicator. Text ...	The intended intermediate value of the indicator. Text ...	The intended final value of the indicator. Text ...	Sources of information detailing both the institution organisation and the type of specific mean (report, survey, statistical database, etc.) Text ...	
SPECIFIC OBJECTIVE(S) / OUTCOME(S)	OBJECTIVELY VERIFIABLE INDICATORS (*)	BASELINES	MILESTONES	TARGETS	SOURCES OF VERIFICATION	ASSUMPTIONS
The specific objectives are the effects on the political, social, economic and environmental areas targeted by the EU action as well as changes sustainable benefits for to the action's beneficiaries. One outcome can be directly influenced by more than one output. Specific Objective 1: to xxx Specific Objective 2: to xxx	How the Specific Objective(s) are to be measured. These should be outcome indicators. To be disaggregated by sex, by age, other, where appropriate. Text ...	The starting point or current value of the indicator. Text ...	The intended intermediate value of the indicator. Text ...	The intended final value of the indicator. Text ...	Sources of information detailing both the institution organisation and the type of specific mean (report, survey, statistical database, etc.) Text ...	Factors outside management's control that may impact the achievement of the outcome. Such assumptions must hold true to allow the achievement of the outcome. Text ...
OUTPUTS	OBJECTIVELY VERIFIABLE INDICATORS (*)	BASELINES	MILESTONES	TARGETS	SOURCES OF VERIFICATION	ASSUMPTIONS
The outputs are the direct products of the EU action (infrastructure, goods and services). Outputs are directly under the control of the action. One output can directly influence more than one outcome. Output 1 (influencing Specific Objective 1 and/or 2): Text ... Output 2 (influencing Specific Objective 1 and/or 2): Text ...	How the outputs are to be measured. To be disaggregated by sex, by age, other, where appropriate. Text ...	The starting point or current value of the indicator. Text ...	The intended intermediate value of the indicator. Text ...	The intended final value of the indicator. Text ...	Sources of information detailing both the institution organisation and the type of specific mean (report, survey, statistical database, etc.) Text ...	Factors outside management's control that may impact the achievement of the output. Such assumptions must hold true to allow the achievement of the output. Text ...
BROAD ARRANGEMENTS FOR IMPLEMENTATION (IF AVAILABLE)	It should be flagged out if it is proposed to implement this action through the WBIF or other financial instruments (EFSF+). Specify also the management modes (direct, indirect with implementing partner or IMIC).					



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FROM AF TO AD: **BASICS & LINKAGES IN BETWEEN**

CRITERIA FOR RELEVANCE ASSESSMENT

- 1) Indicative title of the Action
- 2) Key thematic priority
- 3) Links with specific policy instruments of the enlargement process
- 4) Links with national, regional (*EU*) and global strategies
- 5) Coherence with the sector approach
- 6) Regional dimension
- 7) Indicative budget
- 8) Implementation modality
(direct/indirect/shared management/twinning)
- 9) Budget support readiness
(Not applicable to Turkey, only if the Action is implemented through budget support)

CRITERIA FOR RELEVANCE ASSESSMENT	Indicative title of the Action	
	Key thematic priority	<i>[Indicate one from list in Annex II]</i>
	Links with specific policy instruments of the enlargement process	<i>[Indicate how the action is linked with specific policy instruments of the enlargement process, such as:</i> <ul style="list-style-type: none"> • <i>the Western Balkans Strategy (where applicable);</i> • <i>the recommendations of the Enlargement Package;</i> • <i>the negotiating framework (where applicable);</i> • <i>The Economic Reform Programmes (ERPs) and the policy guidance agreed annually in the joint conclusions;</i> • <i>the conclusions of the meetings organised in the context of the Stabilisation and Association Agreement;</i> • <i>the National Plan for the Adoption of the Acquis (where applicable).</i> <i>[In case of investment projects, the link to the relevant sectorial reforms should also be highlighted]</i>
	Links with national, regional and global strategies	
	Coherence with the Sector Approach	<i>[Specify how the action contributes to implementation of sector approach or addresses the remaining challenges]</i>
	Regional dimension	<i>[Indicate if this Action has a regional dimension and can be tackled through the multi-country programme]</i>
Indicative budget		
Implementation Modality		<i>Indicate envisaged implementation modality. Indicate if Budget Support is to be used. If so, use the specific logframe matrix in annex.</i>
Budget Support Readiness (only if the action is implemented through Budget Support)		<i>Include a brief outline of the beneficiary's eligibility for Budget Support focusing on the following criteria following the instructions on page 92 of the Budget Support Guidelines:</i> <ul style="list-style-type: none"> • <i>macroeconomic stability: is the macroeconomic framework stability oriented?</i> • <i>public financial management: does the country have a relevant and credible PFM reform programme?</i> • <i>budget transparency and oversight: is the entry criterion for budget transparency and oversight met? Does the country have a roadmap for improving the situation?</i> • <i>Sector policy: Is a relevant and credible sector strategy in place for sector of intervention?</i> <ul style="list-style-type: none"> ○ <i>Relevance: the strategy responds to the enlargement objectives and addresses the key weaknesses in the sector, identified under analytical studies.</i> ○ <i>Credibility:</i> <ul style="list-style-type: none"> ▪ <i>Is the strategy costed and linked to the budgeting process?</i> ▪ <i>What is the track record in implementing the strategy?</i> <p><i>The strategies for PFM and Public Policy to be supported should be attached.</i></p>



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ANNEX <NUMBER>

Action Document for <title of the action as in Article 1 of the Decision>

[ANNUAL] [MULTIANNUAL] [ACTION PLAN] [MEASURE]

This document constitutes the [annual] [multiannual] work programme in the sense of Article 110(2) of the Financial Regulation, and annual and multiannual action plans and measures in the sense of Article 8 of IPA III Regulation and Article 23 of NDICI - Global Europe Regulation.

1. SYNOPSIS

Please delete this box after filling in the section below

It is recommended that Section 1 of this document be filled in once the rest of the AD has been completed. In the Action Summary table below, delete/replace the text in <yellow>, ensuring consistency with the more detailed analysis and text in the subsequent sections of the document. Choose the relevant option when the template indicates several [possible choices].

1.1. Action Summary Table

Title	< Action title as in Article 1 of the Commission Decision > < [Multi-country] [Annual][Multi-annual] [action plan][measure] [in favour of] [beneficiary(ies)] for [year] >
CRIS/OPSYS	[CRIS number/OSPYS business reference]
Basic Act	Financed under the Instrument for Pre-accession Assistance (IPA III)
Team Europe Initiative	[Yes/No] <If yes, specify which one and what country/multi-country/region>
Zone benefiting from the action	The action shall be carried out in <Region>, <Country>, <location(s) if available>
Programming document	IPA III Programming Framework
PRIORITY AREAS AND SECTORS	
Window and thematic priority	<Lead window and thematic priority as identified in relevant programming document>
Sustainable Development Goals (SDGs)	Main SDG (1 only): Other significant SDGs (max 9) and where applicable
DAC code(s) ³	<Main DAC code – sector- percentage> <Sub-code 1 – sector- percentage> <Sub-code 2 – sector- percentage> etc.
Main Delivery Channel @	<Channel 1><Channel code>

OECD: Development Assistance Committee (DAC)-CRS Codes >> Purpose Codes >> **CRS Code - Description**

OECD: List of Official Development Assistance (ODA)-eligible internat. organisations -> **Channel ID**

FROM AF TO AD: AD TEMPLATE 2022 -1/3

Markers ⁴ (from DAC form)	General policy objective @	Not targeted	Significant objective	Principal objective
	Participation development/good governance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Aid to environment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Gender equality and women's and girl's empowerment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Trade development	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Reproductive, maternal, newborn and child health	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Disaster Risk Reduction	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Inclusion of persons with Disabilities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Nutrition ⁵	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
RIO Convention markers @	Not targeted	Significant objective	Principal objective	
	Biological diversity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change adaptation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Internal markers ⁶	Policy objectives	Not targeted	Significant objective	Principal objective
	Connectivity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Digital	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Migration	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Covid-19	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

One box must be checked for each row, please don't leave any row unattended!

AD for Governance of public finances and economic reforms in the Western Balkans and Turkey for 2021-2022

15.020101.01 -> Windows 1 & 2 (excl. refugee support) - .03 (refugee support)
15.020201.02 -> Windows 3 & 4

Definitive Adoption (Euratom) 2021/417

BUDGET INFORMATION	
Amounts concerned	Budget line: 15.020101.01
	Total estimated cost: EUR 26 000 000
	Total amount of EU budget contribution: EUR 26 000 000 – year 2021

BUDGET INFORMATION	
Amounts concerned	Budget line: <budget line>
	Total estimated cost: EUR <amount>
	Total amount of EU budget contribution EUR <amount> of which





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FROM AF TO AD: AD TEMPLATE 2022 - 2/3

All implementation modalities of the Actions covered by the AD should be listed here

AD for Governance of public finances and economic reforms in the Western Balkans and Turkey for 2021-2022

MANAGEMENT AND IMPLEMENTATION	
Implementation modalities (type of financing and management mode)	<p>[Project Modality] [Budget Support]</p> <p>Please delete this box after filling in the section below</p> <p>Identify the selected implementation modality from the combination of management mode (direct/indirect) and type of financing (grants/procurement/budget support) based on sections 4.3 and 4.4 of this document</p> <p>[Direct management through:]</p> <p>[- Budget Support- Sustainable Development Goals Contract] [Budget Support- Sector Reform Performance Contract] [Budget Support- State and Resilience Building Contract]</p> <p>[- Grants]</p> <p>[- Twinning grants]</p> <p>[- Procurement]</p> <p>[Indirect management with <name of the entity>] only the criteria to select the indirect management entity, are to be given; such will provide flexibility afterwards if a change of entity would be needed after the adoption of the initial Financing</p>
Relevant priorities and flagships from Economic and Investment Plan for the Western Balkans [only for the Western Balkans]	<p>Decision. To that effect, insert the following text: <[the entity(ies) to be selected in accordance with the criteria set out in section 4.4.4] <It is strongly discouraged but if considered absolutely necessary to already mention the entity, the name of the Member State Organisation, agency, third donor country agency, EU specialised (traditional regulatory) agency, international organisation etc. could be explicitly mentioned: >[...]</p> <p>[Indirect management with <name of the IPA III beneficiary>]</p> <p>For Regional Blending Facilities/Platforms [This contribution to the Regional Blending [Facility] [Platform] shall be implemented in indirect management by the entities indicated in the appendix to this Action Document, in accordance with the Regional Blending [Facility] [Platform's] award procedure.]</p> <p>For EFSD+ operations covered by budgetary guarantees [Financing and investment operations supported by budgetary guarantees shall be implemented in indirect management by the entities indicated in the appendix to this Action Document]</p> <p><When relevant, specify the title of the relevant priorities and flagships to which the action contributes></p> <p>[Priorities: "Transport", "Energy", "Green Agenda", "Digital Transition", "Innovation Agenda", "Private Sector Support", "Human Capital Development", "Common Regional Market and Economic Integration", "Governance, Rule of Law, PAR"]</p> <p>Flagships: "I Connect East-West", "II Connect North-South", "III Connect Coastal Regions", "IV Renewable Energy", "V Coal Transition", "VI Renovation Wave", "VII Waste and Waste Water", "VIII Digital Infrastructure", "IX Support Competitiveness", "X Youth Guarantee"]</p>
Final Date for conclusion of Financing Agreement	At the latest by 31 December N+1
[Delete this row if a Financing Agreement is not foreseen]	

MANAGEMENT AND IMPLEMENTATION	
Implementation modalities (type of financing and management mode)	<p>Project Modality</p> <p>Direct Management through Grants</p> <p>Indirect Management with</p> <ul style="list-style-type: none"> -Centre for Excellence in Finance (CEF) -International Monetary Fund (IMF) -International Bank for Reconstruction and Development (IBRD)
Relevant priorities and flagships from Economic and Investment Plan for the Western Balkans [only for the Western Balkans]	Priorities: "Governance, Rule of Law, Public Administration Reform"
Final date for conclusion of Financing Agreement	At the latest by 31 December 2022
[Delete this row if a Financing Agreement is not foreseen]	



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FROM AF TO AD: AD TEMPLATE 2022 - 3/3

OTHER SECTIONS

- 2) RATIONALE
- 3) DESCRIPTION OF THE ACTION
- 4) IMPLEMENTATION ARRANGEMENTS
- 5) PERFORMANCE MEASUREMENT
- 6) COMMUNICATION AND VISIBILITY
- 7) SUSTAINABILITY

Final date for concluding contribution / delegation agreements, procurement and grant contracts [Delete this row if this is a multi-annual action with annual instalments]	[Option 1: if a Financing Agreement is not foreseen] At the latest by 31 December N+1 [Option 2: if a Financing Agreement is foreseen and this is not a multi-annual action with annual instalments] [3] years following the date of conclusion of the Financing Agreement, with the exception of cases listed under Article 114(2) of the Financial Regulation
Decommitment deadline for each budgetary commitment [Only keep this line if this is a multi-annual action with annual instalments]	Budgetary commitment <year n>: by 31/12/<year n+5> Budgetary commitment <year n+1>: by 31/12/<year n+1+5> Budgetary commitment <year n+2>: by 31/12/<year n+2+5>
Indicative [operational implementation] [eligibility] period	[Option 1: if a Financing Agreement is not foreseen] <number> months ³ following the adoption of the Financing Decision [Option 2: if a Financing Agreement is foreseen] <number> months ⁹ following the conclusion of the Financing Agreement
Final date for implementing the Financing Agreement [Delete this row if a Financing Agreement is not foreseen]	12 years following the conclusion of the Financing Agreement

"Summary of the Action" can be 1/2 page maximum

1.2. Summary of the Action

Please delete this box after filling in the section below
1/2 page max

This section should be filled in at the end of the stakeholder consultation process when all sections below are finalised. The information contained in this summary will be used in the executive summary for the IPA III committee

- > In line with sections 2 and 3 of this document, this section should provide a description of the overall and specific objectives of the action and the reasons why this action was considered most relevant in the context of sector approach. Refer to section 3.1 for definition of results.
- > Make the link with the corresponding results outlined in IPA III Programming Framework.
- > Make a link with the SDGs and principal/significant markers (DAC and internal) identified in OSPYS.
- > When relevant, make the link with the corresponding Team Europe Initiative (transformative impact, list of contributions from other Team Europe stakeholders, including, where possible, information on the main modality of their involvement).



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Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

FROM AF TO AD: HOW TO MERGE? - LFM

Judiciary Action Document Turkey, 2016: LFM

OVERALL OBJECTIVE /IMPACT	OBJECTIVELY VERIFIABLE INDICATORS	SOURCES OF VERIFICATION	ASSUMPTIONS
To ensure rule of law and fundamental rights in Turkey fully in line with international and European standards.	Progress made towards meeting international and European standards.	EU Country Reports on Turkey's Progress towards accession.	
SPECIFIC OBJECTIVE /OUTCOME	OBJECTIVELY VERIFIABLE INDICATORS	SOURCES OF VERIFICATION	ASSUMPTIONS
To further strengthen efficiency and administration of the judiciary; to further increase awareness on human rights; to continue with the reform of the penitentiary system.	Decrease in number of ECHR violations. Number of pending cases and duration of proceedings (i.e. improvement of clearance rate for backlog in courts)	Indicators reported in ECHR. Statistics released by MoJ and CEPEJ	Close cooperation and full commitment of all stakeholders.
RESULTS /OUTPUTS	OBJECTIVELY VERIFIABLE INDICATORS	SOURCES OF VERIFICATION	ASSUMPTIONS
Result 1: Increased awareness of judiciary on anti-discrimination issues, through enhancing the training curriculum and capacity of the Justice Academies of Turkey.	Decrease in number of the ECHR violation decisions on discrimination.	Statistics released by MoJ	Close cooperation and full commitment of all stakeholders.
Result 2: Enhanced awareness and competencies of judges, public prosecutors and experts regarding key issues such as gender, discrimination, domestic violence and child welfare.	Number of family court cases overruled by High Court. (destinose)	Statistics released by MoJ	
Result 3: Enhanced quality of service provided by Forensic Institutions such as Turkish Gendarmerie General Command Gendarmerie Forensic Department (JKDH), Turkish National Police Department of Criminal Police Laboratories (KPL), Ministry of Justice Forensic Medicine Institution.	Number of accredited examination methods in forensic labs.	Statistics released by Forensic Institutions	
Result 4: Improved implementation of mediation and arbitration in civil cases and widespread use of conciliation and plea-agreements in criminal cases promoted.	Number of disputes settled by means of Alternative Dispute Resolution	Statistics released by MoJ	
Result 5: Effective notarial system which serves reducing the workload of the judiciary developed.	Number of cases transferred from court system to notaries.	Statistics released by MoJ	
Result 6: Effective regional and bilateral judicial cooperation in criminal matters developed, acceleration in judicial proceedings regarding cross border criminal disputes.	Duration of proceedings regarding cross border criminal disputes	Statistics released by MoJ	
Result 7: One special institution established where only the women staying with their children Daily life and training programmes developed, suitable to the age group of children staying with their mothers in the penal institution, and also to children whose parents are in penal institutions.	Percentage of children staying with their mothers in penal institutions with proper support model compared to total prison population.	Statistics released by MoJ	
Result 8: Enhanced quality of the trainings provided in the Personnel Training Centres of Prisons and Detention Houses.	Reduction in the number of inmate complaints lodged due to disproportionate use of power	Statistics released by MoJ	
Result 9: Increased institutional capacity of the Judiciary in terms of fight against drug addiction.	Number of trained judges, prosecutors and social workers dealing with the drug addict convicts and detainees.	Statistics released by MoJ	

- Action 1
- Action 2
- Action 3
- Action 4

NEW IMPACT
To ensure rule of law and fundamental rights in Turkey fully in line with EU and international standards

NEW OUTCOME
To further strengthen efficiency and administration of the judiciary; to further increase awareness on human rights; to continue with the reform of the penitentiary system.

IMPACT & OUTCOME(s) at the AD level are derived by looking at where OUTPUTS lead to
Each OUTPUT at the AD level actually reflects the IMPACT of an Action defined by the AF

Result 5: Effective notarial system which serves reducing the workload of the Judiciary developed

Action: Improving the Turkish Notary System



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Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

FROM AF TO AD: HOW TO MERGE? - BUDGET

AF 1

Region	N/A
Indicative budget	20,000,000 € (Supply and Works-2021) 17,000,000 € EU contribution 3,000,000 € National contribution
Implementation Modality	Indirect Management: There will be a procurement for supplies/works under this action.
Budget Support Readiness (only if the action is implemented through Budget Support)	N/A
Addressing the challenges caused by the COVID-19 pandemic	Addressing the challenges caused by the COVID-19 pandemic in the health, social and economic sectors and contributing to the recovery of the health sector onto a more resilient, secure and sustainable path.

Indicative budget	20,000,000 € (Supply and Works-2021) 17,000,000 € EU contribution 3,000,000 € National contribution
Implementation Modality	Indirect Management: There will be a procurement for supplies/works under this action.

AF 2

Regional dimension	expansion of women friendly cities. This action does not have a regional dimension.
Indicative budget	5.000.000 EUR (2.000.000 EUR TA + 3.000.000 EUR Grant)
Implementation Modality	Direct management (United Nations Population Fund -UNFPA)
Budget Support Readiness	N/A
Indicative budget	5.000.000 EUR (2.000.000 EUR TA + 3.000.000 EUR Grant)
Implementation Modality	Direct management (United Nations Population Fund -UNFPA)
Budget Support Readiness (only if the action is implemented through Budget Support)	N/A

Action Identification	
Action Programme Title	Annual Action Programme for Republic of North Macedonia for Year 2020
Action Title	EU for Rule of Law
Action ID	IPA 2020-41-831.02.04/MK/RoL
Sector Information	
IPA II Sector	2. Justice and Home affairs
DAC Sector	15130 – Legal and judicial aid 15210 – Security system management and reform 15113 – Anti-corruption organisations and institutions
Budget	
Total cost	19,300,000
EU contribution	18,900,000
Budget line(s)	22.02.01.01
Management and Implementation	
Management	Direct and indirect management
Delegation	EU Delegation to the Republic of North Macedonia
Direct management: National authority or other entrusted entity	Indirect management with the Council of Europe Bank (CEB) for the implementation of Activity 4.2.(a) Improving of the detention conditions
Implementation responsibilities	EU Delegation to the Republic of North Macedonia
Location	
Location of the beneficiary from the	North Macedonia

Budget	
Total cost	19,300,000
EU contribution	18,900,000
Budget line(s)	22.02.01.01

Cumulative/total budget of all Actions concerned

Implementation period	12 years following the conclusion of the Financing Agreement
Final date for implementing the	



Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

FROM AF TO AD: **BASICS & LINKAGES IN BETWEEN**

- IPA III Action Documents (ADs) are subject to specific page limitations, contemplated in a very concise way and can be regarded as 'mini' programming documents
- Action Fiches (AFs) passing the Relevance Assessment merge under a specific Thematic Priority (TP) or Thematic Window (TW) of IPA III and construct the ADs
- At times, a single AF can also transform into an AD, yet, EC favours the former
- During the merger of AFs, sections of the AD and LFMs are re-designed and adapted in a way to preserve the causal logic
- Over the last years, ADs underwent various structural changes heading towards the Result Based Management (RBM) preference of EC at present



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FROM AF TO AD: **BASICS & LINKAGES IN BETWEEN**

A critical remark

In terms of achieving funding,
our proposed Action's contributions to the enlargement process
and its compliance to the EU's enlargement policy is
as important as
the benefits and need of Turkey for this Action!



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Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

FROM AF TO AD: **RESULTS BASED MANAGEMENT**

Traditional Approach

Focuses mainly on inputs and activities

Results-Based Approach

Focuses on the results obtained rather than just on the inputs used or the activities conducted or administrative concern
Designed to address the “so what ?” question

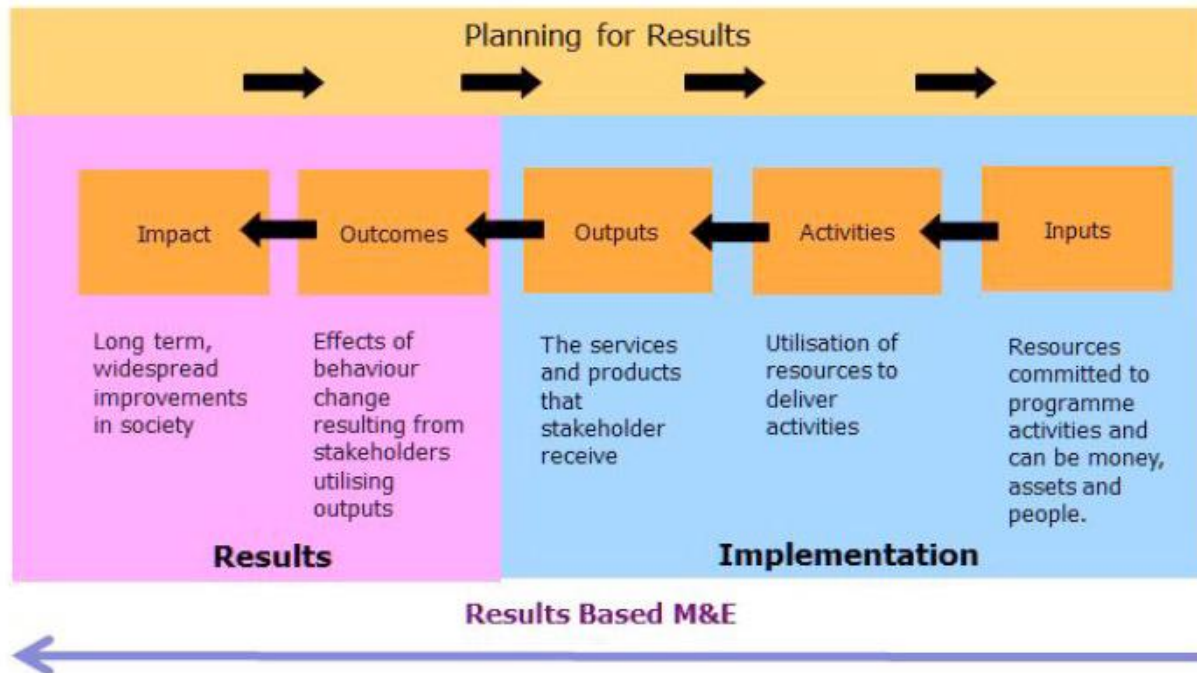
Focal shift >>

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

- + identify up-front performance indicators
- + establish baselines and targets
- + establish responsibilities for data collection & reporting
- + assess progress during implementation and upon intervention's completion
- + reinforce institutional accountability

FROM AF TO AD: RESULTS BASED MANAGEMENT

- Results Based Management is a **shift from focusing on inputs and activities** (resources and procedures) **to focusing on outputs, outcomes, impact** and the need for sustainable benefits (results of what you do)
- Results are the changes occurring as an effect of a development intervention and imply that a change of behaviour by individuals, groups of people, organisations, government bodies or society has taken place.



WHY ARE THE RESULTS PLANNED BACKWARD FROM IMPACT TO INPUTS WHEREAS M&E MOVES IN THE REVERSE ORDER?



Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

FROM AF TO AD: **RESULTS BASED MANAGEMENT**

- RBM is in full congruence with the PCM (and LFA) concepts, tools and techniques, it is **even more emphasizing on monitoring of the quality aspect of service delivery**
- RBM particularly **focuses on reporting and corrective actions established by assessing Actual Results versus Planned Results**
- RBM further interlinks the M&E system with regular Feedback and Adjustment system. In fact, **PCM emphasizes to enhance programming and proposal design, while RBM seems to focus on institutional accountability, effectiveness and efficacy**
- The focal shift from the Traditional Approach to the RBM approach can be traced through the updates introduced by the EC on ADs over the last years



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Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

EVOLUTION OF ADS





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Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

EVOLUTION OF ADS: REFLECTIONS ON LFM – AD 2014

2014: AD on Regulatory Reform and Acquis Alignment Action Turkey

2. INTERVENTION LOGIC

LOGICAL FRAMEWORK MATRIX

OVERALL OBJECTIVE	OBJECTIVELY VERIFIABLE INDICATORS (OVI)	SOURCES OF VERIFICATION	
To contribute to Turkey's efforts of alignment with EU rules, standards, policies and practices with a view to prepare for EU membership			
SPECIFIC OBJECTIVE	OBJECTIVELY VERIFIABLE INDICATORS (OVI)	SOURCES OF VERIFICATION	ASSUMPTIONS
To support institution building activities regarding the EU acquis and negotiation chapters, economic criteria, public administration reform and regulatory reform	Assessments of progress achieved for acquis alignment, regulatory reform and public administration reform	European Commission Progress Reports Reports prepared by the MEUA	RRAA-A implemented in line with the design outlined in this Action Document Sufficient number of activity proposals which qualify with eligibility criteria
RESULTS	OBJECTIVELY VERIFIABLE INDICATORS (OVI)	SOURCES OF VERIFICATION	ASSUMPTIONS
Result 1 The absorption of programmed EU funds will have improved combined with an increased efficiency during implementation	Number of total PPF activities implemented % of IPA II funded supply and works contracts for which PPF support has been used.	Reports prepared by MEUA on utilisation of PPF and UNIBE components. Evaluation Report for RRAA-A	

ACTIVITIES	MEANS	OVERALL COST	ASSUMPTIONS
Result 2: The alignment with EU acquis and the implementation capacity in relevant fields will have increased Small-scale project preparation facility (PPF) type activities similar to SEI mechanism <ul style="list-style-type: none"> - Short-term technical assistance - Feasibility studies - Detailed designs of acquis related investment projects - Preparation of institution-building projects, training programmes and aid schemes - Preparation of technical specifications, procurement plans and tender dossiers - Recruitment of external assessors for evaluation - Assessment of applications under grant schemes - Any other relevant activities 	Number of draft legislation in line with EU acquis, of regulatory frameworks in place, and of administrative structures and training systems established Number of total UNIBE activities in line with eligibility criteria TA, TW, TW light, Direct Grants, FWC contracts etc.	Total Cost 36.000.000 € EU Contribution 32.400.000 €	RRAA-A implemented in line with the design outlined in this Action Document and the provisions of the RRAA-A guidelines Sufficient number of activity proposals
Institution building activities in line with UNIBE criteria addressing the needs regarding EU acquis and negotiation chapters, economic criteria, public administration reform and regulatory reform outside the priority sectors.			

DIFFERENCES NOTICED?



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Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

EVOLUTION OF ADS: REFLECTIONS ON LFM – AD 2016

2016: AD on Judiciary Turkey

2. INTERVENTION LOGIC

LOGICAL FRAMEWORK MATRIX

OVERALL OBJECTIVE	OBJECTIVELY VERIFIABLE INDICATORS	SOURCES OF VERIFICATION	
To ensure rule of law and fundamental rights in Turkey fully in line with international and European standards.	Progress made towards meeting accession criteria.	EU Country Reports on Turkey's Progress towards accession.	
SPECIFIC OBJECTIVE	OBJECTIVELY VERIFIABLE INDICATORS	SOURCES OF VERIFICATION	ASSUMPTIONS
To further strengthen efficiency and administration of the judiciary, to further increase awareness on human rights, to continue with the reform of the penitentiary system.	Decrease in number of ECHR violations. Number of pending cases and duration of proceedings (i.e. improvement of clearance rate for backlog in courts)	Judgments and statistics of ECtHR. Statistics released by MoJ and CEPEJ	Close cooperation and full commitment of all stakeholders.
RESULTS	OBJECTIVELY VERIFIABLE INDICATORS	SOURCES OF VERIFICATION	ASSUMPTIONS
Result 1: Increased awareness of judiciary on anti-discrimination issues, through enhancing the training curriculum and capacity of the Justice Academy of Turkey.	Decrease in number of the ECHR violation decisions on discrimination	Statistics released by MoJ	Close cooperation and full commitment of all stakeholders.
Result 2: Enhanced awareness and competencies of judges, public prosecutors and experts regarding key issues such as gender, discrimination, domestic violence and child welfare.	Number of family court cases overruled by High Court. (decrease)	Statistics released by MoJ	
Result 3: Enhanced quality of service provided by Forensic Institutions such as Turkish Gendarmerie General Command Gendarmerie Forensic Department (JKDB), Turkish National Police Department of Criminal Police Laboratories (KPL), Ministry of Justice Forensic Medicine Institution.	Number of accredited examination methods in forensic labs.	Statistics released by Forensic Institutions	
Result 4: Improved implementation of mediation and arbitration in civil cases and widespread use of conciliation and plea-agreements in criminal cases promoted.	Number of disputes settled by means of Alternative Dispute Resolution	Statistics released by MoJ	
Result 5: Effective notarial system which serves reducing the workload of the judiciary developed.	Number of cases transferred from court system to notaries	Statistics released by MoJ	
Result 6: Effective regional and bilateral judicial cooperation in criminal matters developed, acceleration in judicial proceedings regarding cross border criminal disputes.	Duration of proceedings regarding cross border criminal disputes	Statistics released by MoJ	
Result 7: One special institution established where only the women staying with their children Daily life and training programmes developed, suitable to the age group of children staying with their mothers in the penal institution, and also to children whose parents are in penal institutions.	Percentage of children staying with their mothers in penal institutions with proper support model compared to total prison population.	Statistics released by MoJ	
Result 8: Enhanced quality of the trainings provided in the Personnel Training Centres of Prisons and Detention Houses	Reduction in the number of inmate complaints lodged due to disproportionate use of power	Statistics released by MoJ	

WHAT IS MISSING COMPARED TO AD OF 2014?

EVOLUTION OF ADS: REFLECTIONS ON LFM – AD 2020

2. INTERVENTION LOGIC

LOGICAL FRAMEWORK MATRIX

OVERALL OBJECTIVE(S)/IMPACT(S)	INDICATOR'S NAME	OBJECTIVELY VERIFIABLE INDICATORS			SOURCE & MEANS OF VERIFICATION	
		Baselines (value + year)	Milestones 2023	Targets 2025		
To strengthen rule of law	Rule of Law Index (Global)	Score 0.54 Rank 56/126 (2019)	0.60	0.65	World Justice Report http://data.worldjusticeproject.org/	
	Rule of Law Index (Fundamental Rights)	Score 0.57 Rank 60 out of 126 (2019)	0.60	0.62	World Justice Report http://data.worldjusticeproject.org/	
SPECIFIC OBJECTIVE(S)/OUTCOME(S)	OBJECTIVELY VERIFIABLE INDICATORS	Baselines (value + year)	Milestones 2023	Targets 2025	SOURCE OF VERIFICATION	ASSUMPTION
To strengthen justice and home affairs systems and reinforce the respect to fundamental rights	Implementation rate of Judicial Strategy 2017-2022 (% of targets met).	< 10% (2018)	100%	NA	Report on the implementation of the Judicial Strategy and its Action Plan	The country is committed to EU integration and ready to implement the reform needed to achieve the required standards in justice and home affairs area.
	Number of key indicators on justice system being reported annually to the public	0 (2018)	10	15	e-Justice system/Performance assessment framework	
	Clearance rate of civil and commercial litigious cases	100% (2018) 111% (2018)	110% (2018) 114% (2018)	110% (2018) 114% (2018)	Judicial Council Statistical Report	
OUTPUT	OBJECTIVELY VERIFIABLE INDICATORS	Baselines (value + year)	Milestones 2023	Targets 2025	SOURCE OF VERIFICATION	ASSUMPTION
1. Improved independence, accountability, quality and effectiveness of the justice system	Number of judges and prosecutors benefiting of the EU support (cumulative for the different measures and sex disaggregated)	3828 (2015)	> 5000	N/A	Project Report and administrative data	There is strong interest on behalf of the national players to cooperate with EU Member state peers and adopt and apply the EU practice and standards
	Number of courts benefiting of peer support	0 (2019)	At least 7	10	Grant report	
2. Stronger capacity to effectively implement	Number of inter-institutional joint operations to investigate	Unknown		> 10	Statistical data of the Mol	

2020: AD on EU for Rule of Law, North Macedonia

- Not many changes on LFM of the AD from 2014 to 2016: Only the **activities level was taken out**
- In 2020, new identifiers have been defined:
 - "Overall Objectives" >> **"Impact(s)"**
 - "Specific Objectives" >> **"Outcome(s)"**
 - "Results" >> **"Outputs"**
- **Baselines + Milestones + Targets** were included directly in LFM, attaching more importance on monitoring, accountability and transparency



Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

EVOLUTION OF ADS: REFLECTIONS ON LFM – AD 2022

3.5. Indicative Logical Framework Matrix

2022: IPA III AD Template

[PROJECT MODALITY (3 levels of results / indicators / Source of Data / Assumptions - no activities)]

Results	Results chain: Main expected results [maximum 10 @]	Indicators [at least one indicator per expected result @]	Baselines [values and years]	Target [values and years]	Sources of data	Assumptions
Impact	[Copy-paste the Overall Objective(s), as per section 3.1 of the Action Document] To...	1 2	1 2	1 2	1 2	Not applicable
Outcome 1	[Copy-paste, and adapt to past tense the Specific Objective(s), as per section 3.1 of the Action Document] 1 (past tense)	1.1 1.2	1.1 1.2	1.1 1.2	1.1 1.2	
Outcome 2	2 (past tense)	2.1 2.2	2.1 2.2	2.1 2.2	2.1 2.2	
	...					
Output 1 related to Outcome 1	[Copy-paste, and adapt to past tense the Outputs (s), as per section 3.1 of the Action Document] 1.1 (past tense)	1.1.1 1.1.2	1.1.1 1.1.2	1.1.1 1.1.2	1.1.1 1.1.2	
Output 2 related to Outcome 1	1.2 (past tense)	1.2.1 1.2.2	1.2.1 1.2.2	1.2.1 1.2.2	1.2.1 1.2.2	
Output 1 related to Outcome 2	2.1 (past tense)	2.1.1 2.1.2	2.1.1 2.1.2	2.1.1 2.1.2	2.1.1 2.1.2	
Output 2 related to Outcome 2	2.2 (past tense)	2.2.1 2.2.2	2.2.1 2.2.2	2.2.1 2.2.2	2.2.1 2.2.2	
	...					

- New terminology fully adopted
- Results at all levels were tagged with numbers
- Baselines and target values were kept intact reflecting the importance attached on RBM approach of the EC





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ACTION DOCUMENT

SECTION 2 RATIONALE

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Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

AD CONTEXT AND PROBLEM ANALYSIS

Draft IPA III Action Document template – version 23.07.2021

2. RATIONALE

2.1. Context

Please delete this box after filling in the section below

1,5 page max

This section should confirm the relevance of the action within the **action plan**.

- In the text box below, please provide a description of the context, including the **sector/country/regional context** and reference to the IPA III Programming Framework and Strategic Response. Please refer to the five policy priorities of the Commission, adapted for the external action.¹⁰
- In particular, for the Western Balkans, please refer to the Green Agenda for the Western Balkans¹¹, reflecting the European Green Deal in the region, and to the Economic and Investment Plan for the Western Balkans.
- Please provide a description of the relevance of this action against the IPA III beneficiaries' policies and strategies.
- Please provide a description of the policy relevance of this action against the specific instruments of the EU enlargement policy.
- Please provide a description of complementarity and coordination with EU and other donors/partners

- [@Context analysis](#)
- [@Conflict and conflict sensitivity](#)
- [@Gender equality and women's empowerment](#)
- [@Inequalities](#)

<To be filled in>

2.2. Problem Analysis

Please delete this box after filling in the section below

1/2 page max per area of support

- Please give a brief description and justification of the decision to select the specific problem(s) this action seeks to address, focusing to the extent possible, on their economic, social, environmental, and climate change dimensions. Make use of a SWOT analysis, if available. In the case of a multi-sectoral action, please apply the two headings below as many times as necessary.
- Please identify the stakeholders (public and/or non-state actors) most affected by the issues to be addressed by this action, their roles and mandates and any institutional, organisational and/or capacity issues to be covered by the action. Specific attention should be paid to the most vulnerable groups who could be positively or negatively affected by the action, including risks of doing harm (not least in fragile and conflict-affected settings), as well as the stakeholders representing them. Please do not just list stakeholders.

- [@Problem and objective tree](#)
- [@SWOT analysis](#)
- [@Stakeholder analysis](#)
- [@Capacity development consideration in planning/programming](#)
- [@Gender equality and women's empowerment](#)
- [@Environment and climate change](#)
- [@Conflict sensitivity and resilience](#)

Short problem analysis

<To be filled in>

Identification of main stakeholders and corresponding institutional and/or organisational issues (mandates, potential roles, and capacities) to be covered by the action

<To be filled in>



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R

WINDOW 3:

Environmental protection
Mitigation of and resilience to climate change
Shift towards a low-carbon economy
Digital economy and society
Connectivity of the IPA III beneficiaries to the EU and the wider global market

THEMATIC PRIORITIES

1. Environment and climate change
2. Transport, digital economy and society, and energy

WINDOW 4:

Economic and social development
Focus on education, social inclusion and employment policies
Support to private sector development
Agriculture and rural development

THEMATIC PRIORITIES

1. Education, employment, social protection and inclusion policies, and health
2. Private sector development, trade, research and innovation; 3. Agriculture and rural development; 4. Fisheries

- a) Are the Actions aligned with the window's overall objectives?
- b) Are the Actions clearly addressing the specific objectives of the thematic priorities of the window?



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R

- European Green Deal
- A EU fit for digital age
- An economy that works for people
- A stronger EU in the world
- Promoting EU way of life
- A new push for EU democracy

https://ec.europa.eu/info/strategy/priorities-2019-2024_en

a) To which extent proposed Action is relevant to the policy priorities of EU Commission?

RELEVANCE

- Describe main **specific objectives** of partner's policy that are to be supported through the Action... AND
- How relevant is the policy? In line with EU policies/values?
- Is it a credible policy? e.g. ownership, outcomes of policy implementation, coherent with government budget, risk informed?
- **NB Don't just list relevant policies!**

a) To which extent proposed Action is coherent and relevant with national policy/strategy?

b) How is EC thinking:
What if?

The partner's policy is (relevant and) credible... how do we decide on **the focus** of our support to that policy? What are the practical consequences? what should we be looking for in particular?

The partner's strategy/policy lacks relevance or if there is a lack of credibility, what approach should we take?



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COMPLEMENTARITY WITH EU ENLARGEMENT POLICY

- Communication on EU Enlargement Policy 2020 and related EC report on Turkey 2020
- Economic Reform Programme
- NPAA

COMPLEMENTARITY OF THE ACTION WITH EU AND OTHER DONORS/PARTNERS

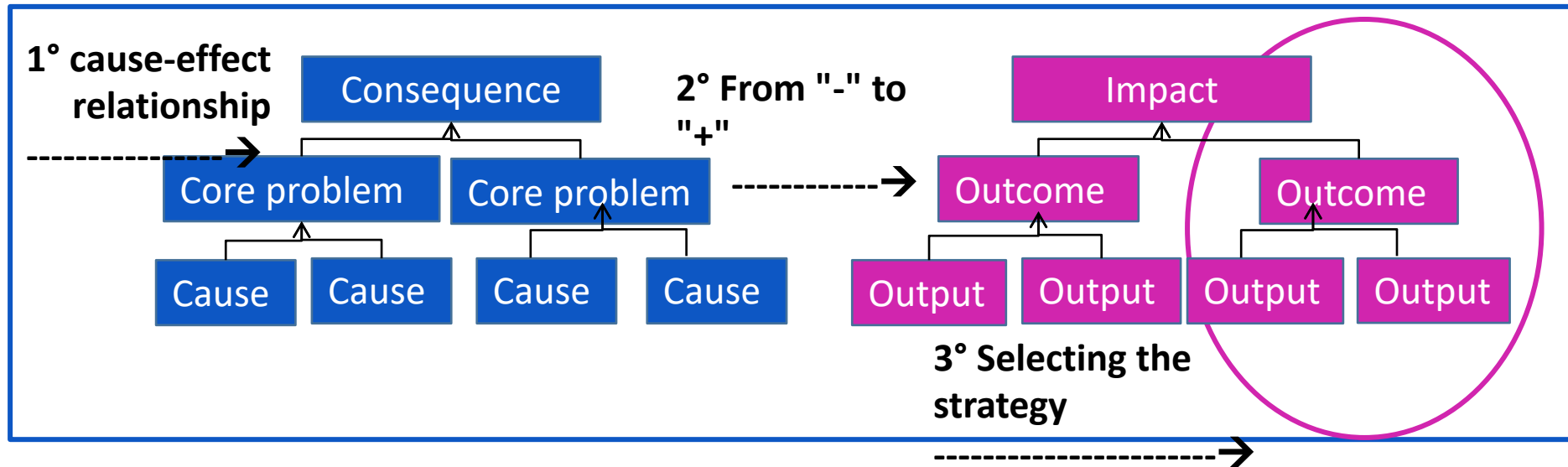
- Other EU funded projects in implementation/completed/planned worth of mentioning to justify there are no overlaps and that the Action is well thought in order to bring synergy
- Same for other projects supported by other donors/partners or implemented with national funds

a) How is the Action addressing priorities of the above documents?

PROBLEM ANALYSIS

- Described per Area of Support
- SWOT
- Problem tree analysis

- **Ensure coherence with intervention logic**
- Support problem analysis with statistics
- Think of cross-cutting issues



Does this section of AD provide sufficient justification for the decision to select specific problems this Action seeks to address

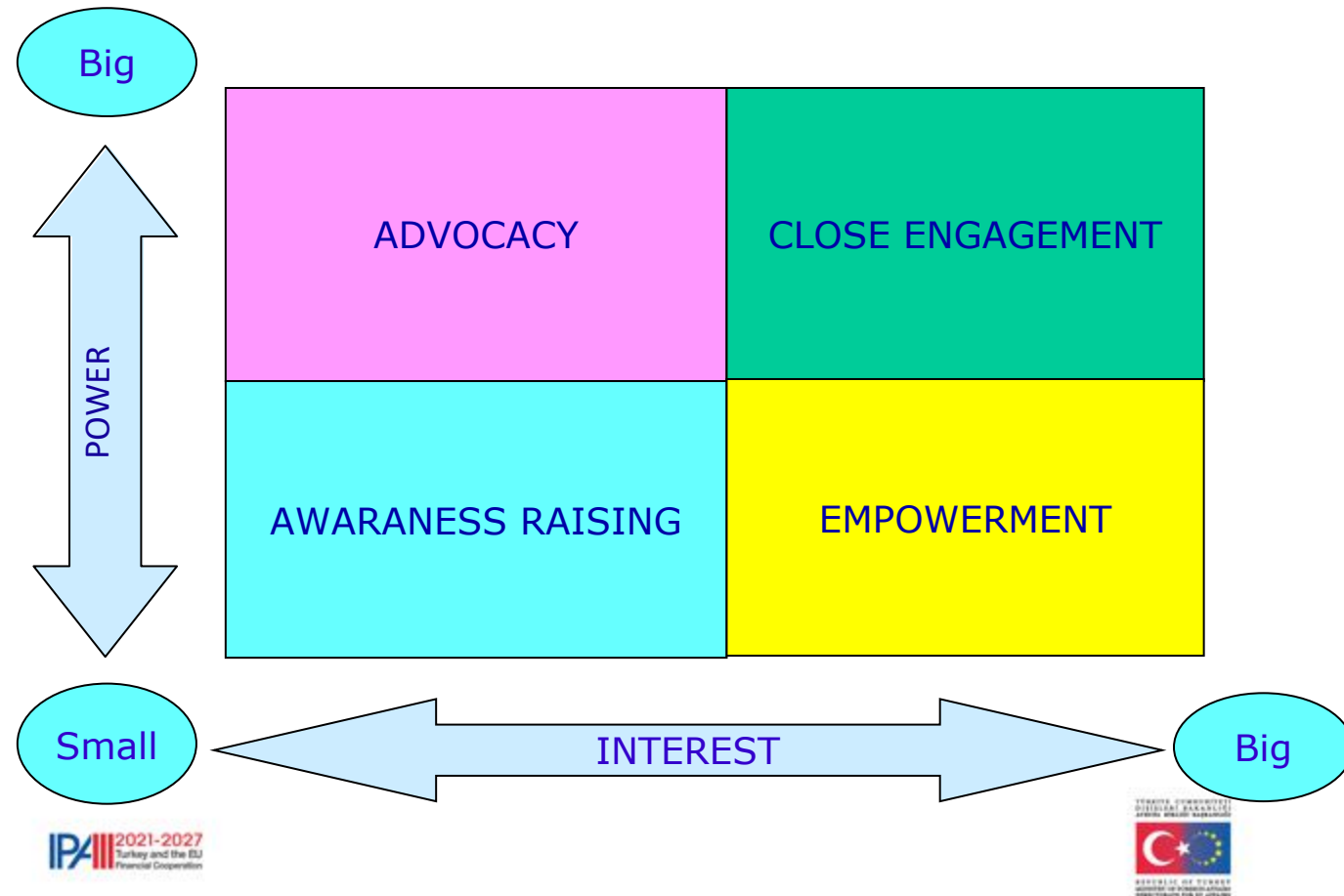
STAKEHOLDER ANALYSIS

Not just a list of the stakeholders but

- an analysis of the strengths and weaknesses (in particular in terms of capacities); capacity to assume mandate? relationship with Government?
- their active participation or not, (and if not, why?) in the preparation of the action (the intervention logic)

Will go beyond appearances/declarations and analyse the real interests of key stakeholders, their relative support to (the whole or to part of) the reform...

Sustainability?





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EU ADDED VALUE

- Under the principle of subsidiarity of EU Treaty - EU should act only where national governments are not able to efficiently provide a specific good
- Looks for changes which can reasonably be argued are due to the EU intervention, over and above what could reasonably have been expected from national actions
- May be the results of different factors: coordination gains, legal certainty, greater effectiveness or efficiency, complementarities, etc.
- **Effectiveness:** where EU action is the only way to get results to create missing links, avoid fragmentation, and realise the potential of a border-free Europe.
- **Efficiency:** where the EU offers better value for money, because externalities can be addressed, resources or expertise can be pooled, an action can be better coordinated.
- **Synergy:** where EU action is necessary to complement, stimulate, and leverage action to reduce disparities, raise standards, and create synergies.



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EU ADDED VALUE EXAMPLES

- Reduction in economic and social disparities
- Enhanced visibility of the EU and increased participation of different actors
- Changes to institutional arrangements or implementation methods
- Fostering exchange of practical experiences, good practices, know-how
- Scaling-up previous EU funded interventions
- Scaling-up from local to national/regional/international networks
- Building ownership
- Promoting complementarity and increasing coordination
- Continued exchanging after the termination of the project
- Building on existing networks or have established regional/national networks for exchange
- Achieving global and regional development goals through strengthened partnerships for sustainable development
- Reinforcing the EU's human capital
- Building multidisciplinary transnational networks for more impact
- Creating new market opportunities through collaborative multi-disciplinary teams and dissemination of results
- Strengthening the evidence-base for policy-making
- Leveraging private investment



Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

EC COMMENTS ON ADS FOR 2021 PROGRAMME - GENERAL

- Lack of updated information on the current legislative amendments studies
- Insufficiently clarified precise scope of the action
- Mandates and roles of different institutions, lack of presentation of clear commitment of the “co-beneficiary”
- Action doesn’t take into account past, ongoing and upcoming projects – indication on duplication of efforts and overlapping
- Lack of clear focus, no explanation on lessons learned from completed and ongoing projects
- Poorly defined objectives and scope of the activities
- Intervention logic unclear and weak
- Too much focus on awareness raising, training, study tours while concrete and more strategic activities are lacking
- Insufficient gender dimension or complete absence
- No clarification on how climate and environment will be addressed
- Logframe requires some/or significant modifications in particular to definition of outputs and outcomes/indicators
- Length
- Lessons learned – too many details while absence of lessons/conclusions drawn
- Further justification of activities
- Links with ERP and Turkey Report
- Structure of AD to be fully revised



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Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

ACTION DOCUMENT **SECTION 3 DESCRIPTION OF THE ACTION**

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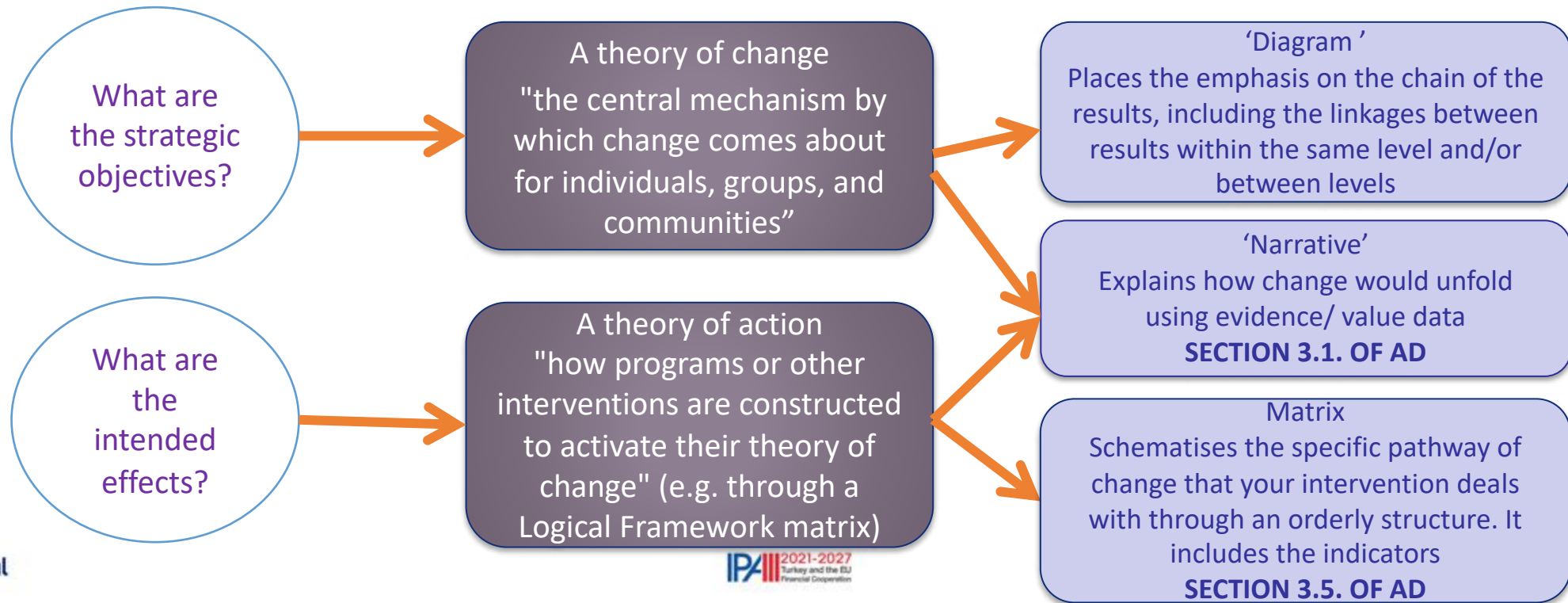
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WHAT IS AN INTERVENTION LOGIC?

The IL is a concept tool, a thinking process:

What we want to achieve (results: outputs, outcomes and impact) and how we need to get there, having regard to the needs and to the context



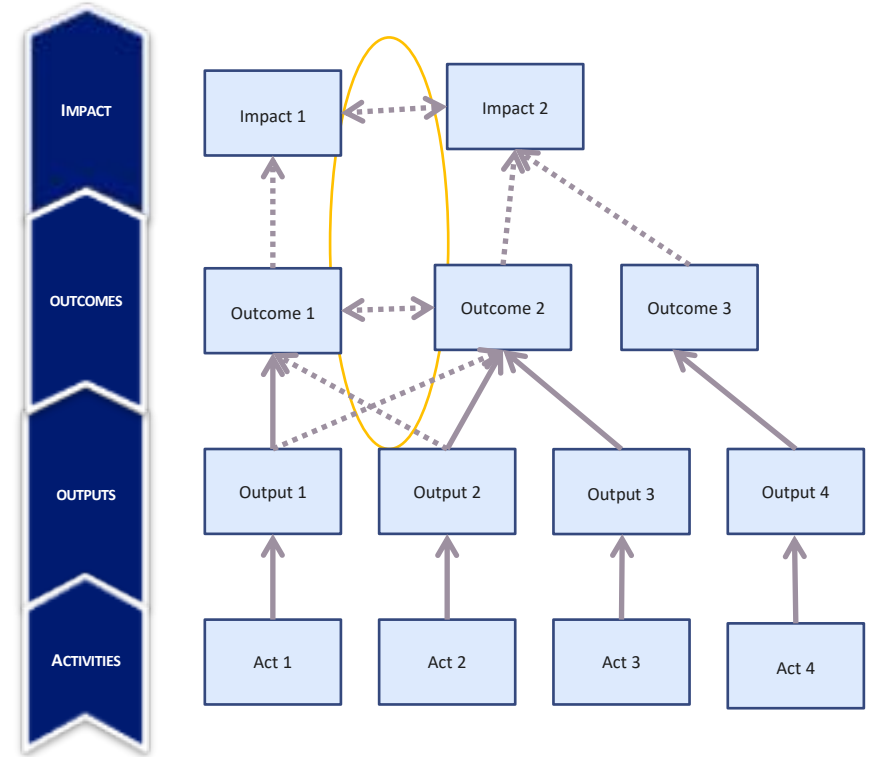


Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

THE LOGICAL FRAMEWORK MATRIX IS A TOOL...

[PROJECT MODALITY (3 levels of results / indicators / Source of Data / Assumptions - no activities)]

Results	Results chain: Main expected results [maximum 10 @]	Indicators [at least one indicator per expected result @]	Baselines [values and years]	Target [values and years]	Sources of data	Assumptions
Impact	[Copy-paste the Overall Objective(s), as per section 3.1 of the Action Document] To...	1 2	1 2	1 2	1 2	Not applicable
Outcome 1	[Copy-paste and adapt to past tense the Specific Objective(s), as per section 3.1 of the Action Document] 1 (past tense)	1.1 1.2	1.1 1.2	1.1 1.2	1.1 1.2	
Outcome 2	2 (past tense)	2.1 2.2	2.1 2.2	2.1 2.2	2.1 2.2	
	...					
Output 1 related to Outcome 1	[Copy-paste and adapt to past tense the Outputs (s), as per section 3.1 of the Action Document] 1.1 (past tense)	1.1.1 1.1.2	1.1.1 1.1.2	1.1.1 1.1.2	1.1.1 1.1.2	
Output 2 related to Outcome 1	1.2 (past tense)	1.2.1 1.2.2	1.2.1 1.2.2	1.2.1 1.2.2	1.2.1 1.2.2	
Output 1 related to Outcome 2	2.1 (past tense)	2.1.1 2.1.2	2.1.1 2.1.2	2.1.1 2.1.2	2.1.1 2.1.2	
Output 2 related to Outcome 2	2.2 (past tense)	2.2.1 2.2.2	2.2.1 2.2.2	2.2.1 2.2.2	2.2.1 2.2.2	
	...					



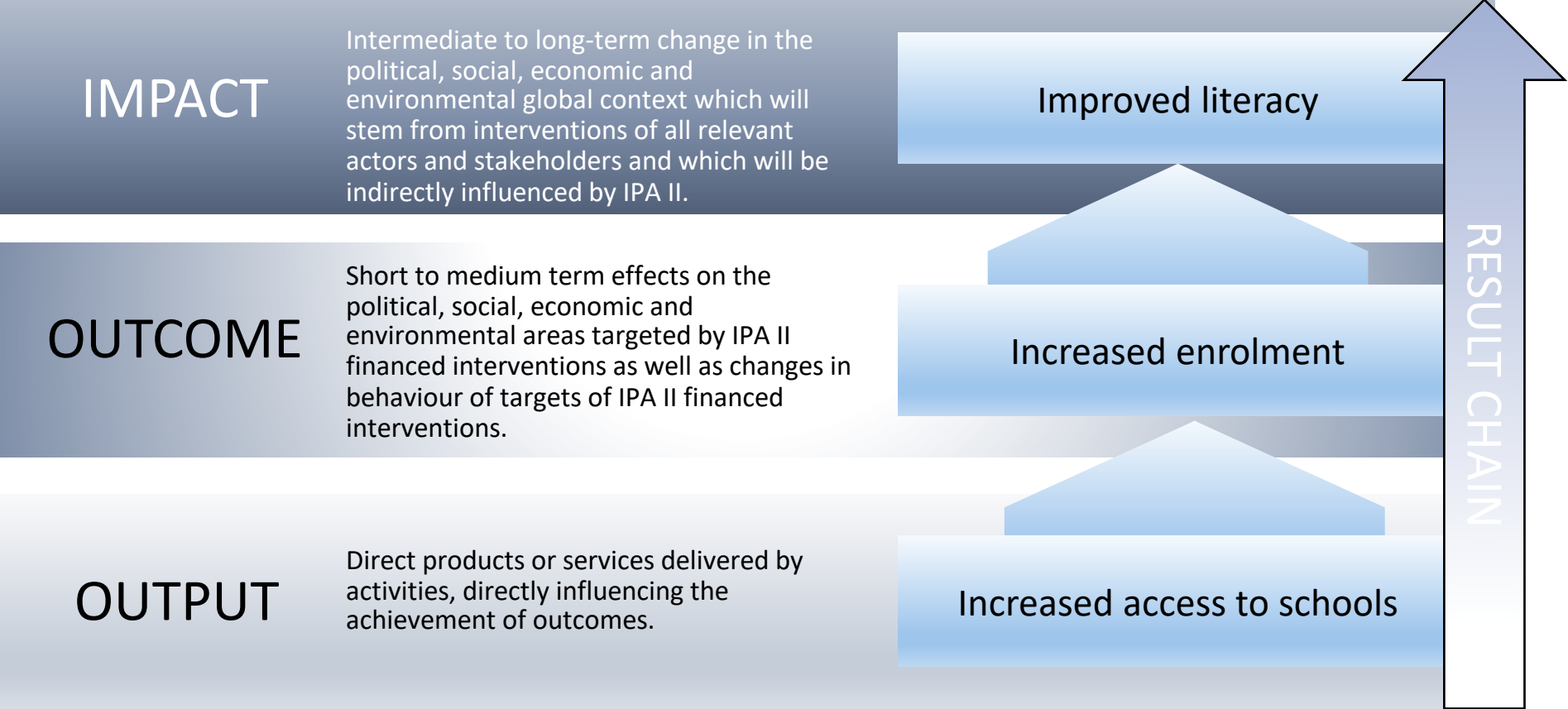
...based on the intervention logic



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INTERVENTION LOGIC AND HIERARCHY OF RESULTS



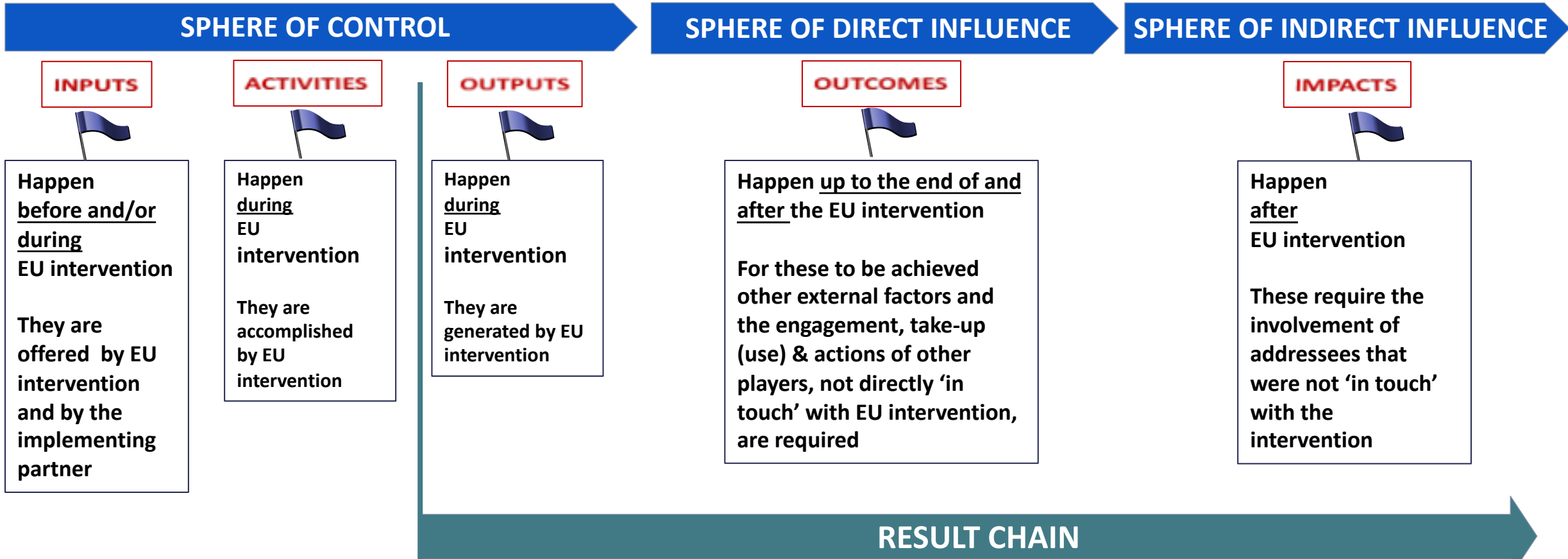
INPUTS AND ACTIVITIES



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INTERVENTION LOGIC TIME-FRAME AND SPHERES OF CONTROL





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WRITING OBJECTIVE STATEMENTS

Impact (Overall objectives)	To encourage reduction in infant and maternal mortality in districts X & Y
Outcome (Specific Objective)	Improved access to health services which meet minimum quality standards
Outputs	Management and administration systems improved Beneficiary institution staff's technical skills upgraded Existing facilities upgraded New facilities established
Activities	Conduct participatory systems audit Prepare cost-effective systems improvement plan based on local needs and capacity Implement identified improvements Monitor and review progress and performance



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QUICK EXERCISE

	Output	Outcome	Impact
Increased contacts between target CSOs and government in areas of mutual interest	😊		
Strengthened linkage between policy formulation and citizens' needs via civil society			😊
Improved internal capacities of target CSOs in areas of management, advocacy, marketing and fundraising	😊		
More effective engagement of CSOs in the formulation of public policy		😊	
Increased relations/communication with citizens & other key stakeholders		😊	
Increased public confidence in CSOs		😊	
Trainings, seminars, workshops, have been delivered with citizens participation	😊		



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THE ACCOUNTABILITY CEILING

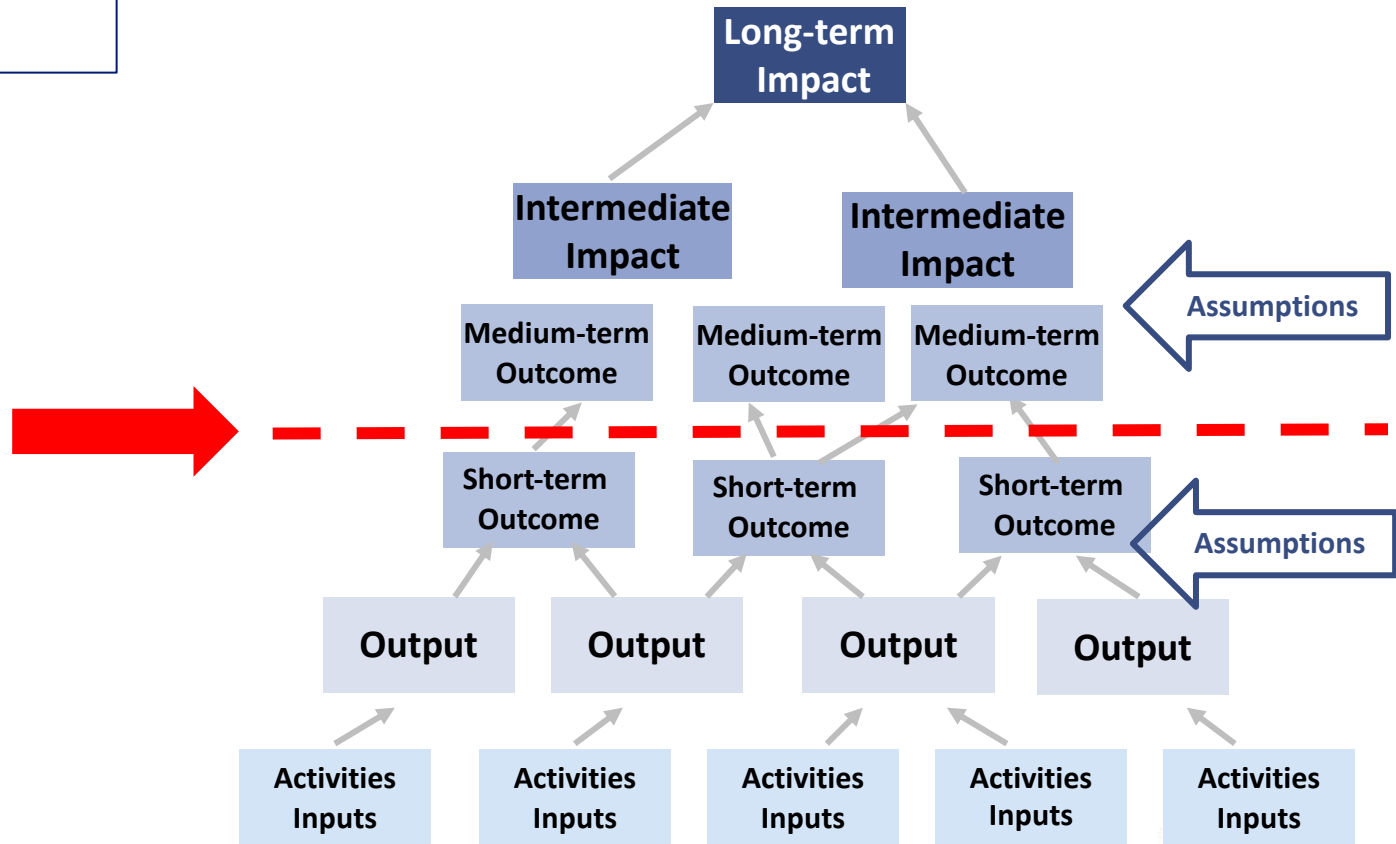
... is the line between the impact level and the outcome of the action

The impact drives the intervention (it is the “reason why”) but is out of its control

The position of the line depends on the limits and opportunities of the intervention, the number and profile of partners involved etc.

The outcome is what the implementing partners decide to be accountable to manage for

*the intervention logic summarises the pathway to change...
...but we do not control/ influence all levels the same way !*





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SHORT EXERCISE (1): OUTPUTS, OUTCOMES, IMPACTS

1. In your group, assess the cards on the table and sort them into 3 categories:

- **Impacts**
- **Outcomes**
- **Outputs**

2. Then assemble them into basic intervention logic

3. Put them on the flipcharts

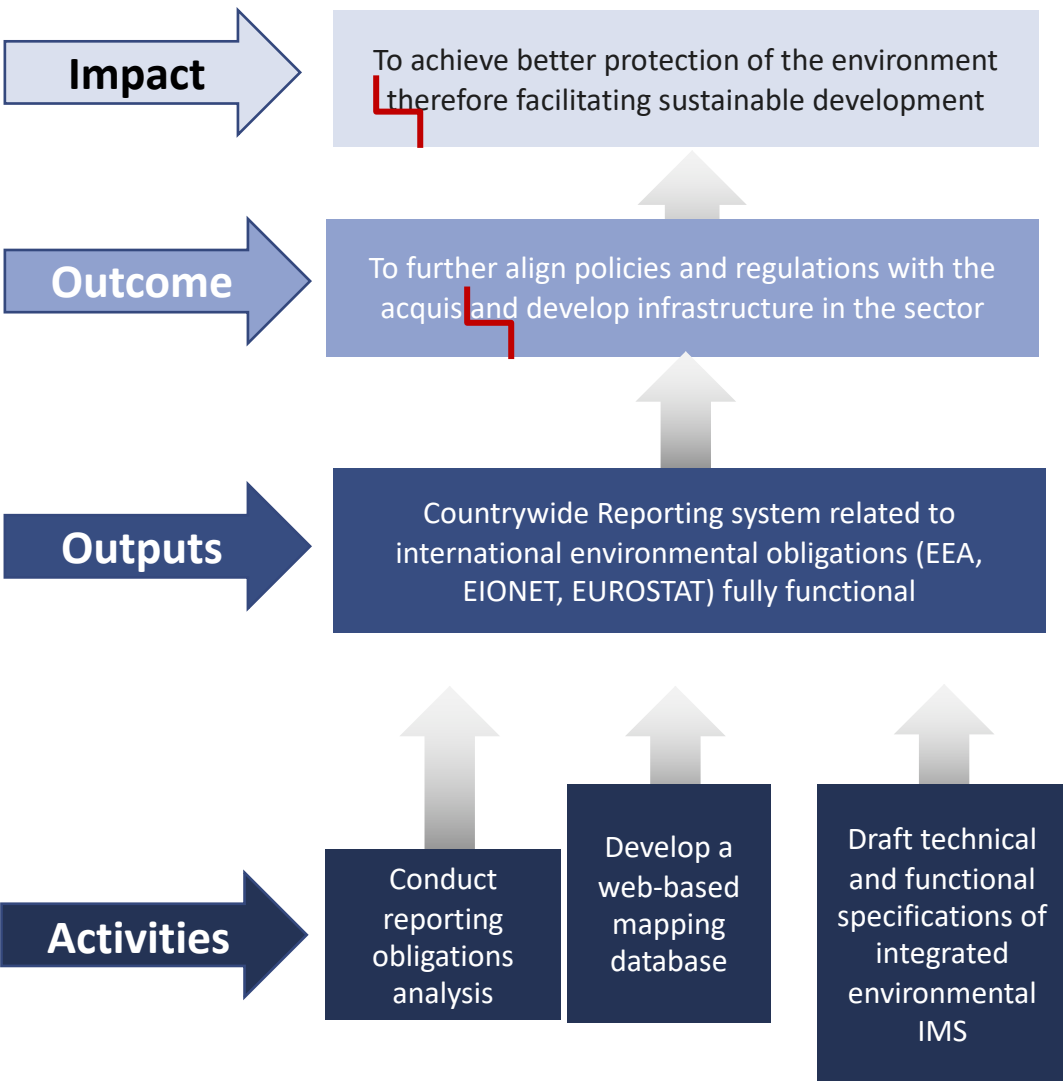
4. Feedback to plenary

Time
envisaged
for the
work is 15
minutes

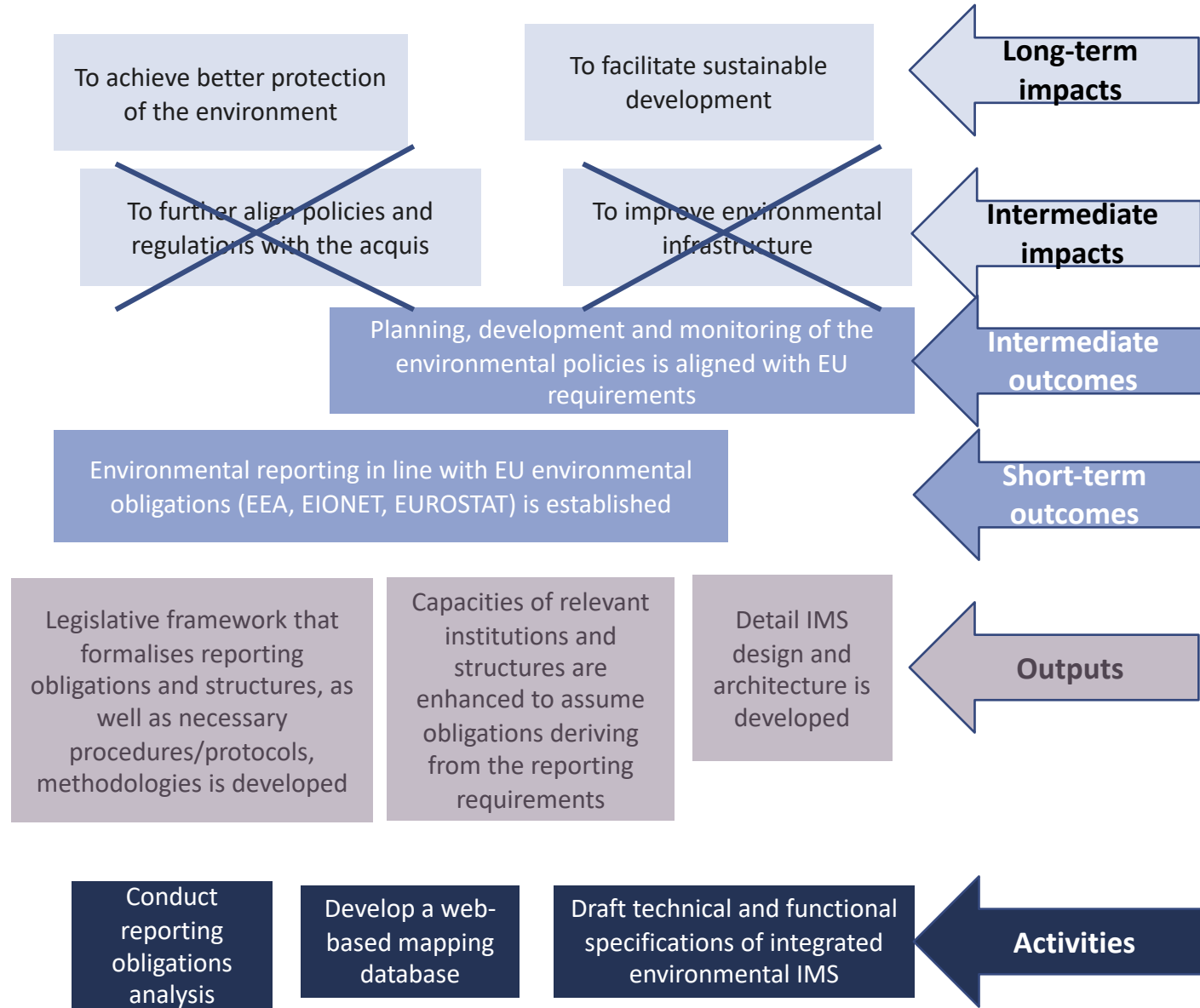


EXAMPLE OF RECONSTRUCTION OF IL FOR ENVIRONMENT 2020 AD

Existing IL (one intervention)



Reconstructed IL





Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

[PROJECT MODALITY (3 levels of results / indicators / Source of Data / Assumptions - no activities)]

Results	Results chain: Main expected results [maximum 10 @]	Indicators [at least one indicator per expected result @]	Baselines [values and years]	Target [values and years]	Sources of data	Assumptions
Impact	[Copy-paste the Overall Objective(s), as per section 3.1 of the Action Document] To...	1 2	1 2	1 2	1 2	<i>Not applicable</i>
Outcome 1	[Copy-paste and adapt to past tense the Specific Objective(s), as per section 3.1 of the Action Document] 1 (past tense)	1.1 1.2	1.1 1.2	1.1 1.2	1.1 1.2	
Outcome 2	2 (past tense)	2.1 2.2	2.1 2.2	2.1	2.1 2.2	
	...					
Output 1 related to Outcome 1	[Copy-paste and adapt to past tense the Outputs (s), as per section 3.1 of the Action Document] 1.1 (past tense)	1.1.1 1.1.2	1.1.1 1.1.2	1.1.1		
Output 2 related to Outcome 1	1.2 (past tense)	1.2.1 1.2.2	1.2.1 1.2.2	1.2.1 1.2.2	1.2.2	
Output 1 related to Outcome 2	2.1 (past tense)	2.1.1 2.1.2	2.1.1 2.1.2	2.1.1 2.1.2	2.1.1 2.1.2	
Output 2 related to Outcome 2	2.2 (past tense)	2.2.1 2.2.2	2.2.1 2.2.2	2.2.1 2.2.2	2.2.1 2.2.2	
	...					

Pay attention to the numbering of results and indicators



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BACK TO THE NARRATIVE AND SECTION 3.1....

3.1. Intervention Logic

Please delete this box after filling in the section below

1/2 page

The Intervention Logic presents the narrative explaining the causal links between the outputs and the specific objectives (outcomes), and between the specific objectives (outcomes) and the overall objective (impact), as well as the key assumptions underpinning that change process.

The elements of the narrative should be based on the rationale described in section 2, and in line with the IPA III Programming Framework. This section should identify and identify with the same numbers used in the logical framework all expected results: Overall objective/Impact, specific objective(s)/Outcome(s), and expected Outputs.

- the Overall Objective/Impact¹³ (the intermediate to long-term desired change) the action is expected to contribute to in the political, social, economic and/or environmental context;
- the Specific Objective(s)/Outcome(s) (the short to medium term effects) the action aims to achieve and will contribute to the achievement of the chosen Overall Objective/Impact. Note that actions are expected to realise the stated Specific Objective(s)/Outcome(s) even though they are outside of their direct control¹⁴; and
- the expected Outputs¹⁵ to be delivered by the action that will influence the achievement of the stated Specific Objective(s)/Outcome(s)
- In the case of Budget Support, please identify both induced and direct Outputs.
- The Objectives and Outputs should clearly show how the sectors indicated as principal or significant objectives of the action (as per the OECD DAC and internal markers identified in section 1.1) are being addressed.

This section should answer the following questions:

- How will the planned Outputs contribute to the Specific Objective(s)/Outcome(s) – and on the basis of which assumptions and evidence i.e., why do we think that this change process will happen this way?
- In the longer term, how will the expected Outcomes contribute to the desired Overall Objective /Impact – and which assumptions must hold for this to happen?
- The intervention logic may be developed based on your results chain and assumptions following this logic:

IF the activities are undertaken *AND* the assumptions hold true, *THEN* the Outputs will be produced.

IF Outputs are delivered *AND* the assumptions at the level of Outputs hold true, *THEN* the Outcome(s) will be realised, *BECAUSE* [explanation, e.g. evidence/facts already observed and past experience suggesting that this change is possible].

IF the Outcome(s) are achieved *AND* the assumptions at this level hold true, *THEN* the action will contribute to the desired Impact. This is *BECAUSE* [explanation, e.g. evidence/facts already observed and past experience suggesting that this change is possible].

- The Intervention Logic must integrate elements of mainstreaming.
- If needed, to clarify the links between the objectives and expected outputs, the interventions logic can be accompanied by a list of objectives and expected outputs, following the sequencing used in the logical framework.

The Overall Objective (Impact) of this action is to <To be filled in>

The Specific(s) Objective(s) (Outcomes) of this action [is] [are] to

1. <To be filled in>
2. <To be filled in>
3. ...

The Outputs to be delivered by this action contributing to the corresponding Specific Objectives (Outcomes) are

- 1.1 contributing to Outcome 1 (or Specific Objective 1) <To be filled in>
- 2.1 contributing to Outcome 2 (or Specific Objective 2) <To be filled in>
- 3.1 ...

[@Assumptions and Risks \(refer to step 6\)](#)

[@Logical Framework Approach and Logical Framework Matrix](#)

[@Intervention Logic](#)

[@Defining the intervention logic \(IL\)](#)

[@IL diagram examples & short videos](#)

[@Budget support intervention logic and indicators](#)

[@2017 Budget Support Guidelines \(annex2\)](#)

[@Team Europe](#)



Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

... AND SECTION 3.2....

Activities related to output 1:

Conduct reporting obligations analysis
Develop a web-based mapping database

....

Activities related to output 2:

Conduct training and study tours

....

Activities related to output 3:

Draft technical and functional specifications of integrated IMS

...

Draft IPA III Action Document template – version 23.07.2021

3.2. Indicative Activities

Please delete this box after filling in the section below

½ page max

- List and describe the main indicative activities¹⁶, grouped according to the Outputs listed in section 3.1, with the aim of giving an overview of what the implementing partner(s) will do to deliver the planned goods, services and benefits (Outputs) with the available resources.

N.B. In the case of Calls for Proposals, activities can be described at a later stage.

Activities related to Output 1.1

<To be filled in>

Activities related to Output 2.1:

<To be filled in>

Activities related to Output #:

<To be filled in>



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MAINSTREAMING CROSS-CUTTING ISSUES -1

Section 2.1. Context

Section 2.2. Problem analysis

Section 3.3. Mainstreaming

2. RATIONALE

2.1. Context

Please delete this box after filling in the section below

1.5 page max

This section should confirm the relevance of the action within the action plan.

- In the text box below, please provide a description of the context, including the sector/country/regional context and reference to the IPA III Programming Framework and Strategic Response. Please refer to the five policy priorities of the Commission, adapted for the external action.¹⁰
- In particular, for the Western Balkans, please refer to the Green Agenda for the Western Balkans¹¹, reflecting the European Green Deal in the region, and to the Economic and Investment Plan for the Western Balkans.
- Please provide a description of the relevance of this action against the IPA III beneficiaries' policies and strategies.
- Please provide a description of the policy relevance of this action against the specific instruments of the EU enlargement policy.
- Please provide a description of complementarity and coordination with EU and other donors/partners

[@Context analysis](#)

[@Conflict and conflict sensitivity](#)

[@Gender equality and women's empowerment](#)

[@Inequalities](#)

<To be filled in>

2.2. Problem Analysis

Please delete this box after filling in the section below

1/2 page max per area of support

- Please give a brief description and justification of the decision to select the specific problem(s) this action seeks to address, focusing to the extent possible, on their economic, social, environmental, and climate change dimensions. Make use of a SWOT analysis, if available. In the case of a multi-sectoral action, please apply the two headings below as many times as necessary.
- Please identify the stakeholders (public and/or non-state actors) most affected by the issues to be addressed by this action, their roles and mandates and any institutional, organisational and/or capacity issues to be covered by the action. Specific attention should be paid to the most vulnerable groups who could be positively or negatively affected by the action, including risks of doing harm (not least in fragile and conflict-affected settings), as well as the stakeholders representing them. Please do not just list stakeholders.

[@Problem and objective tree](#)

[@SWOT analysis](#)

[@Stakeholder analysis](#)

[@Capacity development consideration in planning/programming](#)

[@Gender equality and women's empowerment](#)

[@Environment and climate change](#)

- Environmental protection, climate change and biodiversity
- Gender equality and empowerment of women and girls
- Human rights
- Disability
- Democracy
- Conflict sensitivity, peace and resilience
- Disaster risk reduction



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Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

MAINSTREAMING CROSS-CUTTING ISSUES -2

Presentation of the programming guidelines of the proposed Neighbourhood, Development and International Cooperation Instrument (NDICI)
November 2020

NDICI Policy framework

- **EU cooperation, as part of EU external action, will remain guided by:**
 - the 2030 Agenda and the SDGs,
 - the Paris Agreement,
 - the Addis Ababa Action Agenda,
 - the Global Strategy for the EU's Foreign and Security Policy,
 - the new European Consensus on development.
- **Eradicating poverty and tackling all inequalities will be essential for people's ability to seize development opportunities.**
- EU actions must apply the principles of "do no harm" and "build back better".

Interlinked response

- "Matrioshka doll" i.e. one euro to fit as many purposes as possible.
- The fight against climate change, environmental protection, human rights, democracy, gender equality and, where relevant, conflict prevention and disaster risk reduction should be **mainstreamed** throughout all programmes and actions.
- **Spending targets** to apply on climate change; migration; human development and social inclusion; education.
- EC Commitment towards the 85% target of actions to have **gender equality and women's empowerment** as a principal or significant objective PLUS at least one project per country should have gender equality as its main objective over the period 2021-2027.



Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

MAINSTREAMING CROSS CUTTING ISSUES -3

- **Twin-track approach** to the implementation of the cross-cutting objectives - combining mainstreaming (track one) with targeted action (track two)
- **Mainstreaming** means systematically addressing gender equality, non-discrimination and climate-related risks:
 - ✓ at country and intervention levels
 - ✓ the impacts and implications of actions on women/men, girls/boys, persons with disabilities as well as on climate
 - ✓ promotion of gender equality, non-discrimination, climate resilience
 - ✓ including gender equality, non-discrimination and climate change in policy dialogue and influencing
- **Targeted action** means specific programmes that are aimed at, for example, advancing the empowerment of persons with disabilities, or women, or aimed at climate change mitigation or adaptation as the main objective



Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

GENDER EQUALITY

- **In identification and formulation stages:**

- ✓ Assess and identify potential gender-differentiated impacts of the project and conduct preliminary gender analysis
- ✓ Collect sex-disaggregated baseline data that could be used to monitor potential gender impacts
- ✓ Based on gender analysis, develop a plan of action that identifies opportunities and entry points for mainstreaming gender into the project
- ✓ Assess the gender “awareness” and “sensitivity” of project beneficiaries and stakeholders
- ✓ Identify any unanticipated risks and/or negative gender impacts. Adjust and/or develop project activities to mitigate these issues as needed

- **In implementation phase:**

- ✓ Training opportunities and training materials are developed to sensitize trainers and trainees on gender dimensions
- ✓ Dialogues among key stakeholders from government, civil society, private sector , etc. to discuss gender implications
- ✓ Sex-disaggregated and gender-relevant data is collected on benefits and impacts
- ✓ Clear and functional technical guidelines are developed to facilitate gender mainstreaming
- ✓ Needs of women and men explicitly considered in investment promotion and entrepreneurship development
- ✓ Online platforms include gender- relevant content where appropriate

- **In monitoring and evaluation phase**

- ✓ Gender-sensitive indicators and gender results should be regularly assessed and reported on in progress reports
- ✓ Part of monitoring and evaluation includes the systematization of good practices, disseminating gender results

IMPACT: Turkey's alignment with the green agenda by reinforcing environmental protection, contributing to climate change mitigation, increasing resilience to climate change and disasters, accelerating the shift towards a circular economy

OUTCOME: Improved institutional and legislative capacity for the protection of the environment, improve its quality and contribute to actions and policies against climate change to accelerate the shift towards a circular economy

OUTPUT 1: Climate change mitigation and adaptation capacity is improved

- Increasing Efforts in the Field of Climate Change
- Developing National Stocktake System for Global Efforts on Climate Change
- Strengthening the National Capacity of Climate Finance

OUTPUT 2: Marine life protection capacity is improved

- Restoring Marine Ecosystem Connectivity In South Western Turkey With Network of Marine Protected Areas Boosting Climate Change Resilience

OUTPUT 4: Waste management capacity is improved

- Local Zero Waste Initiatives Programme
- Technical Assistance towards Developing a Strategy of Construction and Demolition Waste (CDW) Management According to EU Circular Economy Package and Its Implementation
- Increasing Capacity on Marine Litter Management in Turkey

2022

- Identification of Marine Habitats and Potentially Marine NATURA 2000 Areas
- Assessment of Climate Change Impacts on Lakes, Wetlands and Coastal Areas in Turkey

IMPACT: The green agenda is promoted by ensuring an accelerated shift towards a low-carbon economy in energy and transport sectors

OUTCOME 1: The shift towards a low-carbon, climate resilient economy is accelerated, and clean energy transition and a European integrated energy market are promoted

OUTCOME 2: Road safety in the context of the European Union acquis and the EU Road Safety Strategy is improved

OUTPUT: Institutional capacity of Directorate General of Energy Affairs (DGEA) to develop renewable energy zones (RE-ZONE) is improved

OUTPUT: Capacity for quality-oriented trainings and exams in driver licensing according to the EU acquis and legislation is improved

OUTPUT: Training and testing standards for competencies of professional drivers who carry passengers and cargo are improved.

OUTPUT: Traffic awareness of all road users, especially children and young people is raised

2022

Support to the development of sustainable and smart mobility in Turkish metropolitan municipalities by Ilbank (2021-2025)

IMPACT: Improve competitiveness and sustainability of Turkish business ecosystem, especially SMEs, through enhancements on supply chain integration, digitalization and innovation & technology development To improve Turkish business ecosystem, especially SMEs

OUTCOME 1: To stimulate the development of sustainable and resilient supply chains in Turkey through the increased inclusiveness of SMEs that operate in alignment with ESG principles and standards

OUTCOME 2: To improve the private-sector environment, competitiveness of enterprises and access to digital technologies and services and strengthen research, technological development and innovation

OUTPUT 1.1: Increased access to finance for small- and medium-sized businesses (SMEs) that supply to larger companies and corporates (Buyers)

OUTPUT 1.2: Increased access for SME suppliers to know-how and skills

OUTPUT 1.3: Increased procurement of goods/services of Buyers from sustainable SME suppliers

OUTPUT 2.1: The digital transformation policy ecosystem of Turkey's manufacturing industry is enhanced and further aligned with the EU

OUTPUT 2.2: The digital transformation and innovation infrastructure is improved and digital transformation and innovation capabilities of SMEs are increased



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GROUP WORK (2)

1. In your groups, review the intervention logic of your action
2. Construct intervention logic diagram using printed cards with outputs, outcomes and impacts (same as in previous slide) and place them on the wall
3. Think of outputs, outcomes and impacts deriving from new projects and how you can consolidate them with existing intervention logic. Write them on cards and place on the wall
4. Introduce changes in the formulation of outputs, outcomes and impact (if any) taking into consideration EC comments given in Handout, note down changes that need to be introduced in blank AD template related to sections 3.1, 3.2 and 3.5
5. Review section 3.3. Integrate elements of mainstreaming (if needed) taking into consideration EC comments and new AD 2022 template requirements, note down changes that need to be introduced in blank AD template

6. Feedback to plenary

2022 – ENVIRONMENT - NEW

- Identification of Marine Habitats and Potentially Marine NATURA 2000 Areas
- Assessment of Climate Change Impacts on Lakes, Wetlands and Coastal Areas in Turkey

2022 – TRANSPORT – NEW

Support to the development of sustainable and smart mobility in Turkish metropolitan municipalities by Ilbank (2021-2025)

Don't Forget to include!



Time envisaged for the work is 60 minutes





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RISKS AND ASSUMPTIONS

"The contents of this publication are the sole responsibility of WEglobal and do not necessarily reflect the opinion of the European Union."



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ASSUMPTIONS AND RISKS

Assumptions & risks... two sides of the same coin
Assumptions are written as positive statements, not as risks !

FACTORS

Assumptions

- Any project factor that is considered to be **true, real, or certain** **without empirical proof or demonstration**
- **What needs to happen** in order for the logic to deliver as intended, hence **underpin the change process**
- **Necessary** and **positive** conditions that allow for a successful cause-and-effect relationship between different levels of results
- **Usually less probable at the higher levels of the intervention logic**, mainly because they are out of its sphere of control
i.e. Partners' contributions, interest of CSOs to develop and provide benefits to the society

Risks

- Any **uncertain** factor that might **hinder the achievement of results**
- **Out of the intervention's sphere of control**
- **Generate opportunities** to be exploited
- Should be **known, monitored, managed** and **mitigated**
i.e. Lack of interest of the private sector and CSOs on activities against corruption, Unavailability of natural gas



Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

RISKS AND LESSONS LEARNED (SECTION 3.4)

[PROJECT MODALITY (3 levels of results / indicators / Source of Data / Assumptions - no activities)]

Results	Results chain: Main expected results [maximum 10 @1]	Indicators [at least one indicator per expected result @]	Baselines [values and years]	Target [values and years]	Sources of data	Assumptions
Impact	1	1 2	1 2	1 2	1 2	Not applicable
Outcome 1		2	1.1 1.2	1.1 1.2	1.1 1.2	5
Outcome 2	2.1 2.2		2.1 2.2	2.1 2.2	2.1 2.2	
Output 1 related to Outcome 1	3	1.1.1 1.1.2	1.1.1 1.1.2	1.1.1 1.1.2	1.1.1 1.1.2	4
Output 2 related to Outcome 1		1.2.1 1.2.2	1.2.1 1.2.2	1.2.1 1.2.2	1.2.1 1.2.2	
Output 1 related to Outcome 2		2.1.1 2.1.2	2.1.1 2.1.2	2.1.1 2.1.2	2.1.1 2.1.2	
Output 2 related to Outcome 2		2.2.1 2.2.2	2.2.1 2.2.2	2.2.1 2.2.2	2.2.1 2.2.2	



Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

RISKS AND LESSONS LEARNED (SECTION 3.4)

3.3. Risks and assumptions

Risks	Risk level (H/M/L)	Mitigating measures
<p>Risk 1: With regards to support to EU agencies, risks include:</p> <ul style="list-style-type: none"> - lack of political support and commitment to the reform process - inability of sector authorities to perform reforms without the necessary government support - insufficient human resources and technical expertise required for the attendance to activities 	M	EU agencies, depending on their competence, internal organisation and planned scope of activities in the IPA III beneficiaries, mitigate these risks by using the already developed plans, or develop and adjust them during the action implementation. Competency development of the final stakeholders, by means of knowledge increase and knowledge transfer is key for sustainability and to mitigate obstacles related to shortage of staff, lack of political support or inadequate technical capacities.
Risk 2: Beneficiaries do not submit requests for TAIEX assistance	L	Awareness raising to the IPA III beneficiaries through DG NEAR geo units and EU Delegations
Risk 3: Experts in the existing database of TAIEX do not match the required needs for assistance	L	Outreach to the National Contacts Points for TAIEX in the EU Member States to identify to adequate expertise
Risk 4: Activities for a face-to-face dialogue are not possible due to 19 pandemic restrictions to travels	L	Continuation of the digital leap: activities are implemented via online means.

Now only under LFM: Section 3.5.

Assumptions (to be reflected in the Logical Framework Matrix above) – grouped by outputs and outcomes

The main assumption for AREA OF SUPPORT #1: EU Integration Facility on which the success of the programme depends, is the continuous commitment of the administrations in the IPA III beneficiaries to the establishment of

harmonised international or regional processes in the supported sectors.

The main assumptions for AREA OF SUPPORT #2: EU Agencies are that the results achieved in the respective sectors of EU agencies' intervention in the IPA III beneficiaries in the recent years will be maintained and that the political commitment for further development, harmonisation and interaction with other stakeholders as well as the EU in related fields will be continued.

The main assumptions for AREA OF SUPPORT #3: are: the enlargement pace progresses, paving the way for the use of TAIEX instrument to share public expertise; a conducive environment in the IPA III beneficiary exists to allow these reform to happen; critical number and quality requests for technical assistance are submitted by the IPA III beneficiaries to the TAIEX instrument; relevant public experts from the EU Member States are identified and available to support IPA III beneficiary institutions in the field of their requests for assistance; the database of EU Member States' public experts is kept updated with new experts registering themselves.

3.4. Risks and Lessons Learned

Please delete this box after filling in the section below
1/5 page max

- Please fill in the table below building on the risk analysis. Please note that the risk analysis should cover any unintended negative consequences such as negatively affecting certain groups, perpetuating inequalities, interfering with participation rights or other human rights risks ("do not harm")²⁰
- For each risk identified, which must be listed by category²¹, please indicate its likelihood, impact and mitigation measures, which should be put in place to minimise the risk as much as possible.
- Lessons learned are the outcomes of a learning process, which involves reflecting upon the experience. The key questions to be answered are: What has and has not worked in the past? Which were the enabling and limiting factors? How are these lessons considered in the current action? Which stakeholders will act upon them?
- Please include lessons learned by the EU or other partners, on crosscutting issues when relevant, such as strategic evaluations of and audit reports and audit reports. If relevant, please include lessons learned of support and

- 1- to the external environment
- 2- to planning, processes and systems
- 3- to people and the organisation
- 4- to legality and regularity aspects
- 5- to communication and information

EC's Risk Management Implementation Guide

@NEAR strategic (c...
@ROM Module
@EVAL Module
@Risk management in the C...
@PUBLICATIONS CO... AUDITORS
@EC_Index
@EU Search

Category	Risks	Likelihood (High/Medium/Low)	Impact (High/Medium/Low)	Mitigating measures
	Risk 1			
	Risk 2			
	Risk #			

Previously under Section 2.5: Lessons learned and links with previous financial assistance

Lessons Learned:

<To be filled in>



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ASSUMPTIONS - EXAMPLE



- **Increased teachers' salaries improve student learning**
- **on the basis of what evidence ?**

Assumptions may shift over time...

- *depending on what is happening on the ground*
- *on the basis of **lessons learned***



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IDENTIFYING RISKS

How/when do we start thinking about risks?

- Above all, from a sound knowledge of the context and stakeholders
- From the objectives : objectives we expect to be achieved by other factors/parties than the project
- From the problems: problems we expect to remain at a bearable level
- From risks related to new issues which might emerge in the future (i.e. technology, pandemic)

Tools for risk analysis & risk mitigation:
risk assessment matrixes, premortem
technique, scenario analysis,
brainstorming, SWOT...

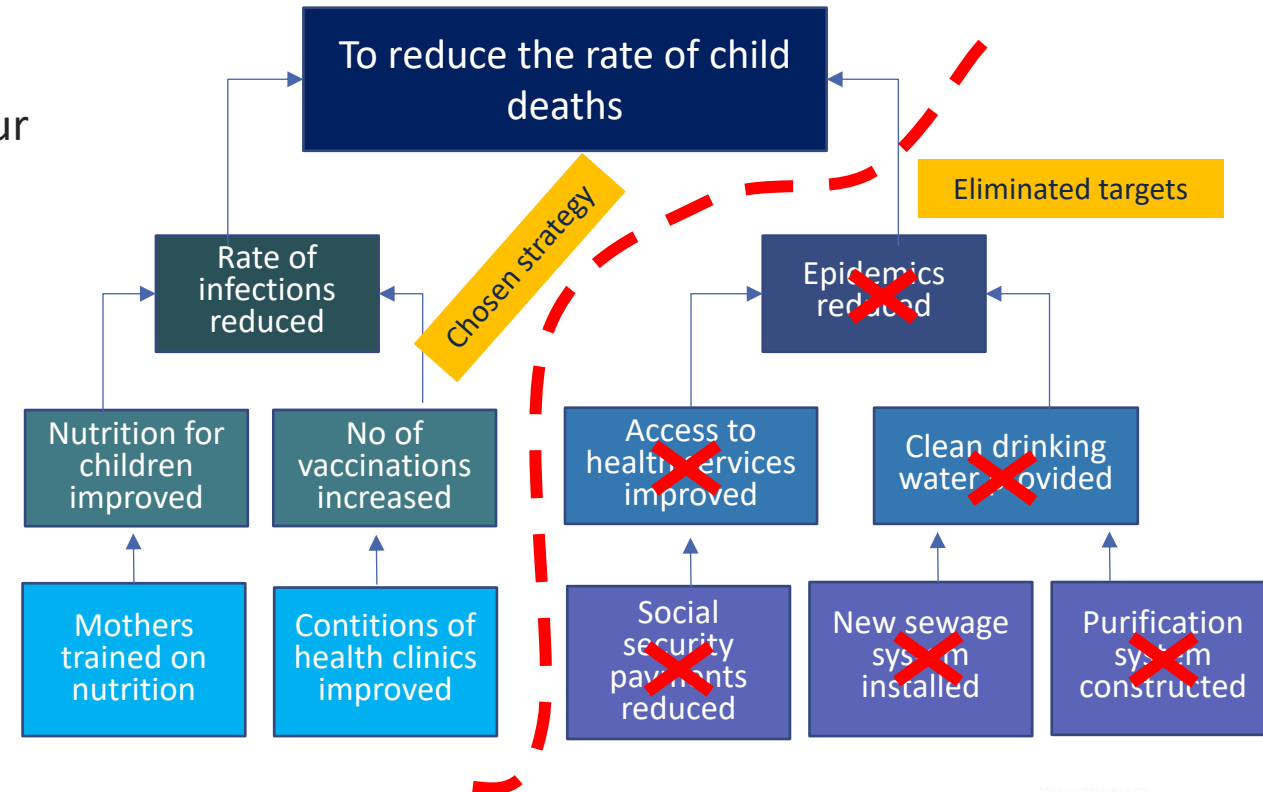


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UNDERSTAND WHERE THE RISKS LIE

- ... by keeping an eye on what has not been kept in your intervention logic
- By moving from the objectives tree to a graphic representation of the intervention logic we make choices to select some pathways as a roadmap for our action
- This means some factors will not be dealt with by the action... and will have to be considered further in the risk analysis





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RISK ASSESSMENT AND MITIGATION STRATEGIES

Risks are assessed along 2 dimensions

Leading to overall risk level

Likelihood

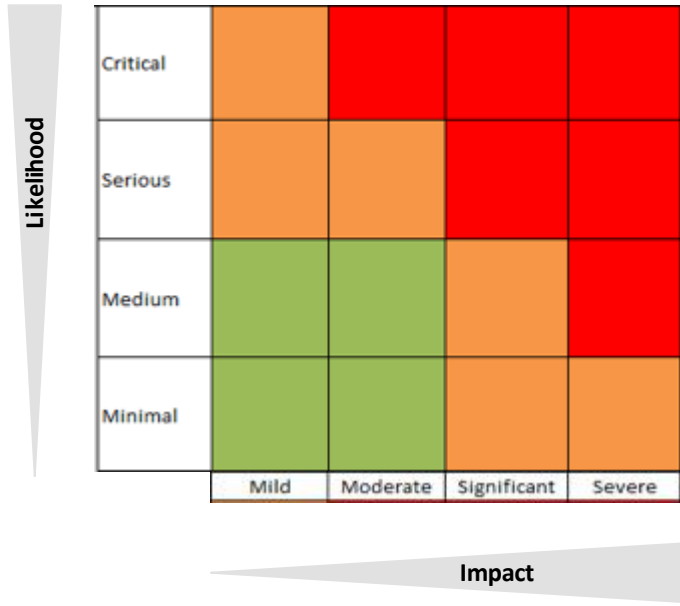
"What is the likelihood of the risk materializing given our existing controls?"

Minimal ————— Critical

Impact

"What is the impact of the risk on the grant's objectives & impact?"

Mild ————— Severe



High

Medium

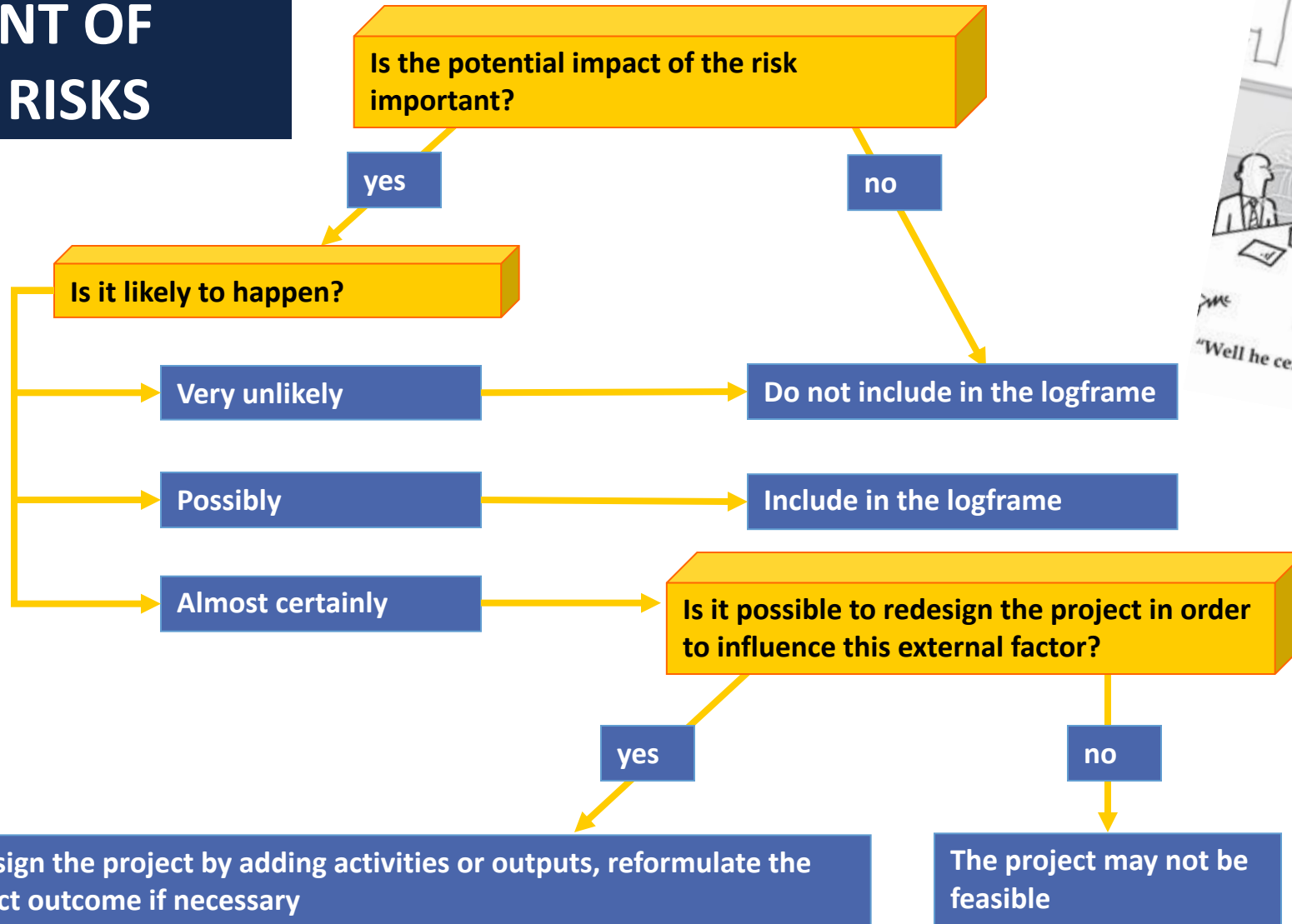
Low



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ASSESSMENT OF EXTERNAL RISKS





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EXAMPLES

ASSUMPTIONS

- EU accession remains a state priority, as do other international commitments
- Existence of awareness of stakeholders regarding the opportunities and obligations
- **Good cooperation and coordination among key stakeholders**
- **The pattern of rain will remain the same in the near future**
- The existence of political will for reaching a higher level of alignment in terms of legislation
- Support and cooperation of all sector stakeholders, including both public and private sector, civil society and donors
- Proactive involvement of all stakeholders involved in implementation of the action
- Technical and human resources required for action implementation are allocated





RISKS

- Limited human capacities and financial resources
- Weak mechanisms for cooperation
- Lack of political commitment for further development of the sector
- Lack of awareness/measures by beneficiaries on priorities linked to preparations for EU accession
- Administrative weakness at all levels of government in particular in local communities, in the processes of policy planning, implementation and monitoring
- **Insufficient cooperation between the beneficiary institutions**
- **The pattern of rain will change in near future**
- Sector complexity and wide number of stakeholders throughout various levels of administration



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QUICK EXERCISE	Assumption	Risk
The Rule of Law reforms are in place, the judiciary increases its transparency and accountability vis-a-vis society		
The newly elected parliamentarians are not willing to pursue the on-going political reform.		
There are sufficient resources allocated (national budget, grant, loans) for operations and maintenance of facilities and equipment for municipalities.		
Lack of support between authorities (local/regional) and implementing agencies		



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AD ON

ASSUMPTIONS

- Continuing commitment of Turkey to the EU accession process and to make progress on EU Acquis, Chapter 27 – Environment.
- Turkey's ongoing efforts towards participation in UNFCCC's Conference of Parties, and in relation to the provisions of the Kyoto Climate Change Agreement.
- Continuous commitment steered and coordinated at the highest level to address the key priorities under environment and climate change.
- Necessary domestic financial and administrative resources are effectively and efficiently mobilised.
- Strong stakeholder involvement and contribution to the action.
- Sufficient number of staff assigned by relevant ministries/institutions.
- Minimal turnover for high ministerial levels and technical staff.
- Municipalities have necessary human resource to participate and carry out related activities/projects.

RISKS

- Inefficient communication and collaboration among relevant institutions during implementation of the Action
- Change of administration in local stakeholders, especially municipalities and CSOs/NGOs
- Change of mandate of institutions, especially the ones represented in the steering and monitoring committees.
- Continuation of pandemic conditions
- Certain data may pose a risk for privacy and confidentiality issue



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AD ON TRANSPORT & ENERGY -1/4

ASSUMPTIONS

- There is a continuous commitment, steered and coordinated at the highest level of the government, to address the key priorities under Transport and Energy Sectors.
- The necessary domestic financial and administrative resources are effectively and efficiently mobilised
- There is strong institutional cooperation and with a full involvement of stakeholders
- Authorities remain committed to actively promoting climate mitigation and adaptation investments
- Political commitment is ensured
- The Turkish economy keep up growing at positive rate , increasing the share of renewable energy while enhancing energy efficiency so as to curb GHG and air pollutant emissions
- Turkish Authorities are encouraged to prioritize the remedy of environmental problems, starting with the proper monitoring techniques implied from the Programme to reduce the carbon footprint of the Maritime industry

RISKS

- Relevant authorities do not issue relevant permits in time
- Heating and cooling data collection could be limited due to the unwillingness of the end users
- Lack of available and reliable data
- High staff turnover at the MoEU
- Co-beneficiaries may not take part in project activities sufficiently and may not get benefit from possible awareness raising
- Lack of legislative arrangements to regulate the policy and market barriers reported by the Stakeholders that plagued the implementation of Energy Performance Contracting (EPC)
- Building designers and architects are reluctant to apply energy efficiency principles in planning
- Losing critical staff of MoNE at crucial point of the Action implementation
- Relevant NGOs unwilling to participate in the project activities, and they are not supportive for the implementation of the project outputs



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AD ON TRANSPORT & ENERGY -2/4

ASSUMPTIONS

- No extra ordinary climate conditions during implementation
- No circumstances or security issues that will prevent collection and processing of geographical data
- MENR approves national strategy paper and guidelines.
- Stakeholders and end users are willing to share data and participate in project activities
- Presence of various national and international fund sources
- Special attention paid to the efficiency of the materials, devices and systems in the market
- Effective communication and cooperation between the relevant stakeholders
- Good coordination of the project activities with high level support from the relevant institutions
- Good coordination between the consultant (s) and the Ministry
- Energy efficient renovation of public buildings is still remains a policy priority throughout the implementation of activities. Timely progress of the project activities

RISKS

- Influential stakeholders such as private education institutions, drivers, provincial directorates, relevant public organisation and units, request additional needs to serve their own purposes
- Target groups are resistant to change
- Local administrations pose objection
- Green maritime projects are considered to be relatively new to the region and hence subject to significant technology risk and early mover risk. Local financiers are generally reluctant to provide financing for unfamiliar projects such as these. Transaction costs are often high due to the lack of market interactions and business relationships.
- The focus on liquidity that has resulted from the recent economic/currency crisis has hampered investments with a longer payback period. This is particularly significant in the maritime sector since the investments needed are often large and long term.



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AD ON TRANSPORT & ENERGY -3/4

ASSUMPTIONS

- Local authorities and local energy service providers are willing to monitor and inspect the EE in building
- Interest of the identified universities to co-operate with the project.
- Strong coordination between all stakeholders including TUIK, municipalities, ESCOs, financing institutions, investor groups, certification bodies, the energy efficiency services sector, tertiary sector actors, public authorities and policy makers, and the Ministry
- The interest of citizens participating in driver training and examination processes towards new regulations
- The willingness of the institutions operating in the field of driver trainings towards the objectives within the scope of the Action
- Awareness and knowledge levels of drivers, families and related social partners on traffic and driver training

RISKS

- Standards of corporate governance and business conduct are often insufficient in order to implement elements of green maritime projects such as certification schemes, partnerships, green procurement. For example, there is a lack of data on internal resource use and operational parameters of systems and processes. The responsibility regarding sustainability in many companies is not clearly allocated and the departments dealing with it often measure success using different Key Performance Indicators.
- Innovative systems are highly complex and multidisciplinary. Achieving sustainability in the maritime sector requires competence and knowledge, for which education and training are currently lacking.
- For companies, the limited in-house expertise affects actors' ability to choose suitable options, since the market for energy efficiency technologies and solutions is vast and it is not easy to navigate the large menu of options.



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AD ON TRANSPORT & ENERGY -4/4

ASSUMPTIONS

- Results of relevant EU projects, including 100% Life in Traffic, contributed the outputs of this Actions
- Responsiveness and commitment of targeted private and public sector enterprises to participate in the Programme and undertake relevant investments
- Appropriateness of identified projects to bankability criteria of EBRD.
- The required strong eagerness of co-financiers in implementing will be ensured by means of investment grants, sound banking and high transition impact
- Increasing the share of renewable energy resources in electricity production will continue to be a priority in Turkey

RISKS

- In the maritime sector, there are many technologies and initiatives that are new in the region, have a low level of penetration and low awareness. There is a lack of information about available options, their performance, cost and financial rewards.
- Low-carbon maritime solutions are not yet widely available and are yet to be implemented in the vast majority of the Turkish fleet and ports. Shore Power for example is considered to be a must have in many developed ports around the world and is also supported by local policy and regulation. However, issues relating to the demand side of the equation (vessels with the technology on board to connect on shore power) will persist in countries with developed policies and regulations.



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AD ON COMPETITIVENESS & INCLUSIVE GROWTH – 1/5

ASSUMPTIONS

- Responsiveness and commitment of SMEs to access finance and know-how as needed by their business;
- Responsiveness of Buyers to technical assistance offered as part of the Action and willingness to implement and diffuse sustainable and resilient supply chain management practices;
- Financial incentives produce long-term alignments amongst beneficiary SMEs with ESG standards/principles
- Close collaboration with DAs to ensure (i) a targeted and strategic sector approach; and (ii) participation by Buyers and SME suppliers from lower income regions.

RISKS

- Lack of product uptake: Buyers and suppliers alike may lack the awareness of available supply chain finance solutions or capacity to access them. As a supply-side risk that local financial institutions are not able to provide supply chain finance solutions at the scale envisaged under the AoS.
- COVID Risk: Although the Turkish economy has shown promising signs of recovery, continued obstacles to doing business caused by government-imposed restrictions or the spread of the virus are likely to restrain economic output and make delivering all aspects of the AoS difficult.
- Market Risk: Taking into account the economy's weak fundamentals, financial institutions may be wary of expanding their offering of innovative financial products such as supply chain finance.
- Sustainability Risk: In the context of the COVID-19 pandemic and the economic crisis it has wrought, the Action may be viewed as disaster response measure, with long-term impact being undermined, that is meant to address the immediate liquidity and capacity constraints that SMEs are currently facing.



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AD ON COMPETITIVENESS & INCLUSIVE GROWTH – 2/5

ASSUMPTIONS

- On-going alignment process with the EU Commitment of stakeholders (public institutions, NGOs, academia etc.)
- On-going development in industry related digital technology applications
- Ongoing complementary public interventions (regulations, support schemes etc.)
- Provision of the physical infrastructure and working capital of the centres by the centre operator(s), which will be selected via a call within the course of the Action
- Sufficient demand for and commitment to the pilot applications
- Service diversification via coordination between digital transformation service providers
- Sustained availability of public support schemes and incentives that are provided to SMEs for innovation and digitalization
- Growing understanding of digital technologies and transformation appetite in the Turkish manufacturing industry

RISKS

- Unexpected events such as COVID- 19 can hinder sustainability of the governance structure and on the operationalization and sustainability of the centres.
- Lack of high-level commitment of stakeholders to the activities
- The enterprises' low level of demand for and commitment to the pilot applications and/or reluctance in implementation of the results of the digital transformation support
- Potential oversupply of digital transformation support services due to the already established centres
- Lack of complementary public interventions such as regulations and support schemes
- Lack of interest in call for applications for the centre operator(s)
- Delay in complementary commercial financial mechanisms



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AD ON COMPETITIVENESS & INCLUSIVE GROWTH – 3/5

ASSUMPTIONS

- There will be no major national & international policy change affecting the official participation of Turkey in the Horizon Europe Programme.
- Turkish researchers are willing to participate in those consortia which will provide them to be a part of projects determining the future technologies.
- Sufficient commitment to participation in capacity building activities by all concerned target groups.
- There is sufficient interest by the Turkish R&I stakeholders to absorb information provided through service delivery and use it for their benefit.
- Coordination among relevant institutions and organisations in the targeted sectors is successful.

RISKS

- A major national & international policy change affecting the official participation of Turkey in Horizon Europe Programme.
- Lack of interest and collaboration of SMEs in the consultation services to be provided.
- Pandemic diseases may undermine organization of certain project activities such as workshops, international congresses, trainings, and study visits.
- Horizon Europe suffers from underfunding which is resulting in large-scale oversubscription which constitutes a waste of resources for applicants. That would cause to lose interest of researchers to apply.
- Due to the increase in the national science technology and innovation funds, Horizon Europe funds may not be seen as advantageous for TARAL stakeholders.



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AD ON COMPETITIVENESS & INCLUSIVE GROWTH – 4/5

ASSUMPTIONS

- Government policies strongly support transformation into low carbon economy
- Companies are investing in reducing carbon emissions
- Transformation of production processes increase companies' competitiveness and export performance
- Coordination among relevant institutions and organisations in the targeted sectors is successful
- The business associations allocate necessary resources to establish the designated units and run their operations effectively
- There is sufficient number of companies that absorb information provided through service delivery and use it for their benefit
- The companies selected for consultancy services and training are committed to use the acquired knowledge
- Private sector support and interest in the carbon emission reduction by consumers is high

RISKS

- Reluctance from the companies to take part in the carbon footprint studies and services of the Intervention
- High sanctions for compliance which may affect trade flows and strike turnovers of companies in a short period which will create stress in a smooth delivery
- Pandemic has a negative impact on the field work of the Intervention
- Economies continue to stumble after the pandemic and investments for carbon reduction issues are delayed
- Carbon footprint reporting of companies and database which is expected to be gathered with a central information system may be prone to cyber attacks and sensitive information of companies may be available in a way to give harm to companies



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AD ON COMPETITIVENESS & INCLUSIVE GROWTH – 5/5

ASSUMPTIONS

- Lack of product uptake: Buyers and suppliers alike may lack the awareness of available supply chain finance solutions or capacity to access them. As a supply-side risk that local financial institutions are not able to provide supply chain finance solutions at the scale envisaged under the AoS.
- COVID Risk: Although the Turkish economy has shown promising signs of recovery, continued obstacles to doing business caused by government-imposed restrictions or the spread of the virus are likely to restrain economic output and make delivering all aspects of the AoS difficult.

RISKS

- Lack of effective cooperation among partners and stakeholders in regard to the action could impact the project's smooth implementation. Limited capacity for good governance at local level.
- The restrictive impact of COVID-19 pandemic continues in Turkey and Europe
- Currency fluctuations of the Turkish Lira against the Euro may occur, having a negative impact on the budget and on the target number of beneficiaries of the action.



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GROUP WORK

- 1. In your groups, please review EC's comments on the assumptions and risks, defined in your ADs and assess if existing risks and assumptions are relevant and sufficient with your new actions as well**
- 2. Refine/introduce new assumptions, risks and mitigation measures (if needed) by taking into account also the new Actions (where applicable)**
- 3. Fill in the new Risk Analysis table under Section 3.4. of the new AD Template**
- 4. Feedback to plenary**



Time envisaged for the work is 30 minutes



Please also take the **new Actions** proposed for 2022 into account during the WGE on Risks & Assumptions



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INTERVENTION LOGIC AND INDICATORS

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WHAT IS AN INDICATOR?



Indicators are **measures** used to monitor **progress** made towards the achievement of **intended results** or the application of desired processes

An indicator is **neutral**, does not **pre-judge** or **set targets**, is therefore “empty of data”, i.e., data still has to be collected

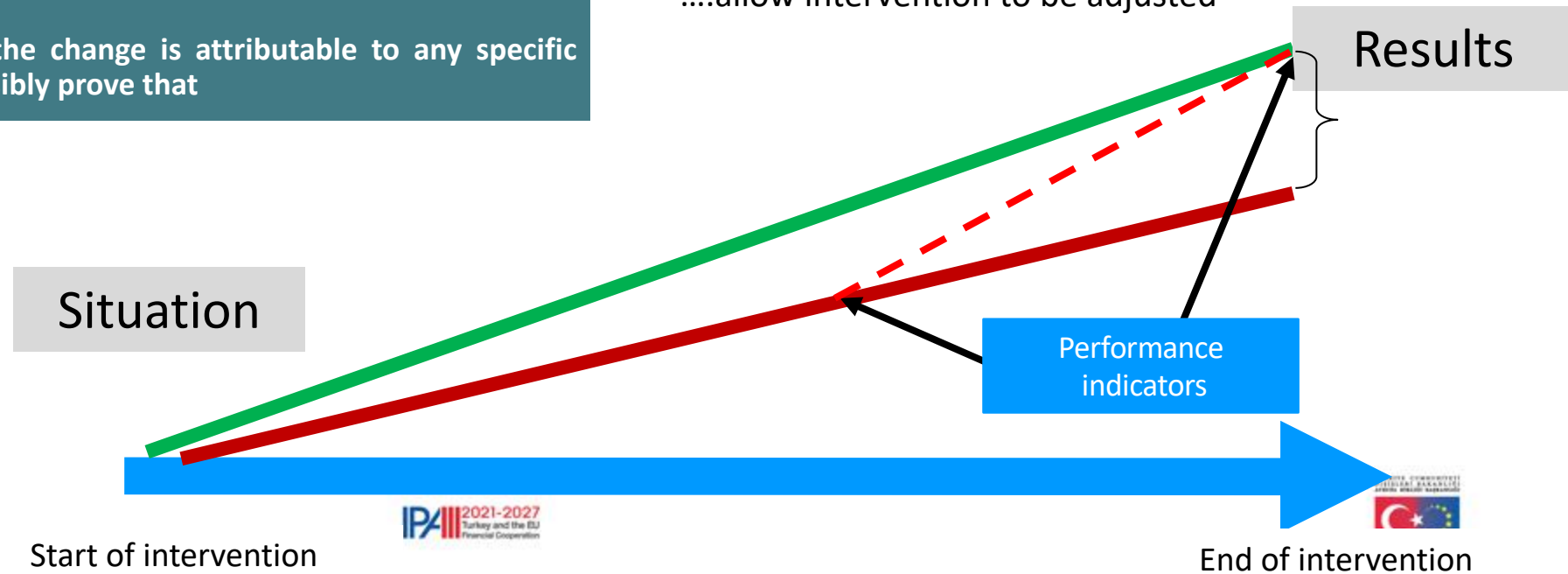
Indicators are important, but they are only there to show whether some change is taking place or not, but not how and why.

Certainly they cannot demonstrate that the change is attributable to any specific intervention: only an evaluation could possibly prove that

WHICH ONES?

PERFORMANCE INDICATORS

- ...measure impacts, outcomes, outputs – due to the performance of intervention
- ...compare results achieved with results expected or planned
-allow performance to be judged, evaluated
-allow intervention to be adjusted





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IDENTIFYING INDICATORS

- Indicators are the quantitative or qualitative variables that provide a simple and reliable means to measure achievement



This is a measurement tool (not a result nor an objective)

Less is better: limiting the number of indicators per result, but ensure that they are sufficient in scope to measure what they are supposed to measure

- Composite indicators can include several ones to reflect all the effects
- A mix between quantitative and qualitative information is key

**Indicators are reflecting the logic behind the intervention
Taking into account as much as possible the IPA performance indicators**



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TYPE OF INDICATORS

Indicators	Definitlon	Examples
INPUT	Measure the resources and means provided by donors and implementers	Absolute amounts contracted/spent Number of missions having taken place
PROCESS	Measure what happens during implementation and they mainly focus on the activities execution	Number of sub-committee meetings held Number and quality of consultative platforms held Number of public/private platform meetings Number of chapters opened/closed (in the Enlargement context)
OUTPUT	Signal the degree of achievement of the direct products or services delivered by an activity or set of activities	Number of people trained; Number of companies, NGOs supported; Number of premises built or equipped; Number of supplies delivered and installed, events having taken place, laws and regulations drafted
OUTCOME	Signal whether the short to mid-term desired changes are happening or have happened	Time required to enforce a contract Number of households with improved energy consumption classification Number of fatalities on state and regional roads Number of legislation entered into force and enforced
IMPACT/ CONTEXT	Signal to which extent the overall (mid and long term) objectives of an intervention are being or have been achieved	Long-term: Public debt/GDP (%); Unemployment rate (%) Intermediate term: Number of trade barriers removed; Degree of compliance with intellectual property legislation



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QUICK EXERCISE

	Output	Outcome
Number of participants who have benefited from the training programmes	😊	
Number of length of road constructed /rehabilitated/maintained (Kms)	😊	
Number of enterprises registered online in the Trade registry		😊
Extend (nature and scope) of gender-responsive budgeting at local and national level		😊



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QUANTITATIVE AND QUALITATIVE INDICATORS

Quantitative

- Objective facts that can be easily counted
- Numerical
- Measures the scale of an intervention – numbers or % of beneficiaries reached
- e.g. % of population who voted in the national election
- e.g. # of people with access to justice services
- Number of people trained

Qualitative

- Subjective
- Can be numerical
- Measures quality, opinions, perceptions, systems development, influencing
- e.g. stages in the passage of a Bill through parliament
- e.g. level of satisfaction with justice services
- Status of implementation of strategy

Qualitative indicators are as useful as quantitative ones

Reflecting the opinion of stakeholders provides key info on whether the change process is taking place (or not)

Diverse and disaggregated qualitative information helps highlight the diversity of perceptions about an action

Can facilitate a participatory approach to measurement



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MAIN CHARACTERISTICS OF INDICATORS' DEFINITIONS



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

&



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

- ✓ 'Number of gender-based violence cases reported'
- ✗ 'Decreased number of gender-based violence cases reported'
- ✗ 'At least 40 cases of gender-based violence reported'
- ✗ '3% of increase in gender-based violence cases reported'



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QUALITY PRINCIPLES

RACER:

Relevant,
Accepted,
Credible,
Easy to monitor,
Robust

SMART:

Specific,
Measurable,
Attainable,
Realistic,
Time-bound



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LET'S ASSESS SOME INDICATORS TOGETHER!



Increased primary enrolment 😐😐

Court system providing effective access to citizens

Strengthened capacity of parliament



Net primary enrolment rate per annum

% of citizens who say that they have access to court systems to resolve disputes

Public perception of parliamentary effectiveness



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IDENTIFYING SOURCES AND CALCULATION METHODS

SOURCES AND CALCULATION METHODS

Sources for each indicator corresponds to an existing source that could be statistical or administrative

Statistics (international and national) are generally relevant for impact/context and outcomes indicators;

Administrative data can come from national registers or from implementers;

Ad hoc surveys could be useful but request capacities and time to organize such a process all throughout the intervention.

Calculation method (for quantitative indicators) refers to the organisation processing the data and the way the data is processed

International and national statistical indicators: calculation method is already defined. **The source needs to be reliable** so as to ensure soundness of calculation methods used;

Permanence of methods to be ensured;

Changes to be clearly explained and recorded, along with changes to previous values for ensuring comparability over time;

Calculation methods shall be screened by the following criteria:

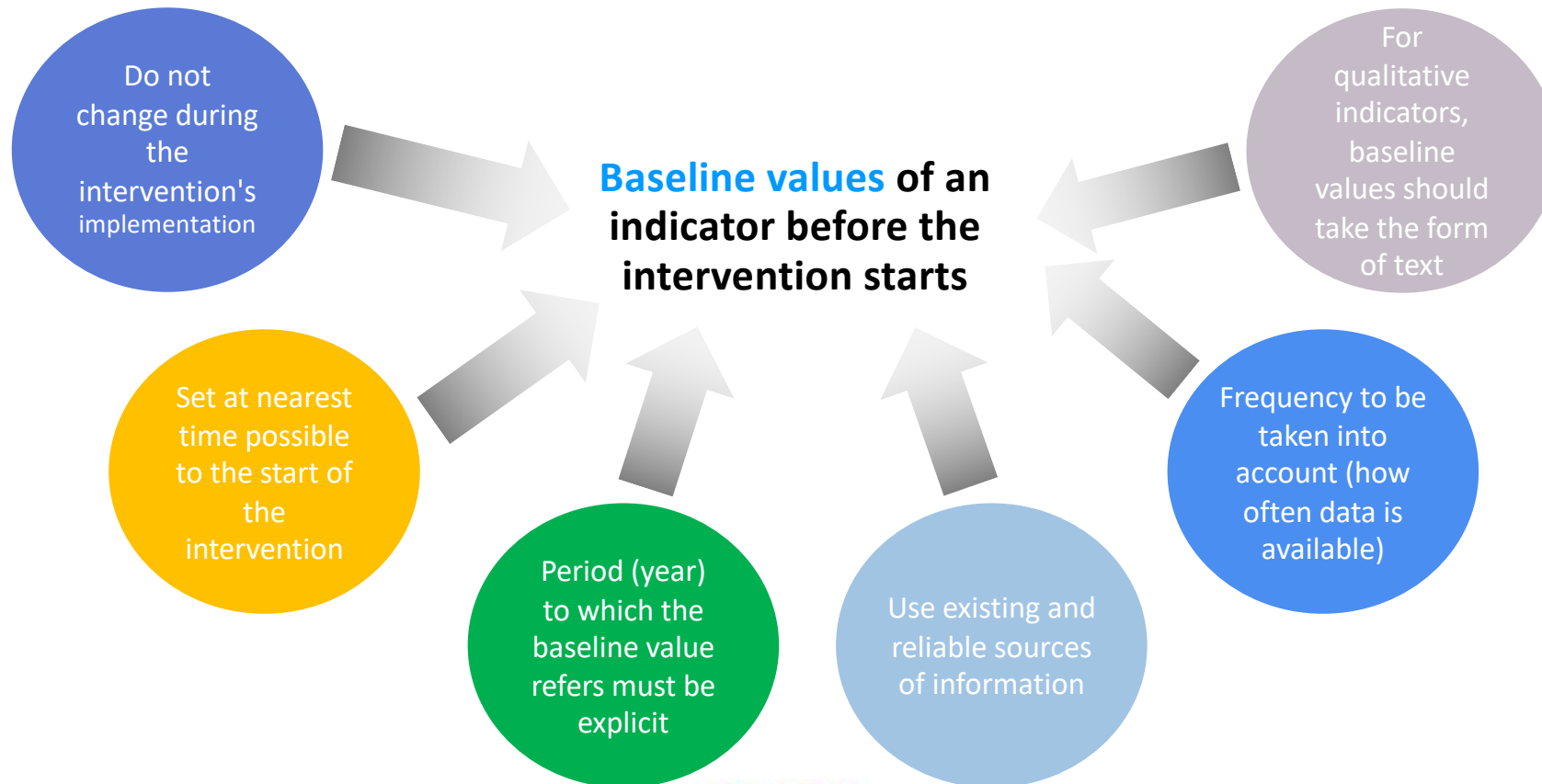
- **Costs** in terms of time and money
- **Delays** between collection, processing and availability and frequency
- **Quality** in terms of credibility and reliability to build time



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Identifying Baseline Values





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ESTABLISH TARGETS

Target value is signalling how much change is expected and in what direction



Usually exceeds (is achieved after) the end of the intervention period. In the case of outputs, targets must be achieved **before** the end of the intervention.



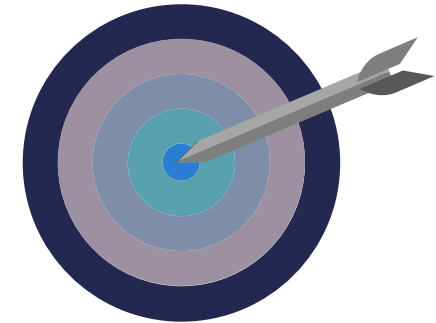
Provide information to multiple stakeholders



Informed (among others) by: baseline, past trends and risks and assumptions made



In the case of qualitative indicators, target values should take the form of text

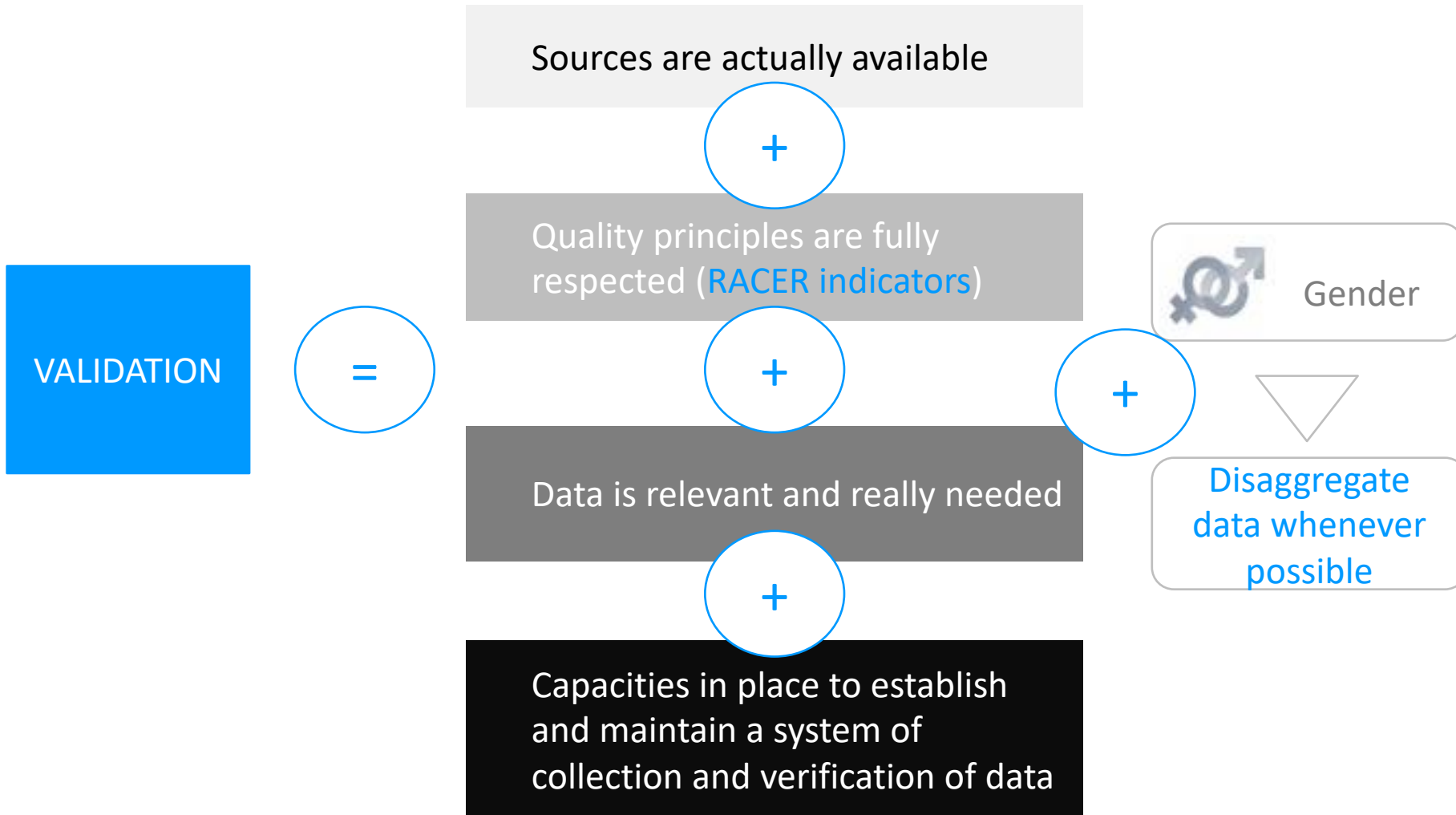




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VALIDATE INDICATORS





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Draft IPA III Action Document template – version 23.07.2021

➤ How to draft Indicators:

- Please include at least one indicator for each result.
- Indicators should be numbered so that they can be linked to the results they measure (see example in the LFM below).
- Indicators must start with a unit of measure, either quantitative ('number of people', 'km', 'percentage of', 'index') or qualitative ('level of', 'status of', 'extent to which'). Formulation of the indicators must be neutral, i.e. not include elements of the target such as 'increase', 'improvement', 'better'.
- Please disaggregate by sex when referring to and counting individuals and when relevant and possible, by age, urban/rural location, disability status, or any other relevant disaggregation reflecting the mainstreaming issues.
- Each indicator must have one reliable and accessible source of data. (In some cases, more than one source of data per indicator may be needed).
- Baselines and targets should be defined also at action level.
- Avoid repeating indicators for different results.

➤ Please consider using the following sources to find suitable indicators:

- [NEAR Monitoring Framework Indicators](#) (go under 'Indicators')²². Please mark them with **. It includes among others:
 - IPA III Performance framework indicators
 - DG NEAR Strategic Plan 2020-2024
 - [Gender Action Plan Staff Working Document indicators \(@ GAP III\)](#),
- [@EU Results Framework](#). Please mark them with **,
- Sectors marked as principal or significant objectives according to the policy and Rio markers in the Action Summary Table (section 1.1) should be measured and should have corresponding indicators.
- SDG indicators

[@Defining indicators](#)

[@Guidance on Internal Monitoring for Results](#)



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IPA III REGULATION KEY PERFORMANCE INDICATORS

ANNEX IV

LIST OF KEY PERFORMANCE INDICATORS

The following list of key performance indicators shall be used to help measure the progress and, where appropriate, readiness by beneficiaries listed in Annex I and the Union's contribution to the achievement of the specific objectives of IPA III:

1. Composite indicator ⁽¹⁾ on political criteria (source: European Commission).
2. Attitude towards the EU: Percentage of population with a positive general attitude towards the EU (source: European Commission/EU Delegations).
3. Composite indicator on Union *acquis* alignment (source: European Commission).
4. Composite indicator on economic criteria (source: European Commission).
5. Expenditure on social protection as % of GDP (source: Eurostat) and Employment Rate of persons aged 20 to 64 and changes in the Gini coefficient of a beneficiary over time (source: Eurostat).
6. Digital skills (source: Eurostat).
7. 'Ease of doing business' (source: World Bank).
8. Energy intensity measured in terms of primary energy and GDP (source: Eurostat). Share of renewable energy in gross final energy consumption % (source: Eurostat).
9. Greenhouse Gas (GHG) emissions avoided (tonnes CO₂-eq) with IPA III support (source: European Commission). PM 10 concentrations compared to the EU daily limit value (50 µg/m³); (Source: European Environmental Agency).
10. Areas of marine, terrestrial and freshwater ecosystems under a) protection, b) sustainable management with IPA III support.
11. Good neighbourly relations, such as number of cross-border partnerships established, formalised and implemented, percentage of intra-regional trade to GDP (Source of data: National statistics, Regional Cooperation Council), number of persons crossing the border/day, and number of goods transporting vehicles crossing the border every day ⁽²⁾ (Source: Transport Observatory).

Indicators will, where relevant and possible, and where data is available, be disaggregated by gender and age.

REGULATION (EU) 2021/1529 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 15 September 2021 establishing the Instrument for Pre-Accession assistance (IPA III)





Intervention Logic	Indicators	Sources of verification
<p>IMPACT: Turkey’s alignment with the green agenda by reinforcing environmental protection, contributing to climate change mitigation, increasing resilience to climate change and disasters, accelerating the shift towards a circular economy It is worth noting that alignment with international requirement on climate change and environment such as the Paris Agreement should be part of this “impact indicator”</p>	<ul style="list-style-type: none"> • LULUCF labelled Greenhouse Gas Emissions of Turkey • Municipal solid waste recovery rate • % of reused CDW • % of recycled CDW • Wastewater reuse rate • Decrease in natural water (freshwater) resources usage in Turkey based on the increase in treated wastewater reuse. • Ecologically connected, well enforced marine protected areas • Score of Turkey in World Risk Index (WRI) • Score of Turkey in INFORM 	<p>European Commission’s Reports or Biannual reports to UNFCCC Or National communications to UNFCCC Or Eurostat Or TUIK Greenhouse Gas Emissions Statistics Or National Inventory Report UNFCCC Ministry’s database (MoEU-IEIS-Integrated environmental information system) National reports or TurkStat Wastewater statistics (TUIK) MoEU and MoAF) Official Gazette or NFZ or FRA designations on MoEU Zone Plans, GIS shapefiles, MoAF Curriculum Regulates Fishery Restricted Areas. UN World Risk Report, INFORM Report</p>
<p>OUTCOME 1: Improved institutional and legislative capacity for the protection of the environment, improve its quality and contribute to actions and policies against climate change to accelerate the shift towards a circular economy</p>	<ul style="list-style-type: none"> • Number of new draft legislation prepared • Number of new draft policy documents prepared • Number of new systems/mechanisms developed at country level • Number of stakeholder staff trained (or adequate number of staff trained in each intervention area) • Number of LCCAPs prepared in metropolitan municipalities • Number of grant beneficiaries 	<p>Commission Reports on Turkey MoEU records. Relevant Ministry Records Action Monitoring Reports</p>

Intervention Logic	Indicators	SOVs
<p>OUTPUT 1: Climate change mitigation and adaptation capacity is improved</p>	<ul style="list-style-type: none"> • ACTIVITY 1: Draft legislation on EU-ETS and CCS prepared • ACTIVITY 2: Number of indicators related to emissions, carbon budgets, decarbonisation rates, policy coverage and innovation for national stocktake system. Number of Sectoral working groups established and in place. Number of national stocktake system established related to emissions, carbon budgets, decarbonisation rates, policy coverage and innovation. • ACTIVITY 3: Defined rio-markers Number of assessments for defining financial need in the field of climate change Number of developed draft climate finance strategy Number of projects and application documents developed in the field of climate change to climate funds 	<p>Project Progress and Technical Reports</p>
<p>OUTPUT 2: Marine life protection capacity is improved</p>	<ul style="list-style-type: none"> • ACTIVITY 5: Increased fish biomass in protected areas of SEPAs in Gökova Bay, Datça-Bozburun, Fethiye-Göcek and Kaş-Kekova Number of draft legislation on MPA designation and management by MoEU GDPNA Number of developed methodologies regarding monitoring of MPAs. Number of proposals for new designated areas or extension of present designated areas Number of sensitive core zones for protection for monk seal habitats in 1/25.000 zoning plans Number of Ecosystem Based Fisheries Management Plans Number of Restaurants serving at least one species of invasive species in their menus Number of Code of good conduct with local tourism companies. Area of no-anchor zones designated within the project 	<p>Project Progress and Technical Reports National System of Marine Protected Areas records MoEU records Restaurant Menus</p>

Intervention Logic	Indicators	Sources of verification
<p>OUTPUT 4: Waste management capacity is improved</p>	<ul style="list-style-type: none"> • ACTIVITY 7 Number of municipalities with zero-waste institutional implementation Number of municipalities or schools received materials and equipment for effective zero waste system Number of municipalities received grants for developing zero-waste projects and environment protection related activities Number of established monitoring and assessment tool for zero waste activities of municipalities under MOEU • ACTIVITY 8 Number of the Policy Recommendation Paper (PRP) for a better C&DW management for Turkey. Number of areas where PRP methodology implemented • ACTIVITY 9 The number of marine litter items collected on the beach, per 100 m. Number of draft legislation prepared Number of prepared national marine litter action plan Number of institutions reached with the grant programme. 	<p>MoEU records Project Progress and Technical Reports Signed acceptance letter from municipalities and schools Photos of equipment instalments Grant contracts Grantee reports</p> <p>Project Progress and Technical Reports</p> <p>Union of Municipalities of Turkey records UNEP/MAP Report on Marine Litter Assessment In The Mediterranean Report on National Integrated Marine Pollution Monitoring Project Progress and Technical Reports Grant contracts Grantee reports</p>

Intervention Logic	Indicators	SOVs
IMPACT: The green agenda is promoted by ensuring an accelerated shift towards a low-carbon economy in energy and transport sectors	<ul style="list-style-type: none"> • Logistics Performance Indicator • Energy from renewable sources, in selected years, 2005-2017 (% share of gross final energy consumption) 	World Bank Eurostat
OUTCOME 1: The shift towards a low-carbon, climate resilient economy is accelerated, and clean energy transition and a European integrated energy market are promoted	<ul style="list-style-type: none"> • Share of renewable energy and indigenous energy sources in total installed electricity power • Share of renewable resources in electricity generation 	MENR's reports (DG Energy Affairs)
OUTCOME 2: Road safety in the context of the European Union acquis and the EU Road Safety Strategy is improved	<ul style="list-style-type: none"> • The ratio of the total number of accidents to the number of registered vehicles 	TUIK
OUTPUT 1.1: Institutional capacity of Directorate General of Energy Affairs (DGEA) to develop renewable energy zones (RE-ZONE) is improved	<ul style="list-style-type: none"> • Number of designated sites Do you refer to new REZ defined? Please be clear when defining indicators. • Number of staff trained, sex-disaggregated, for technical analyses on REZ 	Project Reports
OUTPUT 2.1: Capacity for quality-oriented trainings and exams in driver licensing according to the EU acquis and legislation is improved	<ul style="list-style-type: none"> • Number of education quality standards for motor vehicle driving courses in four Groups which are classified according to driving licenses as A, B, C, D Categories • Number of exam quality framework for certification process at the end of the driver trainings in four Groups which are classified according to driving licenses as A, B, C, D Categories 	Action Reports
OUTPUT 2.2: Training and testing standards for competencies of professional drivers who carry passengers and cargo are improved	<ul style="list-style-type: none"> • Number of education quality standards in the context of four education program which are SRC1, SRC2, SRC3, SRC4 in the context of EU regulation • Number of exam quality Framework for trainings of professional driver certification which are SRC1, SRC2, SRC3, SRC4 in the context of EU regulation 	Action Reports
OUTPUT 2.3: Traffic awareness of all road users, especially children and young people is raised	<ul style="list-style-type: none"> • Number of children/students attends traffic lessons • Number of people reached by the traffic education campaign by the Project 	Action Reports



Intervention Logic	Indicators	Sources of verification
<p>OUTCOME 2: To improve the private-sector environment, competitiveness of enterprises and access to digital technologies and services and strengthen research, technological development and innovation</p>	<ul style="list-style-type: none"> • Increase in total export volume of enterprises in the manufacturing sectors including their backward and forward linkages 	<p>MoIT Entrepreneur Information System (MoIT EIS)</p>
<p>OUTPUT 2.1: The digital transformation policy ecosystem of Turkey’s manufacturing industry is enhanced and further aligned with the EU</p>	<ul style="list-style-type: none"> • Number of policies adopted • Number of decisions of the TR-SDD Supreme board • Value of funds disseminated through developed financial mechanisms 	<p>The customer registration of the centres MoIT data (including TUBITAK, KOSGEB and Development Agencies) Project Monitoring Reports (PMRs) Project Interim Reports MoIT EIS</p>
<p>OUTPUT 2.2: The digital transformation and innovation infrastructure is improved and digital transformation and innovation capabilities of SMEs are increased</p>	<ul style="list-style-type: none"> • Number of established/supported (including capacity) common-use facilities for digitalization through governance structure • Number of technology users and providers received support and reduced their input costs and/or increased their sales and/or exports • Number of technology providers and users collaborated 	<p>The customer registration of the centres Turkish Statistical Institute (TURKSTAT) Project Monitoring Reports (PMRs) Project Interim and Final Reports</p>



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Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

GROUP WORK (3)

- 1. In your groups, review the indicators defined in your logframes and see if they are still relevant **for reconstructed intervention logic****
- 2. Refine/introduce new indicators (if needed)**
- 3. Assess if the indicators are RACER, is there sufficient number of indicators, are there too many indicators..**
- 4. Check baselines and targets...are they realistic, are there data for baselines..**
- 5. Check sources of verification for clarity:**
 - Source of information (survey, administrative data..)
 - Institution/department responsible for collection of data
 - Delivery date (when the data will be available)
- 6. Feedback to plenary**



Time envisaged for the work is 60 minutes





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Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

ACTION DOCUMENT SECTIONS 4, 5, 6, 7

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4. IMPLEMENTATION ARRANGEMENTS

4.1. Financing Agreement

Please delete this box after filling in the section below
If there is no Financing Agreement, the contracting deadline is N+1 (incl. for evaluation and audit).
If a Financing Agreement is signed, the contracting deadline is D+3 (except for the exceptions given in Art 114.2 FR)

In order to implement this action, it is choose [not] envisaged to conclude a financing agreement with the <IPA III beneficiary>

In order to implement this action, it is foreseen to conclude a financing agreement with the Republic of Turkey.

4.2. Indicative [Implementation] [Eligibility] Period

- Please delete this box after filling in the section below
Where a Financing Agreement is to be concluded, and this is not a multi-annual action with annual instalments, the implementation period must include the number of months necessary for contracting (D+3) and the number of months necessary for contract implementation. Furthermore, it should also take into account that the duration of the agreement is larger than the time necessary to only implement the activities described in section 3.
When Financing Agreement is foreseen and this is a multi-annual action with annual instalments, the programme will not have an indicative implementation period, but an eligibility period. This period is set out in the financing agreement.
Where no Financing Agreement is to be concluded, the implementation period of the action starts from the date of adoption of the financing decision.

N/A

If this is a multi-annual action without annual instalments The indicative operational implementation period of this action, during which the activities described in section 3 will be carried out and the corresponding contracts and agreements implemented, is <number^23> months from the date of where a financing agreement is concluded[entry into force of the financing agreement]where no financing agreement is concluded (e.g. for calls for proposals) give a global duration until the end of the last contract with some leeway for delays [adoption by the Commission of this Financing Decision].

Extensions of the implementation period may be agreed by the Commission’s responsible authorising officer by amending this Financing Decision and the relevant contracts and agreements.

If this is a multi-annual action with annual instalments: The eligibility period, during which the activities described in section 3 will be carried out, is <number^24> months from the date of entry into force of the financing agreement.

4.4. Methods of implementation [applicable for Project modality or for complementary support to a Budget Support]

Please delete this box after filling in section below

- Structure this section by objective/result or component as per the description of the action. The headings of these objectives/results or components, will have 3 digits, beginning from 4.4.1.
- This structure should be coherent with section 3, with the budget in section 4.6, the logical framework and the differentiation breakdown in OPSYS.
- Choose from the modalities provided (grants, prizes, procurement, indirect management with an EU Member States/a MS Organisation/EU specialised agency/international organisation, indirect management with a regional organisation/partner country, contribution to a Regional Blending Facility) as many times as you need and integrate them into this structure. In case of duplication we suggest to add sublevels ex 4.4.4.1, 4.4.4.2 etc. Delete the modalities that you do not need.
- For modalities 4.4.4. to 4.4.7., budget-implementation tasks that can be delegated are the contract-management cycle, subject to the provisions of the relevant agreements concluded with these entities following relevant templates or approved derogations, notably: launching calls for tenders and for proposals; definition of eligibility, selection and award criteria; evaluation of tenders and proposals; award of grants, contracts and financial instruments; acting as contracting authority concluding, monitoring and managing contracts, carrying out payments, and recovering moneys due. The definition of objectives and essential policy characteristics of the action entrusted is not a budget-implementation task, but a prerogative of the Commission and they have therefore to be defined in the Action Document.
- For modality 4.4.4., in case the EU contribution to the Action takes the form, partly or wholly, of financing not linked to costs ('FNLC', or otherwise referred to as 'Performance-based Financing'), please make sure that you do not specify this in the action document to be annexed to the Decision. The use of FNLC can be authorized, once the Financing Decision is approved, through a Decision taken by the AOD (DG level) for the related legal commitment, in accordance with art. 24.3 of the Internal Rules. Modality 4.4.8. is envisaged as a template for the direct management alternative to a failed case of indirect management (formerly called a case of recentralisation). Indicate clearly in both modalities their link.

The Commission will ensure that the EU appropriate rules and procedures for providing financing to third parties are respected, including review procedures, where appropriate, and compliance of the action with EU restrictive measures

The Commission will ensure that the EU appropriate rules and procedures for providing financing to third parties are respected, including review procedures, where appropriate, and compliance of the action with EU restrictive measures²⁵.

4.4.1. Direct Management (Grants)

Please delete this box after filling in section below

- While presenting the purpose of the grant, ensure consistency with the objectives/results identified in section 3.
- In the case of **Twinning**: the choice of twinning (implemented through grants) must be clearly spelt out in this section of the AD. More details about the Twinning action are itemised in a specific Twinning Fiche,²⁶ which is used as a basis for the Call for Proposals targeting the EU Member States (to be published in e-PROSPECT). Please note the Twinning Fiche should align its objectives/results to the ones identified in the Action Document and should not focus on activities which are to be proposed at a later stage by the EU Member States in their applications. The Twinning Fiche is not to be attached to the Action Document.

[@Twinning Manual Revision 2017 and Twinning website](#)

It is not necessary to specify the award procedure (call for proposals or direct award – but see specific case under point (c)). Note that a direct award is possible if the reasons for the exception from a call are applicable (Article 195 FR).

(a) Purpose of the grant(s)

<Specify which objective/result in section (3) the grants will contribute to achieving>

In case it is necessary to launch a call for proposals with a suspension clause before the adoption of this Financing Decision, the launch date must be mentioned and the nature of the exceptional circumstances hindering the possibility to launch the call after the Financing Decision is adopted must be explained. Moreover, the internal NEAR prior approval procedure²⁷ must be followed [This call has been launched on <date> under a suspensive clause prior to the adoption of this Decision. This is justified because <explain the exceptional circumstances>.]

(b) Type of applicants targeted

<type of applicants>

Specify the circle of potential applicants for funding with regard to their type (e.g., legal entities, natural persons or groupings without legal personality; local authorities, public bodies, international organisations, NGOs, economic operators such as SMEs) - see section 2.1.1. of the PRAG guidelines for grant applicants (annex E3a). In the case of Twinning grants, applicants must be EU Member State administrations or their mandated bodies.

Other essential characteristics of the potential applicants²⁸, such as their place of establishment²⁹ (if applicable, note the extension to other countries in section 4.5) shall be specified in the guidelines for applicants of the call for proposals. The default scope may be narrowed down in terms of nationality, geographical location or nature of the applicant where it is required on account of the specific nature and the objectives of the action and where it is necessary for its effective implementation (Article 28(9) NDICI - Global Europe)

Justification of a direct grant

<According to article 195 of the Financial Regulation, the cases of c) ('monopolies') and f) ('specific characteristics') need to be duly substantiated in the award decision: so, direct awards may still later be decided by the competent authorising officer, even if the Financing Decision does not envisage them, through a substantiated award decision. If, however, the action very specifically targets the direct award of a grant, you may want to mention this here and take a direct award decision at the level of the Financing Decision. In such a case, indicate the type of the direct award grant beneficiary and explain the criteria used for selecting it in line with Article 195 of the Financial Regulation. Do not name the direct award beneficiary unless – exceptionally – the entity is to be identified. Keep and complete the following sentence and provide the criteria for selecting such an entity: [Under the responsibility of the Commission's authorising officer responsible, the grant may be awarded without a call for proposals to <type of the direct grant beneficiary>, selected using the following criteria <describe the criteria used for selecting the direct award beneficiary>] If, **on exceptional basis**, the direct award beneficiary is identified in the Financing Decision keep the following part: [Under the responsibility of the Commission's authorising officer responsible, the grant may be awarded without a call for proposals to <name of the direct grant beneficiary>]. Where this is filled in, you have to submit the direct award for a prior approval in parallel, i.e., you have to encode this simplified approval procedure in OPSYS.

Under the responsibility of the Commission's authorising officer responsible, the recourse to an award of a grant without a call for proposals is justified because <provide factual circumstances justifying any of the circumstances listed in Article 195 FR, i.e. if the country is in a crisis situation referred to in Article 2(21) of the Financial Regulation at the date of the FD, the crisis situation may offer a justification for direct award of grants during the crisis situation; other exceptional and duly justified emergency not due to delays on the part of the Commission; beneficiary is in a legal or factual monopoly situation or is identified as beneficiary in the basic act on which this Decision is based; the action has specific characteristics requiring a specific type of beneficiary for its technical competence, specialisation or administrative power or nature of the action with regard to Article 27(3) NDICI - Global Europe >]

[(d) Exception to the non-retroactivity of costs

< As a rule, the costs incurred shall be eligible as of the date of entry into force of the grant agreement; the authorising officer may set the eligibility prior to the date of entry into force of the agreement, and even prior to the date of submission of the proposal. Still, unless the Financing Decision so decides, it is not within the authorising officer's powers to set the eligibility prior to the date of adoption of this Financing Decision. Hence, if it is required to accept costs made prior to the date of adoption of the Financing Decision, add: > The Commission authorises that the costs incurred may be recognised as eligible as of <a date prior to the adoption of this decision> because <add justification>.]

4.4.2. Direct Management (Prize(s))

Please delete this box after filling in the section the below

- While presenting the purpose of the prize, ensure consistency with the objectives/results defined in section 3.
- Enter the global budgetary envelope reserved for contests in section 4.6

a) Purpose of the prize: <Specify which objective/Output in section (3) the call will contribute to achieving.>

b) The type of participants targeted:

Define the type of participants targeted –, for example: legal entities, natural persons or groupings without legal personality, local authorities, public bodies, international organisations, NGOs, economic actors such as SMEs, profit or non-profit organisations.

c) Specific reference to prizes with a unit value of EUR 1 million or more:

4.4.3. Direct Management (Procurement)

~~*Please delete this box after filling in the section the below*~~

- Specify which objective/result in section (3) the procurement will contribute to achieving; hence, only list here the 'operational' procurement, i.e., not the procurement linked to monitoring, evaluation, audit, communication and visibility listed in sections 5 and 6. Do NOT mention the procurement procedure; its choice is the responsibility of the responsible authorising officer, not the Commission. Enter the global budgetary envelope reserved for procurement in section 4.6.
- In case it is necessary to launch a call for tenders with a suspension clause before the adoption of this Financing Decision, the launch date must be mentioned and the nature of the exceptional circumstances hindering the possibility to launch the call after the Financing Decision is adopted must be explained.

<Specify which objective/result in section 3 the procurement will contribute to achieving>

<In case it is necessary to launch a call for tenders with a suspension clause before the adoption of this Financing Decision, the launch date must be mentioned and the nature of the exceptional circumstances hindering the possibility to launch the call after the Financing Decision is adopted must be explained. Moreover, the internal NEAR /INTPA prior approval procedure³⁰ must be followed: [This call has been launched on <date> under a suspensive clause prior to the adoption of this decision. This is justified because <explain the exceptional circumstances>.]

4.4.4. Indirect Management with a [Member State Organisation] [third donor country] [EU specialised (traditional/regulatory) agency] [international organisation]

Please delete this box after filling in the section the below

- In case the analysis of implementing partners (Section E.4.3 NEAR MAP) highlights capacity constraints, mitigating measures should be embedded in the design of the action.
- Explain the criteria to be used for selecting the entity entrusted with the implementation of the action under indirect management. Do NOT name the entity unless – exceptionally – the entity is to be identified
- Not identifying the entity entrusted with indirect management, will allow that this choice can be made at the level of the authorising officer, which increases flexibility, also later if a change of entity would be needed.
- The selection of the entity still has to be justified by the nature of the action (Article 154(1) of the Financial Regulation): to that effect, its selection should be explained through the analysis and guidance given in NEAR MAP E.4.3.
- In case the analysis of implementing partners (Section E.4.3 NEAR MAP) highlights capacity constraints, mitigating measures should be embedded in the design of the action.
- In case the EU contribution to the action takes the form, partly or wholly, of financing not linked to costs ('FNLC', or otherwise referred to as 'Performance-based Financing'), please make sure that you do not specify this in the action document to be annexed to the Decision. The use of FNLC can be authorized, once the Financing Decision is approved, through a Decision taken by the AOD (DG level) for the related legal commitment, in accordance with art. 24.3 of the Internal Rules.

[A part of] [this action may be implemented in indirect management with an entity, which will be selected by the Commission's services using the following criteria:] <explain briefly the criteria to be used to choose this entity (e.g., in terms of the nature of the action, operational capacity, value added, transparency, absence of conflict of interest...)>. The implementation by this entity entails <describe the (part of the) action to be implemented by the entity and cross-reference to the objective/result in section 3 to which this modality will contribute to achieving >.

<If, on an exceptional basis, the entity is identified in the Financing Decision: >

[A part of] [this action may be implemented in indirect management with] <name of the Member State Organisation, or third donor country or EU specialised (traditional/regulatory) agency or international organisation>. This implementation entails <describe the (part of the) action to be implemented by the entity and cross-reference to the objective/result in section 3 to which this modality will contribute to achieving>. [The envisaged entity has been selected using the following criteria] < explain briefly the reasons for choosing this entity (e.g., in terms of the nature of the action, operational capacity, value added, transparency...). It is important that both the objective selection criteria and how this named entity responds to them are spelled out here. Only in this way can the same criteria be used for selecting an alternative as mentioned below, i.e. for selecting an alternative entity, the same criteria may be used for justifying such selection, without going through a substantial modification of the Financing Decision. Consequently, beyond the justifications provided for selecting a given entity, it is important to define clear selection criteria.>

If acceptance by the entity identified above is uncertain and there is a viable second option consisting of another entity, this alternative, second option can be identified here: [If negotiations with the above-mentioned entity fail, that part of this action may be implemented in indirect management with <name of the alternative entity>. The implementation by this alternative entity would be justified because of the following criteria <explain briefly the reasons for choosing this entrusted entity (e.g., in terms of the nature of the action, operational capacity, value added, transparency...)>

[In case the envisaged entity [and the replacement entity mentioned above] would need to be replaced, the Commission's services may select a [nother] replacement entity using the same criteria. To be able to apply this, it is important that the selection criteria are spelled out here above. If the entity is replaced, the decision to replace it needs to be justified]

If acceptance by the entity identified above is uncertain, and there is a viable second option consisting in direct management, this alternative second option can be referred to here: [If negotiations with the above-mentioned entity fail, that part of this action may be implemented in direct management in accordance with the implementation modalities identified in section[s] <make reference to the implementation modalities using the sections 4.4.1 or 4.4.3. This second alternative should be added in section 4.4.8 [to be renumbered if necessary] below.>]

[Exception to the non-retroactivity of costs

< As a rule, the costs incurred shall be eligible as of the date of entry into force of the contribution agreement; the authorising officer may set the eligibility prior to the date of entry into force of the agreement, and even prior to the date of submission of the proposal. Still, unless the Financing Decision so decides, it is not within the authorising officer's powers to set the eligibility prior to the date of adoption of this Financing Decision. Hence, if it is required to accept costs made prior to the date of adoption of the Financing Decision, add:> The Commission authorises that the costs incurred may be recognised as eligible as of <a date prior to the adoption of this Decision> because <add justification>.]

AoS#3 of this action may be implemented in indirect management with the European Bank for Reconstruction and Development (EBRD). This implementation entails co-financing pilot investment projects through the combination of EU capex grants and EBRD loans, as well as associated technical assistance and capacity building, as further described in this Action Document.

The envisaged entity has been selected using the following criteria:

4.4.5. Indirect Management with an IPA III beneficiary

For IMBC use: [A part of] [This action will be implemented under indirect management by <name of IPA III beneficiary>].

The managing authority responsible for the execution of the action is [<the name of the entity which acts as the NIPAC Office>] [<For Turkey: the name of the entity which acts as the NIPAC Office or the name of the entity that will act as managing authority in case of sectors where Operating Structures already existed under IPA II>]. The managing authority shall be responsible for legality and regularity of expenditure, sound financial management, programming, implementation, monitoring, evaluation, information, visibility and reporting of IPA III activities.

The managing authority shall rely on sectoral expertise and technical competence of the following intermediate <body> <bodies> for policy management: <a central government entity or a necessary minimum of central government entities with legal authority and technical competence in the matters addressed by the action>. <It> <They> shall ensure sound financial management of the action.

Budget implementation tasks such as calls for tenders, calls for proposals, contracting, contract management, payments and revenue operations, shall be entrusted to the following intermediate <body> <bodies> for financial management: <a contracting authority or a list of contracting authorities with punctual definition of responsibility over specific components of the action>. <It> <They> shall ensure legality and regularity of expenditure.]

4.4.6. Contribution to <name of the relevant Regional Investment Platform>

This contribution may be implemented under indirect management with the entities, called Lead Finance Institutions, identified in the appendix to this Action Document.

<if deemed necessary, explain briefly the procedure for the selection of the individual projects and the relevant Lead Finance Institutions. Explain the alignment to the principles of sustainable finance. Avoid mentioning one concrete Financial Institution to keep flexibility, ensure the level playing field and competition at this stage. Refer to the appendix of eligible Financial Institutions instead. >

4.4.7. EFSD+ operations covered by budgetary guarantees

Financing and investment operations supported by budgetary guarantees may be implemented under indirect management with the entities, called Lead Finance Institutions, identified in the appendix to this Action Document.

<In case of EFSD+ operations covered by budgetary guarantees the External Action Guarantee and in accordance with article 110.3(h) of the Financial Regulation, please indicate the amount of annual provisioning and, where applicable, the amount of the budgetary guarantee to be released. >

INDIRECT MANAGEMENT WITH IPA III BENEFICIARY

This action will be implemented under indirect management by Turkey.

For the AoS#1, the managing authority responsible for the execution of the project is the NIPAC/NIPAC Support Office – Directorate for EU affairs in the Ministry of Foreign Affairs. The managing authority shall be responsible for legality and regularity of expenditure, sound financial management, programming, implementation, monitoring, evaluation, information, visibility and reporting of IPA III activities. The managing authority shall rely on sectoral expertise and technical competence of the following **intermediate body Ministry of Energy and Natural Resources for policy management**. It shall ensure sound financial management of the project.

For AoS#2, the managing authority is Ministry of Environment and Urbanization and the DG for Construction Affairs within the Ministry of Environment and Urbanisation. The managing authority shall be responsible for legality and regularity of expenditure, sound financial management, programming, implementation, monitoring, evaluation, information, visibility and reporting of IPA III activities. The managing authority shall rely on sectoral expertise and technical competence of the following **intermediate body Ministry of Environment and Urbanisation, General Directorate for Construction Affairs, Department of External Investments for policy management**. It shall ensure sound financial management of the project.

Budget implementation tasks such as calls for tenders, calls for proposals, contracting, contract management, payments and revenue operations, shall be entrusted to the following **intermediate bodies for financial management: CFCU at the Ministry of Finance and Treasury for AoS#1 and the Ministry of Environment and Urbanisation (MoEU) / General Directorate of European Union and Foreign Relations (GDoEUFR) / Department of EU Financial Assistance (DoEUFA) for AoS#2**. They shall ensure legality and regularity of expenditure.]

4.4.8. Changes from indirect to direct management (and vice versa) mode due to exceptional circumstances (one alternative second option)

Please delete this box after filling in the section below

- Describe here the alternative implementation modality in direct management (choose from 4.4.1 and/or 4.4.3) and identify which preferred implementation modality under indirect management above they can replace where this preferred modality cannot be implemented due to circumstances outside of the Commission's control.
- And/or describe here the alternative implementation modality in indirect management that could be used if the implementation modality in direct management cannot be implemented due to circumstances outside of the Commission's control.
- Check cross-references in section 4.4 above, in Action summary table and in budget.

<To be filled in>

4.5. Scope of geographical eligibility for procurement and grants

The geographical eligibility in terms of place of establishment for participating in procurement and grant award procedures and in terms of origin of supplies purchased as established in the basic act and set out in the relevant contractual documents shall apply, subject to the following provisions.

The Commission's authorising officer responsible may extend the geographical eligibility on the basis of urgency or of unavailability of services in the markets of the countries or territories concerned, or in other duly substantiated cases where application of the eligibility rules would make the realisation of this action impossible or exceedingly difficult (Article 28(10) NDICI-Global Europe Regulation).

By virtue of Article 5(8) IPA III, if the geographical scope of the action is being extended to include countries that would otherwise not be eligible under IPA III, choose this option to include these countries in the geographical eligibility of grants and procurement described in section 4.4.1 and 4.4.3

[Due to the [global] [regional] [cross-border] nature of the action, in order to [ensure the coherence and effectiveness of Union financing] [and] [to foster regional cooperation], the Commission decides to extend the eligibility of this action to the following [countries], [territories and regions] <name of country 1>, <name of country 2>, <...>. By virtue of Article 28(8) NDICI - Global Europe For this multi-country action, natural persons who are nationals of, and legal persons who are effectively established in these countries, are also eligible.]

4.6. Indicative Budget

Please delete this box after filling in the section below

- The encoding in OPSYS must be consistent with the structure of the budget provided in the AD template. Whenever possible the budget (of the AD and in OPSYS) should follow a structure by objective/result. In such cases for each objective/result, the sub-headings must indicate the implementation modality.
- The table must link to the structure of the implementation described in sections 4.3 and 4.4. The table below is just an example. If there are more third parties per line of the table, write the total in the table and identify the third parties and their contributions in a footnote.
- In case of a Multi-Annual Action Programme, distinguish the various annual amounts of the action in consistency with section 4.4. by adding a column per year.
- In case of third party contribution to EU budget, please indicate the name(s) of the donor(s) and the corresponding amount(s) (per donor, where applicable).
- Amounts should be indicated as follows: EUR 000 000 000.00

Indicative Budget components	EU contribution (amount in EUR) In case of a transfer agreement [of which <amount> from <donor > through a transfer agreement to be signed]	Indicative third-party contribution, in currency identified [[If not relevant please delete this column]]
Budget support - cf. section 4.3	<amount>	<amount, currency>N.A.
Methods of implementation – cf. section 4.4		
[Outcome] <name 1> composed of	<amount>	
Grants (direct management) – cf. section 4.4.1		N.A.
Procurement (direct management) – cf. section 4.4.3		N.A.
[Outcome] <name 2> composed of	<amount>	
Prize (direct management) – cf. section 4.4.2	<global amount reserved for contests>	
Indirect management with <name of MS Organisation, 3 rd donor country or EU agency or international organisation>-cf. section 4.4.4	<amount>	<amount, currency>
[Outcome] <name 3> composed of	<amount>	
Indirect management with <name of MS Organisation, 3 rd	<amount>	<amount,

4.7. Organisational Set-up and Responsibilities

Please delete this box after filling in the section below

½ page max

- Provide a brief description of implementation arrangements, e.g. the steering committee arrangements and the role and responsibilities of the Commission, the main counterparts and implementing entities in the governance of the intervention.
- Under sector approach this should link to the sector coordination structures and systems.
- Ensure that the organisational set-up includes an active and meaningful participation of key stakeholders, including rights holders such as youth, women organizations and organizations representing vulnerable and marginalized groups.
- If the creation of a project implementation unit is envisaged, provide justifications and indicate its main tasks etc.).
- For budget support, spell out the arrangements for policy dialogue as agreed with the authorities, also including non-governmental stakeholders. To the extent possible, policy dialogue arrangements should be embedded in the domestic setup and process, avoiding ad hoc structures and rather strengthening existing ones, favouring inclusive processes and fostering inter-ministerial coordination. [@2017 Budget Support Guidelines \(annex 13\)](#)
- For indirect management, do not repeat information already provided in section 4.4.1.

<To be filled in>

As part of its prerogative of budget implementation and to safeguard the financial interests of the Union, the Commission may participate in the above governance structures set up for governing the implementation of the action.

4.8. Pre-conditions [Only for project modality]

Please delete this box after filling in the section below

½ page max

For actions in project modality, insert any pre-conditions specific to this action.

Pre-conditions are events that need to occur to allow the full implementation of the action (e.g., before the signature of the Financing Agreement or before the start of activities).

You need to pay attention to the possible Impact pre-conditions might have on the execution of the action (is there a risk the FA will not be executed and therefore funds de-committed? Is this risk known and acceptable?).

If there are no specific pre-conditions and in case of budget support, delete this section.

The pre-conditions should be objectively verifiable and subject to a given deadline

<To be filled in>

5.1. Monitoring and Reporting

Please delete this box after filling in the section below

1 page max

The monitoring of the implementation of this action will be a continuous process, and part of the implementing partner's responsibilities and that of the EU operational manager. Both types of internal monitoring must be undertaken in an inclusive way, involving key stakeholders.

The different responsibilities for this dual internal monitoring are the following:

- Implementing partners' monitoring will aim at collecting and analysing data to inform on progress towards planned results' achievement to feed decision-making processes at the action's management level and to report on the use of resources.
- EU operational manager monitoring will aim at complementing implementing partners' monitoring, especially in key moments of the action cycle. It will also aim at ensuring a sound follow-up on external monitoring recommendations and at informing EU management. This monitoring could take different forms (meetings with implementing partners, action steering committees, on the spot checks), to be decided based on specific needs and resources at hand.

Both types of internal monitoring are meant to inform and provide support to external monitoring.

➤ For actions in **project modality**,

- Please adapt this section to the action and describe the arrangements for monitoring and reporting on indicators of the logframe matrix, including the collection of baselines and data collection (responsibilities, timing, and source of funding).
- Data collection and reporting: In some cases, you may depend on surveys done by others (e.g. national health surveys, income surveys, etc.). In such case, please indicate if it is under the responsibility of the implementing partner as it will have implications in terms of implementation of this action as well as on its budget. For instance such surveys/studies can be financed under the regular budget of the action (through specific budget lines identified for this purpose) or outside of this action, through a Support Measure for example.
- Please briefly explain how the active and meaningful participation of stakeholders will be ensured. What kind of accountability mechanisms are envisaged?
- Please provide information on how gender equality results will be monitored.

[@Guidance on Internal Monitoring for Results](#)

[@NEAR Monitoring for results](#)

[@ROM Module](#)

The day-to-day technical and financial monitoring of the implementation of this action will be a continuous process, and part of the implementing partner's responsibilities. To this aim, the implementing partner shall establish a permanent internal, technical and financial monitoring system for the action and elaborate regular progress reports (not less than annual) and final reports. Every report shall provide an accurate account of implementation of the action, difficulties encountered, changes introduced, as well as the degree of achievement of its results (Outputs and direct Outcomes) as measured by corresponding indicators, using as reference the logframe matrix (for project modality) and the partner's strategy, policy or reform action plan list (for budget support). The Commission may undertake additional project monitoring visits both through its own staff and through independent consultants recruited directly by the Commission for independent monitoring reviews (or recruited by the responsible agent contracted by the Commission for implementing such reviews).

Roles and responsibilities for data collection, analysis and monitoring:

<To be filled in>

<For budget support, add the following sentence and specify. >

The statistical and monitoring systems as well as the quality of official data in the policy field covered have been assessed. This assessment has fed into the design of the action as follows: <specify>

5.2. Evaluation

Please delete this box after filling in the section.

- Evaluation is the systematic and objective assessment of the action. Evaluation will give evidence of why the action is successful or not.
- Please select the relevant options in the table in terms of budget and funding of evaluation.
- Please note the EVAL is an IT module at the sector level, budget support or thematic support. It is managed at Headquarters and in Delegations.
- If an evaluation is planned to be coordinated by a Reference Group (RG) composed by representatives from the government and other donors will be invited to join. The RG will be responsible for:
 - Steering the evaluation exercise, including preparation and/or provision of the evaluation team; consultation with the partner country;
 - The EU programme manager providing input and information on the evaluation and methodological knowledge;
 - Providing quality control on the evaluation as lead of the RG, consolidate the deliverables.
 - Ensuring a proper follow-up and reporting.

[@EVAL Module](#)

Having regard to the [importance][nature] of the action, a(n) [mid-term] [final][ex-post] evaluation(s) [will] [will not] be carried out for this action or areas of support [via independent consultants] [through a joint mission] [contracted by the Commission] [via an implementing partner].

In case a mid-term evaluation is envisaged: [It will be carried out for [problem solving], [learning purposes, in particular with respect to <complement with specific aspects that can be highlighted such as the intention to launch a second phase of the action, etc.>].]

In case a final or ex-post evaluation is envisaged: [It will be carried out for accountability and learning purposes at various levels (including for policy revision), taking into account in particular the fact that<complement with specific aspects that can be highlighted such as an innovative action or a pilot being tested, etc.>].]

~~In the case of a TEI, evaluations jointly with other contributing Member States and EDFIs will be the preferred option to provide an overview of the action within the larger impact of the TEI.~~

~~For budget support: [The evaluation of this action may be performed individually or through a joint strategic evaluation of budget support operations carried out with the partner country, other budget support providers and relevant stakeholders.]~~

~~[In case an evaluation is not planned, the Commission may, during implementation, decide to undertake such an evaluation for duly justified reasons either on its own decision or on the initiative of the partner.]~~

Where an evaluation is planned and is to be contracted by the Commission:

[The Commission shall inform the implementing partner at least <insert number of days/months> in advance of the dates envisaged for the evaluation missions. The implementing partner shall collaborate efficiently and effectively with the evaluation experts, and inter alia provide them with all necessary information and documentation, as well as access to the project premises and activities]. The evaluation reports shall be shared with the partner country and other key stakeholders following the best practice of evaluation dissemination³⁴. The implementing partner and the Commission shall analyse the conclusions and recommendations of the evaluations and, where appropriate, in agreement with the partner country, jointly decide on the follow-up actions to be taken and any adjustments necessary, including, if indicated, the reorientation of the project.

Where a financing agreement is planned, the exception from D+3 shall apply for evaluations. In such case, the evaluations should be implemented by way of procurement beyond the operational procurement envisaged in section 4. Therefore, include the overall budget allocation for Evaluation together with Audit in section 5.3, and keep this phrase [Evaluation services may be contracted [under a framework contract].]

~~Where no financing agreement will be concluded, select this option: [The financing of the evaluation shall be covered by another measure constituting a Financing Decision.]~~



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PLANNING AN EVALUATION

“Beneficiaries, especially under the indirect management mode, have to prepare an annual Evaluation Plan in consultation with the EUDs and publish it”

- Identification of institutional responsibility for drafting and managing the evaluation plan
- Identification of what to evaluate (all EU Commission actions must be periodically evaluated. EC HQS and delegations need to schedule final evaluations for projects/programmes above €5 million. In addition, delegations may ask for evaluations of particularly innovative actions, pilot actions, and sensitive actions (actions for which there have been implementation problems or conflicts or about which there has been controversy during action preparation) or themes on which there is little evidence)
- Prioritise the possible evaluations on the basis of criteria (importance, stakeholders, needs to use the evidence...)
- Choice on evaluation’s type and on available resources
- Scheduling the evaluations (identify the time when results are finally available)
- Publication of the evaluation plan
- Managing evaluation plan

5.3. Audit and Verifications

Without prejudice to the obligations applicable to contracts concluded for the implementation of this action, the Commission may, on the basis of a risk assessment, contract independent audit or verification assignments for one or several contracts or agreements.

6. COMMUNICATION AND VISIBILITY

*Please delete this box after filling in the section below.
Text to be used for Actions other than Union Programmes.*

Visibility of EU funding and communication about objectives and impact of Actions are a legal obligation for all Actions funded by the EU, as set out in the EU communication and visibility requirements in force.

In particular, the recipients of EU funding shall acknowledge the origin of the EU funding and ensure its proper visibility by:

- providing a statement highlighting the support received from the EU in a visible manner on all documents and communication material relating to the implementation of the funds, including on an official website and social media accounts, where these exist; and
- promoting the actions and their results by providing coherent, effective and proportionate targeted information to multiple audiences, including the media.

Visibility and communication measures shall be implemented, as relevant, by the national administrations (for instance, concerning the reforms linked to EU budget support), entrusted entities, contractors and grant beneficiaries. Appropriate contractual obligations shall be included, respectively, in financing agreements, delegation agreements, and procurement and grant contracts.

The measures shall be based on a specific Communication and Visibility Plan, established and implemented in line with the EU communication and visibility requirements in force. The plan shall include, inter alia, a communication narrative and master messages for the Action, customised for the various target audiences (stakeholders, civil society, general public, etc.)

Visibility and communication measures specific to this Action shall be complementary to the broader communication activities implemented directly by the European Commission services and/or the EU Delegations and Offices. The European Commission and the EU Delegations and Offices should be fully informed of the planning and implementation of the specific visibility and communication activities, notably with respect to the communication narrative and master messages. **Additional text to be added for multi-country actions** [It is the responsibility of the implementing partner(s) to keep the EU Delegations/Office and the European Commission fully informed of the planning and implementation of the specific visibility and communication activities.]

<insert any other specific provisions on visibility and communication relevant to the Action>

*Please delete this box after filling in the section below.
Text to be used for Union Programmes.*

Visibility and communication measures shall be implemented in accordance with the EU communication and visibility requirements in force and the specific rules of each Union programme. The relevant programme managing entity shall be responsible for monitoring the visibility and communication activities. The European Commission and the EU Delegations and Offices should be fully informed of the planning and implementation of the specific visibility and communication activities.]

<insert any other specific provisions on visibility and communication relevant to the Action>

7. SUSTAINABILITY

*Please delete this box after filling in the section below
1/2 page max.*

Include details on sustainability of the Action, i.e. if and to what extent the benefits/results (outputs and outcomes) achieved are likely to continue beyond its implementation period. In particular, the section should include at least some of the key factors impacting on sustainability, such as the level of ownership of the beneficiaries, their institutional management capacities, resources that they commit to provide for the operation and maintenance of the results once the Action is completed. Include reference also to medium-term budget framework.

<To be filled in>



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SUSTAINABILITY

- The continuation of benefits from a development intervention after major development assistance has been completed. The probability of continued long-term benefits. The resilience to risk of the net benefit flows over time.
- How likely are the effects to last after the intervention ends? It is often hoped that the changes caused by an intervention are permanent. It can be important to test this expectation for interventions which have a finite duration, such as particular programmes.

Examples of sustainability questions:

- To what extent has the intervention contributed towards durable enhanced capacity of government to provide improved public services?
- How likely the effects are to last after the intervention ends?
- Which institutional arrangements allow for maintaining the benefits achieved?
- Which financial resources are available to fund the continuation of the services provided by the intervention? How long are they likely to be available and from which sources?



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Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

BUDGETING

ACTION FICHE, ACTION DOCUMENT, TOR

"The contents of this publication are the sole responsibility of WEglobal and do not necessarily reflect the opinion of the European Union."



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BUDGETING: AF/AD/TOR

AD / AF / ToR



Financial resources needed?



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BUDGETING: **AF/AD/TOR**

PRESENT

Action Fiche and Action Document

ToR

Total amount of resources needed in EUR

Less detailed

Easier

Flexible ?

PAST

OIS and Project Fiche

Total amount of resources needed in EUR

Detailed (types and distribution of resources, etc.)

More difficult

Not flexible

In any case, we need to plan and calculate our budgets in details!



Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

BUDGETING: AF/AD/TOR

Action Fiche (Example 1):

Regional dimension	N/A					
Indicative budget	20,000,000 € (Supply and Works-2021) 17,000,000 € EU contribution 3,000,000 € National contribution					
Implementation Modality	Indirect Management: There will be a procurement for supplies/works under this action.					
Budget Support Modality (only if the action is implemented through Budget Support)	N/A					
Addressing the shock caused by the COVID-19 pandemic	COV and shock response	<table border="1"> <tr> <td>Indicative budget</td> <td>20,000,000 € (Supply and Works-2021) 17,000,000 € EU contribution 3,000,000 € National contribution</td> </tr> <tr> <td>Implementation Modality</td> <td>Indirect Management: There will be a procurement for supplies/works under this action.</td> </tr> </table>	Indicative budget	20,000,000 € (Supply and Works-2021) 17,000,000 € EU contribution 3,000,000 € National contribution	Implementation Modality	Indirect Management: There will be a procurement for supplies/works under this action.
Indicative budget	20,000,000 € (Supply and Works-2021) 17,000,000 € EU contribution 3,000,000 € National contribution					
Implementation Modality	Indirect Management: There will be a procurement for supplies/works under this action.					
<p>sustainable and low-carbon development policies. All IPA actions proposed for 2021 and 2022 programming years aim to reinforce Turkey's response to the crisis by exploring the opportunities presented by the shock to steer the energy sector onto a more resilient, secure and sustainable path.</p>						



Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

BUDGETING: AF/AD/TOR

Action Fiche (Example 2):

		Therefore, the Women Friendly Cities-III project will include a technical capacity and a grant scheme component targeting municipalities and civil society organizations in Turkey aiming to create an enabling environment for the expansion of women friendly cities.
	Regional dimension	This action does not have a regional dimension.
Indicative budget		5.000.000 EUR (2.000.000 EUR TA + 3.000.000 EUR Grant)
Implementation Modality		expansion of women friendly cities.
Budget Support Readiness (only if the action is implemented through Support)	Regional dimension	This action does not have a regional dimension.
	Indicative budget	5.000.000 EUR (2.000.000 EUR TA + 3.000.000 EUR Grant)
	Implementation Modality	<i>Direct management (United Nations Population Fund -UNFPA)</i>
	Budget Support Readiness	N/A



Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

BUDGETING: AF/AD/TOR

Action Fiche (Example 3):

		In addition, 2 projects on the crowd control subject in 2014, one is implemented by Ministry of Interior and the other was implemented by Turkish Gendarmerie, are directly related to this project. By this project, all the law enforcement organizations will be covered.
	Regional dimension	<u>N/A</u>
	Indicative budget	2.000.000 EURO
	Implementation Modality	<i>Twinning</i>
Budget Support Readiness (only if the action is implemented through Budget Support)	Indicative budget	2.000.000 EURO
	Implementation Modality	<i>Twinning</i>



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Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

BUDGETING: AF/AD/TOR

Action Document (Example 1): The rule of Law, North Macedonia

Action Identification	
Action Programme Title	Annual Action Programme for Republic of North Macedonia for Year 2020
Action Title	EU for Rule of Law
Action ID	IPA 2020-41
IPAC Sector	2. Justice and Home Affairs
DAC Sector	15130 – Legal and judicial aid 15210 – Security system management and reform 15113 – Anti-corruption organisations and institutions
Total cost	19,300,000
EU contribution	18,900,000
Budget line(s)	22.02.01.01
Method of implementation	Direct and indirect management
Delegation of implementation	EU Delegation
Management authority or other entrusted entity	Indirect management
Implementing authority	Indirect management
Zone benefiting from the action	North Macedonia
Specific implementation area(s)	North Macedonia
Final date for concluding Financing Agreement(s) with IPA II beneficiary	At the latest by 31 December 2021
Final date for concluding contribution/delegation agreements, procurement and grant contracts	3 years following the date of conclusion of the Financing Agreement, with the exception of cases listed under Article 114(2) of the Financial Regulation
Indicative operational implementation period	6 years following the conclusion of the Financing Agreement
Final date for implementing the	12 years following the conclusion of the Financing Agreement

Sector Information	
IPAC Sector	2. Justice and Home Affairs
DAC Sector	15130 – Legal and judicial aid 15210 – Security system management and reform 15113 – Anti-corruption organisations and institutions
Budget	
Total cost	19,300,000
EU contribution	18,900,000
Budget line(s)	22.02.01.01

Cumulative/total budget for 5 Actions	
--	--

<http://www.oecd.org>



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Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

BUDGETING: AF/AD/TOR

Action Document (Example 1): The rule of Law, North Macedonia

	OUTPUT	OBJECTIVELY VERIFIABLE INDICATORS	Baseline (value + year)	Milestones 2021	Target 2027	SOURCE OF VERIFICATION	ASSESSMENT
1	1. Improved independence, accountability, quality and effectiveness of the justice system	Number of judges and prosecutors benefiting from EU support (courses for the different countries and law e-learning)	0 (2017)	> 5000	10000	EU Report and national data	There is strong support on behalf of the national players to cooperate with EU Member state peers and adopt and apply the EU practice and standards. The country allocates the necessary human, financial and other resources to ensure the
2	2. Stronger capacity to effectively implement modern investigation techniques in fighting organised crime, terrorism and corruption	Number of police institutional and operational training courses and organized crime (serious investigation, cyber-related crimes, cross-border)	0 (2018)	At least 7	10	EU Report and national data	There is strong support on behalf of the national players to cooperate with EU Member state peers and adopt and apply the EU practice and standards. The country allocates the necessary human, financial and other resources to ensure the
3	3. Improved enforcement record in curbing corruption	Number of cases opened in ongoing corruption investigations	0 (2018)	At least 7	10	EU Report and national data	There is strong support on behalf of the national players to cooperate with EU Member state peers and adopt and apply the EU practice and standards. The country allocates the necessary human, financial and other resources to ensure the
4	4. Enhanced protection of fundamental rights and stronger uptake of alternative means to detention	Number of persons (police officers, prosecutors, judges, magistrates, social workers) benefited as percentage of population (including watching the radio and TV programmes of the public broadcaster)	0 (2018)	50	100	EU Report and national data	There is strong support on behalf of the national players to cooperate with EU Member state peers and adopt and apply the EU practice and standards. The country allocates the necessary human, financial and other resources to ensure the
5	5. Strengthened freedom of expression	Number of persons (police officers, prosecutors, judges, magistrates, social workers) benefited as percentage of population (including watching the radio and TV programmes of the public broadcaster)	0 (2018)	50	100	EU Report and national data	There is strong support on behalf of the national players to cooperate with EU Member state peers and adopt and apply the EU practice and standards. The country allocates the necessary human, financial and other resources to ensure the

Actions:

- 1) Improvement of the independence, accountability, quality and effectiveness of the justice system
- 2) Strengthening the capacity to effectively implement modern investigation techniques in fighting organised crime, terrorism and corruption
- 3) Improvement of enforcement record in curbing corruption
- 4) Enhancement of the protection of fundamental rights and stronger uptake of alternative means to detention
- 5) Strengthening of the freedom of expression 19.300.000 €



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Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

BUDGETING: INDICATIVE BUDGET (SECTION 4.5.)

Action Document (Example 2): EU for Green Economy, North Macedonia, IPA 2021

I. SYNOPSIS

1.1. Action Summary Table

ACTION IDENTIFICATION	
Title/basic act/ CRIS number/OPSYS number	EU for Green Economy
Zone benefiting from the action/location	Republic of North Macedonia
Programming document	IPA 2021
IPA III Window	WINDOW 4 – COMPETITIVENESS AND INCLUSIVE GROWTH
IPA III Thematic Priority	Thematic Priority 2: Private sector development, trade, research and innovation Thematic Priority 3: Agriculture and Rural Development
SECTOR INFORMATION	
Sustainable Development Goals (SDGs)	<input type="checkbox"/> SDG 08 - Decent Work and Economic Growth <input type="checkbox"/> SDG 09 - Industry, Innovation and Infrastructure <input type="checkbox"/> SDG 10 - Reduced Inequality <input type="checkbox"/> SDG 11 - Sustainable Cities and Communities <input type="checkbox"/> SDG 12 - Responsible Consumption and Production <input type="checkbox"/> SDG 13 - Climate Action <input type="checkbox"/> SDG 17 - Partnerships to achieve the Goal
Sector of intervention/ thematic area	Private sector development Innovation Agriculture and rural development Environment Protection
DAC code(s)	25010 - Business Policy and Administration 31120 - Agricultural development
BUDGET INFORMATION	
Amounts concerned	
<i>Total budget:</i>	32,500,000 Euro
<i>IPA III funding:</i>	25,000,000 Euro
MANAGEMENT AND IMPLEMENTATION	
Aid modality(ies) and implementation modality(ies)	Direct management

IPA Budget
32.500.000 EUR

IPA III Funding
25.000.000 EUR

4.5. Indicative budget

Implementation modalities (DIRECT MANAGEMENT ONLY)	Type of contract	EU contribution	Indicative third party contribution	TOTAL
PROCUREMENT		7,000,000	500,000	7,500,000
Output 1: Established Greening Business Facility (Activity 1.1: Establishment of "Greening Business" Facility)	Service	2,000,000	0	2,000,000
Output 2: Enhanced cooperation and position of farmers in supply chain (Activity 2.1: Implementation of Common Market Organization (CMO) measures)	Service	700,000	0	700,000
Enhanced cooperation and position of farmers in supply chain (Activity 2.2: Enhancing the self-organisation of farmers in creation and management of small-scale irrigation systems)	Service	650,000	0	650,000
	Works	3,300,000	500,000	3,800,000
	Service (supervision)	300,000	0	300,000
Evaluation	Service	50,000	0	50,000
GRANTS		18,000,000	7,000,000	25,000,000
Output 1: Established Greening Business Facility (Activity 1.2: Investing in green businesses)	Direct Award (FITD)	18,000,000	7,000,000	25,000,000
TOTAL		25,000,000	7,500,000	32,500,000



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Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

BUDGETING: **AF/AD/TOR**

(Practical guide to contract procedures for EU external actions)



The screenshot shows the PRAG website interface. At the top, there is a header with the European Commission logo and the text "INTERNATIONAL COOPERATION AND DEVELOPMENT eContent". Below this is a navigation menu with options like "What's new", "Document", "Annexes", "Download available languages", "Previous versions", "Keywords", "External links", and "Search". A left sidebar contains a table of contents with items: "1. Introduction", "2. Basic rules", "3. Service contracts", "4. Supply contracts", "5. Works contracts", "6. Grants", and "7. List of Annexes". The main content area features a "PRAG Practical Guide" logo, the date "1 August 2020", and a notice: "The English version of the PRAG and its annexes prevails over the other language versions. PRAG 2020 is applicable to procedures where the contract notice / guidelines for applicants have been published as from 1st August 2020."





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Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

BUDGETING: AF/AD/TOR

PRAG: 7. List of Annexes

Service Contracts

- ▶ 1. Introduction
- ▶ 2. Basic rules
- ▶ 3. Service contracts
- ▶ 4. Supply contracts
- ▶ 5. Works contracts
- ▶ 6. Grants
- ▶ 7. List of Annexes**

B8d	Draft contract: General conditions (Annex I)	b8d_annexigc_en.pdf
B8e	Draft contract: Terms of reference Fee-based (Annex II)	b8e_annexiitorfee_en.docx
B8f	Draft contract: Terms of reference Global (Annex II)	b8f_annexiitorglobal_en.docx
B8g	Draft contract: Organisation & methodology (Annex III)	b8g_annexiiiom_en.docx
B8h	Draft contract: List and CVs of key experts (Annex IV)	b8h_annexivexperts_en.xlsx
B8i	Draft contract: Budget (Annex V)	
B8i1	Budget for a global-price contract	b8i1_annexvbudgetglobal_en.docx
B8i2	Budget breakdown for a fee-based contract	b8i2_annexvbudgetfee_en.xlsx
B8j	Draft contract: Forms and other relevant documents (Annex VI)	
B8j1	Bank account notification form	b8j1_annexvifif_en.pdf

<https://ec.europa.eu/europeaid/prag/document.do?isAnnexes=true>



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Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

BUDGETING: AF/AD/TOR

Budget Template for Service Contracts (Fee-based): Prag Annex Bi2

	Notes	Estimated number of working days	Fee rate [EUR] [<ISO code of NC>] per working day	Amount
				[EUR] [<ISO code of NC>]
FEES (including overheads):	1			
<i>Key experts</i>	2,4			
- Team leader				0,00
[- Senior experts]				0,00
[- Junior experts]				0,00
[- <Other> expert]				0,00
				0,00
				0,00
				0,00
<i>Non key experts</i>	3,4			0,00
[- Senior experts]				0,00
[- Junior experts]				0,00
[- <Other> expert]				0,00
				0,00
				0,00
				0,00
Total fees (including overheads)				0,00
PROVISION FOR INCIDENTAL EXPENDITURE:	5			
[LUMP SUMS	6			
- Activity 1				0,00
[- Activity 2]				0,00
[- Activity 3]				0,00
[- Activity 4]]				0,00
PROVISION FOR EXPENDITURE VERIFICATION	7			
MAXIMUM CONTRACT VALUE				0,00



Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

BUDGETING: **AF/AD/TOR**

Budget Template for Service Contracts (Global Price): Prag Annex Bi1)

ANNEX V: BUDGET

Global price: [EUR] or [<ISO code of national currency> for indirect management only] <amount>

[Option 1: Please include a price breakdown based on the outputs/deliverables in the terms of reference.]

[Option 2: The above amount must not be broken down further.]

<https://ec.europa.eu/europeaid/prag/document.do?isAnnexes=true>



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Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

BUDGETING: AF/AD/TOR

Currency Conversion

European Commission

English

Search

Home > Funding, Tenders > How EU funding works > Information for contractors and beneficiaries > Exchange rate (InforEuro)

Exchange rate (InforEuro)

InforEuro provides the European Commission's official monthly accounting rates for the euro, the corresponding conversion rates for other currencies and historic conversion rates from 1994.

This static currency converter provides the European Commission's official monthly accounting rate for the euro and the conversion rates as established by the Accounting Officer of the European Commission in line with article 19 of the Financial Regulation.

These rates are used to calculate amounts for the reimbursement of expenses, travel or subsistence costs for external people participating in meetings, interviews etc. at the request of the European Commission.

The converter also allows general users to get monthly currency conversion rates, from the current month back to 1994.

The rates indicated are the market rates for the second to last day of the previous month as quoted by the [European Central Bank](#) or, depending on availability, provided by the delegations or other appropriate sources close to that date.

InforEuro provides rates for current and old currencies for countries both inside and outside the European Union. For each currency, the converter provides the historic rates of conversion against the euro (or, until December 1998, against the ecu). These exchange rates are available in electronic format from March 1994 in the form of downloadable files.

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Contact us for further information: tresorero@ec.europa.eu

[More information on the euro](#)

INFOREURO

Monthly accounting rate of the euro

List of countries | List of currencies | More about InforEuro | Webservices

Monthly rates

2020 | 9

Direct access by currency (ISO code) or by country (geonomenclature)

CURRENCY CONVERTER

Year: 2020 | Month: 9

Amount: 1

From: TRY (Turkish lira)

To: EUR (Euro)

1 TRY = 0.11471 EUR

Please note that the converted value is rounded after the 5th decimal.

https://ec.europa.eu/info/funding-tenders/how-eu-funding-works/information-contractors-and-beneficiaries/exchange-rate-inforeuro_en



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Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

GROUP WORK

- 1. In your groups, please complete the Budget Exercise provided as hand-outs**
- 2. Feedback to plenary**



Time envisaged for the work is 20 minutes





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A FEW FINAL REMARKS FROM A COMPARATIVE PERSPECTIVE

The image displays four overlapping covers of IPA Instruments for Pre-accession Assistance (IPA II) from 2014-2020. Each cover includes the EU flag logo, the instrument title, the beneficiary country, the sector, and a brief 'Action summary'.

- TURKEY:** Instrument for Pre-accession Assistance (IPA II) 2014-2020. Sector: Judiciary.
- SERBIA:** Instrument for Pre-accession Assistance (IPA II) 2014-2020. Sector: EU Support to the Justice Sector.
- MONTENEGRO:** Instrument for Pre-accession Assistance (IPA II) 2014-2020. Sector: Capacity Building and Targeted Activities for Sector Development & Climate Action.
- REPUBLIC OF NORTH MACEDONIA:** Instrument for Pre-accession Assistance (IPA II) 2014-2020. Sector: EU for Rule of Law.

Each cover also features a colorful graphic of overlapping circles in various colors (red, blue, green, yellow) and a small text box containing an 'Action summary'.



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Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

MONTENEGRO – CAPACITY DEV. & ACQUIS ALIGNMENT IN ENVIRONMENT & CLIMATE



DESCRIPTION OF ACTIVITIES

Activities linked to R1: Capacity building: Improved Administrative Capacity for the Environment and Climate Action Sectors

Activity 1.1. Establishment of a financial mechanism for the functioning of "Eco Fund"

Under this activity, assistance will be provided to support Montenegro to design and set-up an Eco-fund, that would operate on the polluter/user pays principle, gathering revenues from billing/taxation (water, soil, air pollution, waste disposal, fuel, new cars, etc.) and would contribute to the financial sustainability of the Environmental management system. The Eco Fund will follow the rules and principles of budget transparency and accountability, and would use financial mechanisms such as soft loans and guarantees and grants (non-repayable subsidies) to support environmental investments.

An Affordability Study at National and Regional (North/Centre/Coast) level will be carried out so as to provide much needed affordability references and benchmarks; The concepts of "Territorial Solidarity" with uniform tariffs trough out Montenegro, "Maximum Affordable Tariffs" and "Full Cost Recovery Tariffs" will be established clearly as reference parameters for project evaluation and the setting of tariffs.

...

Activities linked to R2: Environmental and Climate Action EU Acquis Transposition: National legislation aligned with EU acquis for Environment and Climate Action

Activity 2.1. Supporting the EU Acquis Transposition process for environment and climate action legislation

Under this Activity, IPA support will be used for identifying inconsistencies and conflicts in the legislative framework and will support the transposition process for the legislation described by NEAS. However, it is expected that following an "abridge" procedure, many of those legal acts will be adopted before the effective commencement of this Action Document (i.e. using national resources or TA/EX). Consequently, IPA technical assistance will target the remaining pieces of legislation, including second-level legislation (implementing acts) that have not been transposed at the time of start of implementation of this Action. This activity will also be designed as a coaching/training framework to help establish in-house capacity for legislation preparation.

Activities linked to R3: Environment and Climate Action Planning and Policy Design: Project

National Environmental Approximation Strategy





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IPA II BENEFICIARIES – EU INTEGRATION FUND...



DESCRIPTION OF ACTIVITIES

Component 1: EU Integration Facility

The activities and the tasks will serve the purpose of supporting *acquis* chapters through creation of an EU Integration Facility for the unspecified institution building needs (training, technical assistance, grants, etc.) and support for the relevant EU networks, through the implementation of a small number of accession-related actions in order to meet specific and urgent needs in the region.

The support will be provided in cases where an initial proposal is considered to correspond to a priority for IPA II financial assistance, (justified in terms of short or medium term priorities; and relevant strategic documents), but where further efforts are needed to design and appraise mature actions, ready for implementation under the upcoming IPA II financial assistance action programme.

At this stage the following interventions in the field of anti-corruption and maladministration are identified:

As concerns the fight against corruption the national anti-corruption agencies, the prosecutors, investigators, but also the academia, think tanks and civil society will need to develop platforms for engagement. The Regional Anti-corruption Initiative (RAI) is to lead regional cooperation in order to support anticorruption efforts by providing a common platform for discussions through sharing knowledge and best

...

Other activities, not yet fully identified could include:

- Provision of short term technical expert assistance, such as drafting the tender documents and/or terms of reference and technical specifications for the implementation of IPA II funded actions;
- Feasibility studies, assessments, and other preparatory and start-up actions;
- Visibility for multi-country activities;
- Provision of training to relevant authorities;
- Monitoring and if applicable evaluation of multi-country actions during or following the implementation;
- Support to regional networks by and, amongst others, organisation of regional meetings, workshops, study visits in strategically important areas;



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TURKEY – SERBIA – NORTH MACEDONIA ADS

- **Examples reflecting differences in approaches**

- Turkey: Much specifically identified activities

- *Training of 1.500 Judges and Prosecutors on the Fight Against Discrimination*
- *Organisation of 5 study tours to EU countries and EU Council with 50 participants*
- *Preparation of a vocational training curriculum for notaries: Pre-profession and on-the-job*

- Serbia – Macedonia: Much generally identified activities

Serbia: Activities to reduce accumulated case files

Macedonia: Strengthening the Capacity of the Academy of Judges and Prosecutors

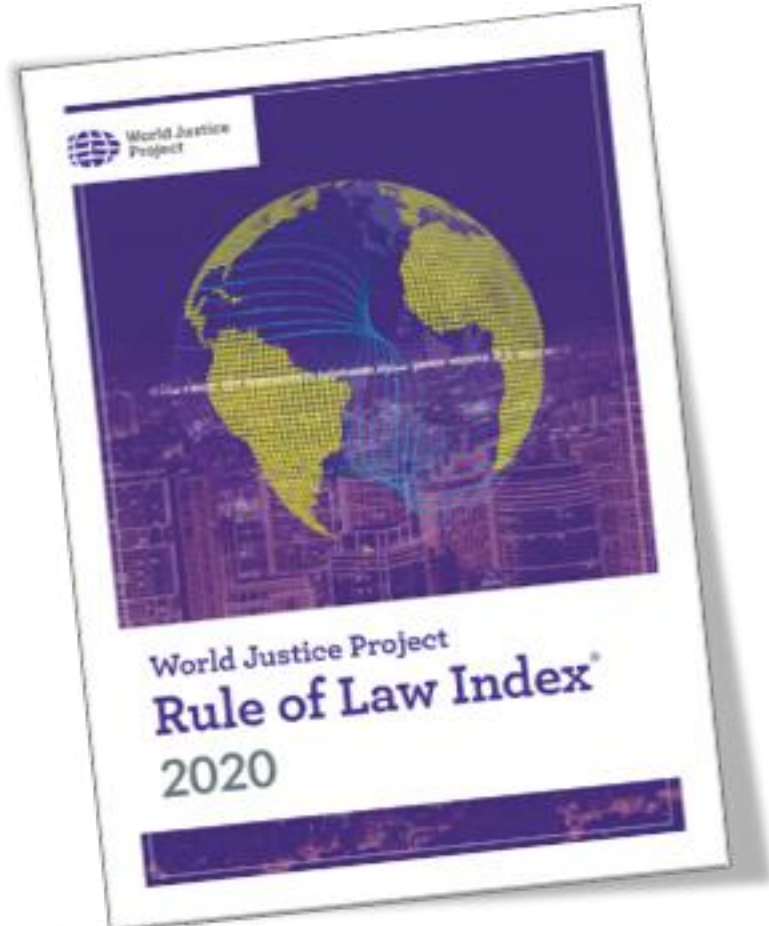
Improving the mechanisms of monitoring and administration of judicial reforms



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AD (STRATEGIC INDICATORS – WJP, NGO @ WASHINGTON/USA)



Turkey

The scores range from 0 to 1, where 1 signifies the highest possible score and 0 signifies the lowest possible score.

Overall Score	Regional Rank	Income Rank	Global Rank
0.43	14/14	40/42	107/128

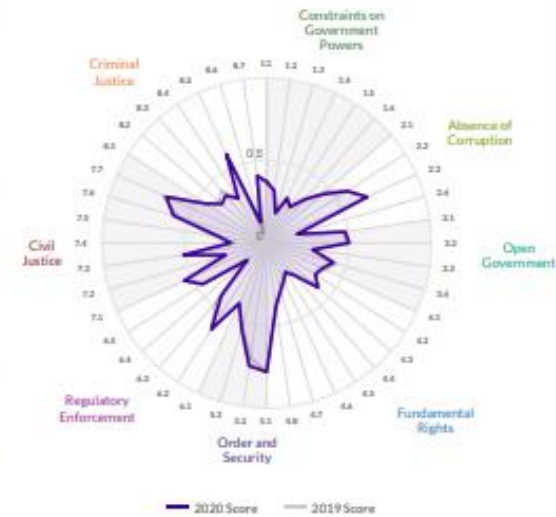
Score Change	Rank Change
0.00	3▲

Factor	Score	Score Change	Regional Rank	Income Rank	Global Rank
Constraints on Government Powers	0.30	0.01	14/14	41/42	124/128
Absence of Corruption	0.47	-0.01	4/14	20/42	60/128
Open Government	0.42	0.00	12/14	35/42	97/128
Fundamental Rights	0.32	0.00	14/14	39/42	123/128
Order and Security	0.69	0.02	13/14	26/42	77/128
Regulatory Enforcement	0.41	-0.01	14/14	41/42	110/128
Civil Justice	0.44	0.00	14/14	38/42	103/128
Criminal Justice	0.38	0.00	10/14	30/42	85/128

* Indicates statistically significant change at the 10 percent level

Legend: Turkey (dark blue), Eastern Europe & Central Asia (orange), Upper Middle (green)

Region: Eastern Europe & Central Asia
Income Group: Upper Middle





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Strengthening of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds During the Third Period (2021-2027)

AD (STRATEGIC INDICATORS – WEF, GLOBAL COMPETITIVENESS INDEX)



ENABLING ENVIRONMENT <small>(not used in calculations)</small>	
Pillar 1: Institutions	8.3%
A. Security	14.3%
1.01 Business costs of organized crime	
1.02 Homicide rate	
1.03 Terrorism incidence	
1.04 Reliability of police services	
B. Social capital	14.3%
1.05 Social capital	
C. Checks and balances	14.3%
1.06 Budget transparency	
1.07 Judicial independence	
1.08 Efficiency of legal framework in challenging regulators	
1.09 Freedom of the press	
D. Public-sector performance	14.3%
1.10 Burden of government regulation	
1.11 Efficiency of legal framework in settling disputes	
1.12 E-Participation	
1.13 Future orientation of government	
E. Transparency	14.3%
1.14 Incidence of corruption	
F. Property rights	14.3%
1.15 Property rights	
1.16 Intellectual property protection	
1.17 Quality of land administration	
G. Corporate governance	14.3%
1.18 Strength of auditing and accounting standards	
1.19 Conflict of interest regulation	
1.20 Shareholder governance	
Pillar 2: Infrastructure	8.3%
A. Transport infrastructure	25%
I. Road	25%
2.01 Quality of road network	
2.02 Quality of road infrastructure	
II. Rail	25%
2.03 Railroad density	
2.04 Efficiency of train services	
III. Air	25%
2.05 Airport connectivity	
2.06 Efficiency of air transport services	
IV. Sea	25%
2.07 Liner shipping connectivity ²	
2.08 Efficiency of seaport services	
B. Utility infrastructure	50%
I. Electricity	50%
2.09 Electricity access	
2.10 Electricity quality	
II. Water	50%
2.11 Exposure to unsafe drinking water	
2.12 Reliability of water supply	
Pillar 3: ICT adoption	8.3%
3.01 Mobile-cellular telephone subscriptions	
3.02 Mobile-broadband subscriptions	
3.03 Fixed-broadband internet subscriptions	
3.04 Fixed internet subscriptions	
3.05 Internet users	
Pillar 4: Macroeconomic stability	8.3%
4.01 Inflation	
4.02 Debt dynamics	

HUMAN CAPITAL <small>(not used in calculations)</small>	
Pillar 5: Health	8.3%
5.01 Healthy life expectancy	
Pillar 6: Skills	8.3%
A. Current workforce	50%
I. Education of current workforce	50%
6.01 Mean years of schooling	
II. Skills of current workforce	50%
6.02 Extent of staff training	
6.03 Quality of vocational training	
6.04 Skillset of graduates	
6.05 Digital skills among active population	
6.06 Ease of finding skilled employees	
B. Future workforce	50%
I. Education of future workforce	50%
6.07 School life expectancy	
II. Skills of future workforce	50%
6.08 Critical thinking in teaching	
6.09 Pupil-to-teacher ratio in primary education	
MARKETS <small>(not used in calculations)</small>	
Pillar 7: Product market	8.3%
A. Domestic market competition	50%
7.01 Distortive effect of taxes and subsidies on competition	
7.02 Extent of market dominance	
7.03 Competition in services	
B. Trade openness	50%
7.04 Prevalence of non-tariff barriers	
7.05 Trade tariffs	
7.06 Complexity of tariffs	
7.07 Border clearance efficiency	
7.08 Service trade openness	
Pillar 8: Labour market	8.3%
A. Flexibility	50%
8.01 Redundancy costs	
8.02 Hiring and firing practices	
8.03 Cooperation in labour-employer relations	
8.04 Flexibility of wage determination	
8.05 Active labour policies	
8.06 Workers' rights	
8.07 Ease of hiring foreign labour	
8.08 Internal labour mobility	
B. Meritocracy and incentivization	50%
8.09 Reliance on professional management	
8.10 Pay and productivity	
8.11 Female participation in labour force	
8.12 Labour tax rate	

Pillar 9: Financial system	8.3%
A. Depth	50%
9.01 Domestic credit to private sector	
9.02 Financing of SMEs	
9.03 Venture capital availability	
9.04 Market capitalization	
9.05 Insurance premiums	
B. Stability	50%
9.06 Soundness of banks	
9.07 Non-performing loans	
9.08 Credit gap	
9.09 Banks' regulatory capital ratio	
Pillar 10: Market size	8.3%
10.01 Gross domestic product	
10.02 Imports of goods and services	

INNOVATION ECOSYSTEM <small>(not used in calculations)</small>	
Pillar 11: Business dynamism	8.3%
A. Administrative requirements	50%
11.01 Cost of starting a business	
11.02 Time to start a business	
11.03 Insolvency recovery rate	
11.04 Insolvency regulatory framework	
B. Entrepreneurial culture	50%
11.05 Attitudes toward entrepreneurial risk	
11.06 Willingness to delegate authority	
11.07 Growth of innovative companies	
11.08 Companies embracing disruptive ideas	

Pillar 12: Innovation capability	8.3%
A. Interaction and diversity	
12.01 Diversity of workforce	
12.02 State of cluster development	
12.03 International co-inventions	
12.04 Multistakeholder collaboration	
B. Research and development	
12.05 Scientific publications	
12.06 Patent applications	
12.07 R&D expenditures	
12.08 Research institutions prominence index	
C. Commercialization	
12.09 Buyer sophistication	
12.10 Trademark applications	



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Thank you very much!

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