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**ANNEX V**

of the Commission Implementing Decision on the Annual Action Plan in favour of Türkiye for 2022

**Action Document for Results Oriented Monitoring in Türkiye – Phase IV**

**ANNUAL ACTION PLAN**

This document constitutes the annual 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 9 of IPA III Regulation and Article 23 of NDICI - Global Europe Regulation.

**1. SYNOPSIS**

**1.1. Action Summary Table**

<b>Title</b>	Results Oriented Monitoring in Türkiye – Phase IV Annual action plan in favour of Türkiye for 2022
<b>OPSYS</b>	ACT-60830 JAD.981.448
<b>Basic Act</b>	Financed under the Instrument for Pre-accession Assistance (IPA III)
<b>Team Europe Initiative</b>	No
<b>Zone benefiting from the action</b>	The action shall be carried out in the Republic of Türkiye
<b>Programming document</b>	IPA III Programming Framework <sup>1</sup>
<b>PRIORITY AREAS AND SECTOR INFORMATION</b>	
<b>Window and thematic priority</b>	Window 2: Good Governance, Acquis Alignment, Good Neighbourly Relations and Strategic Communication Thematic Priority 4: Strategic communication, monitoring, evaluation and communication activities
<b>Sustainable Development Goals (SDGs)</b>	Main SDG (1 only): Goal 17: Partnerships for the goals (Targets: 17.19) Other significant SDGs and where appropriate, targets: Goal 8: Decent work and economic growth (Target: 8.3)
<b>DAC code(s)</b>	15110 - Public sector policy and administrative management - 60% 15127 - National monitoring and evaluation - 30% 16062 – Statistical capacity building - 10%

<sup>1</sup> Commission Implementing Decision of 10.12.2021 adopting the Instrument for Pre-Accession Assistance (IPA III) Programming Framework for the period 2021-2027 C(2021) 8914 final

<b>Main Delivery Channel</b>	Central Government - 12001			
<b>Markers (from DAC form)</b>	<b>General policy objective</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Principal objective</b>
	Participation development/good governance	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	Aid to environment	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Gender equality and women's and girl's empowerment	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Trade development	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Reproductive, maternal, new-born and child health	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Disaster Risk Reduction	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Inclusion of persons with Disabilities	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Nutrition	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<b>RIO Convention markers</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Principal objective</b>
	Biological diversity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change adaptation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Internal markers</b>	<b>Policy objectives</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Principal objective</b>
	Connectivity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Digitalisation	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Migration	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Covid-19	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>BUDGET INFORMATION</b>				
<b>Amounts concerned</b>	Budget line: 15.020101.01 Total estimated cost: EUR 2 750 000 Total amount of EU budget contribution EUR 2 750 000 of which EUR 2 750 000 for indirect management with IPA III beneficiary			
<b>MANAGEMENT AND IMPLEMENTATION</b>				
<b>Implementation modalities (type of financing and management mode)</b>	Project Modality <b>Indirect management</b> with the Republic of Türkiye			

<b>Final Date for conclusion of Financing Agreement</b>	At the latest by 31 December 2023
<b>Final date for concluding contribution / delegation agreements, procurement and grant contracts</b>	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
<b>Indicative operational implementation period</b>	72 months following the conclusion of the Financing Agreement
<b>Final date for implementing the Financing Agreement</b>	12 years following the conclusion of the Financing Agreement

## 1.2. Summary of the Action

The Results Oriented Monitoring (ROM) will continue to play a major role to ensure monitoring and reporting of the management of EU funds during the IPA III period. Monitoring can be key in guaranteeing the efficient use of the funds provided, however the needed capacity in relevant Turkish institutions has not yet been fully attained, particularly in terms of ROM systems. It is then deemed crucial to enhance and fully equip relevant institutions in their ROM capacities. To this end, the action was devised to support the development of the ROM tool and develop capacities to ultimately ensure efficient and effective use of IPA assistance in Türkiye by strengthening design, monitoring and evaluation systems. The action has the following specific objectives: i) to improve the design and implementation of IPA assistance in Türkiye; ii) to improve the visibility and public perception of IPA assistance by promoting results and achievements of IPA projects.

This action directly contributes to achieving the specific objective of IPA III support for the 4th thematic priority (TP) of Window 2 defined under the IPA III Programming Framework since it aims at better monitoring, analysis and reporting of results obtained from the EU funded interventions in Türkiye, thus revealing the developments regarding the EU accession process, as well as the benefits and implications of the process for Turkish citizens.

Regarding the link with SDG 17, the action contributes to achieving its two targets (no. 19 and 9) by building on existing initiatives to develop measurements of progress on sustainable development and support statistical capacity-building (target 17.19) and by enhancing international support for implementing effective and targeted capacity-building to support national plans to implement all the sustainable development goals (target 17.9). Furthermore, the action is also supportive of SDG 8 since it promotes development-oriented policies that support productive activities (target 8.3).

## 2. RATIONALE

### 2.1. Context

The IPA is the main financial instrument through which the EU supports reforms in the enlargement countries. In the enlargement region, Türkiye was the top beneficiary country of the EU aid by receiving EUR 4.58 billion of the approximately EUR 11.5 billion of IPA I (2007-2013) allocations and EUR 3.5 billion of the approximately EUR 11.7 billion of IPA II (2014-2020) allocations.

IPA funding in Türkiye has been mostly implemented under the indirect management modality by the entrusted Turkish institutions. The current IPA implementation system and structures have been embedded in the Turkish legislation through the Presidential Circular No. 2019/20, published on the Official Gazette dated 4 October 2019 and numbered 30908, which lays down the institutional framework of IPA entities. The Presidential Circular determines the public administrations responsible for the management and control of the funds provided by the EU under IPA. The funds are utilised in accordance with the terms defined under the agreements concluded between Türkiye and the EU and within the framework of effective administrative and financial management principles. The Circular includes provisions on how to regulate the relations and the coordination among these responsible public administrations.

Being a major source of development aid globally, the EU is committed to improving the effectiveness of aid and development which requires a well-functioning management system. To this end, as a useful decentralised tool to support the management of the EU external actions, ROM functions as the external monitoring system of the European Commission's Directorate-General for International Partnerships (DG INTPA) and Directorate-General for Neighbourhood Policy and Enlargement Negotiations (DG NEAR). Targeting to enhance the European Commission's (EC) internal control, accountability and management capacity with a strong focus on results, the ROM system assists DG INTPA and DG NEAR Headquarters as well as EU Delegations in their internal monitoring and reporting functions, through independent and external services provided at different moments during the project cycle<sup>2</sup>.

ROM is implemented in accordance with the EC ROM Handbook (latest revision dated December 2020) and focuses on the results and achievements in order to evaluate the effectiveness and performance of actions in line with the EC Results Framework. In Türkiye, under the indirect management mode with the beneficiary country (IMBC), ROM has been implemented through 3 successive Technical Assistance projects (TA for ROM in Türkiye Phase I, II and III projects, covering the period from 2011 up to present) under the coordination of the National IPA Coordinator (NIPAC) office since its first introduction in 2011. In line with its role and responsibility of monitoring the IPA assistance, NIPAC coordinates and performs ROM reviews where necessary.

Ensuring public support for the EU values, policies and reforms required by the accession process is quite important for Türkiye and the EU. In the IPA III period, this is also reflected through the specific objective defined by the Commission under TP 4 of the Window 2. Furthermore, under the same priority, it is reported that financing would also be provided for support measures for the implementation, monitoring, audit and evaluation of IPA III Programmes. In order to achieve such objective; better monitoring, analysis and reporting of the results obtained from the EU funded interventions are required to be able to communicate the developments regarding the EU accession process in Türkiye, as well as the benefits and implications of the process for Turkish citizens.

Within the IPA III Strategic Response of Türkiye dated 18/11/2021, the Thematic Priority 4 under Window 2 is about Strategic Communication, Monitoring and Evaluation and Communication and refers to bilateral exchange between Türkiye and EC in the context of promoting EU values, including cross-cutting issues and the use of monitoring and evaluation tools. Türkiye's strategic document and hands-on practices within this Window correspond to two IPA III specific objectives focusing on: (i) the reinforcement of the effectiveness of public administration and (ii) support transparency, structural reforms, judicial independence, fight against

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<sup>2</sup> The ROM Handbook 2020 (v.6.2), p.9, <https://europa.eu/capacity4dev/rom/documents/rom-handbook-v-62-december-2020>

corruption and good governance at all levels, including in the field of public procurement, state-aid, competition, foreign investments and intellectual property (this objective also intersects with part of Window 1 contents).

The 2020 EU Enlargement Strategy states that public administration reform, which includes increased transparency, accountability and sound public financial management, is essential for improving governance at all levels. Overall, existing Turkish policy papers and documents including the 11<sup>th</sup> National Development Plan (2019-2023), the New Economy Programme (2021-2023), the Pre-Accession Economic Reform Program (ERP) (2021-2023) include measures for contributing to better governance (internal monitoring, evaluation and control frameworks/systems, more efficient public service delivery and administrative structure), increased accountability and transparency, programme-based performance budgeting and improved statistics for national accounts indicators. The ERP 2021-2023 also contains measures to address the improvement of data collection processes and increasing the capacity of evaluation in agricultural statistics.

In the Commission's 2021 Country report on Türkiye, under *Chapter 22: Regional policy and coordination of structural investments*, it is reported that limited progress was achieved on monitoring and evaluation, despite the steps taken for improving the project implementation, data analysis and overall monitoring capacity. Thus, Türkiye is advised to continue with the implementation of the action plan established by the NIPAC, National Authorising Officer (NAO) and Audit Authority (AA) in order to strengthen the monitoring activities concerning the implementation of sector operational programmes and prioritisation of actions as well as improve the overall performance in managing EU funds.

Since this action ultimately aims at ensuring efficient and effective use of IPA assistance in Türkiye by improving the performance of interventions through strengthening design, monitoring and evaluation systems, it is fully coherent with and will contribute to the national and EU policies and measures briefed above.

## **2.2. Problem Analysis**

Although monitoring is the key for efficient use of the funds provided, particularly within the scope of IPA, the desired capacity in relevant Turkish institutions has not yet been fully set up, in particular with regard to the updated ROM system. ROM has been implemented in Türkiye through three successive TA projects since 2011. Although the outcomes of the previous projects show significant improvements in almost all areas, there are still some issues identified especially in terms of result orientation, quality of logframes and indicators, cooperation and coordination with co beneficiaries and other stakeholders, internal monitoring arrangements, involvement of stakeholders like CSOs and private sector in actions at design stage, lack of gender segregated data collection, lack of exit strategies with a view to sustainability. Therefore, establishing an enhanced and well-structured ROM capacity is still deemed crucial for the fulfilment of smooth implementation properly. To this end, the action was devised as a supportive tool to develop such capacity and ultimately targets to ensure efficient and effective use of IPA assistance in Türkiye by improving the performance of interventions through strengthening design, monitoring and evaluation systems.

In order to be able to achieve the said ultimate target/overall objective, the action intends to deliver support in the following areas:

### **Strengthening the performance assessment of IPA projects/actions**

Monitoring systems are aimed at measuring progress on results, and ultimately at reporting on the latter, whether internally, for management and learning purposes, or externally for accountability and communication purposes. Reporting on results is a periodic exercise aimed at collecting, verifying, aggregating and presenting information on results using a results framework.

In this general context, external monitoring in the practice of the external relations at the Commission, ROM as a key tool in Project Cycle Management, is designed to measure the overall performance of projects and programmes funded by the EU. ROM has been implemented in Türkiye since 2011 and all parties have acknowledged its value in improving the overall implementation of IPA assistance.

Türkiye has been implementing IPA through IMBC for quite a long time, which resulted in a functional programming, monitoring and evaluation system run by experienced staff in all institutions involved.

However, as in all organisations there are still some room for improvement. Throughout the three previous phases of ROM projects, in addition to the ROM reports, several outputs were prepared in order to assess the overall performance of IPA assistance in Türkiye. The project specific findings are regularly brought to the attention of the Project Steering Committee meetings whereas the overall, generalised findings were presented during the IPA Monitoring Committee and Sectoral Monitoring Committee meetings to the broader audience. NIPAC staff ensures the follow-up of these findings through regular contacts with project stakeholders and also high level interventions, where necessary.

The experience gained from the previous phases show that ROM is a very valuable tool in order to assess the overall performance of IPA. Therefore it is of critical importance to continue the ROM support throughout the next IPA III period.

The envisaged Action will foster beneficiaries' adaptation to the updated ROM system by providing ROM missions to ongoing and ex-post interventions in line with the instructions provided in the latest EC ROM Handbook, by updating the existing management information system (ROMIS-TR) accordingly, and through workshops. In doing so, the action will contribute to improving the objective and impartial assessment of interventions' performances and to the further development of the existing ROM system in Türkiye.

### **Strengthening the coherence of individual IPA projects/actions**

As reported by the EC<sup>3</sup>, ROM missions of the past have continuously emphasised the weaknesses in the coherence of individual projects/actions. Therefore, in order to improve the development and formulation of intervention logics, and of their correspondent logframes, as well as monitoring, reporting and evaluation systems for EU-funded interventions, the EC has expanded the ROM services to include the new service of "support for designing logframes and monitoring systems for interventions (contracts)" since 2019. The scope of this new service covers the following three elements: i) support for designing logframes, ii) support for the definition of monitoring and evaluation (M&E) systems, and iii) support for the definition of reporting systems. Adding on to this new service in terms of identifying the weaknesses in the coherence of individual projects/actions, collection of the results data is of critical importance since it sheds light on the results achieved from a sample of ongoing projects/actions and hence, allows drawing conclusions regarding the coherence of sampled projects/actions.

The Action intends to support relevant Turkish institutions (NIPAC, Lead Institutions (LIs) /Operating Structures (Oss)) by providing support for designing logframes and monitoring as well as to results data collection with the aim of strengthening the coherence of individual projects/actions funded under IPA assistance in Türkiye. Furthermore, it will contribute to the alignment of ROM services provided in Türkiye with the novelties and new requirements of the ROM system initiated by the EU.

### **Strengthening the monitoring, evaluation and reporting capacities of Turkish institutions and dissemination of results achieved under IPA assistance**

The Commission's 2021 Country report on Türkiye, under *Chapter 22: Regional policy and coordination of structural investments*, informs that limited progress was achieved on monitoring and evaluation in Türkiye, despite the steps taken for improving the project implementation, data analysis and overall monitoring capacity. Thus, Türkiye was advised to continue with the implementation of the action plan established by National IPA Coordinator (NIPAC, National Authorising Officer (NAO) and Audit Authority (AA) in order to strengthen the monitoring activities concerning the implementation of sector operational programmes and prioritisation of actions as well as improve the overall performance in managing EU funds. Furthermore, Turkish institutions undertaking or undergoing ROM missions still have not developed required capacities in response to new requirements of the updated ROM system of the EU.

The envisaged Action will remedy the capacity development needs of Turkish institutions on monitoring, evaluation and reporting issues of projects/actions funded under IPA assistance in line with the updated ROM system of the EU as well as improve the visibility and public perception of IPA assistance by promoting the

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<sup>3</sup> The ROM Handbook 2020 (v.6.2), p.92-94, <https://europa.eu/capacity4dev/rom/documents/rom-handbook-v-62-december-2020>

results and achievements created by IPA projects/actions under various sectors. The Action also fosters the new approach of NIPAC initiated in 2020 which entails the following five main pillars:

- Adopting a performance-oriented approach in implementation
- Swiftly initiating the IPA III implementation in an efficient manner
- Adopting a joint and cooperative approach to awareness raising and communication activities in IPA
- Increasing the impact of financial cooperation on national policy making with result-oriented approach and close monitoring.
- Increasing the ownership & capacity of the authorities and improving the number and quality of applications with holistic and strategic approach between Union Programmes & IPA.

Under the ongoing TA project of NIPAC office, titled “*TA for the Establishment of an Integrated Strategic Approach to Increase Efficiency and Productivity of IPA Funds during the period 2021-2027*”, there is already an activity in order to establish a methodology to report more achievement of results under the IPA projects. In this manner, the methodology to be developed is expected to include information on how to put in place a sustained and continuous drive to collect and use data for systematic demonstration of results of interventions. The activities to be implemented under this project are expected to be complementary to this methodology.

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

NIPAC is the institution responsible for taking measures to ensure effective overall coordination of monitoring, evaluation and reporting of IPA assistance.

In executing its monitoring functions, the NIPAC and its Secretariat work in close coordination with the NAO and its management structure. The NAO is responsible for the financial management of IPA assistance and for ensuring the legality and regularity of the systems for monitoring and evaluation as well. The OSs are responsible for the monitoring and reporting of programmes, and their evaluation. While for the annual programmes, the Lead Institutions (LIs) have the main responsibility for monitoring and evaluation, for the multi-annual programmes, the OSs have established monitoring and evaluation units, responsible for monitoring of the programmes’ performance, collection of data on indicators, planning, steering and providing follow-up of the evaluations. Unlike NIPAC and NAO, the OSs no longer exist in the IPA III Programming Period. Instead, Managing Authorities (MAs) and Intermediate Bodies identified by MAs to carry out the tasks of policy and financial management under their responsibility will assume the role of OSs and the LIs<sup>4</sup>. Accordingly, the MAs 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 IPA Monitoring Committee is responsible for ensuring the overall effectiveness, efficiency, quality, coherence, coordination and compliance of the implementation of all actions towards meeting the objectives set out in the relevant documents on financing, programming and the strategy. Sectoral Monitoring Committees (SMCs), established on a sectoral level in order to review the effectiveness, efficiency, quality, coherence, coordination and compliance of the implementation of the actions in the sector area or programme and their consistency with the relevant national sector strategies, measure progress in relation to achieving the

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<sup>4</sup> According to the Financial Framework Partnership Agreement (Ref. Ares(2021)4427650 – 07/07/2021);

“Article 10(1);

(n) Each Managing Authority may identify one or more Intermediate Bodies to carry out the tasks of policy and financial management under its responsibility.

(o) In case of annual actions supporting several entities, such entities will carry out the tasks of Intermediate Bodies for policy management.

(p) In case of annual actions, when introducing Indirect Management with IPA III beneficiary for the first time, a dedicated central contracting authority will be established as intermediate body under the responsibility of the Ministry of Finance to carry out the tasks of financial management.”

objectives of the actions and their expected outputs, results and impacts by means of indicators related to a baseline situation, as well as progress with regard to financial execution.

### 3. DESCRIPTION OF THE ACTION

#### 3.1. Intervention Logic

The underlying intervention logic for this action is that;

**If** ROM services provided in Türkiye are updated and extended; capacities of Turkish institutions dealing with ROM services are increased and assuming that all relevant parties (including the EC, the Delegation of the European Union to Türkiye (EUD) and the NIPAC) continue to consider necessary to have an external monitoring tool of ROM as part of the existing monitoring structure in Türkiye; annual and multi-annual OSs and other Turkish institutions and beneficiaries accept ROM monitoring as an integral part of the project cycle management and are committed to providing the necessary contribution and information and subsequently act on recommendations and findings; there is efficient collaboration among the line ministries, contracting authorities, the Directorate for EU Affairs of the Ministry of Foreign Affairs (DEUA) and the ROM team **then** these outputs will lead to improvement of design and implementation of IPA assistance in Türkiye (outputs 1 & 2 related to outcome 1).

**and**

**If** results and achievements of IPA Projects are collected and disseminated through different means; **and** all relevant parties including the EC, the EUD and the NIPAC continue to consider necessary to have an external monitoring tool of ROM as part of the existing monitoring structure in Türkiye; annual and multi-annual OSs and other Turkish institutions and beneficiaries accept ROM monitoring as an integral part of the project cycle management and are committed to providing the necessary contribution and information and subsequently act on recommendations and findings; there is efficient collaboration among the line ministries, contracting authorities, DEUA and the ROM team **then** these outputs will lead to the improvement of visibility and public perception of IPA assistance by promoting the results and achievements of IPA projects (output 3 related to outcome 2).

**If** design and implementation of IPA assistance in Türkiye are improved as well as the visibility and public perception of IPA assistance, by promoting the results and achievements of IPA projects, is improved **and** assuming that the financial cooperation between Türkiye and the EU continues with no major changes affecting the roles and responsibilities of the NIPAC and the EU side **then** the Action will contribute to ensure efficient and effective use of IPA assistance in Türkiye by improving the performance of interventions through strengthening design, monitoring and evaluation systems (outcomes 1 and 2 contributing to impact).

#### 3.2. Indicative Activities

Targeting the overall objective of ensuring efficient and effective use of IPA assistance in Türkiye by improving the performance of interventions through strengthening design, monitoring and evaluation systems, this Action intends to implement the following indicative activities:

For Output 1. ROM services provided in Türkiye updated and extended

Activity 1.1. ROM missions: Within the scope of this activity, 2 types of ROM missions will be organised to eligible projects/actions as per the ROM criteria set out in the latest version of the EC ROM Handbook: i) ROM missions to on-going projects/actions of the IPA II and IPA III periods, and ii) a limited number of ex-post ROM missions to projects/actions already completed within the IPA II period where no other evaluation tool is not possible and where a ROM methodology is found relevant.

Activity 1.2. Review and update of manuals: In order to improve the monitoring system of IPA projects/actions in Türkiye and render it more effective in line with the updates introduced by newer versions of the EC ROM Handbooks, support and consultancy will be provided to the Directorate for EU Affairs (DEUA)/NIPAC. In this context, the ROM Handbook for Monitors in Türkiye and existing chapters/section concerning ROM in



the Manual of NIPAC will be updated in line with the most recent ROM methodology introduced by the EU (EC ROM Handbook v.6.2. at the time of writing this AD).

Activity 1.3. Analysis and update of ROMIS-TR: Firstly, the existing structure, functions and capabilities of Results Oriented Monitoring Information System Türkiye (ROMIS-TR)<sup>5</sup> will be analysed, and improvement needs vis-à-vis the requirements brought along by the IPA III assistance and the new ROM methodology will be identified. Then, ROMIS-TR will be modified/ updated/upgraded/rendered functional in line with these improvement needs and requirements.

Activity 1.4. Process improvement workshops and info-sharing meetings: In order to avoid recurrent shortcomings and weaknesses regarding the intervention logics, logframes or results frameworks of projects/actions and to be able to attain better results and more concrete benefits from the EU financial assistance, strategising and reflecting the findings of ROM services to the programming cycle of the next phase and benefitting from these findings in the design and programming of projects/actions is vitally important. To this end, two workshops will be organised to facilitate the exchange of know-how, experience, and lessons learned among the actors and experts dealing with key processes governing the IPA projects/actions: monitoring, programming and implementation.

Following the workshops, separate info-sharing meetings for high level managers of LI/OSs will be organised and serve the purpose of sharing the findings of the workshops with the high-level representatives of 9 LI/OSs, NIPAC, NAO, Central Finance and Contracts Unit (CFCU) and EUD, and initiate discussions to overcome the weaknesses and improve the existing system for management of IPA.

Activity 1.5. Other ROM Services: Support to Logframe and Monitoring Systems: Within the scope of the provision of support to logframe and monitoring systems, indicatively 25 missions for the projects/actions funded under IPA assistance will be conducted.

Activity 1.6. Other ROM Services: Support to Results Data Collection at Institutional and Intervention Level: Results information supports the internal monitoring processes of projects/actions and is also used for accountability, communication and transparency purposes. In this context, indicatively 25 missions will be conducted within the scope of this activity.

Indicative activities related to Output 2. Capacities of Turkish institutions dealing with ROM services increased

Activity 2.1. Development of capacity building curriculum: In order to satisfy the training needs of institutions responsible for the management of IPA funds as well as current and potential beneficiaries of EU funds, a new training system is being built under the coordination of NIPAC. This activity will contribute to development of the curriculum on subjects such as project management, monitoring and evaluation within the scope of this broader training system.

Activity 2.2. Capacity development trainings: The trainings to be delivered to staff of DEUA and OSs will focus on developing the capacities of participating institutions for monitoring, evaluation and reporting.

Activity 2.3. Advanced project management trainings: The purpose of these special trainings is to support the NIPAC Office staff in fulfilling the sector/programme level monitoring tasks in line with the novelties and preparing reports at any desired level based on the data to be obtained from monitoring activities carried out by the OSs and the NIPAC Office.

Activity 2.4. Study visit to a Member State: The main purpose of study visit is to meet and discuss with counterpart institutions how monitoring information gathered is used to improve performance and to feed into

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<sup>5</sup> Operated by DEUA, ROMIS-TR is a standalone, real-time and web-based storage facility for monitoring reports, their annexes, background conclusion sheets, data files and other relevant documentation concerning projects/actions. Only authorized staff of DEUA, CFCU and selected project stakeholders can access the ROMIS-TR database with the usernames and passwords they were given.

the programming process. The study visits will enable the participants to assess best practices and incorporate them into the Turkish model.

Activity 2.5. Experience sharing Study Visit to EC Services: An experience sharing activity focused on EC institutions aiming to improve the hands-on capacity of the DEUA experts will be organised.

Activity 2.6. Update of the e-learning platform: At least 2 new modules will be developed for the e-learning platform of DEUA and existing modules will be updated.

Indicative activities related to Output 3: Results and achievements of IPA Projects will be collected and disseminated through different means.

Activity 3.1. Technical Reports: Thematic and/or sectoral reports embracing the 10 sectors identified under IPA II will be prepared prior to the Sectoral Monitoring Committee (SMC) meetings organised biannually in order to reflect and disseminate the achievements gained under IPA assistance. Additionally, technical reports based on the findings of monitoring activities will be prepared for the high-level decision makers to support them regarding the management of IPA system in Türkiye.

Activity 3.2. ROM Symposium: A ROM Symposium to disseminate information on the experience gained through the delivery of ROM services to a series of projects/actions and the achievements attained in this context will be organised. The symposium will also add to the visibility and promotion of the new ROM methodology, services and the project as a whole by showcasing the findings and results of the ROM services and associated improvements from a comparative perspective by shedding light on the methodological differences and corresponding results achieved in the previous and current periods.

Activity 3.3. IPA projects compendium: A Compendium of IPA projects to assist the awareness raising of general public will be prepared and published. The compendium will provide an overview and achievements of IPA projects implemented in Türkiye, include visuals and descriptions.

Activity 3.4. Videos and publications: Approximately 15 short videos related to the results and outputs of IPA projects/programmes, IPA windows or the whole IPA assistance will be produced and broadcasted through the IPA III TV or any other suitable medium to be coordinated by DEUA. Additionally, info-sheets and short booklets (around 20 in total) will be prepared to contribute to the publicity of results and outputs of the IPA assistance.

### **3.3. Mainstreaming**

#### **Environmental Protection, Climate Change and Biodiversity**

As outlined under 2.2., ROM missions are conducted through assessments taking the following 4 elements into consideration: i) relevance, ii) efficiency, iii) effectiveness, iv) sustainability. Within the scope of “sustainability” assessments; environmental aspects of the projects/actions are analysed and ROM experts try to get answers firstly to the question of whether necessary measures have been taken by the Action to address the environmental sustainability or not. Furthermore, ROM experts analyse to what extent the project/action has considered the likely positive or negative side effects that their actions (may) have on the environment or climate and whether the project/action has designed its actions in such a way that possible negative effects are reduced and possible positive effects may occur, thus increasing the environmental sustainability. Additionally, any linkages between the Action in scope and the Green Economy are reported by the ROM experts. Thus, the ROM system does not only function as a data collection, sharing and control process but also steers the projects to have positive impacts on the environmental dimension.

#### **Gender equality and empowerment of women and girls**

The AD ensures that both women and men can provide inputs, access, and participate in action activities. It will be ensured that sex-disaggregated data is collected regarding project activities and outputs, where applicable, and be presented in the inception/progress/interim/final reports and at Steering Committees and during monitoring missions. In the Logframe, sex-disaggregated indicators will be set, where appropriate.

Within the scope of “Relevance” assessments conducted as part of the ROM missions, if relevant, gender and human-rights based approaches are investigated. The gender approach assessment which applies to all ROM

reviews reveals whether the specific needs, priorities and expectations expressed by women have been properly assessed and whether women have been equally integrated into project activities. Similarly, under the “Sustainability” assessment part of the ROM missions; human and institutional management capacity, economic and financial factors, environmental aspects as well as gender equality issues are analysed as being the main factors of sustainability together with whether the benefits produced would be continued in the long run following the development assistance. Thus, the ROM system does not only function as a data collection, sharing and control process but also steers the projects to have positive impacts on the gender equality and empowerment of women and girls.

As per OECD Gender DAC codes identified in section 1.1, this action is labelled as G1<sup>6</sup>. This implies that gender equality and empowerment of women and girls is one of the significant objectives of the Action.

### Human Rights

Within the scope of “relevance” assessments conducted as part of the ROM missions, if relevant, human-rights based approaches are investigated as well. The human-rights based approach assessment tries to unveil whether the needs, priorities and expectations of target groups at risk of not having a voice or being left behind have been addressed properly by the project activities. Similarly, under the “Sustainability” assessment part of the ROM mission; human and institutional management capacity, economic and financial factors, environmental aspects as well as gender equality issues are analysed as being the main factors of sustainability together with whether the benefits produced would be continued in the long run following the development assistance. Thus, the ROM system does not only function as a data collection and sharing process but also steers the projects to have positive impacts on the economic, social or environmental dimensions.

### 3.4. Risks and Lessons Learned

Category	Risks	Likelihood (High/ Medium/ Low)	Impact (High/ Medium/ Low)	Mitigating measures
Category 2	Risk 1: Delays in the adoption and/or entry into force of the IPA III implementing arrangements (both on regulation and operational level)	Medium	Low	This Action marks the 4 <sup>th</sup> phase of ROM, indicating the level of experience that Türkiye has gained in conducting ROM services. If delays occur regarding the adoption and/or entry into force of the IPA III implementing arrangements, ROM services can be sustained as they are and novelties of the new ROM methodology can be adopted once the arrangements are in effect.
Category 5	Risk 2: Lack of provision of sufficient and timely documentation related to project implementation to the monitors during ROM missions, including clear targets and	Low	High	As explained under the previous risk item above, Türkiye is experienced in delivering ROM services, hence related organisations/ institutions both delivering or undergoing ROM services are already aware of the importance of these services and are used to deliver the required in terms of documentation. Yet, particular emphasis will be placed on obtaining such documentation including clear targets and indicators of achievements during this Action.

<sup>6</sup> Principal objective / significant objective/ not targeted

	indicators of achievements			
Category 1	Risk 3: Outbreak of a new pandemic hampering implementation of some project activities	Low	Medium	In cases where there are limitations on organising some activities of the Action such as events which require broad participation gatherings due to safety, security or healthcare reasons, these events will be organised in the form of online/hybrid events as tested many times during the Covid-19 Pandemic.
Category 1	Risk 4: Changes in management and control system for the implementation of IPA funds in Türkiye	Low	Medium	In case of adverse developments, necessary steps for adaptation of the Action to such developments will be taken by NIPAC immediately.

### Lessons Learned:

Three technical assistance actions/projects on ROM (ROM Projects) were implemented in Türkiye since January 2011, pioneer in terms of ROM implementation practices by an IPA Beneficiary country. Within the scope of these projects, 655 ROM missions were organised to on-going projects and completed projects (ex-post) funded under IPA I and IPA II periods (up until Nov 2021) and institutional capacity building activities on monitoring have taken place. Furthermore, another technical assistance for the establishment of an integrated strategic approach to increase the efficiency and productivity of IPA III funds was launched in early 2021 to strengthen the capacity of NIPAC and other relevant institutions in the areas of strategic planning and programming, proper and sustainable project pipeline development and prioritisation, provision of support at tendering stage, boosting monitoring and evaluation stages covering reporting requirements, provision of assistance to NIPAC for coordination of the Union Programmes, and contribution to the preparation of cross-border cooperation programmes (at programme level). Therefore, the Action benefits from the experiences gained from the latter and former ROM projects and adds on to them. Additionally, as outlined in sections 2.2. and 3.3., ROM Projects have helped enhancing the awareness on critical issues including gender equality and empowerment of women and girls, environment and human rights.

Significant lessons were acquired during the implementation of previous phases of ROM projects:

- The timing of the ROM mission is quite important in determining the problems in projects. Sometimes delays during the tendering phases because the late start in project implementation, thus the project can not be monitored during the implementation phase of the ROM contract. Re-monitoring missions might be conducted in these cases in order to meet the number of monitoring missions identified in the AD.
- The ROM findings have confirmed the importance of re-monitoring of projects that have been monitored early (in the first year of implementation) or have exhibited major problems in their performance during the first monitoring visit.
- Although they are not part of the EC ROM methodology since 2014, the ex-post ROM reviews for completed projects have proven to be quite useful in assessing especially the impact and sustainability aspects of the completed IPA projects. Specific monitoring and evaluation methodologies for finished project should be sought, as ROM methodology is not the best fit.
- The experience during ROM Phase III project revealed that especially the OSs that experience the ROM methodology for the first time can be hesitant in terms of sharing the project documentation with the monitoring experts. Although such problems have been resolved in the past with NIPAC's

intervention and capacity building activities, the support of EC/EUD in explaining the mandate and use of ROM would be appreciated.

### 3.5. Indicative Logical Framework Matrix

Results	Results chain: Main expected results	Indicators	Baselines	Target	Sources of data	Assumptions
<b>Impact</b>	To ensure efficient and effective use of IPA assistance in Türkiye by improving the performance of interventions through strengthening design, monitoring and evaluation systems	Number of design, monitoring and evaluation systems strengthened	<b>0 (2021)</b>	<b>1 (2025)<sup>7</sup></b>	Project reports	<i>Not applicable</i>
<b>Outcome 1</b>	Design and implementation of IPA assistance in Türkiye improved	1.1. Percentage of interventions subjected to ROM reviews for which ROM findings were brought to the attention of Steering Committee Meetings	1.1 <b>0 (2021)</b>	1.1. <b>60% (2025)</b>	1.1. Minutes of steering committee meetings of IPA interventions.	Financial cooperation between Türkiye and the EU continues with no major changes affecting the roles and responsibilities of the NIPAC and the EU side.
<b>Outcome 2</b>	The visibility and public perception of IPA assistance by promoting the results and achievements of IPA projects improved	2.1 Number of participants in broad participation events organised to promote the results and achievements of IPA projects	2.1 <b>0 (2021)</b>	2.1 <b>600 (2025)</b>	2.1 Project records	
<b>Output 1 related to Outcome 1</b>	ROM services provided in Türkiye updated and extended	1.1.1 Number of ROM reviews conducted 1.1.2 Number of new ROM services (Support to Logframe and Monitoring Systems) conducted (Support to Results Data Collection at Institutional and Intervention Level) conducted	1.1.1 <b>655 (2021)</b> 1.1.2 <b>0 (2021)</b> 1.1.2 <b>0 (2021)</b>	1.1.1 <b>775 (2025)</b> 1.1.2 <b>25 (2025)</b> 1.1.2 <b>25 (2025)</b>	1.1.1 ROM Reports 1.1.2 Project reports	All relevant parties including the EC, the EUD and the NIPAC will continue to consider necessary to have an external monitoring tool of ROM as part of the existing monitoring structure in Türkiye. Annual and Multi-Annual OSs and other Turkish institutions and beneficiaries accept ROM monitoring as an integral part of the project cycle management and are committed to providing the
<b>Output 2 related to Outcome 1</b>	Capacities of Turkish institutions dealing with ROM services increased	1.2.1 Number of capacity development trainings delivered 1.2.2 Number of advanced project management trainings delivered 1.2.3. Number of study visits organised 1.2.4. Number of experience sharing events organised	1.2.1 <b>0 (2021)</b> 1.2.2 <b>0 (2021)</b> 1.2.3 <b>0 (2021)</b> 1.2.4 <b>0 (2021)</b>	1.2.1 <b>3 (2025)</b> 1.2.2 <b>2 (2025)</b> 1.2.3 <b>1 (2025)</b> 1.2.4 <b>1 (2025)</b>	1.2.1 Project reports 1.2.2 Project reports 1.2.2 Project reports	

<sup>7</sup> by the end of Action

<b>Output 1 related to Outcome 2</b>	Results and achievements of IPA Projects collected and disseminated through different means	2.1.1 Number of technical/sectoral reports prepared for disseminating the achievements gained through IPA projects	2.1.1 <b>0 (2021)</b>	2.1.1 <b>44<sup>8</sup> (2025)</b>	2.1.1 Project reports	necessary contribution and information and will subsequently act on recommendations and findings. There will be efficient collaboration among the line ministries, contracting authorities, DEUA and the ROM team.
		2.1.2 Number of broad participation events disseminating the results and achievements of IPA projects	2.1.2 <b>0 (2021)</b>	2.1.2 <b>3 (2025)</b>	2.1.2 Project records	
		2.1.3 Number of projects compendiums prepared	2.1.3 <b>0 (2021)</b>	2.1.3 <b>1 (2021)</b>	2.1.2 Project records	

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<sup>8</sup> This number is specified according to the SMC/IPA MC structure under IPA II as of December 2021. The number might change in line with the new structure of the monitoring committees under IPA III.

## **4. IMPLEMENTATION ARRANGEMENTS**

### **4.1. Financing Agreement**

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

### **4.2. Indicative Implementation Period**

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 72 months from the date of entry into force of the financing agreement.

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.

### **4.3. Methods of implementation**

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<sup>9</sup>.

#### **4.3.1. Indirect Management with an IPA III beneficiary**

This action will be implemented under indirect management by the Republic of Türkiye.

The Managing Authority responsible for this standalone project is the General Directorate of Financial Co-operation and Project Implementation of the Ministry for Foreign Affairs (MFA). 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 for policy management: the Department of Monitoring and Evaluation of the Ministry of Foreign Affairs, which shall be responsible for the overall technical implementation, coordination, supervision, assessment, execution, management and sustainability of the project. It 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 for financial management: the Central Finance and Contracts Unit (CFCU). It shall ensure legality and regularity of expenditure.

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<sup>9</sup> [www.sanctionsmap.eu](http://www.sanctionsmap.eu) Please note that the sanctions map is an IT tool for identifying the sanctions regimes. The source of the sanctions stems from legal acts published in the Official Journal (OJ). In case of discrepancy between the published legal acts and the updates on the website it is the OJ version that prevails.



#### 4.4. 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).

#### 4.5. Indicative Budget

<b>Indicative Budget components</b>	<b>EU contribution (amount in EUR)</b>	<b>Indicative third-party contribution, in currency identified</b>
<b>Methods of implementation</b> – cf. section 4.3		
<b>Outcome 1- Improvement of design and implementation of IPA assistance in Türkiye</b> <b>Outcome 2- Improvement of the visibility and public perception of IPA assistance by promoting the results and achievements of IPA projects, composed of</b>	<b>2 750 000</b>	<b>N/A</b>
Indirect management with the Republic of Türkiye – cf. section 4.3.1	2 750 000	N/A
<b>Evaluation</b> – cf. section 5.2 <b>Audit</b> – cf. section 5.3	N/A. N/A	N/A.
<b>Communication and visibility</b> – cf. section 6	N/A	N/A
<b>Contingencies</b>	N/A	N/A
<b>Totals</b>	<b>2 750 000</b>	<b>N/A</b>

#### 4.6. Organisational Set-up and Responsibilities

A Project Management Unit (PMU) will be formed within the Monitoring and Evaluation Department of DEUA for the day-to-day coordination and management of the Action. The PMU members will work in close collaboration with the technical assistance team, key stakeholders and other related institutions.

For the purpose of managing this Action, a Steering Committee (SC) will be established within the Department of Monitoring and Evaluation of DEUA to discuss the progress of the project, verify the delivery of outputs and achievement of results, facilitate coordination and cooperation between relevant stakeholders, and discuss actions to be taken for the successful implementation of the project. SC will be composed of representatives from the DEUA and the CFCU as members. Representative(s) of the EUD will also attend the Steering Committee meetings as observer(s). Chairperson of the SC, when necessary, may invite other relevant participants to the SC meetings.

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.

#### **4.7. Pre-conditions**

N/A

### **5. PERFORMANCE MEASUREMENT**

#### **5.1. Monitoring and Reporting**

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:

- Monitoring tasks undertaken by the implementing partners/ beneficiary country, under the coordination of NIPAC Office, and NAO Office for financial monitoring, will consist of collecting and analysing data aiming at informing on the use of resources and progress towards planned results, feeding the management of the action's decision-making processes.
- Monitoring tasks undertaken by the EU Delegation shall complement the implementing partners'/ beneficiary country's monitoring system, especially in key moments of the action cycle. It will also support follow-up of recommendations stemming out of external monitoring and will be used for informing EU management. This monitoring could take different forms and methodologies (meetings with implementing partners, action steering committees, on the spot checks ...) to be decided based on specific needs and resources at hand. Reporting will be done according to methodologies and tools included in DG NEAR guidelines on linking planning/programming, monitoring and evaluation, including the use of standard checklists..

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

- External monitoring / Results Oriented Monitoring (ROM)  
The Commission and/or NIPAC may undertake additional project monitoring in line with the European Commission rules and procedures set in the Financing Agreement through independent consultants recruited directly by the Commission/NIPAC for independent monitoring reviews (or recruited by the responsible agent contracted by the Commission/NIPAC for implementing such reviews). These reviews might be composed of monitoring of the action, results data collection or any other task that is identified in the most recent EC guidelines.

The Steering Committees will be established at activity level in order to steer the implementation of activities, achievement of results against indicators in the action document, to discuss monitoring findings (including

ROM findings) and agree on corrective actions as appropriate. The Steering Committees will be composed of the representatives of end beneficiaries, Lead Institutions, NIPAC Office, Contracting Authority and the EU Delegation.

## **5.2. Evaluation**

Having regard to the nature of the action, an evaluation will not be carried out for this action or areas of support. However, the Commission may decide to undertake such an evaluation during the implementation for duly justified reasons either on its own decision or on the initiative of the partner.

## **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**

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.

## **7. SUSTAINABILITY**

In the Indirect Management System in Türkiye, DEUA, as NIPAC, acts as the counterpart of the Commission and bears key responsibilities in the overall process of strategic planning, coordination of programming, monitoring of implementation, evaluation and reporting of IPA assistance. Furthermore, DEUA has implemented three ROM Projects previously building vast experience regarding the ROM system of EC and has maintained ROM services in Türkiye so far. Thus, DEUA will maintain and strengthen its position vis-à-vis ROM during and after the implementation of this Action.

As regards ensuring sustainability of the benefits/results to be created by the Action, many activities including the capacity development trainings, advanced project management trainings, development of the capacity building curriculum, update of the e-learning platform of DEUA, a study visit, an experience sharing event, update/upgrade/modification of ROMIS-TR, short videos and publications' production have been planned as elaborated under section 3.2. Following the implementation of these activities capacities of relevant Turkish institutions will be increased and adapted to the new/updated ROM methodology of EC. Therefore, the institutional sustainability will rest with these institutions and ROM services will continue to be delivered by the staff of these institutions.